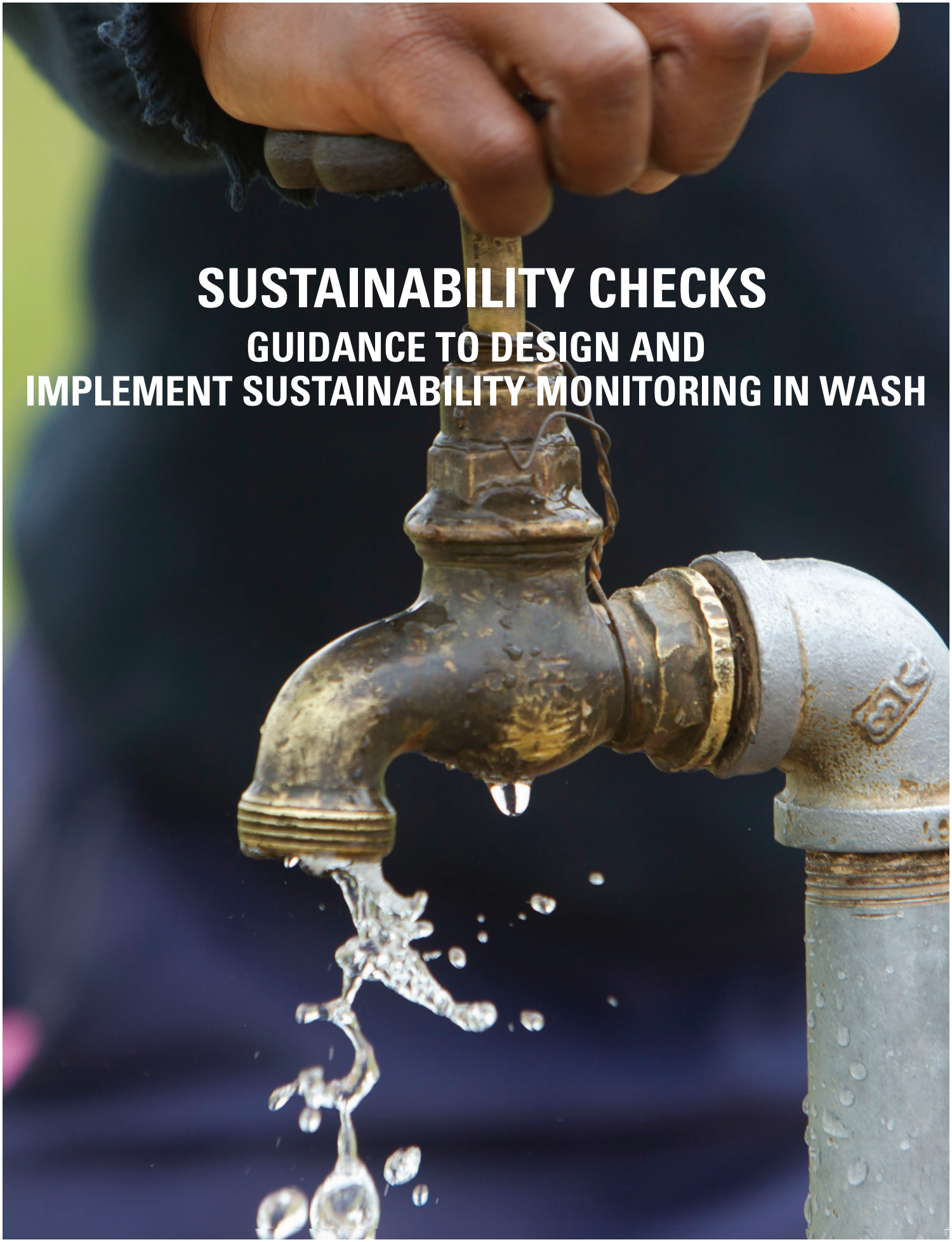

SUSTAINABILITY CHECKS

GUIDANCE TO DESIGN AND IMPLEMENT SUSTAINABILITY MONITORING IN WASH

unicef | for every child

FOREWORD

Ensuring lasting impacts of water, sanitation and hygiene (WASH) programme investments is a vital, but complex task, and requires a strategic approach. There is a need not just to invest more in WASH service delivery but also in how those services are delivered, if Sustainable Development Goal 6 and its benefits for communities, children's survival and development are to be realised. The new Agenda 2030 for sustainable development is universal and ambitious. On water and sanitation, it sets a clear goal for where the world should be at 2030 – measured through access to safely managed drinking water and sanitation.

Over recent years UNICEF has performed sustainability monitoring by implementing over 35 'Sustainability Checks'. The checks have been a critical tool that have helped to put the sustainability of WASH services on global and national agendas – and have improved programmes to deliver more sustainable outcomes in WASH. However, the Sustainability Checks have suffered from inconsistency in approaches and metrics, which has hampered the ability to compare sustainability gains or challenges over time, both in and between countries.

This guidance builds on previous experiences of sustainability monitoring and outlines guidance on how to design and implement Sustainability Checks as a means to obtain information about the state of functionality of water facilities as well as the level of adherence to social norms and behaviour change required to stop open defecation and construct toilets. The Sustainability Checks also provide information about underlying factors that are critical to future sustainability of WASH services, with a focus at the community and decentralised service delivery, level. This document aims to help deliver UNICEFs ambition to strengthen national capacity to deliver lasting services, while leaving no one behind.

ACKNOWLEDGEMENTS

This framework document was written under the collaboration between UNICEF and the UNDP-SIWI Water Governance Facility through the Accountability for Sustainability programme.

PRODUCED BY:

UNICEF HQ Programme Division/ WASH, New York

Cecilia Scharp
Angie Saleh
Michael Emerson Gnilo

UNDP-SIWI Water Governance Facility, Stockholm

Alejandro Jiménez
Hélène LeDeunff

REVIEW, ADVICE AND CONTRIBUTIONS:

Dawda Jawara, *UNICEF West Africa Regional Office, Dakar*
Lizette Burgers, *UNICEF HQ Programme Division/ WASH, New York*
Brooke Yamakoshi, *UNICEF HQ Programme Division/ WASH, New York*
Evariste Kouassi Komlan, *UNICEF HQ Programme Division/ WASH, New York*
Jeremie Toubkiss, *UNICEF HQ Evaluation Office, New York*
For Annex 1: Indicators and factors, Stef Smits, IRC, The Netherlands, and Julia Boulenouar, AguaConsult, Essex United Kingdom

VERSION FOR PRINT, JULY 2017.

COVER PHOTO: ©TSVANGIRAYI MUKWAZHI/UNICEF ZIMBABWE

CONTENTS

PURPOSE OF THE DOCUMENT

A Sustainability Check is a study to assess the sustainability of WASH facilities, services, and behaviours with a national, subnational or programme-based scope. It provides an assessment of the current sustainability of services in the area of study, and looks at conditions for its future sustainability. UNICEF has conducted sustainability checks since 2008, and has gained substantial experience on the key aspects to consider in this exercise.

Sustainability checks are required by many donors as an accountability mechanism and are considered a tool to support the achievement of the 2030 development agenda. Sustainability monitoring through Sustainability Checks is an explicit output in UNICEFs Strategic Plan 2018-2021.

The purpose of this document is to provide UNICEF Country Offices and partners with brief guidance on how to carry out a Sustainability Check, balancing good enough quality with a reasonable cost, with the aim that the exercise can be transitioned into national monitoring systems.

INTRODUCTION

SUSTAINABILITY CHECKS IN THE WIDER FRAMEWORK FOR SUSTAINABILITY PROGRAMMING

Sustainability is one of the main challenges for water and sanitation services worldwide. In its endeavour to focus more systematically on the sustainability of programme outcomes, UNICEF has defined a programming framework for the sustainability of WASH services that focuses on key interventions which enhance sustainability, build national capacities and integrate sustainability within existing national systems. The framework establishes three interconnected levels of intervention (community, service level and sector), and considers the factors affecting sustainability. It includes a review of tools for assessment and monitoring of sustainability and offers programming guidance for improved sustainability[1]. Within this framework, Sustainability Checks are a tool to monitor and consider sustainability throughout

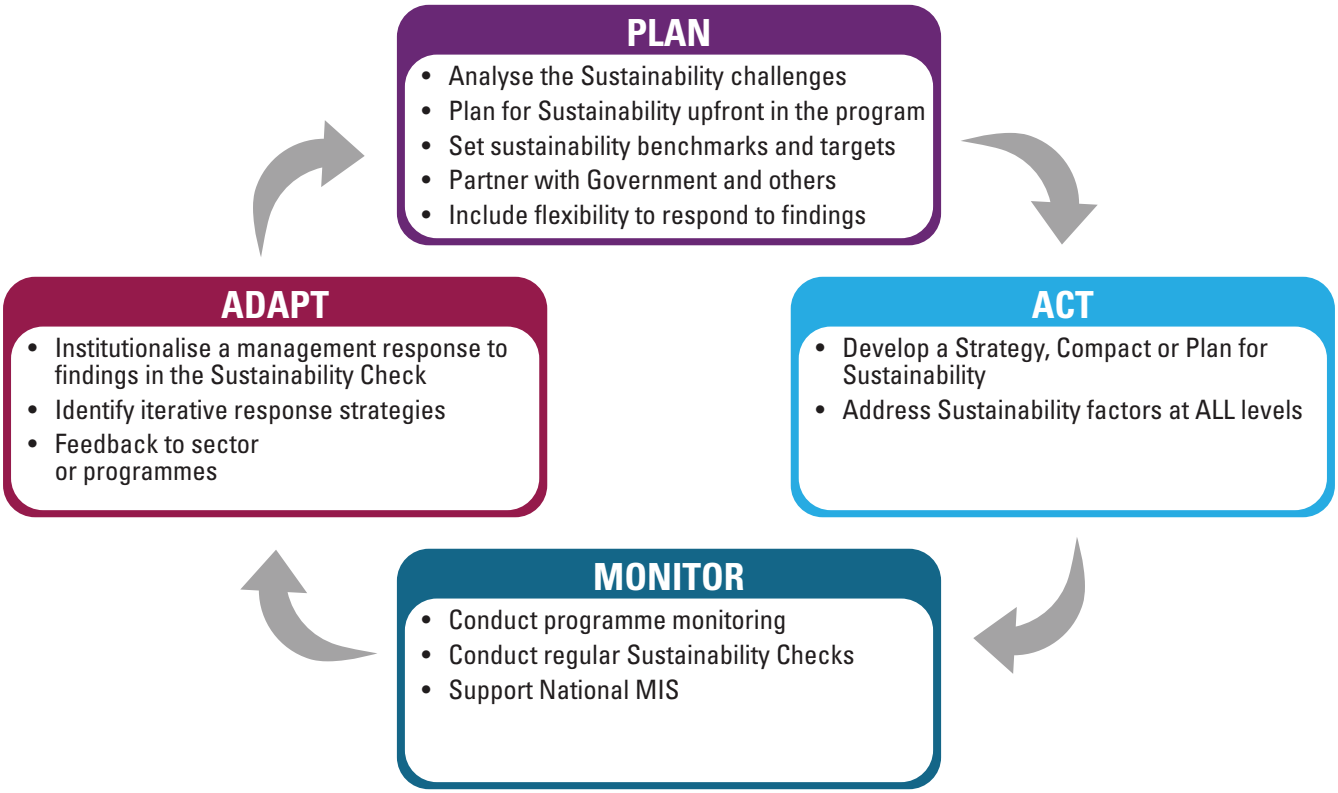

Figure 1. Programming pathway to sustainable services. Sustainability Checks are integrated throughout the programming cycle. They need to be planned for upfront and the findings fed back to programme managers for corrective actions.

1. For a full description of UNICEF´s approach to sustainability, please refer to: UNICEF (Forthcoming). *Programming for Sustainability in water and sanitation - a framework.* New York.

the programming cycle (see 'The sustainability pathway' in Figure 1 below). Sustainability Checks also provide critical feedback, allowing the chance for programmes to evolve; increasing their ability to adapt through such feedback improves their chances of sustainability.

