

# WASH RESULTS PROGRAMME

## Section 3 - TERMS OF REFERENCE

### WATER SANITATION AND HYGIENE (WASH) RESULTS PROGRAMME EXTENSION

#### 1 Introduction

- 1.1 These Terms of Reference (TORs) set out DFID's requirements for the Water, Sanitation and Hygiene (WASH) Results Programme extension including the objective, scope of works and outputs for the programme and other relevant information.
- 1.2 At the end of the MDG period, 663million people still lacked access to clean water. The sanitation target was missed by a large margin; by the end of 2015, 2.4 billion people were still without improved sanitation and almost 1 billion people practiced open defecation. Women and children are impacted more than men, as they are more likely to be responsible for the water collection. The lack of adequate water, sanitation and hygiene services causes just under 1,000 deaths from diarrhoea in children under-5 every day.
- 1.3 The Global Goals that were agreed at the United Nations General Assembly (UNGA) in 2015 included a dedicated goal on water and sanitation with ambitious targets to achieve universal access to water and sanitation by 2030 and to improve water quality through the treatment of wastes. Meeting the Global Goal targets will make a significant contribution to reducing the number of deaths in children under-5 and more widely, good water and sanitation will improve health, reducing health costs and time lost from illness and spent in collecting water. This will ultimately deliver a significant economic benefit.
- 1.4 The UK Government is committed to the Global Goals to reduce poverty and disease in the world's poorest countries. This includes making progress on providing access to water and sanitation, with complementary hygiene education. In the 2015 UKAid strategy, the UK government committed to help at least 60 million people with gain access to clean water and sanitation by 2020.
- 1.5 DFID set up the Water, Sanitation and Hygiene Results Programme (WASH) fund, to deliver results in Low Income Countries (LIC) and DFID focus Lower Middle Income Countries (LMIC). This WASH Results Programme comprises water, sanitation and hygiene interventions and a separate contract for the independent Monitoring, Verification and Evaluation (MV&E) services. The original objective of the WASH Results Programme objective was to reach 4.5 million people by December 2015 and to strengthen national and local systems, building capacity to provide interventions that will be sustainable thereafter.
- 1.6 DFID awarded three contracts under this programme awarded through a competitive negotiated OJEU process to deliver WASH output results by December 2015 and to undertake continued strengthening of local

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systems and building local capacity up to March 2018. The SWIFT consortium, led by Oxfam, were contracted to help 459,814 people gain access to sanitation and 848,637 people gain access to water supplies in Kenya, DRC and Liberia, although subsequently these output targets were reduced as the Liberia project was closed. Over 1 million were to be reached through hygiene education.

- 1.7 In order to meet the current Government commitment, the three suppliers under the WASH Results programme were requested to submit proposals for an extension, involving delivery of new Output results and subsequent continued investment in an Outcome phase. The nature of the programme remained the same as that originally contracted. Suppliers were requested to demonstrate how they could manage by an extension of the programme with meeting existing contractual requirements.
- 1.8 SWIFT have proposed that in addition to their existing contract, they will reach a further 701,951 people in the DRC, with 334,310 people gaining access to a water supply with hygiene education and 367,641 gaining access to sanitation and hygiene education.
- 1.9 This extension to the project will use the payment by results mechanism that has operated under the existing contract. SWIFT have proposed a payment mechanism for the contract, linked to the delivery of the output results and the sustainability aspects of the Programme. As this is an output based programme, the supplier will be required to procure all the goods and equipment required for their proposed interventions. Neither DFID, nor our procurement agents, will be procuring any goods or equipment on behalf of Supplier for this WASH results programme.
- 1.10 SWIFT will be required to comply with the DFID Results Framework Methodology Notes for Water, Sanitation and Hygiene (detailed in the notes referenced in paragraph 3.1. Each person may be reached with one or more interventions in water, sanitation and/or hygiene but each individual must only be counted once, even if reached with more than one water, sanitation and/or hygiene intervention.
- 1.11 It is a requirement that SWIFT includes activities to strengthen systems and capacity building to provide sustainable benefits in the medium / long term. This sustainability aspect is an essential and central priority for DFID. SWIFT performance on both output and outcome investments will be independently monitored.

## **2 Objectives and Outputs**

- 2.1 The objective of the WASH Results Programme is to increase the number of people with sustainable access to WASH Services in low income and DFID focus lower-middle income countries, thereby making a significant impact on the Global Goal targets on water, sanitation and hygiene. The WASH Results Programme is designed to target poverty by focussing on populations currently without access to improved sanitation or water services.

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- 2.2 The DFID Results Framework Methodology notes set out the DFID requirements for the measurement of the WASH Results. The log-frame sets out the DFID programme outputs, outcomes and impacts. The supplier will have discretion on how and where these set results will be achieved.
- 2.3 The DFID contract management will emphasise sustainability as a key element in the monitoring and measurement of results and sustainable benefits from the programme and thereafter.

