Corporate Unit Evaluation Central Project Evaluation

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Central Project Evaluation

Sector Programme Sustainable Sanitation

PN 2015.2049.3

Evaluation Report

On behalf of GIZ by Thomas Lutz

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Contents

List of Figures and Tables

Abbreviations

BGR	German Federal Institute for Geosciences and Natural Resources *Bundesanstalt für Geowissenschaften und Rohstoffe*
BMGF	Bill and Melinda Gates Foundation
BMZ	German Federal Ministry of Economic Cooperation and Development *Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung*
BORDA	Bremen Overseas Research and Development Association
CA	Contribution Analysis
CSE	Centre for Science and Environment
CSP	City Sanitation Plan
DC	Development cooperation
DEWATS	Decentralised Wastewater Treatment Systems
Eawag	Swiss Federal Institute of Aquatic Science and Technology
F4S	Fit for School
GEMI	Global Extended Monitoring Initiative
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
GTO	German Toilet Organisation
IR	Inception Report
KfW	Kreditanstalt für Wiederaufbau
MDG	Millennium Development Goal
MoUD	Ministry for Urban Development, India

NaSa	*Nachhaltige Sanitärversorgung* Sustainable Sanitation
S4M	Sanitation for Millions
SDC	Swiss Agency for Development and Cooperation
SDG	Sustainable Development Goal
SEI	Stockholm Environmental Institute
SFD	Shit Flow Diagram
SuSanA	Sustainable Sanitation Alliance
TAF	Technology Applicability Framework
DC	Development Cooperation
UNC	University of North Carolina
UN-HABITAT	United Nations Human Settlements Programme
UNSGAB	UN Sectary General's Advisory Board on Water and Sanitation
WinS	Wash in Schools
WSP	Water and Sanitation Programme of the World Bank
WSSCC	Water Supply & Sanitation Collaborative Council
WSTF	Water Services Trust Fund

The Project at Glance

Germany / worldwide: 'Sector Programme Sustainable Sanitation'

Project number	2015.2049.3
CRS purpose code(s) (Creditor Reporting System Code)	14032 (Basic Supply in Sanitation and Wastewater Management, 70%), 14010 (Water Sector Policy and Administration, 30%)
Project objective	Conditions for scaling up sustainable sanitation are improved in partner countries as well as in German and international development cooperation.
Project term	Nov. 2015 - Oct. 2018
Project volume	EUR 3,450,000
Commissioning party	BMZ
Lead executing agency	GIZ
Implementing organisations	UN Habitat, UNSGAB, Eawag, WSP, CSE, BORDA, SEI, GTO
Other development organisations involved	BMGF, KfW, BGR
Target group(s)	Intermediate target group: Multitude of implementation partners at national and international political level. In this specific case, BMZ is both the commissioning party and the main client of the project).
Current and former project manager(s) (=Officer(s) responsible for the commission, AV)	Dr. Arne Panesar, Conrad Thombansen

Summary

Description of the project

The project: The subject of the evaluation is the sector project 'Sustainable Sanitation'. The evaluated project module lasted for three years, specifically from November 2015 until October 2018. BMZ budget funding amounted to EUR 3,450,000. In addition, in the period from October 2016 to October 2018, the Bill and Melinda Gates Foundation (BMGF) contributed EUR 2,000,000 in cofinancing for the project. The project has a global scope. It partners other development cooperation (DC) projects, institutions and sanitation experts and other international partners worldwide. One of the focuses of this project is the provision of advisory services at the policymaking level (*German Federal Ministry for Economic Cooperation and Development* (BMZ)).

Core problem: The problem analysis identified a number of political, social and economic factors that are hindering the scale-up of sanitation. These include a lack of awareness about sanitation and an associated lack of willingness to allocate funds for the improvement of sanitation. In addition, the analysis showed that inadequate poverty orientation in sectoral policies of affected countries is preventing investments in the sanitation sector that would benefit the population as a whole. Also, despite considerable progress, measures in the field of sanitation have not been sufficiently effective to date, as the basic conditions needed for the scaling-up of sustainable sanitation have not been achieved (core problem).

Module objective and long-term development results (impacts): The overall objective on a superordinate development level (impact level) is to improve access to sustainable sanitation for deprived and poor population groups living in urban and semi-urban areas worldwide. The module objective aims to improve the general enabling conditions that need to be in place in order to scale up sustainable sanitation in partner countries of German DC but also in German and international development cooperation. Long-term objectives related to the project but considered outside the system boundary include integrating sustainable sanitation into other sectors, mainstreaming sustainable sanitation in relevant political processes at national and international level, rolling out sustainable sanitation systems worldwide, generating access to sanitation worldwide, and, in the longer term, reducing child mortality and improving the health of the target group.

Project approach and level of interventions: The project has a multi-layered and multi-stakeholder approach which consists in feeding practical insights into policymaking. This involves identifying and further developing best local practices on sustainable sanitation and upscaling and integrating them into international political processes. Project interventions are broken down into four components: Component 1 focuses on advisory services to (German) DC projects. Component 2 focuses on the integration of sustainable sanitation into urban development processes. Component 3 focuses on assuring support for sustainable sanitation in national and international political processes and Component 4 focuses on the Sustainable Sanitation Alliance (SuSanA) network.