THE EVOLUTION OF SUSTAINABILITY CHECKS

UNICEF's Sustainability Checks were first designed and conducted in Malawi and Mozambique in 2008. To date, more than 35 Sustainability Checks have been implemented by UNICEF in sub-Saharan Africa and Asia. Some countries have conducted Sustainability Checks periodically (annually or every other year). In general, they have been instrumental in raising awareness about the importance of investing in an effective sector delivering services over time, and they have generated valuable debate on sustainability at country level. Because there has not been a commonly defined approach to Sustainability Checks, the scope and framework of analysis have varied in complexity over the years – both within and between countries. This lack of consistency in the approach has made trend analysis and comparison over years difficult. Additionally the high ambition and cost of the exercise coupled with insufficient national capacities have made the transition to national ownership difficult. A review of experiences of the checks has been carried out to inform this guidance: the key findings are summarised in Box 1.

However, in some cases, transition is being made to a wider national and sector ownership. In Madagascar, two Sustainability Checks have been carried out at a national sector level to inform the development of a national 'Sustainability Action Plan'. The second check was carried out in a partnership between UNICEF, WaterAid and the Water Supply and Sanitation Collaborative Council. In West Africa, support from the Government of the Netherlands has prompted annual Sustainability Checks at programme level for accountability, which has triggered programme changes for more sustainable services at community level, and is making progress towards institutionalisation[2].

A Sustainability Check differs from a more comprehensive sector analysis or a 'Sustainability Assessment', which is a more ambitious and comprehensive analysis on how the sector overall is doing in terms of sustainability. A Sustainability Assessment can for example be carried out to provide a baseline, or to develop a national sustainability strategy or plan.

BOX 1. Summary of findings of review of Sustainability Checks carried out by UNICEF between 2008 and 2016

POSITIVE LESSONS LEARNT

- Checks carry more weight when they are performed by an external third party
- Process provides a regular 'temperature check' on a programme
- Provides a richness of information about sustainability in the different components assessed
- Has helped to put sustainability on the agenda both nationally and internationally
- Can have positive impact on the programme through feedback loop
- Can increase dialogue with donors on accountability
- Has contributed to a global dialogue on indicators

AREAS THAT COULD BE STRENGTHENED

- Process is time consuming. Procurement and implementation can take too much time to allow for actions to take place before the next check.
- Costly. The price for the Sustainability Checks has varied greatly and has been dependent on programme funding.
- International companies mainly used which has not supported national capacity
- Varied national ownership of the check and its results
- Not standardised, hence not comparable over years or between countries
- Overly complicated
- Sometimes poor quality of methods and data collection
- Too many recommendations and not always based on the actual findings
- Not clear who should take responsibility for action on findings

WAY FORWARD

- Provide support for the transition to a nationally owned process
- Situate the check in the broader sustainability landscape in a country
- Purpose should be clear; to provide information to the Government, sector partners and UNICEF about the status of sustainability and to make key recommendations for improvements
- Checks should be harmonised and simplified
- Limited set of key service indicators
- Underlying factors for long term sustainability (with a set of indicators) should be organised at community/ programme, service and local government level
- Guidance needed on sampling and data collection methods and reporting

2. For more information about our experiences in the in-depth review of West and Central Africa Region (WCAR) Sustainability Framework (2016), and in the paper "Sustainability in Practice: Experiences from Rural Water and Sanitation Services in West Africa", Sustainability Journal (2017).

SECTION 1: Main characteristics of a Sustainability Check

A Sustainability Check is defined as a study or review to assess the sustainability of WASH facilities, services, and behaviours with a national, subnational or programme-based scope. It provides an assessment of the sustainability of services in the area of study, and looks at conditions required for its future sustainability. The Sustainability Check assesses the actual sustainability at the time of the visit, as well as prospects for future sustainability. To achieve this, the Sustainability Check assesses a limited set of core indicators of current service levels and analyses the underlying factors that influence current and future sustainability of WASH services (see Box 2).

The main purpose of a Sustainability Check is to illustrate the level of sustainability of services in the context of the national WASH agenda, and suggest course corrections by:

- Assessing and analysing the **current degree of sustainability** of water and sanitation facilities and services in the area of study, and the sustainability of behavioural change and newly created social norms (for example the absence of open defecation, and practice of hand washing with soap).
- Assessing the underlying factors influencing the **likelihood and level of future sustainability**.
- Providing information on **key sustainability challenges and providing recommendations** to the Government, the sector partners and UNICEF on how actual sustainability and the underlying factors can be improved to deliver more sustainable and resilient programme and sector outcomes.

To be able to achieve this the Sustainability Checks should follow some key principles. To that end, sustainability checks need to:

- **Be carried out independently** from the implementation agencies, to guarantee impartiality. This can mean that the study is carried out through external consultants, or through a unit within the Government that is not directly responsible for the implementation of services (for example, a monitoring and evaluation department).
- **Be carried out regularly**; the check should be carried out annually or every other year to be able to track trends and changes over time.
- **Be carried out quickly, with a reasonable cost and timeframe** for implementation to guarantee efficiency, and to provide a rapid feedback loop within the programme time line.
- Guarantee reasonable **statistical representation** at the geographical level or for the groups desired[3].
- Allow for **comparability** across countries, regions and years, through assessing a set of standardised core indicators.
- Provide **actionable recommendations** on how sustainability outcomes can be improved. The assessments and recommendations can also cover the implementation of sustainability strategies, Sustainability Compacts or similar sector wide processes, depending on the scope of the study.
- Have a **mechanism in place in all cases to agree to and act upon recommendations** of Sustainability Checks. In many cases, this is carried out through a 'Management Response'[4].

BOX 2. Core service level indicators and underlying factors to be assessed and analysed

The list of indicator and factors is developed based on experiences from previous checks and in consultation with selected countries and partners:

Core service level indicators are quantitative or qualitative metrics or measures that represent a state of actual performance of the facility, service, or behaviour. This guidance includes a set of core indicators of the sustainability of WASH services (Annex 1) aimed at providing a quick overview of the state of service quality at the time of survey. It is strongly suggested that core service indicators should be adhered to, and part of every Sustainability Check.

Factors are elements contributing to a particular result or condition (sustainability in this case). Sustainability factors are often classified as 'Technical', 'Financial', 'Institutional', 'Environmental' 'Social'. Not all factors need to be assessed in all Sustainability Checks depending on context, while others are of such importance that they need to be the subject of specific in-depth studies (e.g. financial sustainability). The list of factors (and the proposed indicators for each of them) is also included in Annex 1. Factors can be selected and tailor-made, based on the specific context and the scope of the Sustainability Check. The list provided is not exhaustive, and additional factors could be added to as necessary.

3. Guidance on the statistical design are provided in the 'Design' section below.

4. More information about Management Response, and other mechanisms for acting upon Sustainability Check recommendations are provided in the 'Feedback' section.

SECTION 2: Conducting a Sustainability Check

The main elements of the process of conducting a Sustainability Check are summarised in Figure 2. The different elements are further elaborated on in the sections below.

DESIGN

The first step in performing the Sustainability Check is the design phase, which includes defining the scope of the check, setting benchmarks or targets for the indicators, designing the sampling strategy and data to be collected, and developing the data collection tools and techniques.

DEFINING THE SCOPE OF THE CHECK

To define the scope it is critical to answer the following four questions:

1. **Where do we want to understand sustainability?**
   The area that the check will cover is the first aspect that needs to be decided: is it a UNICEF programme, and does it include investments of other partners, a whole district or region, or the sustainability of services for the whole country? This decision will determine the universe from which sampling will be made, and thus will heavily influence the cost and complexity of conducting the check.
2. **Which WASH components are we analysing?**
   The WASH components that should be covered by the analysis need to be clearly identified. Depending on context the Sustainability Check could focus on water services or sanitation and hygiene services, or (most commonly) the check could include all WASH components. The check could also include sustainability at schools and/or healthcare facilities.
3. **Which indicators should be used?**
   Once the components are defined there is a list of core service level indicators (definition described in Box 1 above) for each component that should be measured through the check (see Annex 1 for the list of indicators).
4. **What are the underlying factors for sustainability that should be analysed?**
   As defined in Box 1, factors are elements contributing to sustainability. Aspects as complex and diverse as, for example, seasonal variability of water, existence of financing mechanisms, internal community cohesion or existence of local markets (see Annex 1 for the suggested list) are all potential barriers to sustainability in a specific context. Analysing all of them in detail is not recommended in a single given Sustainability Check. It is therefore important to decide which are the most important factors and the related indicators, to help analyse the enabling context for future sustainability in the particular case. Sustainability Checks can also be complemented with other in-depth studies about specific issues (e.g. tariff structures and users' willingness to pay).

The decisions about the scope will be influenced by elements such as the interest of the main stakeholders that will use the findings, the budget available for the implementation of the Sustainability Check, the expected time for completion of the exercise and the available capacities.

SETTING TARGETS FOR EACH INDICATOR

Lack of sustainability can manifest itself not only as a lack of functioning of the service or slippage in adhering to a new social norm, but also as a reduction in the service standards (for example a reduction in the continuity of the service, lack of conformity to quality standards, etc.). An important aspect

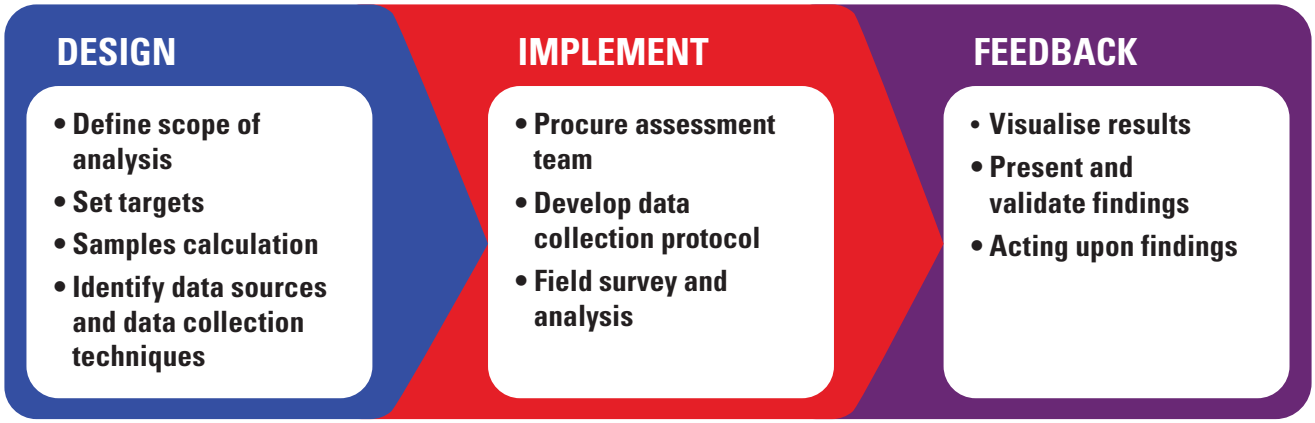

Figure 2. The Sustainability Check process

of sustainability is setting an acceptable level of sustainability of the service or adherence to a new social norm, and that the progress towards the target is regularly monitored through a set of indicators. Although it's desirable to achieve a 100 per cent value for each indicator, it's neither realistic nor cost effective to strive for perfect performance. For example, agreed service levels for water supply between the community/customers and the service provider may allow for a certain amount of downtime after a breakdown (for example 48 hours), or a household may not have had time to rebuild a collapsed latrine. Or there could be people new to the village that have not yet conformed to the social norm of ODF in a community. Hence, a target value for each of the indicators used in the Sustainability Check needs to be defined before the check is conducted. In some cases, these targets might already be in place, for example if there is an existing national standard or through programme documents, or nationally agreed Sustainability Compacts[5]. The results of the Sustainability Check will then compare the values obtained from the field survey with the targets agreed.