### **3 Scope**

- 3.1 DFID has developed and issued updated results methodology notes measuring results in water and sanitation. These will be available on the external website and will be provided to SWIFT. These notes contain the DFID definitions and notes on datasets and measurement of results. These methodology note requirements form the basis of the WASH thematic scope, at the output level. The theory of change and log frame provides further information on the DFID outcome indicators and sustainability (assessments of whether improved service levels are sustained and monitoring of improved service levels achieved).
- 3.2 DFID requires that all activities funded under this WASH Results Programme conform to all applicable relevant national standards in each country of operation.
- 3.3 To achieve effective aid and sustainability of the WASH services, beyond March 2020, SWIFT is required to work in partnership with communities, local governments and the private sector to use an approach to whole life costs, recurrent maintenance costs and operational costs so that the operational management and maintenance structures are in-place.
- 3.4 DFID requires that SWIFT assess the water resources used to develop drinking water sources to ensure these are environmentally sustainable. DFID requires that suppliers will implement adequate pollution prevention measures for sanitation interventions on this programme.

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### **4 The Recipient**

- 4.1 The contractual accountability of Suppliers will be directly to DFID through DFID's Water, Sanitation and Hygiene Team in Policy Division. The primary recipients of the WASH Programme activities will be poor people in developing countries who do not currently have access to improved water, sanitation and/or hygiene services.

### **5 Sustainability**

- 5.1 Sustainability is key to providing access to improved water, sanitation and or hygiene beyond March 2020. There are five dimensions of sustainability, which relate to this programme, and these are as follows:

- Functional sustainability - ensuring services remain operational in the long-term, including aspects such as appropriate design, quality of construction, the availability of spare parts and, supply chain development
- Institutional sustainability - ensuring organisations and structures (public, private, community) are in place to support functional, financial and environmental sustainability, and that these are aligned with country norms
- Financial sustainability - ensuring that funds collected will be sufficient to meet annual recurrent and periodic costs
- Environmental sustainability – ensuring assessment of the impact on water resources (including groundwater) and of the potential impacts of climate change, building climate resilience and adaptation into the design of technology or systems
- Equity – ensuring that vulnerable groups are benefiting from the interventions, and understanding whether there is any exclusion

- 5.2 DFID requires SWIFT to propose their own methodology and approach to delivering sustainable access to improved water, sanitation and or hygiene services including a monitoring framework. DFID will assess whether service-level improvements and behaviour changes will be sustainable.

- 5.3 SWIFT will need to have a strong understanding of the WASH Results Programme context and network, to liaise with the relevant in-country co-ordination mechanisms, understanding where there are gaps in capacity and a need to strengthen in-country capacity.

### **6 Log frame**

- 6.1 The DFID WASH Results Programme logical framework is attached. This is a live programme management tool, and will be updated as required.

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### **7 Minimising Carbon Footprint**

- 7.1 DFID wishes to work with Suppliers who are committed to reducing and minimising their carbon footprint and that of their supply chain, integrating climate change opportunities and mitigating risks into sustainable services products and processes. SWIFT is required to provide evidence to DFID on how they will maximise the sustainability, climate and environmental opportunities, and minimise the risks for their proposed interventions.

### **8 Payment by Results**

- 8.1 DFID will award contracts to the supplier based on payments linked to outputs results. SWIFT is required to provide a resourced work-plan and detailed priced payment mechanism (with detailed breakdown years 1-4), setting out their proposals for mobilisation, and implementation of the proposed interventions and outputs results leading to the required outcomes. SWIFT will propose the payment mechanism for their interventions, which must be linked to the delivery of outputs. Initial payments may be based on delivery of outputs by key milestones dates and thereafter based on agreed outputs which deliver results and value for money. DFID requires SWIFT to collate, monitor and evaluate their own output results delivery.

### **9 Engagement with Country Offices**

- 9.1 SWIFT is required to work with co-ordination mechanisms at the country level to identify where there are gaps in service provision and capacity.
- 9.2 DFID Policy Division will co-ordinate with DFID country offices, during the procurement process to assess whether the country proposals are coordinated and aligned with in-country processes and norms and standards and that they do not duplicate or double count works already being provided by the sector.

### **10 Monitoring and Results Verification**

- 10.1 In addition to the main results contracts DFID has contracted an independent suppliers of the monitoring, verification and evaluation services (MV&E). The scope of services for the MV&E contractor is set out in the MV&E TOR's and include monitoring, verification and evaluation of the WASH interventions. Performance Management will be based on the DFID WASH Results Programme log-frame and the service level agreements. The MV&E Services Provider will collate additional material, through field visits and spot checks and report to DFID on lessons learned and research.
- 10.2 It will be the responsibility of SWIFT to have robust results monitoring and reporting methodologies and mechanisms in place. They will be required to implement robust processes for data capture at point of delivery and to collate data for reporting, to enable review of performance by DFID and the independent MV&E Services Provider.