Partner/stakeholder structure: The project's stakeholder landscape (partner structure) consists of actors from the national and international sanitation community. In line with each of the component's focus, the project works with and/or advises (German) DC projects in supporting urban planners and implementers to integrate sustainable sanitation into city development in partner countries and to mainstream it in national and international political processes and individual/institutional members of the SuSanA platform.

Project target group: The (indirect) target group includes more than 4.5 billion people without access to appropriate sanitation, mainly the poor and deprived population groups in urban and peri-urban areas. Since the

project mainly works at policy level, the intermediate target group ('*intermediaries*') the project works with directly consists of a multitude of implementation partners. These activities focus on disseminating and testing innovative approaches to sustainable sanitation, undertaking knowledge management at the national and international political level, promoting scaling-up approaches for sustainable sanitation, and focusing on the further development of the SuSanA platform (e.g. the BMZ Division 413, which in this specific case is both the commissioning party and the project's main client).

Evaluation design

This evaluation follows a theory-based approach that uses contribution analysis (CA), especially for measuring effectiveness and impact. CA is thus a guiding element that enabled the evaluation to identify and document the project's achievements. A characteristic feature of CA is its integration into the evaluation's design, thus enabling the evaluator to explore cause and effect and to understand attribution by assessing the contribution the programme is making to the observed results.

The evaluation examines various dimensions (see the OECD/DAC criteria) and features the evaluation questions specified in the GIZ evaluation matrix. A Theory of Change has been constructed that corresponds to the results matrix and the results model.

The evaluation design has a summative character that is reactive. It acts from a distance and with an external perspective that focuses on qualitative and quantitative data and information as well as on prospective results with regard to the project's work (evaluation subject). The evaluation design has two phases. Phase one comprised a desk review dedicated to the detailed assessment of the data and information provided. This went hand in hand with a mainly qualitative analysis of the information gained in 24 interviews with international and national sector experts based on a predetermined list of questions. In phase two, the existing data and information was analysed and processed with reference to the evaluation matrix and the OECD/DAC evaluation criteria.

Summary of the evaluation results pursuant to the OECD/DAC evaluation criteria

The OECD/DAC criterion of relevance has four dimensions that refer to: (1) the way in which the project fits into the relevant strategic reference frameworks; (2) the way the project's concept matches the core problems / needs of the target groups at outcome and impact level; (3) the adequate adaptation of the project's design (output level) to the chosen goal; (4) and to the question of whether the project's conceptual design was adapted to changes in line with the requirements, where applicable.

Relevance rating*:* The project's results model and Theory of Change summarise objectives and targets (indicators) and underlying assumptions for each of the levels of intervention. The project fits into the relevant strategic reference frameworks and is fully in line with national and international strategies and concepts (40 out of 40 points). The project's strategy, concept and approach are considered suitable for addressing the core problems and needs. By improving the enabling conditions, the project is addressing the needs of the target group (30 out of 30 points). The results logic reflects the needs defined at the time the project was designed as a sector programme. The project is considered to be well designed for the chosen goal (20 out of 20 points). There was no need to change the overall conceptual design, as it has shown an ability for developing and implementing activities in line with requirements and for readapting its approach where necessary (10 out of 10 points). This results for the four dimensions of relevance amount to an overall score of 100 points (very successful). Thus, the OECD/DAC criterion of relevance with its four evaluation dimensions is rated as *very successful* (95 points).

The OECD/DAC criterion of effectiveness involves three dimensions: (1) The goal's timely achievement in accordance with the DC measure's goal indicators agreed on in the contract; (2) the successful contribution of project services to the achievement of the goal agreed on in the contract; (3) the monitoring of any additional (not formally agreed) positive or negative results. This also examined whether any other additional opportunities for further positive results were seized.

Effectiveness rating: The project will achieve the goal in time and in accordance with the DC measure's goal indicators agreed on in the contract. The current status of implementation was determined by assessing the

quantity and quality of achievements with respect to the outcome indicators. With regard to operational planning for 2018, it can be assumed that those achievements that had not yet been secured in full will be achieved during the course of 2018 and by the end of the project term (35 out of 40 points).
The ongoing development of essential aspects of (changes in) sanitation (improvement of the basic conditions) in the context of German and international development cooperation (DC), with a view to scaling up sustainable sanitation solutions at national and international level, justify the maximum achievable 30 points. Ample general as well as detailed information is available about positive, albeit not formally agreed, results. The project is helping to upscale sustainable sanitation in a very positive way that even goes beyond the agreed results. None of the information refers to any negative results due to this project (30 out of 30 points). The OECD/DAC criterion of effectiveness with its three evaluation dimensions is rated as *very successful* (95 points).