SAMPLES CALCULATION

Based on the scope previously decided, the different samples that will be taken should be calculated. In general, cluster sampling[6] is the most practical approach, and methods for random selection of households and facilities in the cluster should be developed[7]. Occasionally, it might be necessary to obtain equity-disaggregated data by certain categories (for example ethnic groups, income quintiles, gender). If so, the sample will have to be calculated to be statistically representative for each category. The accepted confidence level and margin of error of the survey will also influence the size and cost of the survey[8]. It is important to recognise that there will always be a trade-off between the richness and accuracy of the survey, and the complexity and cost of data collection and analysis. Additionally, it is not necessarily so that obtaining more data per se gives better information for decision-making: obtaining the right data is more important. As advised above, all Sustainability Checks should include at least the core service level indicators outlined in Annex 1.

In case the check is covering a UNICEF programme, as the programme proceeds and more outputs are produced over the years, the sampling methodology will need to take into account the age of hardware facilities or the amount of time elapsed since a community has achieved ODF status. Since this is an exercise with the objective of assessing sustainability, the sampling should be skewed more towards older outputs. If the checks are done in the first two years after construction/ODF verification, additional indicators might be included in the check that relate to the quality of the process and installation (see Annex 1).

A preliminary calculation of samples is advised, to get an overview of complexity and costs of the exercise, before taking the final decision. If this is not possible, the decisions will need to be taken once the consultants are in place[9].

DATA SOURCES AND DATA COLLECTION TECHNIQUES

Depending on the scope of the check, there will be different data sources for each broad component of the programme as follows[10]:

- **Water point/systems:** a statistically representative sample of new/rehabilitated water points in the area of study, primarily used to assess water point functionality, reliability, continuity and seasonality of service, and factors influencing future sustainability.
- **Community sanitation and hygiene:** a statistically representative sample of communities that have been triggered would constitute the universe from which you should sample a number of households. Some of the communities will have been certified ODF, and some not. For the communities certified ODF, a number of extra indicators related to sustainability of ODF would apply (again, see Annex 1 for key indicators and factors).
- **Schools and health centres:** a statistically representative sample of schools and health centres would be needed, to assess water availability from an improved source/point, whether toilets are improved, and if

5. For example, the 'Accelerating Sanitation and Water for All' (ASWA) programme, funded by the Government of The Netherlands and implemented in West and Central Africa Region (WCAR) in 2012-2018, set the general target of 85% of water points functional after 10 years, and 85% of villages to remain ODF over the same period. This was discussed at national level and in some cases was adjusted.

6. 'Cluster sampling' is when natural population groupings (villages, districts, etc.) are used as the basis from which to extract a subsample of households, water points, etc. (as appropriate). The sampling is then carried out in a staged process.

7. This is particularly important in instances where a list of households or water points within the cluster of sampling (village/district, etc.) is difficult to obtain.

8. Values widely accepted are a margin of error of plus or minus 5%, at a 90 or 95% level of confidence. For other alternatives, a good sample size calculator can be found at http://www.raosoft.com/samplesize.html.

9. The size of samples will substantially affect the total cost of the exercise; if this is decided with the consultants and not beforehand, it should be considered in the way the terms of reference and contract are written.

10. Note that for the Sustainability Check, the use of control groups is not required.

Figure 3. An overview of the data collection protocol process

they are single-sex, the availability of hand washing facilities with soap and water, and functionality and sustainability factors that could affect present and future results.

Additionally, there are a number of indicators that will require collecting information from the village and district governments.

The techniques for data collection are primarily field observations (both of hardware and behavioural outcomes) and interviews with household members and key informants (e.g. WASH committee members). More complex sustainability factors might require a combination of these techniques for data collection and also other complementary ones – for example focus group discussions, collection of stories about a particular issue, or case studies might also be useful to ensure triangulation of data and sufficient understanding of the issues.

IMPLEMENTATION

PROCUREMENT

Once the design phase is finalised, the elements that will inform the terms of reference (ToR) for the procurement of the third party team are in place[11]. Annex 3 includes a template for the procurement of Sustainability Checks. Alternatively, UNICEF standard ToR for evaluations could be adapted and used for the procurement.

The ToR will in all cases include the scope of the exercise, the list of core indicators and selected factors to be covered by the check, based on Annex 1.

Because the Sustainability Check is meant to keep an external, independent eye on the sustainability of WASH interventions, it is usually carried out by independent monitoring teams. Because of local capacity issues, most of the Sustainability Checks implemented by UNICEF in the past have been carried out by international companies. Using established international companies has usually meant that the checks have been of good quality, but it has also meant the process has been expensive. In addition, bringing in international companies does not necessarily support national capacity building, which could hamper the sustainability of the process itself. As a rule, countries carrying out Sustainability Checks should make sure that national capacity forms part of the assessment team, and that an element of the check process also becomes an opportunity to learn. National capacity can be found for instance among consultancy companies, management consultants or at academic institutions.

DATA COLLECTION PROTOCOL

Once the procurement is carried out, the first task of the team that will implement the check is to develop the data collection protocol. As explained above, sustainability indicators and factors are informed by the data collected from the field (see Annex 1). The information for each indicator should be collected from specific sources (e.g. water points, households, key informants, schools or health institutions) and by specific techniques (e.g. observation or interviews). The specific information required from each source will need to be aggregated in a 'data collection protocol'. This will include for instance the questionnaire to be used to collect data from stakeholders, the observations to be carried out at water points and households, and any other data to be collected. This protocol will be the document that enumerators bring to the field (see Figure 3).

Eventually, the Sustainability Check field survey and data collection may be carried out with the help of mobile phone technology/smart phones and the results directly uploaded to the web. Looking forward, an ambition should be to harmonise indicators with national monitoring systems and the data uploaded to national databases. In any case, a database with the raw results of the field survey should be created and made accessible to relevant stakeholders for future reference.

In all cases, it is necessary to collect some additional

11. If the check is to be conducted by an independent unit within the Government, the ToR will inform the technical details of the exercise.

information that allows for basic analysis, for example by the age of the installation, GPS coordinates, type, implementing agency etc. Box 3 provides a list of basic additional information that needs to be collected from the different data sources to perform the analysis of results.

FIELD SURVEY AND ANALYSIS

Interviews and interactions with people in communities must be conducted according to national legal and ethical norms for study subjects[12]. It is the responsibility of the contractor to ascertain these and to conduct themselves accordingly in the field.

The analysis of results of Sustainability Check will be done against the targets agreed for each indicator. The analysis should also be enhanced with a desk review of the available information from previous checks or other monitoring or programme documents, to triangulate and verify results obtained.

BOX 3. Basic additional data to be collected in a Sustainability Check

In addition to the information required to calculate the value of the indicators, some basic additional data is always required to perform the analysis of results: For water points; i) exact geographical location, ii) type of water point, iii) age of water point, iv) agency having built or rehabilitated the water point, v) water point management arrangement/body, vi) cause of the breakdown if water point is not functioning.

For villages/communities: i) date of CLTS triggering, ii) date of ODF certification (if applicable), iii) agency having performed the triggering and the follow up, iv) total number of villages surveyed, v) total population in each village surveyed, vi) population disaggregation if available by sex, age, ethnicity and income status.

For households: i) composition of household, ii) age, sex, and education level of respondent, iii) condition of respondent within the household, iv) level of income/wealth quintile of household (if available), v) religion (if relevant), vi) ethnic group (if relevant), vii) disability (if relevant), viii) other socio, economic & demographic relevant conditions according to the context.

For management committees/WASH committees: i) composition, ii) sex disaggregation, iii) education level, iv) date of starting of activities, iv) change in composition over time.

FEEDBACK

VISUALISATION OF RESULTS

A critical aspect of the Sustainability Check process is to present the key findings in a way that encourages discussion, and facilitates action. One of the weaknesses of a number of Sustainability Check reports is that the analysis leads to a substantial number of recommendations, but often without prioritising them, which leads to difficulties deciding how to address the identified sustainability challenge and who should be responsible for taking action.

This guidance therefore proposes a simplified template for reporting of key aspects of the Sustainability Check, which could be used as a template for an Executive Summary or 'dashboard', to facilitate dialogue around the results of the checks (see Annex 2). It focuses on providing a feasible number of actionable recommendations and the identification of who should take action.

In addition to the simplified report template, graphic representation of results can be valuable to visualise the findings, helping with trend analysis and action against results. Visualisation could also be useful for drawing some comparison of results across the different sectors or districts being checked, or across different years to show progress (see an example in Figure 4). Other graphs such as simple bar or line charts with the evolution of a certain indicator over time, or pie charts can help to visualise results effectively.

PRESENTING AND DISCUSSING FINDINGS

Another critical aspect is to present the findings of the Sustainability Check to the different stakeholders involved. In the first place, results should be presented to the affected communities/villages/districts/regions. This helps to validate the preliminary results. The number and type of meetings for validation should be defined depending on the scope of the check, and included in the process of the Sustainability Check from the contracting stage.

The findings should also be discussed with the responsible authorities within the Government, with the aim of establishing a dialogue to agree on priorities moving forward.

12. Please refer to UNEG and UNICEF ethical standards and procedures:
Ethical guidelines for evaluations: http://www.unevaluation.org/document/download/548

Evaluators' code of conduct: http://www.unicef.org/evaluation/files/Evaluation_Principles_UNEG_Code_of_Conduct.pdf

Procedure for Ethical Standards: http://www.unicef.org/supply/files/ATTACHMENT_IV-UNICEF_Procedure_for_Ethical_Standards.PDF

Consultant's Agreement to Adhere to UNICEF Ethical Standards when Undertaking Evidence Generation on Behalf of UNICEF: https://unicef.sharepoint.com/teams/OoR/SiteAssets/SitePages/Ethical%20Evidence%20Generation/Individual%20Investigator%20or%20Org%20Commitment%20%20to%20Ethics%20Procedure.docx

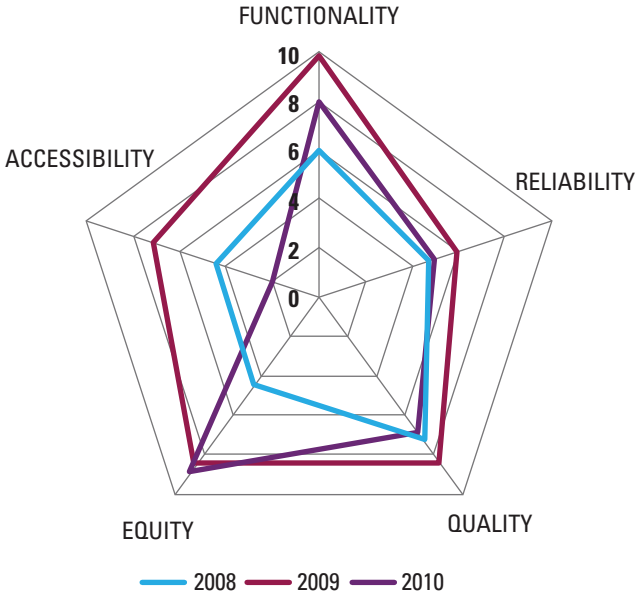

Figure 4. Example of visualisation of results for different sustainability dimensions[13]

ACTING UPON FINDINGS

One of the main aims of a Sustainability Check should be to trigger action based on its findings. The actions can vary from addressing local challenges at the water points or in the communities analysed, to the service provision levels up to the sector level, depending on the scope of the check.[13]A Management Response[14] was developed in West and Central African countries as a means to agree on the most important and relevant recommendations from the Sustainability Checks, translating them into an action plan for UNICEF and its partners. Guidance and templates for UNICEF Management Responses are available on a dedicated webpage for evaluations. Other mechanisms can also enhance the ownership and utilisation of Sustainability Check results by other sector stakeholders, such as sharing and discussing the report at Joint Sector Reviews (JSRs).

