

1. Urban water, sanitation, and hygiene promotion project

Narrative summary	Objectively verifiable indicators	Means of verification	Risks/Assumptions
GOAL			(GOAL to SUPERGOAL)
Sustainable improvement in health and well-being for N,000 poor people in City X	Water consumption at household (HH) level increased to 40 lpcd in 2,000 low-income HHs converted from public taps to yard connections by year Z	Use of building water meters plus interviews with consumers (meters unreliable in intermittent supplies)	• Socio-economic and political conditions provide supportive environment for expansion of community-based demand-led approach to WS&S in other cities • Sufficient effort is made to document and disseminate results in City X so that they can be applied elsewhere • Infrastructure improvement does not lead to further displacement of poor from where they live to sites with worse environmental health conditions
	Average price of water sold by vendors reduced by X% (1998 prices) by year Z	Market survey	
	In peri-urban fringe areas supplied by distant taps, water consumption at HH level increased from <10 lpcd to 15 lpcd among 8,000 HHs by year Z. Among the population with travel times now >30 minutes, average travel time reduced to 20 minutes by year Z	Interviews, observation at HH level	
	Safe hand-washing practice, as identified in project outputs, increased x% among adults, and increased y% among school-age children in service population by year Z*	Observation by local social scientists, for comparison with baseline survey	
	Hygienic use and maintenance of sanitation facilities by S% of the households involved by year Z*	'Spot checks' during household visits by local healthworkers, checking for cleanliness of slab, access to soap and water, evidence of use	
	Safe management of children's stools practised in q% of households with children within service population by year Z*	Observation by local social scientists, for comparison with baseline survey; Coverage: HH survey	

* Values for these indicators, and details of target behaviours, to be determined as part of Hygiene Strategy output. Alternatively, if Hygiene Strategy output is performed as part of sound project preparation, these values may be included here.

Narrative summary	Objectively verifiable indicators	Means of verification	Risks/Assumptions
PURPOSE Establishment of sound, sustainable environmental services for N,000 poor people in • water supply, • sanitation, and • hygiene promotion in City X by year Y	85% coverage of target population by competent hygiene promoters by year Y	Competence of promoters: interviews and field observation by external consultant Review of behaviour in communities already served, for comparison with baseline	Experience from pilot studies ensures correct positioning and appropriate messages to change behaviour to improve health Necessary WS&S interventions keep pace
	• 80% of installed public water points, and • 80% of installed latrines are in good working order (Y - X) years after completion	Field inspection of sample	Water utility is in financial position, with management commitment, to continue maintenance to low-income areas
	80% of population are within two kilometres of a commercial sanitary mart by year Y	Mapping, demographic data, surveys	Population growth is mostly within service area, not outside it
	Services for N,000 people require <10% subsidy of recurrent cost by year Y	Accounts from public utilities, service providers	Government policy and economic conditions permit sustainable growth
	Utility investments for extended coverage for the poor increased by 20% by year Y	Accounts from public utilities, service providers	As above
	Demand for services from sanitary marts increases by at least 5% p.a. by year Y	Accounts from sanitary marts	As above