The OECD/DAC criterion of impact has three dimensions that assess the superordinate long-term results, both ones that did occur or were foreseen. It therefore examines: (1) whether the project contributed to the intended superordinate long-term results and (2) determines whether additional (not formally agreed) positive results were monitored and additional opportunities for further positive results were obtained. A third dimension asked whether any project-related negative results have occurred – and, if so, whether the project responded adequately (3).
Impact rating: In short, the project contributed directly and verifiably to some of the intermediate outcomes. The project's direct contribution to an increase in overall access to sanitation services seems plausible but is difficult to attribute directly. Overall, some of the superordinate long-term results have occurred or are plausibly explained (35 out of 40 points). Sustainable sanitation is seen as an enabling factor for most of the Sustainable Development Goals (SDG). Moreover, improved sanitation is related to enhanced economic, ecological and social sustainability in a given context, whereby such effects are assumed to be effective in the longer term. The project contributed to the intended superordinate long-term results (25 out of 30 points). Positive results of project interventions were monitored and additional opportunities for further positive results were seized. In contrast, as things now stand, there are no negative results relating to the project interventions documented (30 out of 30 points). The OECD/DAC criterion of impact with its three evaluation dimensions is rated as *successful* (90 points).

The OECD/DAC criterion of efficiency refers to: (1) the appropriateness of the project's use of resources with regard to the outputs achieved; and to the appropriateness of the project's use of resources with regard to achieving the DC measure's goal (outcome).
Efficiency rating: Full achievement of the indicators at outcome and output level is highly likely. Maximising outputs is a permanent part of the project's strategy. Overall, the project's use of resources seems to be appropriate in terms of the outputs achieved and its production efficiency is rated as good (70 out of 70 points). The positive results for effectiveness and the achievements at output level culminate in a similarly positive conclusion regarding the project's use of resources for achieving the DC measure's goal (outcome). Production efficiency and allocation efficiency are rated as good, although the latter partly depends on the degree to which the intended impacts (outcomes) can be achieved in the medium term (25 out of 30 points). The OECD/DAC criteria efficiency with its two evaluation dimensions is rated as *very successful* (95 points).

The OECD/DAC criterion of sustainability looks at the prerequisites for ensuring the long-term success of the project; specifically, (1) how results are anchored in (partner) structures; (2) what level of sustainability is forecast; i.e. whether the results of the project are permanent, stable and resilient over the long term; and (3) whether the results of the project are ecologically, socially and economically balanced.
Sustainability rating: The project contributed to long-term success by anchoring concepts and approaches within the partner systems of DC projects supported by the project. The SuSanA platform increased the level of financial and institutional sustainability. The real contribution here should also be seen in the context of the project's overall strategy, concept and engagement in the sanitation sector, as synergy arises on combining and complementing activities and interventions. Documented/introduced examples and highlighted aspects of

sustainability show that the project contributed substantially to the anchoring of approaches. In addition, the conditions for the required mobilisation of resources in some of the targeted partner structures seem to be favourable. Overall, a rating of 30 points (out of 40) is justified. Since the project will continue to support the ongoing promotion and development of innovative sanitation concepts and approaches, the forecast for its durability is considered promising: 1) as long as the DC programmes continue to cooperate with the project; and 2) as long as future political changes or risks do not interfere in a negative way. The project scored 25 points (out of 30) for this criterion. The opinion is, that the project's underlying principles, strategies, concepts and outcomes comply with the given dimensions of sustainability. Targeted objectives in the medium and long-term comprise a balanced mix of ecological (environmental protection), social (public health, safe access to sanitation) and economic (feasible solutions) results. Particularly disadvantaged population groups (e.g. poor, women and girls) benefit in a more indirect manner, seeing as they are a programmatic pillar in German DC programmes. The project and its interventions are comprehensively geared to sustainable sanitation in a holistic sense and to the relevant social and economic aspects of sustainability as far as the specific context (sector programme) allows. The project scored 25 points (out of 30) for this criterion. The OECD/DAC criterion of sustainability with its two evaluation dimensions is therefore rated as *rather successful* (80 points).

Criterion	Score (100-point scale)	Rating
Relevance	100	very successful
Effectiveness	95	very successful
Impact	85	successful
Efficiency	85	successful
Sustainability	80	rather successful
Overall score and rating for all criteria	89	successful

100-point scale	6-level scale (rating)
92-100	Level 1 = very successful
81-91	Level 2 = successful
67-80	Level 3 = rather successful
50-66	Level 4 = rather unsatisfactory
30-49	Level 5 = unsatisfactory
0-29	Level 6 = very unsatisfactory

Recommendations

The provision of advisory services to BMZ is intended to be a core process of the project. This professional, client-oriented advice on integrated sustainable sanitation for BMZ should be guaranteed and developed further.

Process documentation: Better documentation of (advisory and support) processes in each of the working areas (components) would promote a better understanding of the project's real attribution in a given context. Such documentation could be the reference point for more detailed assessment (contribution analysis).

Contribution stories: The story provided was very helpful in understanding the project's contribution. The format should be developed further (format, structure) and made into a standard that the project could use to document project interventions and for impact promotion.

The focus on other programmes and projects (TC, FC) promoting sanitation solutions is promising. This should be developed further too in line with priorities, thus creating beacon solutions for sustainable sanitation.

The interface (advisory support) between project and 'clients' (TC, FC) is key in promoting and introducing sustainable sanitation solutions. A concept or guideline (developed by the project) on how to start, implement and follow up the advisory process in the best possible way (one-stop shop) might well increase effectiveness.

The development and implementation of scaling-up options and opportunities in close cooperation with the sector programme Sanitation for Millions (S4M) would increase the level of achievements (outcomes, impacts) of both programmes.