SECTION 3: The way forward: national ownership for Sustainability Checks

Ultimately, the aim should be the aim ultimately to transition the ownership of the Sustainability Check process to national authorities, and include sustainability monitoring as part of the regular national sector monitoring system. Data collection can then be carried out by other parties (e.g. national statistical agencies or regulatory bodies) rather than through third party monitoring depending on the degree of independence required. For the process to become aligned with the national priorities, the findings of the Sustainability Checks, assessments of the implementation of national Sustainability Compacts[15] and sustainability strategies could become a chapter of the annual water sector report, or be discussed in water sector JSR meetings which include all stakeholders. This would allow for more actors to take part in discussions and be accountable to support the actions decided upon to progressively improve suitability. When there is no JSR mechanism in place, the Sustainability Check could be part of reviewing sustainability-related instruments at national level (be it a Sustainability Compact, strategy or a component of national sustainability plans).

13. Methodology to construct this type of graph: each of the core service level indicators should be compared to the target level agreed and translated to a 0 to 10 scale. For the dimensions that include more than one indicator (e.g. Reliability), the arithmetic mean of values for each indicator of the dimension can be calculated to represent the composite value for that dimension. Different colours can be used to represent the results of the different years. A similar graph can be constructed for each WASH component (e.g. water, sanitation and hygiene, and institutions)

14. A Management Response was used in West and Central Africa Region to provide official response to the recommendations of sustainability checks. A management response is signed documents (by a representative of UNICEF and the Government) which have the form of a table, including the actions to be taken under each recommendation, responsible partner, date of conclusion, status of implementation, and supporting documents.

15. Sustainability Compacts are used in Netherlands-supported programmes in West Africa and are agreements signed between UNICEF and national governments, which set out government commitments to ensure services are functioning to an agreed standard for a minimum of 10 years and specifying UNICEF's role in supporting this effort.

ANNEX 1:
List of indicators and factors

RURAL WATER SUPPLY – LIST OF CORE SERVICE LEVEL INDICATORS

#	AREA OF FOCUS	INDICATOR	CALCULATION METHOD	MAIN DATA SOURCES AND DATA COLLECTION TECHNIQUES[15]	COMMENTS
1	**Functionality**	**Percentage of water points functioning at the time of visit**	Ratio of functional water points to the total number of water points examined for the purpose of the check, expressed as a percentage.	• Field observation of a sample of water points in specific geographical area(s) and timeframe. • Interview with a key informant: person most directly in charge of operating/maintaining/ repairing the water point.	Check if denominator should include abandoned or irreparable water points. Record type of water point, age, and agency (if there is a sign indicating it)
2	**Accessibility**	**Percentage of water points within a 30 minute round-trip (including queuing) to collect water**	Average time in minutes to collect water (including queuing) for the household using the water point.	• A representative sample of households and/ or discussion with key informants (e.g. WASH committee, village leaders)	Alignment with the SDG for basic water. This is the only water supply related indicator that requires a sample of households, as opposed to the rest of indicators that all require a sample at water point level.
3	**Reliability / continuity**	**Average downtime of water points before repair as reported by users or manager of water point (WASH committee)**	Duration elapsed between the day of the most recent breakdown and the day the water point was repaired, averaged across all water points surveyed (except those abandoned) – expressed as a number of days.	• Interview with a key informant: person having been directly involved at that time in managing the water point (WASH committee) or person most directly in charge of operating/ maintaining/repairing the water point.	
4	**Reliability / continuity**	**Average number of mechanical breakdowns per year**	Number of mechanical breakdowns per year, averaged across all water points surveyed.	• Interview with a key informant: person most directly in charge of operating/maintaining/ repairing the water point. An indication of proper siting and availability of water over the year. At water point-check with manager of the water point.	
5	**Reliability: seasonality**	**Percentage of water points that dried up for at least 1 month in the past year**	Ratio of water points having dried up for at least 1 month in the last 12 months to the total number of water points examined for the purpose of the check, expressed as a percentage.	• Interview with a key informant: person most directly in charge of operating/maintaining/ repairing the water point.	An indication of proper siting and availability of water over the year. At water point-check with manager of the water point.
6	**Accessibility**	**Percentage of villages with a users per water point ratio that complies with national standards**	Ratio of villages where the users per water point ratio is equal to or less than the national standard, to the total number of villages surveyed for the purpose of the check; expressed as a percentage	• Access to most recent population data by village, and the full list of (non-abandoned) water points	

#	AREA OF FOCUS	INDICATOR	CALCULATION METHOD	MAIN DATA SOURCES AND DATA COLLECTION TECHNIQUES	COMMENTS
7	**Intra-village equity**	**Percentage of communities that have at least one functional water point per neighbourhood/ community subdivision**	Ratio of villages where all neighborhoods have at least one water point, expressed as a percentage. At village level, ratio of sub-villages with functional water point compared to the total number of sub-villages (100% means good equity, low percentage will mean that there is unequal distribution of water points).	• Key informant: village leader or WASH committee.	Ask list of all water points to village leaders and ask if any sub-village does not have a water point. If the check is to be representative at programme level, this should be calculated at all villages surveyed. Simple way of calculating that is to do a list of water points per village. That list should include the neighborhood. Calculate the percentages of villages with sufficient (according to village ratio) but unequal coverage (with one or more non-covered neighbourhoods).
8	**Water Quality**	**Percentage of functioning water points meeting water quality standards at the time of monitoring**	Ratio of water points meeting water national quality standards at the time of the visit to the total number of water points examined for the purpose of the check, expressed as a percentage.	• Field check a sample of water points in specific geographical area(s) and timeframe. • Water quality field testing through measurement with portable test kits. • Household survey about perception of odour, colour and taste of water on the day of the visit. • Document review (national policy/strategy) for: national standard related to water quality.	Quality measurement. Refer to JMP Compliance with faecal and priority chemical standards
9	**Catchment protection**	**Percentage of water points with source and catchment protection activities in place**	Ratio of all water points surveyed that have source and catchment protection activities, expressed as percentage	• Field check a sample of water points in specific geographical area(s) and timeframe. • Observations of whether the water point is properly protected. • Interview with a key informant (person the most directly in charge of operating the water point) for: water point management arrangement/body.	Water point properly fenced in, distance to sanitation, etc.

RURAL WATER SUPPLY - LIST OF FACTORS

Please note that factors are areas of concern, which can be measured by many different indicators. So factors also have proxy indicators to understand them. The ones suggested here are only for guidance and do not represent an exhaustive list.

#	SUSTAINABILITY FACTOR	SUGGESTED INDICATORS	MAIN DATA SOURCES AND DATA COLLECTION TECHNIQUES[16]	MONITORING TOOL	COMMENTS
A. COMMUNITY/WATER POINT LEVEL					
1	**Preliminary studies and planning conducted for siting of the water point to be adequate to the local context**	• Percentage of villages where hydrogeological conditions were properly assessed and documented before water point construction. • Percentage of villages where planning and siting of water points was done in participation with users.	• A sample of villages in specific geographical area(s) and timeframe. • Review of existence and documentation of preliminary studies • Key informants: WASH committee and/ or people directly involved in the process at the time of construction.	Project monitoring and Sustainability Checks	Studies should include all technical, social, financial, & cultural aspects. This should take into consideration climate, climate change, and hydrogeological conditions. As well as planning for intra-village equity and future use/avoiding overuse.
2	**Quality of design, construction, and quality control over the process**	• Percentage of water points constructed by a professional constructor. • Percentage of water points with a transparent and documented procurement process • Percentage of water points which where full-time supervised by qualified staff. • Percentage of water points/facilities surveyed where good quality of construction is reported by WASH committee.	• Field check a sample of water points in specific geographical area(s) and timeframe. • Review of documentation of the quality of the process. • Interview with a key informant: person most directly in charge of operating/ maintaining/repairing the water point and/or WASH committee representative	Project monitoring and Sustainability Checks	Optional: Professional supervision by client or third party e.g government/ business/NGO
3	**Alignment with users' preference**	• Percentage of households that use the improved water point as main source of drinking water. • Percentage of facilities reported to be acceptable by users.	• A sample of households within the study area. • Interview with a key informant: head of household for user views.	Sustainability Checks	

16. It is suggested that for most factors to be analysed, a triangulation of data is necessary. We would suggest to employ a mixture of field observation, interviews with key informants, and questionnaires for a representative sample of households. In some cases, it may also be appropriate to use focus groups and/or desk reviews of some documents including national guidelines for water quality, meeting records for WASH Comms and/or local councils, as well as agreements with service providers, etc.

All indicators can be reduced to a few sampling exercises: i) water points, ii) households, iii) villages, iv) service providers (this one we suggest to do the same sample as the water points, for practical reasons). Check above for tips and standard parameters to calculate sampling

#	SUSTAINABILITY FACTOR	SUGGESTED INDICATORS	MAIN DATA SOURCES AND DATA COLLECTION TECHNIQUES[16]	MONITORING TOOL	COMMENTS
4	**Local community participation in decision making throughout the process**	• Percentage of water points where communities are/were involved in planning of new water points and their management. • Percentage of water points where communities are involved in the budgeting and expenditure of the water/WASH committees. • Percentage of water points where communities are involved in monitoring the services.	• Field check a sample of water points in specific geographical area(s) and timeframe. • Interview with a key informant: person having been directly involved at that time in managing the water point (WASH committee) and with local government official • Interview with key informants/ focus groups of users to get their views.	Project monitoring and Sustainability Checks	Process includes planning, design, construction, and management arrangements.
5	**Services are reliable, affordable and available when needed**	• Percentage of households that declare that water points are open/available when needed. • Average number of litres provided per family per day. • Percentage of households paying for services on time (as a proxy for affordability). • Average portion (%) of monthly income spent on service per family.	• Sample of households within the study area. • Sample of households within the study area. • Interview with a key informant: WASH committee treasurer or equivalent.	Sustainability Checks	Aligned with the SDGs part of 'safely managed affordable, available when needed'. This should include satisfaction with affordability, reliability, distance, water quality etc.
6	**Local water resources are properly managed and protected**	• Percentage of water points with source and catchment protection activities for preservation of the water. • Percentage of communities with mechanisms in place for decision making and conflict resolution regarding allocation of water resources.	• Field check a sample of water points in specific geographical area(s) and timeframe. • Interview with a key informant: WASH committee manager, village chairman, and triangulated with other key informants and/or focus groups.	Sustainability Checks	
7	**Safety of the water from pollution and contamination is ensured by a water safety plan that is being implemented**	• Percentage of water points with measures (barriers) to prevent contamination at the water point. • Percentage of water points where water safety measures are implemented (progressively).	• Field check a sample of water points in specific geographical area(s) and timeframe. • Interview with a key informant: person having been directly involved at that time in managing the water point (WASH committee) and with local government official	Sustainability Checks	Implementation of water safety measures is considered as a community collective action process, particularly in areas with low formalisation of service providers.
8	**Unforeseen changes in demography, political situation, or environment at community level that critically affect the service**	• Percentage of water points with sudden change in the number of users.	• Interview with a key informant: WASH committee, or government representatives.	Sustainability Checks	To be reported ONLY in the exceptional cases where it happens.

#	SUSTAINABILITY FACTOR	SUGGESTED INDICATORS	MAIN DATA SOURCES AND DATA COLLECTION TECHNIQUES[16]	MONITORING TOOL	COMMENTS
B. LOCAL GOVERNMENT LEVEL					
9	**Post-implementation support from local authorities/ administration/ technical departments/ regulator in charge**	• Percentage of water points where a monitoring system is in place to report failures to local government/service authority. • Percentage of water points that actually receive technical support and supervision from local or district water authorities when needed. • Percentage of districts that provide post-implementation support.	• Field check a sample of water points in specific geographical area(s) and timeframe. • Interview with a key informant: person directly involved in managing the water point (WASH committee/ caretaker. • Interview with a key informant: district water officers (when available) Review of local government records if available.	Sustainability Checks	This includes continuous monitoring, support, training and incentives for good performance.
10	**Financing mechanism locally in place to ensure affordability and continuous service**	• Percentage of water points with tariffs that allow covering for regular operations and maintenance costs. • Percentage of communities that implement solidarity/affordability mechanisms.	• Interview with a key informant: person managing the water point (WASH committee treasurer/ secretary/director. • Check WASH committee records if available. • Questionnaire for a representative sample of households and/or focus group.	Sustainability Checks	
11	**Safety of water points**	• Verification of water safety plan is carried out once a year.	• Review of local government records if present. • tInterview with district water department.	Sustainability Checks	i.e. to monitor water quality once a year, and that the plan is implemented.