Narrative summary	Objectively verifiable indicators	Means of verification	Risks/Assumptions
OUTPUTS TO INCLUDE:			
Build 2,000 yardtaps in low-income households on a sustainable basis by year X	No. of yardtaps built by End of Project No. of taps in good working order two years after installation Receipts from billings for these taps	End of Project survey Inspection Financial records	Water utility is in good financial position, with management commitment, to continue services for low-income areas
Establish effective low-income HH task force in water utility by year X Establish N* competent and sustainable hygiene promotion (HP) teams by year X	Targets and investment budgets established by year X for extending yard connections to the poor, consistent with financial status of utility	Interviews with water utility, task force members, meeting minutes	As above
Establish N viable and sustainable sanitation promotion (hardware) teams by year X	Promotion strategy and tools are sound Pre- and post-hygiene behaviour in target areas meets strategy targets by year X Future funding assured by mix of Ministry of Health (MoH) budget and sanitary mart profit by year X Staff levels meet strategy targets by year X Sanitation promotion teams require only 10% financial subsidy by year X and three out of five are entirely self-sufficient	Programme review by external consultant with HP team members, community leaders, residents Budgets of state government Review of past, current, and future programme of work, management, and financing arrangements Sales figures and costs, management practices, materials and approaches used, sources of funding	Experience from these teams provides sound basis for HP expansion Necessary WS&S interventions keep pace Sanitary marts successful enough to defray some HP costs Government policy is consistent with demand-led approach, and allows teams and marts to make a profit
Establish N viable and sustainable sanitary marts to produce latrine slabs, sell sanitary goods, and assist in latrine installation by year X	No. of latrine slabs sold per month No. of latrines installed per annum No. of sanitary goods sold Revenues	Field surveys Review of records, tests Review of accounts	As above
Construction of N viable, fully functioning and adequate community-managed water supplies, serving Z,000 poor people by year X	No. of enquiries about franchise No. of hours/day of water in poor HH areas Water quality meets criteria 85% of time Supplies meet operating costs X% of water points achieve design discharges		Government policy encourages expansion of community-managed approach
Community based O&M and cost recovery system established and functioning	Routine and preventative maintenance undertaken satisfactorily on X% of water systems X% of adequate water charges collected each year	Evaluation reports CBO accounts	Adequate supply of spare parts by private sector Back up support provided by government

Narrative summary	Objectively verifiable indicators	Means of verification	Risks/Assumptions
ACTIVITIES TO INCLUDE:			
Develop area-wide Hygiene Promotion Strategy, materials, and programmes	Draft and final versions of material by year X-2	Quarterly progress reports, interim reports, review meetings	Agencies and partners in health, water, and hygiene sectors are supportive of approach
Hygiene Promotion workers trained and functioning	m^* complete training courses by year X Hygiene promotion completed in Y h/hrs	Quarterly progress reports, interim reports, review meetings	Incentives are sufficient to keep hygiene workers in sector; stability of employment
Pilot hygiene promotion among population of X,000	Videos and reports of activities up to year X (for effectiveness of promotion, see Purpose indicators for year Y)	Quarterly progress reports, interim reports, review meetings	Pilot areas, as selected during project design, are representative of overall target communities
Water utility HRD in - Distribution & HH connection - revenue collection	p finish Distribution training courses by year X q finish accounting courses by year X	Quarterly progress reports, interim reports, review meetings	Utility permits expansion of HH connections among low-income groups
Sanitation promotion NGOs trained and functioning	n^* complete training courses by year X Sanitation promotion completed for Y households	Quarterly progress reports, interim reports, review meetings	Incentives and policies (e.g. subsidies) of other donors, government agencies do not conflict
Build five sanitary workshops	five workshops built by year X	Project Completion Survey	Continuity and stability of funding base and consumer demand permit sustainability of workshop
Build latrines	1,000 built by year X	Project Completion Survey	Hygiene promotion is effective in encouraging appropriate use
Public water point and yardtap sites agreed to serve population of X*,000	Community representative's sign water system construction and management agreements for population of X'000	Project Completion Survey	Economic and political conditions, including demand, permit community management of WS
Train Community Management Teams	10 trained by year X	Project Completion Survey	Economic and political conditions, including demand, permit community management of WS
Participative demand assessment studies completed	X no. of households agree to project rules including community contributions		
Develop and agree long term management arrangements with local government	Agreements documented		

* Values for these indicators to be determined as part of the Hygiene Promotion Strategy developed in this project's preparation.