Shit Flow Diagrams (SFD): The SFD tool has proven to be very helpful. Developing this tool further and rolling it out as a conceptual reference framework for the development and implementation of sustainable sanitation solutions should be one of the project's key advisory services.

The further development of offsite sanitation solutions, including decentralised treatment facilities and concepts for faecal sludge management (FSM) in urban and peri-urban living areas, is a key priority in the sanitation sector. The project should continue to concentrate its efforts on collecting and promoting experiences and best practices at the international level (SuSanA platform).

Ongoing support a) for the institutional and technical development of the SuSanA platform to help it advance to a global actor (knowledge management) and b) for the modernisation of its functions (Sanitation Google) necessitates conceptual guidance and should be based on a clear project idea or vision.

1 Evaluation objectives and questions

1.1 Objectives of the evaluation

The current module of the sector programme 'Sustainable Sanitation' was selected randomly as part of the GIZ evaluation portfolio. Since a new project phase is scheduled to start in November 2018, the evaluation was designed as an interim evaluation. As such, it is expected to provide better evidence of effectiveness, both for the current module and for the predecessor programme 'Sustainable Sanitation - ecosan'. Furthermore, it is to make statements about the long-term results and the sustainability of the current module and its predecessor, raise accountability towards the commissioning party (*German Federal Ministry for Economic Cooperation and Development* (BMZ)), co-funders (Bill and Melinda Gates Foundation (BMGF)) and partners, and provide insights and recommendations (ideally, provide inputs for the appraisal mission of the upcoming module).
The appraisal of the follow-up project and the evaluation of the project took place in January and February 2018. Nevertheless, it is expected to shed light on lessons learnt in the current module, which can be integrated into the design and the content of the new module. The main stakeholder of the evaluation is the GIZ project team, which is also responsible for implementing the current module and for planning and designing the upcoming successor module. Other stakeholders are the commissioning party (BMZ), the co-funder (BMGF) and the implementing partners.
Due to the multitude of partners and the global character of the programme, the evaluation could not take all of the programme stakeholders into account but focused instead on specific aspects and key stakeholders.

1.2 Evaluation questions

Each project is assessed using standardised evaluation criteria and questions to ensure comparability. These are based on the OECD/DAC criteria for evaluating development cooperation, and the evaluation criteria for German bilateral cooperation: i.e. relevance, efficiency, effectiveness, impact and sustainability, as well as coherence, complementarity and coordination. The ensuing dimensions of the evaluation and the analysis questions are specified by GIZ (GIZ 01). In the medium term, GIZ also aims to provide more concrete evaluation indicators, which are to be developed and tested in this pilot phase in cooperation with the evaluators.
In addition to these evaluation criteria, account is also taken of contributions to the 2030 Agenda and its prin-

ciples (universality, integrative approach, Leave No One Behind, multi-stakeholder partnerships). The evaluation questions also relate to cross-cutting issues such as gender, the environment and human rights. Furthermore, project staff are also interested in learning how to go about balancing cross-cutting political issues (such as the contribution to the Sustainable Development Goals (SDGs)) as well as in technical aspects of sanitation.

2 Subject of the evaluation

2.1 Definition

The subject of the evaluation is the sector project 'Sustainable Sanitation' (which is referred to as the 'project' for the purpose of this report). The current module is scheduled to last three years from November 2015 until October 2018 at a cost of EUR 3,450,000. BMFG cofinancing EUR 2,059,597 started in October 2016. The project has a global scope, meaning it partners German development cooperation (DC) projects, institutions and sanitation experts, and other international partners worldwide, e.g. the United Nations Human Settlements Programme (UN HABITAT), the United Nations Secretary-General's Advisory Board on Water & Sanitation (UNSGAB), the Swiss Federal Institute of Aquatic Science and Technology (EAWAG), the Water and Sanitation Programme of the World Bank Group (WS), and the Centre for Science and Environment (CSE). A key project focus is on advisory services to the policymaking level (BMZ). The evaluation is not limited to a specific country or region but embraces the project's global scope.

Project context and core problem:
The 2014 International Progress Report on Drinking Water and Sanitation stated that, by the end of 2015, around 2.4 billion people would still be without access to adequate sanitation. The upshot: Millennium Development Goal (MDG) 7 could not be achieved, leaving more than half a billion people without access to any sanitation. Sanitation has been recognised as a human right but it has not yet been achieved in many countries. UNICEF estimates that approximately 1,000 children under the age of five die every day because of waterborne diseases caused by contaminated drinking water or poor sanitation and hygiene. For people with an income below the poverty line who live in confined spaces in informal settlements around fast-growing cities, the lack of sanitation poses the biggest health risks. The threat of disease constitutes an additional burden for women, who are traditionally responsible for caring for sick family members. In addition, women in particular are affected by a lack of sanitation, because they are often sexually harassed when they have to defecate in the open or when they make their way to public toilets.
At the same time, however, international discussions are paying more attention to the issue of circular sanitation. Also, comprehensive targets for sanitation and wastewater management have been developed and integrated into the SDGs.
When it was issued in 2006, BMZ's Water Strategy (*Sektorkonzept Wasser*) was a binding guideline, promoting integrated approaches for water and sanitation services (in August 2017 BMZ published its new Water Strategy). For sub-Saharan Africa, BMZ set an ambitious goal for German development cooperation (DC), namely providing access to adequate sanitation for an additional five million people between 2005 and 2015. At the time (2015), it was stated that access for 4.6 million people was ensured, meaning the target was largely achieved by the end of 2015.
As one of the most important donors in the water sector, Germany was (and still is) also extensively involved in strategy development and decision-making processes at international level. BMZ supported the Chairman of the Advisory Committee of the United Nations Secretary General's Advisory Board on Water and Sanita-