#	SUSTAINABILITY FACTOR	SUGGESTED INDICATORS	MAIN DATA SOURCES AND DATA COLLECTION TECHNIQUES[16]	MONITORING TOOL	COMMENTS
C. SERVICE PROVIDERS LEVEL					
12	**Effectiveness and capacity of water management committee to perform its tasks and ensure cost recovery of basic operation and maintenance**	• Percentage of water points with a formalised service provider in place. • Percentage of water points with gender balance in WASH committees. • Percentage of service providers that carry out their tasks in operation, maintenance and administration. • Percentage of water points with WASH committees that meet on regular basis. • Percentage of water points where tariff is effectively/regularly collected and properly managed. • Percentage of water points with tariffs that allow covering for regular operation and maintenance costs. • Percentage of WASH committees keeping records.	• Field check a sample of water points in specific geographical area(s) and timeframe. • Interview with a key informant: person directly involved in managing the water point (WASH committee/ caretaker). • Review of WASH committee records if available.	Sustainability Checks	Effectiveness of the WASH committee includes if it has the appropriate human, logistical, financial and technical resources, and if it has frequent meetings and participatory decision-making. Also if it actually takes actions to deal with problems or potential hazards. It is noted that water management companies or service providers are not equal to the number of villages neither to the number of water points. However, it might be difficult to get a list of all water management companies in a region, to enable sampling, so perhaps it is easier to do it with the same water point sampling.
13	**Accessibility, and quality of inputs and technicians for repairing water points when needed**	• Percentage of water points with access to technicians and spare parts within 48 hours or national service standards.	• Interview with a key informant: person directly involved in managing the water point (WASH committee/ caretaker).	Sustainability Checks	Inputs include energy to run the system, spare parts, etc.
14	**There are effective transparency and accountability mechanisms in place between users and/or water management committee and the service providers**	• Percentage of water points with written and signed roles and responsibilities among parties in service delivery. • Percentage of water points where information about income and expenditure are provided to users and authorities at least once per quarter.	• Field check a sample of water points in specific geographical area(s) and timeframe. • Interview with a key informant: person directly involved in managing the water point (WASH committee/caretaker. • Interview with a key informants: households and people attending WASH committee meetings • Review of WASH committee records if available.	Sustainability Checks	
15	**Financing mechanism in place locally to ensure affordability and continuous service**	• Percentage of water points where tariff is effectively/regularly collected and properly managed.	• Interview with a key informant: heads of household for user views.	Sustainability Checks	

SANITATION – LIST OF CORE SERVICE LEVEL INDICATORS

#	AREA OF FOCUS	INDICATOR	MAIN DATA SOURCES	COMMENTS
1	**Maintenance of ODF status**	Percentage of ODF-verified communities that still meet all the (national) ODF criteria (please specify national ODF criteria).	• Document review for national ODF criteria • Field observation for a sample of certified communities in specific geographical area(s) and timeframe. • Interview with a key informant: person having been directly involved at that time in managing [WASH/ sanitation committee] • Interview with a key informant: head of household for user views • Interview with a key informant from the verification team. • Questionnaire for a representative sample of households.	• The aim here is to measure rate of ODF slippage through field observation and interview with beneficiaries. • It is important to differentiate in the report between ODF slippage versus reversion to open defecation or non-latrine use at household or individual level. • The sustainability check report will have to explain the criteria for ODF certification in each particular country as well as the quality of the verification process. • It is given that in each village visited the time since certification will be collected. Possibility to require that no village having been certified recently (i.e. 6 months before or less) will be surveyed. • On the question of using certified or verified: certified or communities that passed verification can be used. What we don't want is to include villages that did not pass verification. • We would focus here only on one specific ODF criterion: the end of OD practice. • Based on field observation: transect walk in and around the village (ideally using the map of OD areas drawn during the triggering).
2	**Maintenance of ODF status**	Percentage of ODF-verified communities where no evidence of open defecation can be found.	• Field observation for a sample of certified communities in specific geographical area(s) and timeframe.	
3	**Use of sanitation facilities**	Proportion/percentage of households with access to basic latrines (improved not shared with other households).	• Questionnaire for a representative sample of households. • Ideally sampling is representative of ODF and non-ODF villages.	• Align with household survey questions recommended by the JMP for coverage. • Capturing the improved versus unimproved and shared or not shared is especially important in countries where the ODF criteria does not include improved latrines or does not include hand washing facilities.
4	**Use of sanitation facilities**	Percentage of households accessing shared latrines (in contrast with households having access to their own private latrine).		• Also in many cases at the time of verification a mud slab might be improved but over time can erode to an unimproved latrine. • Timing of the checks will be important – in dry seasons or wet seasons. Maybe good to have the check a few months before seasonal diarrhoea outbreaks, so corrective action can be taken in time.
5	**Use of sanitation facilities**	Percentage of surveyed households that built a new latrine during the reporting period (whether or not the village was certified ODF) and that still use that latrine.	• Field observation for a sample of certified communities in specific geographical area(s) and timeframe. • Questionnaire for a representative sample of households. • Interview with a key informant: person having been directly involved at that time in managing (WASH/ sanitation committee). • Questionnaire for a representative sample of households.	• Capture use of the new sanitation facilities built • Use both direct observation and self-reporting for latrine use whenever possible. • Consider doing an analysis of which households are reverting back to open defecation and if there is a disproportion of reversion between the general proportion and more vulnerable populations (people with disabilities, poor, marginalised groups, etc.)
6	**Use of sanitation facilities**	Percentage of households that have re-built/upgraded their latrine in the last year.	• Field observation for a sample of certified communities in specific geographical area(s) and timeframe.	• It is a proxy to see sustained behaviour change: also state reason for latrine damage and motivation to rebuild or upgrade when possible.
7	**Handwashing facility**	Percentage of households with functional hand washing facility with soap and water available in vicinity of latrine and with evidence of usage.	• Field observation for a sample of certified communities in specific geographical area(s) and timeframe. • Questionnaire for a representative sample of households.	• Use both direct observation and self-reporting for latrine use whenever possible.

#	AREA OF FOCUS	INDICATOR	MAIN DATA SOURCES	COMMENTS
8	**Handwashing practice**	Percentage of household respondents reporting always washing their hands with soap or ash at specific critical times.	• Field observation for a sample of certified communities in specific geographical area(s) and timeframe.	

SANITATION – LIST OF SUSTAINABILITY FACTORS

Please note that factors are areas of concern, which can be measured by many different indicators. So factors also have proxy indicators to understand them. The ones suggested here are only for guidance and do not represent an exhaustive list.

#	SUSTAINABILITY FACTOR	SUGGESTED INDICATORS	MAIN DATA SOURCES AND DATA COLLECTION TECHNIQUES[17]	MONITORING TOOL	COMMENTS
A. COMMUNITY LEVEL					
1	**Presence of water to build, repair or clean the latrine**	• Percentage of households that declare having adequate access to water to clean latrine	• Field observation for a sample of certified communities in specific geographical area(s) and timeframe. • Interview with a key informant: household heads for user views. • Interview with a key informant: person having been directly involved at that time in managing (WASH/ sanitation committee).	Sustainability Checks	• This includes: availability, accessibility/ distance, functionality, affordability.
2	**Resilient construction of latrines**	• Percentage of households where latrines were damaged or collapsed in last year due to heavy rains, soil collapse or others. • Proportion/percentage of latrines that were repaired/rebuilt within 1 month after filling up or getting damaged.	• Field observation for a sample of certified communities in specific geographical area(s) and timeframe. • Interview with a key informant: household head for user views • Interview with a key informant: person having been directly involved at that time in managing (WASH/ sanitation committee) • Questionnaire for a representative sample of households.	Sustainability Checks	• Soil and ground conditions include, for example: not prone to flood, not rocky, sandy, no high ground water table. • Climate conditions include, for example: no heavy rains, periodic hurricanes. • Good design and location.
3	**Willingness to pay/ prioritisation of sanitation among areas of expenditure**	• Percentage of households that report sanitation as a high priority. • Proportion/percentage of latrines that were repaired/rebuilt/ upgraded in the last year (or since ODF verification)	• Questionnaire for a representative sample of households. • Interview with a key informant: person having been directly involved at that time in managing (WASH/ sanitation committee).	Sustainability Checks	

17. It is suggested that for most factors to be analysed, a triangulation of data is necessary. We would suggest employing a mixture of field observation, interviews with key informants, and questionnaires for a representative sample of households. In some cases, it may also be appropriate to use focus groups and/or desk reviews of some documents including national guidelines for open defecation, meeting records for WASH committees and/or local councils, etc.

Indicators with an * are ONLY RELEVANT FOR NEWLY (UP TO 2 YEARS) ODF-verified communities [NB is this footnote supposed to be separate? Difficult to see where the ones marked with an asterisk are. Suggest it should be a separate footnote at first asterisk?]

#	SUSTAINABILITY FACTOR	SUGGESTED INDICATORS	MAIN DATA SOURCES AND DATA COLLECTION TECHNIQUES[17]	MONITORING TOOL	COMMENTS
4	**Existence of a community based body that is capable, dynamic, and supported by local leaders reinforcing social sanitation or hygiene norms**	• Percentage of communities with an existing committee/association/ individuals active (regular meetings, and actions taken) and providing continuous promotion of sanitation.	• Field observation for a sample of certified communities in specific geographical area(s) and timeframe. • Interview with a key informant: household heads for user views. • Interview with a key informant: person having been directly involved at that time in managing (WASH/ sanitation committee).	Sustainability Checks	• Community based body includes: (sanitation/WASH/other committee, general assemblies dedicated to WASH issues etc.). • Capable committees indicate that they are well trained and resourced. • Dynamic committees are committees that have frequent meetings, participatory decision-making, actions taken, etc. • Local leaders include: local chief, local government…
5	**Affordability of standard household latrine that is being promoted in the area and of material & services, taking into consideration the possible existence of in-kind or financing support for the poorest**	• Percentage of households that report that they can afford latrine construction. • Percentage of households that have access to finance mechanisms if needed.	• Questionnaire for a representative sample of households. • Interview with a key informant: person having been directly involved at that time in managing (WASH/ sanitation committee).	Sustainability Checks	• Standard latrine promotion refers to promotion carried out by the Government, local authorities and NGOs - earlier or currently. • Financing support could include: community solidarity, subsidies, micro credit, tontines etc.
6	**Adequate operation and maintenance of the latrine**	• Percentage of latrines in good condition (includes visual check).	• Field observation for a sample of certified communities in specific geographical area(s) and timeframe. • Interview with a key informant: household heads for user views.	Sustainability Checks	• Good conditions of latrines includes: (clean, good light, no odour, etc.)
7	**Existence of social norm supporting the ODF status: existence of a local by-law and corresponding sanctions or reward**	• Existence of (written or unwritten) local by-laws on the adherence to ODF with corresponding sanctions and rewards.	• Questionnaire for a representative sample of households. • Document review if available; record if sanctions are being upheld.	Sustainability Checks	• Presence of enforced social sanctions is a good proxy for the presence of social norms. • Note if a longer assessment is done the questions should expand to include signs of empirical and normative expectations. Refer to Social norms and CATS guidance. • Do most of the people in your village believe that people should use a latrine? If someone in your village was observed defecating in the open, what would happen to them? Use of vignettes may be necessary.