Narrative summary	Objectively verifiable indicators	Means of verification	Risks/Assumptions
PROJECT PREPARATION TO INCLUDE: Data collection and pilot strategy development for hygiene promotion	Study Report on Hygiene Strategy re: water use, sanitation, and hand-washing	Quarterly progress reports, interim reports, review meetings	Project is approved by both DFID and host country government Sites chosen for formative research are suitably representative
Review of existing health and hygiene promotion and water sectors	Study Report on existing players in the sectors, examining MoH, educational, and other government players as well as NGOs and CBOs	Quarterly progress reports, interim reports, review meetings	No sudden shifts in sector policy or priority re: hygiene promotion
Hygiene promotion training workshops	Participant involvement and learning in workshops	Participant evaluation forms, participant products, outputs	Sufficient financial incentive and stability to make continued participation viable
Technical Assistance (TA) to NGOs/CBOs in planning hygiene promotion pilot programme	NGO/CBO willingness to participate in pilot programme NGO/CBO understanding of requirements for pilot work	NGO/CBO plans and proposals for further involvement	Funding for hygiene pilot programme is assured, and disbursed rapidly enough
Review of existing channels for sanitation promotion	Study report on sanitation promotion, describing who does what and how for how much in sector	Quarterly progress reports, interim reports, review meetings	Sector is open to 'poverty focus' and demand-led approach
Review of high priority areas for improved water supply services	Well-argued case for areas of highest priority for water supply improvements, including quantitative estimate of no. of people benefiting and in what ways	Quarterly progress reports, interim reports, review meetings	Sector is free to investigate needs of informal, illegal residents
TA, materials for pilot water supply extension	Construction progress reports compared with plans, specifications and schedules (contracts)	Quarterly progress reports, interim reports, review meetings	Water agency willing to give project work priority for completion
TA, materials for NGOs/CBOs on pilot sanitation promotion	NGO/CBO willingness to participate in pilot programme NGO/CBO understanding of requirements for pilot work	NGO/CBO progress reports, and plans and proposals for further involvement	Sewerage agency/city government support 'poverty focus' and demand-led approach

2. Rural water, sanitation, and hygiene promotion project

Narrative summary	Objectively verifiable indicators	Means of verification	Risks/Assumptions
GOAL Sustainable improvement in health and well-being for N,000 villagers in Region R	Water consumption at household (HH) level increased from <10 lpcd to 15 lpcd among 8,000 HH by year Z	Interviews, observation at HH level	(GOAL TO SUPERGOAL) - Public works department continues commitment to maintenance support for larger systems in disadvantaged areas - Political conditions remain favourable for governmental support to these and other target communities - Economic conditions remain favourable for continuation and expansion of community-based demand-led approach to WS&S - MoH continues support for extension work on hygiene promotion - Economic conditions and demand foster viability and growth of sanitary workshops - Ministry of Education can and does maintain support for, and expansion of, hygiene education and demonstration in schools
	80% of installed water supplies are in good working order and use 10 years after installation	Inspection of random sample of x systems	
	80% of latrines constructed are in use (or upgraded) five years after project completion	'Spot checks' during HH visits by local healthworkers, checking for cleanliness of slab, access to soap and water, evidence of use	
	Regular maintenance and emergency repairs as necessary are achieved on 80% of the handpumps and spring systems five years after project completion	Inspection of a random sample of systems Maintenance records, interviews with villagers	
	Safe management of children's stools practised in q% of HHs with children in target population by year Z	Observation by local social scientists, for comparison with baseline survey	
	Safe hand-washing practice, as identified in Hygiene Strategy, increased x% among adults, and increased y% among school-age children in target population by year Z	Observation by local social scientists, for comparison with baseline survey	
	80% of water and sanitation facilities at schools in the project area are in satisfactory condition five years after project completion	Inspection	