tion (UNSGAB) and the global initiative for the harmonisation of water targets in SDG monitoring (Global Extended Monitoring Initiative (GEMI)).
In order to effectively contribute to the needs of a growing world population, the focus was placed on inclusive access to adequate and sustainable sanitation. The overall target was the scaling-up of sanitation supply approaches.
The project's problem analysis identified a number of political, social and economic factors that are hindering the scale-up of sanitation. These include a lack of awareness about sanitation and an associated lack of willingness to allocate funds for its improvement. In addition, the analysis showed that inadequate poverty orientation in sectoral policies of affected countries is preventing investments in the sanitation sector that would benefit the population as a whole. Also, despite considerable progress, DC measures in the field of sanitation have not been sufficiently effective to date, as the basic conditions for scaling up sustainable sanitation have not been achieved (core problem).

Reasons identified
Demand for sanitation in urban and peri-urban areas has increased dramatically due to increasing urbanisation. Only a small proportion of households could/can be provided with conventional wastewater systems. Most households in peri-urban areas are dependent on decentralised sanitation systems and public toilets. Scepticism about low-cost technologies often prevents the wide-scale use of cost-effective decentralised systems. There are still not enough suitable approaches on hand for the effective rollout of sanitary services in urban areas. In addition, municipal actors are often unable to plan and operate decentralised sanitation systems. Moreover, there are no locally adapted mechanisms to ensure sanitation facilities are operated, maintained and financed in a sustainable manner. Synergies generated by integrating sanitation services into urban development planning are not adequately leveraged. Although integrated sanitation systems are already available for scaling-up, these have as yet only been taken up by German DC programmes and projects. At present, there is not sufficient political support for scaling-up in sanitation, neither at the international nor national level. Specialist knowledge is not available on a wide enough scale in policy contexts. And formats for accessing and informing policymakers simply do not exist. Therefore, improved international exchanges between policymakers, practitioneers and scientists are needed in order to promote discussions and understanding along with networking and political will.

Project approach and level of interventions
The project has a multi-layered and multi-stakeholder approach which consists in feeding practical insights into policymaking. This involves identifying and further developing best local practices on sustainable sanitation and upscaling and integrating them into international political processes. Project interventions are broken down into four components:

Component 1 (C1) focuses on advisory services to (German) DC projects. Activities contributing to this output comprise: Advising German DC projects on sustainable sanitation; identifying, analysing and further developing innovative scaling-up approaches and experiences for sustainable sanitation for German and international DC; disseminating these approaches at the international level (some of them with selected partners of the network Sustainable Sanitation Alliance (SuSanA)); for example, Fit for School, Menstrual Hygiene Management, etc.). The intended output is: Approaches for sustainable sanitation are increasingly considered in German DC project planning (Output A).
Component 2 (C2) focuses on the integration of sustainable sanitation into urban development processes. Activities contributing to this output comprise: Analysing and developing the interfaces between sanitation and sustainable urban development; cooperating with urban actors and disseminating sustainable sanitation approaches in the urban planning processes; sensitising urban planners and implementers to this topic. The SuSanA network is used to develop and disseminate innovative approaches of sustainable sanitation in urban planning. The output intends to strengthen the capacities of urban planners and implementers to integrate sustainable sanitation on a broad scale into city development processes (Output B).

Component 3 (C3) focuses on securing support for sustainable sanitation in national and international political processes (policy papers, sector concepts, country strategies, SDG processes, United Nations Conference on Housing and Sustainable Urban Development (HABITAT III)). Activities contributing to this output comprise: Elaborating contributions to expert working groups (such as the global extended monitoring initiative for the harmonisation of SDG monitoring (GEMI), or Habitat III); elaborating expert input to relevant political processes (also in other related sectors); providing demand-driven advisory services to the sectoral unit on water, urban development and mobility (BMZ Division 413). The output is intended to leverage approaches and expert knowledge for scaling up sustainable sanitation for products adapted to the political level (Output C).
Component 4 (C4) focuses on the SuSanA network. Activities contributing to this output comprise: Managing the SuSanA secretariat; preparing strategic topics for the SuSanA roadmap; moderating expert discussions; processing knowledge and results of discussions; updating and developing the website in a user-friendly way; assisting SuSanA with strategy development and supporting its partners' work on national political processes; offering the platform to other users (this includes acquiring cooperation partners to cofinance the platform). The output intends to improve international exchange and dialogue on sustainable sanitation between actors from politics, practice and academia on a broad scale through the SuSanA network (Output D). The objective is to support knowledge transfer and political decision-making on sustainable sanitation as well as mutual learning at global level.