#	SUSTAINABILITY FACTOR	SUGGESTED INDICATORS	MAIN DATA SOURCES AND DATA COLLECTION TECHNIQUES[17]	MONITORING TOOL	COMMENTS
B. SUPPORT LEVEL					
8	**Quality of triggering process**	• Participation of a high percentage of community members from all categories including men, women, children, people with disabilities, people from poorest households, people from minority groups, decision makers, opinion leaders, elderly, etc.*. • Percentage of community members recalling main messages of the triggering*.	• Questionnaire for a representative sample of households. • Interview with a key informant: person having been directly involved at that time of triggering.	Programme monitoring and Sustainability Checks (in newly ODF-certified communities)	
9	**Quality of ODF verification process**	• Participation of a large number (70%) of households members*. • A checklist was used for certification with clear certification criteria*. • A large number of households and OD areas around the village were visited for the verification process*. • Involvement of actors other than community members (media, government officials, neighbouring communities etc.) in verification process*.	• Interview with a key informant: household heads for user views. • Interview with a key informant: person having been directly involved at that time in managing (WASH/ sanitation committee). • Document review if available.	Programme monitoring and Sustainability Checks (in newly ODF-certified communities)	• Document the certification criteria that were used.
10	**Existence of post-triggering follow up support activities and type & quality of these activities**	• Percentage of communities with post-triggering follow up support activities, by NGOs, local government or both. • Percentage of communities with a post-ODF action plan. • Percentage of districts with the capacity (human and financial resources) to provide post-ODF follow-up support.	• Questionnaire for a representative sample of household • Interview with sanitation committee members / natural community leaders. • Interview with a key informant: person having been directly involved at that time in managing (WASH/ sanitation committee). • Interview with district officials. • Check district records if available.	Sustainability Checks	Post triggering support should include: • updating the community map • technical training of community members or masons on construction techniques • cross-visits and learning • training of sanitation committees • sanitation/WASH marketing, etc. • visits of external stakeholders... • additional sanitation & hygiene related messages (such as hand washing,child faeces management, grey water and solid waste management).

#	SUSTAINABILITY FACTOR	SUGGESTED INDICATORS	MAIN DATA SOURCES AND DATA COLLECTION TECHNIQUES[17]	MONITORING TOOL	COMMENTS
11	**Availability/ accessibility, appropriateness/ attractiveness of sanitation materials, products and services to repair/maintain/ improve the latrines**	• Percentage of households that report easy availability of sanitation materials, products and services (e.g. slabs, masons)	• Questionnaire for a representative sample of households. • Interview with a key informant: sanitation committee, village leaders.	Sustainability Checks	• Difficult one: this will also require a list of basic materials if you want to compare this over time.
12	**There is a functional monitoring system in place that triggers corrective action at lowest level**	• Percentage of districts where a functioning monitoring system (able to collect, analyse and report on sanitation programme) is in place. • Percentage of communities with a functional monitoring system in place that triggers corrective action at lowest level.	• Interview with district staff. • Interview with sanitation committee leaders. Sustainability Check • Interview with district staff • Interview with sanitation committee leaders.	Sustainability Checks	

WASH IN SCHOOLS AND HEALTH CARE FACILITIES – LIST OF CORE SERVICE LEVEL INDICATORS

Refer to the WHO/UNICEF Core questions and indicators for monitoring WASH in Schools in the Sustainable Development Goals, published by the JMP in 2016 and Core questions and indicators for monitoring health care facilities in the Sustainable Development Goals, both published by the JMP in 2016, for additional guidance on monitoring and definition of indicators which have been agreed upon by the Global Task Team for Monitoring WASH in Schools in the SDGs, convened by the JMP[18]. They are based on the current global norms[19], existing national standards, questions in national censuses and multi-national surveys, global WinS monitoring recommendations[20], and normative human rights criteria: availability, acceptability, accessibility and quality.

AREA OF FOCUS	INDICATORS	MAIN DATA SOURCES AND DATA COLLECTION TECHNIQUES	COMMENTS
Water at schools and health facilities	Percentage of schools / health facilities with sufficient number of water points that are able to provide water all year round, according to national standards.	At sample schools: • Observation of a sample of schools to see if water is available at the time of the visit. • Key informant interviews with school head teachers or teacher in charge of water facilities. • Key informant interviews with children.	• The water source should be within the school compound. • Applies to pre- primary, primary and secondary schools.
Sanitation at schools and health facilities	Percentage of schools / health facilities with existence of sufficient, improved, separated, functional, and hygienic/clean latrines according to national standards.	At sample schools: • Interviews with girls and boys – including girls and boys with disabilities – who use the latrine facilities and teachers / managers of the facilities. • Focus group discussions with girls and boys (separate or together as needed). • Direct observation of school latrines.	• Doors are unlocked or a key is available at all times, is not broken, the hole not blocked, water is available for flushing/pour flush at all times, and the doors are lockable from inside with no large gaps at time of visit. • Facilities are accessible to all students, including the youngest students at the school and those with disabilities, and meet the menstrual hygiene needs of girls. • Applies to pre- primary, primary and secondary schools.
Hand washing facilities at schools and health facilities	Percentage of schools / health facilities having a sufficient number of functional hand washing stations with water and soap with evidence of usage.	At sample schools: • Observation of a sample of schools to see if water and soap is available at the time of the visit. • Key informant interviews with children.	

18. The task team was an open membership group, consisting of over 40 WASH in schools experts, who conducted biweekly meetings over a three month period. Agreement was finalised at an Expert Group Meeting hosted by the JMP on 20-21 June, as documented in the meeting report: http://www.wssinfo.org/fileadmin/user_upload/resources/WinS-Expert-Group-Meeting-June-2016-Report_FINAL.pdf

19. WHO (2009) *Water, sanitation and hygiene standards for schools in low-cost settings*.

20. UNICEF (2011) *WASH in schools monitoring package*.

WASH IN SCHOOLS AND HEALTH CARE FACILITIES – LIST OF SUSTAINABILITY FACTORS

Please note that factors are areas of concern, which can be measured by many different indicators. The list below is for guidance and do not represent an exhaustive list.[21]

#	SUSTAINABILITY FACTOR	SUGGESTED INDICATOR(S)	MAIN DATA SOURCES AND DATA COLLECTION TECHNIQUES[21]	MONITORING TOOL	COMMENTS
A. SCHOOL/HEALTH CENTRE LEVEL					
1	**Local participation in the planning, implementation and monitoring of WASH facilities (includes school management committees, parent and teacher associations, students, health workers, or others as locally appropriate)**	• Percentage of schools where there has been active involvement of local actors in planning, implementation and monitoring of WASH facilities.	• Key informant interviews with school managers, appointed WASH managers in schools or healthcare facility, and student leaders. • Focus group discussions and/or structured interviews with teachers, students, parents, and health workers.	Project monitoring and Sustainability Checks	Participation should be active and meaningful at all stages.
2	**Quality of design, construction, and quality control over the process** **Alternate: quality/ functionality of facilities**	• Percentage of water points constructed by a trained professional. • Percentage of facilities in good condition per the use of sanitary surveys.	• Field check a sample of water supply system and sanitation facilities in specific geographical area(s) and timeframe, using sanitary surveys. • Review of documentation of the quality of the process. • Interview with a key informant: person most directly in charge of operating/ maintaining/repairing the WASH facilities.	Project monitoring and Sustainability Checks	Soil and ground conditions include, for example: not prone to flood, not rocky, sandy, no high ground water table. • Climate conditions include, for example: no heavy rains, periodic hurricanes. • Good design and location.
3	**Alignment with users' preference**	• Percentage of schools where girls and children with limited mobility report the ability to access and use WASH facilities in line with their needs.	• Key informant interview with girls and children with limited mobility.	Project monitoring and Sustainability Checks	
4	**Existence of WASH clubs in schools to reinforce the student body to practice and promote hand washing, drink clean and safe water and keep pit latrines/toilets clean and hygienic**	• Number of schools with student WASH clubs that meet regularly promote behaviour change on WASH and reinforce curriculum.	• Direct observation of WASH club activities in schools in a geographic area of focus. • Records of activities. • Key informant interviews with communities and WASH focal point teachers and students.	Project monitoring and Sustainability Checks	WASH clubs should be institutionalized as part of the school structure for sustainability.

21. It is suggested that for most factors to be analysed, a triangulation of data is necessary. We would suggest to employ a mixture of field observation, interviews with key informants, and questionnaires for a representative sample of facilities. In some cases, it may also be appropriate to use focus groups and/or desk reviews of some documents including national guidelines for WASH in schools, school or health care facility rules/standards, and/or local councils, as well as agreements with service providers, etc.

#	SUSTAINABILITY FACTOR	SUGGESTED INDICATOR(S)	MAIN DATA SOURCES AND DATA COLLECTION TECHNIQUES[21]	MONITORING TOOL	COMMENTS
5	**Adequate operation and maintenance of school WASH facilities**	• Percentage of schools and health care facilities with a responsible person identified for WASH maintenance. • Percentage of schools and health care facilities with budget allocated for WASH maintenance. • Percentage of schools and health care facilities that have utilised budgets for WASH maintenance.	• Structured interviews with school heads, clinical officers, committees. • Review of documents.	Project monitoring and Sustainability Checks	Dedicated operation and maintenance budgets to ensure maintenance and sustainability of facilities from school grants, funding from ministries of education and health, or from local revenues, parent contributions.
6	**Availability of cleaning supplies for maintenance of pit latrines and toilets**	• Percentage of schools and health care facilities with a stock of supplies for cleaning school toilets on the day of the visit.	• Field check/observation	Project monitoring and Sustainability Checks	Suppliers and supplies should be locally available.
7	**Local facility-based capacity for monitoring and maintenance of WASH facilities**	• Percentage of schools and health care facilities where teachers, committees, clubs and and health care workers, are trained in planning, budgeting, implementing and monitoring of WASH activities and facilities.	• Structured interviews with school heads, Clinical Officers, committees • Focused group discussions	Project monitoring and Sustainability Checks	School heads, clinical officers and WASH committees/ clubs are trained and should possess transferable knowledge and skills.
8	**Integration of WASH practices into facility rules and routines**	• Percentage of schools and health care facilities with handwashing, water treatment, or other WASH practices recorded in school rules and/or with specified time for practice, such as before meals.	• Review of facility posted rules and schedules, substantiated via observation and interviews with children, teachers, or other key informants.	Project monitoring and Sustainability Checks	

#	SUSTAINABILITY FACTOR	SUGGESTED INDICATOR(S)	MAIN DATA SOURCES AND DATA COLLECTION TECHNIQUES[21]	MONITORING TOOL	COMMENTS
B. GOVERNMENT LEVEL					
9	**Adequate annual budgets are allocated to schools and health care facilities for new WASH facilities and maintenance of existing ones**	• Number of schools and health care facilities that have budgets allocated to provision of new WASH facilities and maintenance of existing ones.	• Review of budgetary plans in schools in a geographic area of focus.	Sustainability Checks	
10	**WASH integrated into education management information system (EMIS) and health Information management system (HMIS)**	• Number of schools and health care facilities where WASH is integrated into EMIS/HMIS for effective monitoring[22] • Percentage of schools and health care facilities that consistently report on WASH indicators of the EMIS/HMIS.	• Analysis of data from management information systems	Sustainability Checks	Sustainability Checks EMIS and HMIS are information management systems for monitoring interventions in schools and health care facilities.
11	**Regular inspections by local health and education offices**	• Number of schools with inspection reports.	• Key informant interviews. • Review of inspection documentation where available.	Sustainability Checks	

22. Refer to JMP guidance

ANNEX 2:
Reporting templates

SUMMARY OF RESULTS OF SUSTAINABILITY CHECK

A. RURAL WATER SUPPLY

METHODOLOGY

DATA COLLECTION MECHANISM	COMMENTS
Number of water points assessed and sampling methodology	Please explain the data collection mechanism, the total number of water points selected and how they were selected
Household surveys	Please explain the data collection mechanism, the total number of households selected and how they were selected
Interviews	Please include the number of interviews carried out by type of respondent (user, service provider, local government, village chief, etc.)
Focus groups	Please include the number of focus groups carried out and the methodology used