Narrative summary	Objectively verifiable indicators	Means of verification	Risks/Assumptions
PURPOSE Establishment of sound, sustainable environmental services for N,000 poor by year Y in: • water supply, • sanitation, and • hygiene promotion	85% coverage of target population with water supplies requiring <30 mins round trip travel time by year Y. Capacity of system from source to public waterpoints adequate water to ensure 20 lpcd for year 2010 population	Field survey	Increase in irrigation demand is met without prejudice to safe yield for village water supply
	80% of installed public waterpoints, and 80% of installed latrines are in good working order (Y-X) years after project completion	Field surveys Evaluation reports	Department of Public Works maintains political commitment to continue repair services for low-income areas
	85% coverage of target population by competent hygiene promoters	Coverage: HH survey Competence of promoters: interviews and field observation by external adviser Review of behaviour in communities already served, for comparison with baseline	Experience from pilot studies ensures correct positioning and appropriate messages to change behaviour to improve health Necessary WS&S interventions keep pace
	Services for N,000 people require <10% subsidy of recurrent cost by year Y	Accounts, records of local committees	Government policy maintains 'ring-fence' of funds for WS&S, and suitable cross-subsidy within sector
	Demand for services from sanitary marts increase by at least 5% a year by year Y		Government policy and economic conditions permit sustainable growth and expansion of marts

Narrative summary	Objectively verifiable indicators	Means of verification	Risks/Assumptions
OUTPUTS TO INCLUDE: Establishment of N viable and sustainable hygiene promotion teams within the MoH to cover target population of Y,000, by year X	Promotion strategy and tools are sound Pre- and post-hygiene in target areas meets strategy targets by year X Future funding assured by mix of MoH budget and sanitary mart profit by year X Staff levels meet strategy targets by year X	Review of past, current, and future programme of work by consultant with HP team members, community leaders, and residents Hygiene evaluation procedures Budget, staffing, and financial plans	Relevant authorities continue to support hygiene promotion approach Experience from these teams provides sound basis for HP expansion WS&S interventions keep pace Sanitary marts successful enough to defray some HP costs
Establishment of five viable and sustainable sanitation promotion (hardware) teams which sell no less than x	Sanitation promotion teams require only 10% financial subsidy by year X Three out of five are entirely self-sufficient	Sales figures and costs, management practices, materials and approaches used, sources of funding	Government and other External Support Agency (ESA) policy re: subsidy of promotion, not the product, supports viability of demand-led approach
Construction of N viable, fully functioning and adequate community-managed water supplies in low-income villages by year X	Sufficient revenue is generated from the community to cover running costs, with 10% margin set aside for repairs X% of water points achieve design discharges Beneficiaries within 1000m of water point No of days without supply <X days in first year	Field surveys Review of records, tests Review of accounts	Socio-economic conditions permit wider use of community management approach
Establishment of N viable and sustainable sanitary workshops for sale of latrine materials, sanitary goods, and assistance with latrine construction, by year X	No. of latrine slabs sold per month No. of latrines installed per annum No. of sanitary goods sold Revenues No. of enquiries about franchise	Sales figures and costs, management practices, materials and approaches used, sources of funding	Government and other ESA policy re: subsidies supports viability of demand-led approach
Community based O&M and cost recovery systems established and functioning	Routine and preventative maintenance undertaken satisfactorily on X% of water systems O&M budgets produced in X% of villages X% of adequate water charges collected each year	Village accounts Independent evaluation reports	- Adequate supply of spare parts by private sector - Back up support provided by local government