Partner and stakeholder structure
The stakeholder landscape (partner structure) mirrors the national and international sanitation community. In keeping with the focus of each of the components, the project is working with and/or advising (German) DC projects in supporting urban planners and implementers to integrate sustainable sanitation into urban development in partner countries, into national and international political processes and in individual/institutional members of the SuSanA platform.

Project target group
A clear definition of the target group is difficult, as this is a sector project that works mainly at the policy or conceptual level in a global context. According to the module proposal, the final target group comprises more than 4.5 billion people that lack access to appropriate sanitation. These are mainly the poor and deprived populations of urban and peri-urban areas.
Since the project concentrates mainly on the policy and conceptual level, the intermediate target group ('*Mittler*') the project works with directly comprises a multitude of implementation partners. Amongst the most important are BMZ Division 413 (Water, Urban Development and Transport, which in this case is both the commissioning party and the project's main client), the implementing organisations Kreditanstalt für Wiederaufbau (KfW) and the German Federal Institute for Geosciences and Natural Resources (BGR), SuSanA Partner organisations such as UN HABITAT, the UN Secretary General's Advisory Board on Water and Sanitation (UNSGAB), the Swiss Federal Institute of Aquatic Science and Technology (EAWAG), the Water and Sanitation Programme of the World Bank Group (WSP), the Centre for Science and Environment (CSE), and others.
The project's implementation strategy is directly linked to this multitude of implementation partners. As the intermediate target group, they can help to disseminate and test innovative approaches to sustainable sanitation; engage in knowledge management at the national and international political level; promote the scaling-up of approaches for sustainable sanitation; and focus on the further development of the SuSanA platform. Each of the implementing partners (intermediate target group) plays a specific role in the definition, implementation and further development of the policies and concepts for the development of sustainable sanitation. In Component 2, the project works together with German DC projects to (indirectly) target decision-makers and technical staff of urban administrations.

2.2 Results model, including hypotheses

Underlying hypotheses

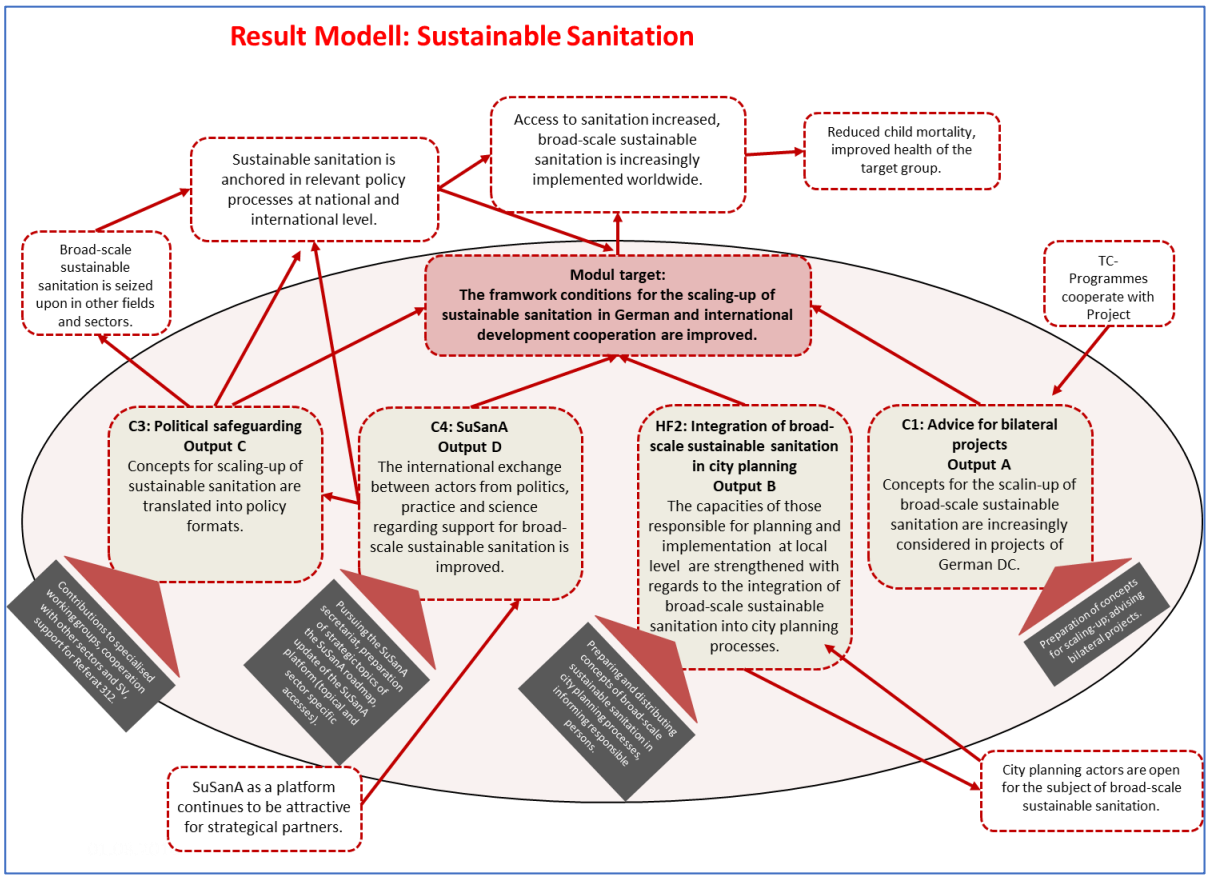
The overall objective at superordinate level (impact level) is to improve access to sustainable sanitation for deprived and poor population groups living in urban and semi-urban areas worldwide. The module objective is to create a better enabling environment for scaling up sustainable sanitation in partner countries, German DC and international development cooperation.