RESULTS FROM WATER POINTS

INDICATOR: ACTUAL QUALITY OF SERVICE	RESULT FOUND	TARGET	COMMENT
Percentage of water points functioning at the time of visit			
Percentage of water points within a 30 minute round-trip (including queuing) to collect water			
Average downtime of water points before repair as reported by users or the WASH committee ()			
Average number of mechanical breakdowns per year			
Percentage of water points that dried up for at least 1 month in the past year			
Percentage of villages with a user per water point ratio that complies with national standards			
Percentage of communities that have at least one functional water point per neighbourhood/community sub-division			
Percentage of functioning water points meeting water quality standards at the time of monitoring			
Percentage of water points with source and catchment protection activities in place			

FACTOR: AFFECTING FUTURE SUSTAINABILITY	COMMENT (FILL IN THOSE THAT HAVE BEEN ASSESSED)
Preliminary studies and planning conducted for siting of the water point to be adequate to the local context	
Quality of design, construction, and quality control over the process	
Local community participation in decision making throughout the process	
Services are reliable, affordable and available when needed	
Local water resources are properly managed and protected	
Alignment with users' preference	
Unforeseen changes in demography, political situation, or environment at community level that critically affect the service	

FACTOR: AFFECTING FUTURE SUSTAINABILITY	COMMENT (FILL IN THOSE THAT HAVE BEEN ASSESSED)
Post-implementation support from local authorities/ administration/technical departments/ regulator in charge	
Financing mechanism in place locally to ensure affordability and continuous service	
Safety of water points	
Effectiveness and capacity of water management committee to perform its tasks and ensure cost recovery of basic operation and maintenance	
Accessibility, and quality of inputs and technicians for repairing water points when needed	
Effective transparency and accountability mechanisms in place between users and/ or water management committee and the service providers	

RESULTS FROM INTERVIEWS AND GROUP DISCUSSIONS

What are the main challenges to sustainability of water points? (maximum three responses)	• • •
What are the solutions most commonly mentioned to improve the situation?	• • •
What is the perception of users' level of satisfaction with the service?	• • •
What are the three main conclusions of the interviews and group discussions on the sustainability of water services?	• • •

RECOMMENDATIONS

RECOMMENDATION	WHAT DO YOU EXPECT TO IMPROVE WITH THIS ACTION?	PRIORITY (HIGH/MEDIUM)	WHO HAS MAIN RESPONSIBILITY FOR ACTIONING THIS RECOMMENDATION
(Outline recommendations here)			

SUMMARY OF RESULTS OF SUSTAINABILITY CHECK (CONTINUED)

B.RURAL SANITATION AND HAND WASHING

METHODOLOGY

DATA COLLECTION MECHANISM	COMMENT
Number of communities assessed and sampling methodology	Please explain the data collection mechanism, the total number of communities selected and how they were selected
Household surveys	Please explain the data collection mechanism, the total number of households selected and how they were selected
Interviews	Please include the number of interviews carried out by type of respondent (user, service provider, local government, village chief, etc.)
Focus groups	Please include the number of focus groups carried out and the methodology used

RESULTS FROM COMMUNITY VISITS

INDICATOR: ACTUAL QUALITY OF SERVICE	RESULT FOUND	TARGET	COMMENT
Percentage of ODF-verified communities that still meet all the (national) ODF criteria			
Percentage of ODF-verified communities where no evidence of open defecation can be found			
Percentage of households with access to basic latrines (improved, not shared)			
Percentage of households accessing shared latrines			
Percentage of surveyed households that built a new latrine during the reporting period (whether or not the village was certified ODF) and that still use that latrine			
Percentage of households that have re-built/ upgraded their latrine in the last year			
Percentage of households with functional hand washing facility with soap and water available in vicinity of latrine, and with evidence of usage			
Percentage of household respondents reporting always washing their hands with soap or ash at specific critical times			

FACTORS AFFECTING FUTURE SUSTAINABILITY	COMMENT (FILL IN THOSE THAT HAVE BEEN ASSESSED)
Presence of water to build, repair or clean the latrine	
Resilient construction of latrines	
Willingness to pay / prioritisation of sanitation among areas of expenditure	
Affordability of standard household latrine that is being promoted in the area and of materials & services, taking into consideration the possible existence of in-kind or financing support for the poorest members of the community	
Existence of a community-based body that is capable, dynamic, and supported by local leaders reinforcing social norms	
Quality of triggering process	
Quality of ODF verification process	
Existence of post-triggering follow up support activities, and type & quality of these activities	

FACTORS AFFECTING FUTURE SUSTAINABILITY	COMMENT (FILL IN THOSE THAT HAVE BEEN ASSESSED)
Availability/accessibility, appropriateness/ attractiveness of sanitation materials, products and services to repair/maintain/ improve the latrines	
There is a functional monitoring system in place that triggers corrective action at lowest level	

RESULTS FROM INTERVIEWS AND GROUP DISCUSSIONS

What are the main challenges to sustainable use of sanitation? (maximum three responses)	• • •
What are the solutions most commonly mentioned to improve the situation?	• • •
What is the perception of users' level of satisfaction with their sanitation facilities?	• • •
What are the three main conclusions of the interviews and group discussions on the sustainability of sanitation and hand washing?	• • •

RECOMMENDATIONS

RECOMMENDATION	WHAT DO YOU EXPECT TO IMPROVE WITH THIS ACTION?	PRIORITY (HIGH/MEDIUM)	WHO HAS MAIN RESPONSIBILITY FOR ACTIONING THIS RECOMMENDATION
(Outline recommendations here)			

SUMMARY OF RESULTS OF SUSTAINABILITY CHECK – CONTINUED

C.WASH IN SCHOOLS AND HEALTH FACILITIES

METHODOLOGY

DATA COLLECTION MECHANISM	COMMENT
Number of schools assessed and sampling methodology	Please explain the data collection mechanism, the total number of schools visited and how they were selected
Interviews	Please include the number of interviews carried out by type of respondent (user, service provider, local government, village chief, etc.)
Interviews with children	Please include the number of interviews carried out by age group (specify gender)
Focus groups	Please include the number of focus groups carried out and the methodology used (user, service provider, local government, village chief, etc.)

RESULTS FROM COMMUNITY VISITS

INDICATOR: ACTUAL QUALITY OF SERVICE	RESULT FOUND	TARGET	COMMENT
Percentage of schools / health facilities with sufficient number of water points that are able to provide water all year round, according to national standards			
Percentage of schools / health facilities with existence of sufficient, improved, separated, functional, and hygienic/clean latrines according to national standards			
Percentage of schools / health facilities having a sufficient number of functional hand washing stations with water and soap, and with evidence of usage			

FACTORS AFFECTING FUTURE SUSTAINABILITY

FACTOR	COMMENT
Percentage of schools / health facilities with clear arrangements for operation and maintenance of water points	
Percentage of schools / health facilities with clear arrangements for operation and maintenance of sanitation (operation and maintenance and cleaning is performed regularly and properly)	
Percentage of schools / health facilities with allocated funds or funds collection system for operation and maintenance	
Percentage of schools where teachers promote sanitation & hygiene practices in their lessons for each age group	
Percentage of schools / health facilities with regular monitoring and inspection visits from the education / health Department	
Percentage of schools / health facilities with clear arrangements for operation and maintenance of water points	

RESULTS FROM INTERVIEWS AND GROUP DISCUSSIONS

What are the main challenges to sustainable use of WASH in schools? (maximum three responses)	• • •
What are the solutions most commonly mentioned to improve the situation of WASH in schools?	• • •
What is the perception of children's satisfaction with their water facilities?	• • •
What is the perception of children's level of satisfaction with their sanitation facilities? (please include gender disaggregation)	• • •
What are the main conclusions of the interviews and group discussions on the sustainability of WASH in schools?	• • •

RECOMMENDATIONS

RECOMMENDATION	WHAT DO YOU EXPECT TO IMPROVE WITH THIS ACTION?	PRIORITY (HIGH/MEDIUM)	WHO HAS MAIN RESPONSIBILITY FOR ACTIONING THIS RECOMMENDATION
(Outline recommendations here)			

ANNEX 3:
Terms of reference for WASH Sustainability Checks

1. BACKGROUND AND JUSTIFICATION

[Insert paragraphs on the programme description and targets, and/or on the national situation of sustainability assessment, and how the Sustanability Check exercise fits in]

The programme places particular emphasis on the post-programme sustainability of the interventions, which is among the most significant challenges faced by the sector. The objective of all UNICEF's programming in this area is to strengthen and reinforce the accountability links between key sets of actors: policy-makers, service providers and the people that use those services, to improve the ways in which services are delivered. The sustainability of interventions is predominantly the responsibility of the partner Government, and UNICEF will support the Government to be able to meet its commitments.

In order to understand better how sustainable the WASH services are, UNICEF country office **[insert country]** has decided to carry out a 'Sustainability Check' to monitor the intermediate outcomes delivered by the programme.

These terms of reference (ToR) defines the scope and methodology of the Sustainability Check. All applicants are encouraged to read the 'WASH Sustainability Checks Guidance', by UNICEF, to propose a methodology aligned with the aims of UNICEF.

Sustainable WASH service in the context of this study is one that *"creates the conditions for indefinite and resilient provision of water and sanitation services with certain agreed characteristics over time, without the need for continuous external support and without undermining the environmental systems on which they depend."*

2. OBJECTIVES

The Sustainability Check process will:

- Assess and analyse *the current degree of sustainability* of water and sanitation facilities and services in the area of study, and the sustainability of behavioural change and social norms newly created (for example the absence of open defecation, and practice of hand washing with soap);
- Assess the *underlying factors influencing the likelihood and level of future sustainability*; and
- Provide information on key sustainability challenges and *provide recommendations* to the Government, the sector partners and UNICEF on how actual sustainability and the underlying factors can be improved to deliver more sustainable and resilient programme and sector outcomes.

3. SCOPE OF WORK

Thematic scope:

The Sustainability Check will analyse the components of **[Country Office to select from rural water, rural sanitation and hygiene, WASH in schools and WASH in health care facilities]**.

This Sustainability Check aims to provide data and analysis on the actual sustainability at the time of the visit and prospects for future sustainability. To achieve this, the framework of analysis distinguishes between 'core service level indicators', and underlying 'factors' that influence current and future sustainability of WASH services.