Narrative summary	Objectively verifiable indicators	Means of verification	Risks/Assumptions
ACTIVITIES TO INCLUDE:			
Strategy, materials, and programmes for hygiene promotion developed	Draft and final versions of material by year X-2	Quarterly progress and interim reports, review meetings	Health, water, and hygiene sectors are supportive of approach
Hygiene promotion workers trained and functioning	No. completing training courses Hygiene promotion completed in X villages	Quarterly progress and interim reports, review meetings	Adequate incentives to keep workers in sector; stability of employment
Piloting of hygiene promotion among population of X,000	Videos and reports of activities (for effectiveness of promotion, see Purpose indicators)	Quarterly progress and interim reports, review meetings	Pilot areas are representative of overall target communities
Sanitation promotion NGOs trained and functioning	No. completing training courses Sanitation promotion completed in Y villages	Quarterly progress and interim reports, review meetings, training evaluation forms	Incentives and policies (e.g. subsidies) of other donors, government agencies do not conflict
Sanitary workshops built	Five built by year X	Project Completion Survey	Continuity, stability of funding base, permits use as intended
Latrines constructed	N built by year X	Project Completion Survey	Hygiene promotion is effective in encouraging appropriate use
Public waterpoint sites agreed within 1000m / construction commenced in villages	Community representatives sign water system constructional management agreements in X villages	Project Completion Survey	Economic and political conditions, including demand, permit community management of WS
Community management teams trained	p finish technical training course by year X q finish accounting course by year X	Quarterly progress and interim reports, review meetings, training evaluation forms.	Economic and political conditions, including demand, permit community management of WS
Participative demand assessment studies completed	X no. of communities agree to project rules including community contributions		
Institutional Dev. assistance to government departments in support of their new roles in Hygiene Promotion and Community Management	Government departments agree to establish new teams		

Narrative summary	Objectively verifiable indicators	Means of verification	Risks/Assumptions
PROJECT PREPARATION TO INCLUDE:			
Data collection on hygiene behaviour	Study report on hygiene practices re: water use, sanitation, and hand-washing	Quarterly progress and interim reports, review meetings	Sites chosen for formative research are suitably representative
Review of existing health and hygiene promotion Sector	Study report on sector, examining MoH, educational, and other government agencies and NGOs, CBOs involved in HP	Quarterly progress and interim reports, review meetings	No sudden shifts in sector policy or priority re: hygiene promotion
Hygiene promotion training workshops	Participant involvement and learning on workshops	Participant evaluation forms, products, outputs	Sufficient financial incentive and stability to make long-term participation viable
TA to NGOs/CBOs in planning hygiene promotion pilot programme	NGO/CBO willingness to participate in pilot programme NGO/CBO understanding of requirements for pilot work	NGO/CBO plans and proposals for further involvement	Funding for hygiene pilot programme is assured, and disbursed rapidly enough
Review of existing channels for rural sanitation promotion	Study report on sanitation promotion, describing who does what and how for how much in sector	Quarterly progress and interim reports, review meetings	Sector is open to 'poverty focus' and demand-led approach
Review of high priority areas for improved water supply services	Well-argued case for which areas are highest priority for water supply improvements, including quantitative estimate of no. of people benefiting and in what ways	Quarterly progress and interim reports, review meetings	Sector is free to investigate needs of informal, illegal residents
TA, for rural water supply planning	Definition of suitable technical options for water supply in selected communities	Quarterly progress and interim reports, review meetings	Water agency willing to give project work priority for completion
TA, materials for NGOs/CBOs on sanitation promotion	NGO/CBO willingness to participate in pilot programme NGO/CBO understanding of requirements for pilot work	NGO/CBO progress reports, and plans and proposals for further involvement	Sewerage agency/city government support 'poverty focus' and demand-led approach

3. Institutional capacity building for developing participatory approaches in the water and sanitation sector

Narrative summary	Objectively verifiable indicators	Means of verification	Risks/Assumptions
GOAL Sustained improvements in community managed water supply and sanitation services	X% of total population with access to reliable water supply and sanitation facilities at end of project X% of those with access regularly using facilities at end of project Number of new installations still in working order by end of project	Project records; no. of connections per head of population Participatory monitoring and observation Participatory monitoring and observation	(GOAL TO SUPERGOAL): Socio-economic and political conditions provide supportive environment for participatory approach to WS&S