Long-term objectives related to the project but considered to be outside the system boundary include integrating sustainable sanitation into other sectors; integrating sustainable sanitation into relevant political processes at national and international level; implementing sustainable sanitation systems worldwide; accessing sanitation worldwide, and - in the longer term - reducing child mortality and improving target-group health.

The project's approach and concept are built on the assumption that partner country actors who are working in urban development are open to sustainable sanitation. It also assumes that the SuSanA platform will remain attractive to strategic partners.

The results model (Figure 1) below summarises those basic activities, outputs, module objectives and long-term objectives that are related to the project but considered outside the system boundary. The model visualises the related practical and political approaches, which can be summarised as follows: *best practices for sustainable sanitation worldwide are identified, analysed, applied and fed into higher political processes and agenda settings.* The outputs of the four components are intended to help enhance the enabling environment for scaling up sanitation solutions. Activities are based on the underlying results hypothesis that improving the enabling environment (as defined) at national and international level will lead to the integration of relevant political processes and to the implementation of sustainable sanitation in partner countries (Figure 4: Theory of Change).

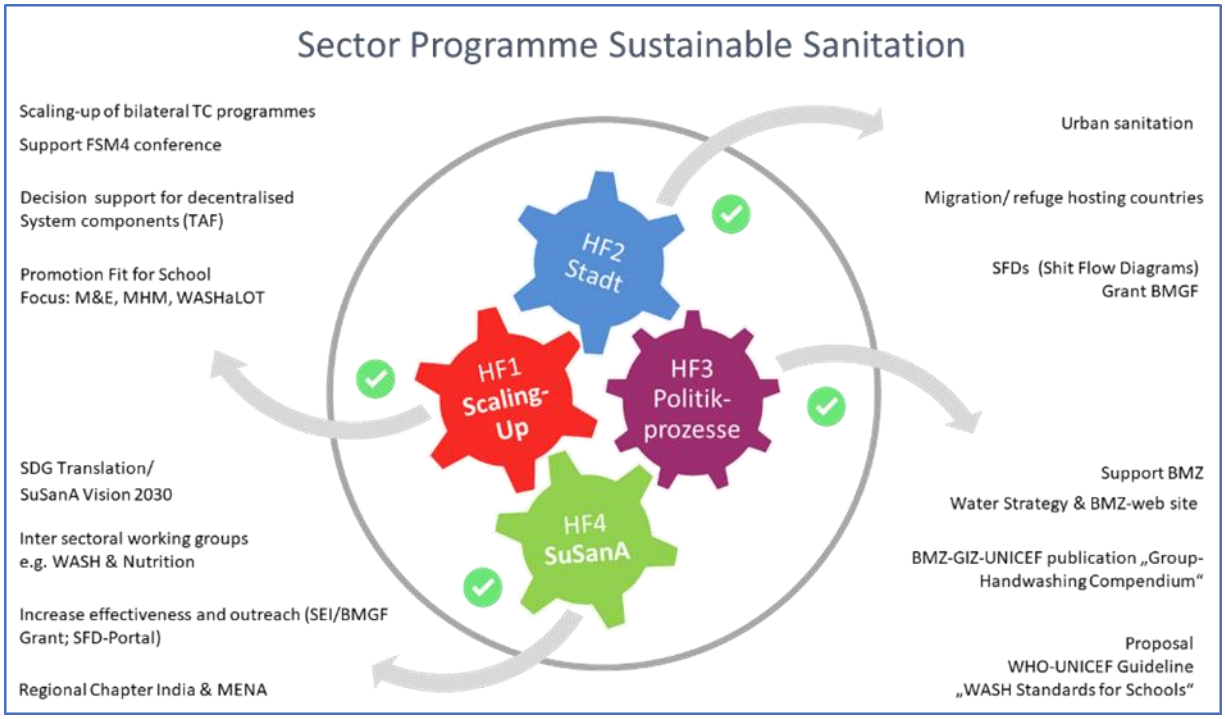
Figure 1: Results Model



Interlinkage of project components and their assumed synergies

The following overview (Figure 2) shows how the interventions (outputs and activities, e.g. advisory processes) in the four components are interlinked and how improvements in sustainable sanitation can be synergised. References to the scaling-up of approaches in German DC projects, work in the field of urban sanitation, the rollout of new and innovative tools and policy advice at national and international level, together with a focus on learning and innovation, highlight the way in which the project links the interventions in the four components.