For each of the components, a list of compulsory core service level indicators to be calculated for the area of study was chosen. These indicators are:

DIMENSION	CORE SERVICE LEVEL INDICATORS FOR: RURAL WATER
Functionality	1.Percentage of water points functioning at the time of visit
Accessibility	2.Percentage of water points within a 30 minute round-trip (including queuing) to collect water
Reliability / continuity	3.Average downtime of water points before repair as reported by users or manager of water point (WASH committee)
Reliability / continuity	4.Average number of mechanical breakdowns per year
Reliability: seasonality	5.Percentage of water points that dried up for at least one month in the past year
Accessibility	6.Percentage of villages with a users per water point ratio that complies with national standards
Intra-village equity	7.Percentage of communities that have at least one functional water point per neighbourhood/ community subdivision
Water quality	8.Percentage of functioning water points meeting water quality standards at the time of monitoring
Catchment protection	9. Percentage of water points with source and catchment protection activities in place

DIMENSION	CORE SERVICE LEVEL INDICATORS FOR: RURAL SANITATION
Maintenance of ODF status	1. Percentage of-ODF verified communities that still meet all the (national) ODF criteria (please specify national ODF criteria)
Maintenance of ODF status	2. Percentage of ODF-verified communities where no evidence of open defecation can be found
Coverage of sanitation facilities	3. Proportion/percentage of households with access to basic latrines (improved and not shared with other households)
Use of sanitation facilities	4. Percentage of households accessing shared latrines (compared to households having access to their own private latrine)
Use of sanitation facilities	5. Percentage of surveyed households that built a new latrine during the reporting period (whether or not the village was certified ODF), and that still use that latrine
Use of sanitation facilities	6. Percentage of households that have re-built/upgraded their latrine in the last year
Hand washing facility	7. Percentage of households with functional hand washing facility with soap and water available in vicinity of latrine and with evidence of usage
Hand washing facility	8. Percentage of households with functional hand washing facility with soap and water available in vicinity of latrine, and with evidence of usage
Hand washing practice	9. Percentage of household respondents reporting always washing their hands with soap or ash at specific critical times

DIMENSION	CORE SERVICE LEVEL INDICATORS FOR: WASH IN SCHOOLS AND HEALTH FACILITIES
Water at schools and health facilities	1.Percentage of schools / health facilities with sufficient number of water points that are able to provide water all year round, according to national standards
Sanitation at schools and health facilities	2. Percentage of schools / health facilities with existence of sufficient, improved, separated, functional, and hygienic/clean latrines according to national standards
Hand washing facilities at schools and health facilities	3.Percentage of schools / health facilities having a sufficient number of functional hand washing stations with water and soap with evidence of usage

In addition, the following sustainability factors and indicators have been chosen for each of the WASH sub-components:

[Provide list of factors for each sub-component chosen from Annex 1. Alternatively, ask the consultant to provide their suggestions on which factors to consider]

Geographical scope:

[Describe the area that will be covered by the Sustainability Check: programme, district, region, etc. Provide at least information on the number of villages, water points, schools, and population living in the area of study]

4. METHODOLOGY

Data sources and data collection techniques

There will be different data sources for each broad component of the programme as follows[23]:

- Water point/systems: a statistically representative sample of new/rehabilitated water points in the area of study, primarily used to assess water point functionality, reliability, continuity and seasonality of service, and factors influencing future sustainability.
- Community sanitation and hygiene: a statistically representative sample of communities that have been triggered would constitute the universe from which we would sample a number of households. Some of the communities will have been certified ODF, and some not. For the certified ODF, a number of extra indicators related to sustainability of ODF would apply - see Annex 1 for key indicators and factors.
- Schools and health centres: a statistically representative sample of schools and health centres to assess water availability from an improved source/point, whether toilets are improved and if they are single sex, the availability of handwashing facilities with soap and water, and functionality and sustainability factors that affect present and future results.

Additionally, there are a number of indicators that will require collecting information from the village and district governments.

The techniques for data collection are primarily field observations (both of hardware and behavioural outcomes) and interviews with household members and key informants (e.g. WASH committee members).

More complex sustainability factors might require a combination these techniques for data collection and also other complementary ones: for example, focus group discussions, collection of stories about a particular issue- or case studies **(country offices to decide if they require some focus group discussions case studies or other; if so, to specify how many and where)**.

Sampling

Cluster sampling is advised for this exercise24. The accepted confidence level are **(90 or 95 percent level of confidence is usual)** with a margin of error of **(5% is usual)**. A method for random selection of households and facilities in the cluster should also be included in the technical proposal25.

Optional: The sample needs to be calculated to be statistically representative of the whole group, but also for each of the following categories: **[insert categories here – for example : ethnic groups, income quintiles, gender]**.

Data collection protocol

Before starting implementation, the team that will implement the Check should develop the 'data collection protocol'. The sustainability indicators and factors described above are informed by data collected from the field. The information for each indicator is to be collected from specific sources (water points, households, key informants, schools and health institutions) and through specific techniques (through observation and interviews). The specific information required from each source will need to be aggregated in a data collection protocol. This will include the collection of questions to be administered to the different stakeholders, the observations to be carried

23. It is suggested that for most factors to be analysed, a triangulation of data is necessary. We would suggest to employ a mixture of field observation, interviews with key informants, and questionnaires for a representative sample of households. In some cases, it may also be appropriate to use focus groups and/or desk reviews of some documents including national guidelines for water quality, meeting records for WASH Comms and/or local councils, as well as agreements with service providers, etc.

All indicators can be reduced to a few sampling exercises: i) water points, ii) Households, iii) Villages, iv) Service providers (this one we suggest to do the same sample as the Water points, for practical reasons). Check above for tips and standard parameters to calculate sampling.

Note that for the Sustainability Check, the use of control groups is not required.

24. Cluster sampling' is when the natural population groupings (villages, districts, etc.) are used as the basis from which to extract a sub-sample of households, water points, etc. (as appropriate). The sampling is then carried out in a staged process.

25. This is particularly important in instances where a list of households or water points within the cluster of sampling (village/district, etc.) is difficult to obtain.

out at water points and households, and any other data to be collected. This protocol will be the document that enumerators will carry to the field.

In all cases, it is necessary to collect some additional information that allows for basic analysis by, for example, age, type of water point, or implementing agency. UNICEF Guidelines on Sustainability Checks provides a list of basic information to consider in the data collection, in addition to the information required to calculate the values of the indicators.

The data collection protocol will also include how the data is going to be collected (paper, audio, smartphones, etc.) and stored, how data will be cleaned and how a database will be generated.

The data collection protocol will need approval before starting the field data collection.

Interviews and interactions with people in communities must be conducted according to national legal and ethical norms for study subjects. It is the responsibility of the contractor to ascertain these and to conduct themselves in the field accordingly.

The contractor will use best practices, including appropriate statistical techniques, to analyse the data gathered.

The analysis of results of Sustainability Check will be carried out against the targets agreed for each indicator. The analysis should also be enhanced with analysis of the available information from previous checks or other monitoring or programme documents.

Visualisation and presentation of results

The results of the sustainability check should be presented in a report with illustrative graphs, and present general realistic recommendations and specific recommendations where relevant to the Government, to the sector and to UNICEF. The report should provide a feasible number of actionable recommendations. The report should contain an executive summary, following the structure provided in *"UNICEF Guidance for Sustainability Checks in WASH"*. In this report, the values calculated for each indicator should be compared with the target for that indicator. If target values have not been agreed nationally or at the program level, these will be discussed with the consultant. Consultants can propose target values according to international practice.

In addition to the simplified report template, graphic representation of results are encouraged to visualise the findings, ease a trend analysis and action against results.

The results of the Sustainability Check will be communicated to stakeholders both in report form and as a presentation to relevant government bodies, UNICEF and other stakeholders (see Deliverables section below) to support national efforts to improve sustainability of the WASH sector. Thus the presentation of results should be treated as a distinct component of the scope of work, on par in importance with the other components.

Development of national capacity

The Sustainability Check team should contain at least one staff member from an institution in the country where the Sustainability Check is conducted.

The consultants will conduct at least **three** sessions with national stakeholders to explain the detailed methodology of the Sustainability Check. The aim of these sessions will be to create additional capacity within the country to understand and conduct Sustainability Checks. Participants from different levels of government, research institutions, NGOs and civil society will be invited for these working sessions. The consultants will propose the content, location and target groups for these sessions. **Alternatively, the Country Office can be more precise on who to invite and where to invite.**

4. DELIVERABLES

The consultancy will produce the following deliverables:

1. Draft **inception report**: including work plan, the detailed methodology and data collection protocol, and a table of contents for the Sustainability Check report (page limit – 15 pages).
2. **Final inception report**: modified according to comments from UNICEF (page limit – 15 pages).
3. Draft **Sustainability Check Report**: full report, including the Executive Summary, the main findings and recommendations, and an annex with the database of data gathered (page Limit – 40 pages).
4. **Feedback sessions** to main stakeholders of the areas where information was gathered **(at least one session per region, to be defined depending on the scope)**.
5. **Capacity development sessions**, with selected partners and other stakeholders, to explain in detail the methodology used and data collection and analysis processes. **(to be defined further depending on the context)**
6. **Sustainability Check report**: full report, modified as per comments from UNICEF and government stakeholders (page limit – 40 pages).

7. **PowerPoint** presentation: a stand-alone presentation and a 'Summary Briefing Note' that can be used by UNICEF and Government to present results during WASH sector reviews and similar national events (limit – 20 slides for PowerPoint presentation and page limit of five pages for the briefing note).
8. **Presentation of findings** and recommendations to be delivered by the consultant at a meeting to UNICEF, Government and other stakeholders **(at least one, to be decided depending on the context and scope of the Sustainability Check.)**

A tentative timeline has to be presented by the consultant. The total available time from contract signature to final delivery of all outputs is **(specify number of months)**.

5. QUALIFICATIONS

[to be adapted by the Country Office]

The following minimum requirements are necessary for a successful bid.

- Technical qualifications of team members: appropriate educational qualifications both in the WASH sector and in the area of monitoring and evaluation; including at least 10 years' experience in the WASH sector, and at least 5 years' experience in the area of monitoring and evaluation;
- Documented experience in social science research including conducting in-depth interviews and focus group discussions;
- Specific experience: specific experience in designing and conducting field based WASH sector surveys, , is an important requirement;
- Country experience: the team leader and/or other team members should ideally have experience working in the country; field survey staff and their supervisors must be country-based; at least one of the members of the field survey staff must be national;
- Experience working with UNICEF, UN agencies and bilateral agencies is desirable;
- Leadership: successful bidders will identify the team leader for the contract, with experience acting in that capacity;
- General qualifications: appropriate team members must have language proficiency consonant with their duties **(English/French/others and a good knowledge of local languages)**; and
- References: the consulting firm should provide references with a focus on references from clients for which similar work carried out.

6. BIDDING PROPOSAL

[to be adapted by the Country Office]

The bidding proposal will consist of a technical proposal and a financial proposal, with the following components:

Technical proposal

- A methodology including proposed data collection protocol, time schedule, date of deliverables proposed, analytical framework, and quality assurance and control to fulfil the ToR;
- The detailed framework of the necessary logistical arrangements, in particular concerning the field travel;
- Description of the survey team with brief note on the role of each team member, CVs of the proposed key personnel, including the list of relevant experience signed by the professional and his representative;
- Organisational background and list of relevant assignments carried out by the firm;
- Evaluation reference letters from previous related works carried out by the consultant to credible national and international organisations for similar work; and
- Copies of relevant documents proving the organisation's registration in country.

Financial proposal

- Remuneration fees of the personnel, and assorted miscellaneous costs; and
- Expected reimbursable expenses.

7. CONDITIONS

[to be adapted by the Country Office]

Inputs

- All necessary inputs for conducting the assignment (transport, equipment, allowances, etc.) will be provided by the company contracted. The consulting firm/ team will be responsible for all logistics arrangements associated with the completion of the contract. UNICEF country offices will not provide assistance in the areas of international travel arrangements, visas, banking/ cash services, or office space and equipment (including computers, photocopiers).
- Consultant should have appropriate travel documents and health insurances as required.
- The consultant will not receive any other benefits apart from that stated in the contract.
- UNICEF will not provide any type of payments for accidental death and dismemberment and accidental medical coverage, health insurance and any other taxes that the consultant may have to pay.
- UNICEF will not provide secretarial help to the consultants or access to photocopiers and computers/ laptops to carry out the project work.

Payment schedule

[to be adapted by the Country Office]

Payment in respect of the exercise will be effected as follows:

- 30% on approval of the inception report
- 20% after conducting capacity development and feedback sessions
- 30% on submission of draft Sustainability Check report
- 20% on approval of final Sustainability Check Report and after presentation of results

8. SIGNATURES

[to be completed by CO]

Annexes to ToR

NOTE: These annexes can be found in UNICEF *"WASH Sustainability Checks – guidance to design and implement sustainability monitoring"*.

Annex 1. Table of core service level indicators and sustainability factors

Annex 2. Reporting template

ACCOUNTABILITY FOR **SUSTAINABILITY**

unicef

WATER GOVERNANCE FACILITY

SIWI

UNDP

Empowered lives. Resilient nations.