Narrative summary	Objectively verifiable indicators	Means of verification	Risks/Assumptions
PURPOSE Increased involvement of primary stakeholders, (including marginalized groups) in decision-making and management of water supply and sanitation and other services, supported by WS&S staff and other secondary stakeholders	X% and spread of primary stakeholders reporting satisfaction with water supply and sanitation X% and spread of primary stakeholders who decide upon or manage (a) siting of installations (b) design and technology choice (c) decisions on cost sharing (d) operation and maintenance (e) cost recovery and (f) monitoring and evaluation X% and spread of primary stakeholders reporting having influenced project and having an improved understanding of official and professional constraints X% and spread of primary stakeholders involved in provision of or demand for other services X% and spread of secondary stakeholders reporting satisfaction with project effectiveness X% and spread of secondary stakeholders reporting learning from primary stakeholders and having an improved understanding of community perspectives Officials and professionals adopting participatory approaches in further programmes and projects	Project records End of project participatory evaluation report Project records End of project participatory evaluation report Project records End of project participatory evaluation report Ex-post evaluation survey Project records End of project participatory evaluation report Project records End of project participatory evaluation report Ex-post evaluation survey	(PURPOSE TO GOAL): Primary stakeholders have sufficient confidence in government officials to work with them on water supply and sanitation project Government statutory and professional bodies adequately resourced to develop and take up participatory approaches

Narrative summary	Objectively verifiable indicators	Means of verification	Risks/Assumptions
OUTPUTS TO INCLUDE: Leadership training programmes completed for all community members to be represented in decision-making	X% and spread of community members and leaders taking up training X% and spread of trainees taking part in decision-making fora	Project documents Participatory monitoring through semi-structured interviews, focus group discussions, feedback sessions with facilitators End of project participatory evaluation report	(OUTPUT TO PURPOSE): Primary stakeholders want to be involved and represented
Skills training completed for community members to engage in maintenance and management of installations and hygiene promotion activities	X% and spread of community members taking up training X% and spread of trainees taking up positions and staying in positions	Project documents Participatory monitoring End of project participatory evaluation report	Suitable NGOs exist with the facilitation skills to enable community members to participate
Government implements policy of adopting a facilitatory/regulatory role for community based watsan services	New policy document distributed and agreed Relevant legislation amended X% of government staff in project area adopt new roles		
Capacity building completed for professionals and officials to engage in gender-aware, culturally sensitive, and participatory water and sanitation projects	X% and spread of professionals and officials receiving training X% and spread of trainees participating in joint decision-making fora with communities and including representatives of all user groups	Project documents Participatory monitoring End of project participatory evaluation report	Secondary stakeholders committed to adopting participatory approaches Suitable institutions available and willing to take up capacity-building role in participatory approaches for official and professional training
Development of participatory structures and processes for sustained management of water supply and sanitation	Frequency of meetings between primary and secondary stakeholders Monitoring of different groups and individuals attending meetings Monitoring of different groups and individuals speaking and being silenced at meetings Monitoring of issues discussed and ignored at meetings	Project documents Participatory monitoring End of project participatory evaluation report Participant observation by facilitators	User groups and members have time and resources to engage in capacity building and participatory processes Time and resources are made available for officials and professionals to engage in capacity building and participatory approaches

Narrative summary	Objectively verifiable indicators	Means of verification	Risks/Assumptions
ACTIVITIES TO INCLUDE: Identify and consult primary stakeholders Conduct participatory needs assessment Provide information sharing, confidence building, and communication skills for all interested groups Provide training in communication, organization, and management for selected representatives Conduct information-sharing exercises with primary stakeholders on operation and maintenance and hygiene promotion Invite people to participate in training for operation and maintenance and hygiene promotion Provide training and invite trainees to apply for positions			

Support development of training in participatory approaches in water supply and sanitation Provide a programme of 'learning-by-doing' training for officials and professionals Support workshops for follow up and feedback, including sessions with primary stakeholders Feedback sessions between trained officials and professionals and other secondary stakeholders in water supply and sanitation			
Implement representative structure for local-level management of water supply and sanitation Assist Government departments in developing and implementing their facilitatory/regulation roles Implement regular project meetings with all stakeholders Develop participatory monitoring and evaluation methods Set up processes for ex-post evaluation			