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SWIFT must provide robust evidence that results have been achieved by the relevant WASH funded interventions (including baseline data) and that these results are sustainable and are likely to be sustainable in the longer term (beyond the duration of this programme). The requirements shall include:

- Data on number of people with access to WASH services as a result of the project, disaggregated by gender, wealth quintile, and any disability, vulnerable or disadvantaged groups.
- Evidence that these results are attributable to the project
- Data on sustainability of facilities provided and behaviour changes achieved
- Assessments of longer term sustainability including institutional, financial and environmental sustainability.

10.3 SWIFT has included in their proposal their own plans for data collation and data analysis, monitoring and reporting to DFID on a quarterly and annual basis. The interdependencies and interfaces between the WASH contracts and the MV&E Supplier(s) will be identified and finalised in the inception period.

10.4 SWIFT will be required to have robust results reporting and monitoring systems and to utilise these in collation, capture and analysis of quality data and information for the monitoring and evaluation of project results. SWIFT is required to utilise existing in-country WASH monitoring systems and to promote the development of local monitoring capacity wherever possible. However, DFID acknowledges that in some contexts, project data may be the only available source of quality data and information for some aspects of monitoring.

10.5 Under this programme, SWIFT need to collate data and assess what impacts the proposed interventions will have on people with disabilities and different access needs. DFID requires SWIFT to capture at point of delivery, the relevant data and information, disaggregated with various categories of disability. DFID will negotiate where required with SWIFT on the provision for any disability-inclusive methodology and approach to the interventions.

10.6 At the mobilisation stage, SWIFT is required to develop the project log-frame that is coherent with the overall DFID log-frame. The MV&E contractor will monitor their performance and results delivery against the key milestones during the implementation stages of the programme. The contracted organisations will be required to deliver the outputs set out in the WASH Programme log frame and the service level agreements. DFID's management role in overseeing Supplier performance will be supported by the MV&E Services contractor.

## **11 Reporting**

11.1 The Contract will have a mobilisation period of up to three months ending with an output report to DFID. This mobilisation period report will set out the detailed implementation and monitoring strategy, the fully

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resourced work plan and finance plan linked to expected results and outputs and milestone dates and payments aligned to the contract proposals and the WASH Results Programme log frame, with measurable outputs, milestone dates and payments by results.

11.2 DFID and the MV&E Services Provider will conduct regular reviews of performance and provide continuous feedback. Safeguards and sanctions to ensure satisfactory performance will be written into the contract. Initial payments will be linked to agreed outputs (deliverables) and milestones. Following an initial set up period of up to 9 months further payments will be linked to the achievement of contract outputs (results).

11.3 Quarterly and annual results reporting will be required by DFID and the MV&E Services Provider or any other relevant party.

### **12 Management**

12.1 DFID will directly manage the WASH results programme.

### **13 Timeframe**

13.1 Contract extension is awarded for a five our year period with output results delivered by March 2020 and additional support to system strengthening and capacity building by the end of March 2021.

### **14 Duty of Care**

14.1 SWIFT is responsible for the safety and well-being of their Personnel (as defined in the contract) and Third parties affected by their activities under this contract, including appropriate security arrangements. SWIFT is also responsible for the provision of suitable security arrangements for their domestic and business property. DFID will share available information with SWIFT on the security status and developments in project countries where appropriate.

14.2 SWIFT is responsible for ensuring appropriate safety and security, including security briefings, for all of their Personnel working under this contract and ensuring that their Personnel register receipt of said briefing as outlined above. Travel advice is available on the FCO website and SWIFT must ensure that they (and their Personnel) are up to date with the latest FCO position.

14.3 This procurement may involve operations in conflict-affected areas, which may be insecure, at the discretion of Suppliers. The security situation may be volatile and subject to change at short notice, SWIFT should therefore be comfortable in working in such environments and should be capable of deploying to any areas required in order to deliver the Contract. It is not expected that the Supplier would put staff at risk or send them to regions deemed unsafe by the FCO.

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14.4 SWIFT is responsible for ensuring that appropriate arrangements, processes and procedures are in place for their Personnel, taking into account the environment they will be working in and the level of risk involved in delivery of the contract (such as working in dangerous, fragile and hostile environments etc.). SWIFT must ensure their Personnel receive the required level of training prior to deployment.

14.5 SWIFT must confirm that:

- They fully accept responsibility for Security and Duty of Care;
- They understand the potential risks and have knowledge and experience to develop an effective risk plan;
- They have the capability to manage their Duty of Care responsibilities throughout the life of the contract.

14.6 Further information on duty of care is available on DFID's information note 'Duty of Care to Suppliers.

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## Annex A. Theory of Change for the WASH Results Programme