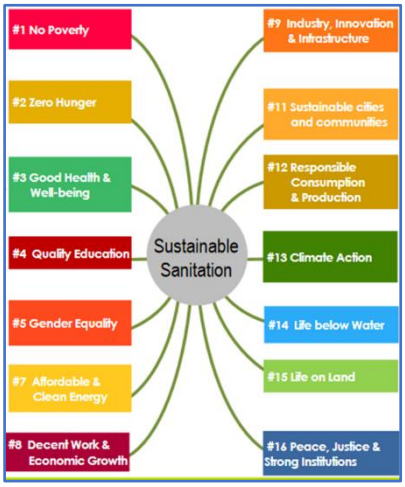
Figure 2: Sector Programme Sustainable Sanitation



Sustainable sanitation and the 2030 Agenda

There are a multitude of sanitation-related interactions between the social, economic and environmental dimensions of the 2030 Agenda which deserve special attention as part of project evaluation. The diagram (Figure 3) shows the extent to which the project is linked to the SDGs. Sustainable sanitation is considered to be an enabling factor for most SDGs (SuSanA Vision 2017): Ít is seen as a basic service and as a prerequisite for escaping the poverty trap (SDG 1: No poverty). The safe reuse of sanitation increases crop yields, thus creating a link between sanitation, malnutrition and stunting (SDG 2: Zero hunger). Sanitation protects and promotes human health by breaking the cycle of diseases (SDG 3: Good health and wellbeing). Sanitation is part of safe education facilities (SDG 4: Education). Sustainable sanitation reduces gender disparities at home and in public facilities (SDG 5: Gender equality). Sanitation by-products serve as alternatives to fossil fuel for cooking and lighting (SDG 7: Affordable and clean energy). Sanitation value chains generate opportunities for micro, small and medium-sized enterprises (SDG 8: Decent work and economic growth) and water and sanitation systems are required for any industrial development (SDG 9: Industry, innovation & infrastructure). Sanitation is considered to be one of the key basic urban services and is required to provide a clean and liveable environment (SDG 11: Sustainable cities and communities). Sustainable sanitation systems can contribute to the efficient use of natural resources and help reduce waste production (SDG 12: Responsible consumption and production). Sustainable sanitation systems can be rendered climate resilient.

Figure 3: SDG interlinkages



Improved waste resource recovery and management is an important climate change mitigation strategy (SDG 13: Climate action). It reduces marine pollution and contributes to the conservation and restoration of terrestrial ecosystems (SDG 14, 15: Life below water, life on land). Finally, basic services, such as sanitation for all, are important pillars for equality, social justice and a peaceful society (SDG 16: Peace, justice and strong institutions).
Recognising the interlinkages and integrated nature of the SDGs is of crucial importance for ensuring that the goals of the 2030 Agenda are met successfully. The close links between sanitation and the many SDG targets highlight the pivotal role sanitation plays in accomplishing the SDGs. This understanding is the conceptual and thematic backbone not only of the project and but also of the SuSanA platform.

Underlying hypotheses, concept and understanding (Theory of Change)
The project concept and approach are built on a very broad problem analysis that gives numerous reasons for the lack of an enabling environment. In the partner countries, these are mainly due to political, social and economic constraints. At the global political level, they can be traced back to a lack of knowledge about the need for sanitation which in turn results in a lack of willingness to invest in the installation and management of sanitation systems. The project's conceptual approach focuses on the links between sustainable sanitation and the many targets across all the SDGs, highlighting the pivotal role that sanitation plays in achieving the SDGs (see Figure 3).
The long-term objectives related to the project but considered to be outside the system boundaries – i.e. integrating sustainable sanitation into other sectors, integrating sustainable sanitation into relevant political processes on national and international level and implementing sustainable sanitation systems worldwide – are reflected in the objectives at output level and are a source of guidance for interventions in the four components (Figure 2).
Other long-term objectives (access to sanitation worldwide) and impacts (reducing child mortality, improving the health of the target group) can also be considered as realistic long-term effects, albeit depending on a large number of influencing factors.
The Theory of Change (Figure 4, page 21) provides an overview of the project's goal system and certain assumptions (underlying hypotheses) associated with the final impacts / intermediate / direct outcomes and respective outputs.[1] The underlying assumption (3) that sustainable sanitation solutions contribute to reducing environmental pollution and that access to sanitation leads to better hygiene conditions for the target group and reduces child mortality become directly plausible when considering how sustainable sanitation is interconnected with the other SDGs (Figure 3).
The project's module objective aims to enhance the enabling environment for scaling up sustainable sanitation in partner countries, in German DC and in international development cooperation. It is understood that such an enabling environment will comprise key aspects targeted in the field of sanitation as well as in the explicit context of German and international DC. Such aspects, formulated as outcome indicators, consequently highlight what the project specifically aims to improve.
The underlying assumption (2) is that improving the enabling environment (e.g. disseminating and testing innovative approaches to sustainable sanitation, engaging in knowledge management at national and international political level, promoting scaling-up approaches for sustainable sanitation, and further developing the SuSanA platform) will lead to the integration of sustainable sanitation solutions in relevant political processes and to the implementation of sustainable sanitation solutions in partner countries. The definition of framework parameters is one of the main intervention hypotheses of the project. It is understood that the assumption and the hypothesis were discussed and defined during the planning process.
The key aspects targeted in the field of sanitation (direct outcomes) represent the directly measurable results of the project. The underlying assumptions (1) reflect the context and the purpose in each of the components and provide conceptual orientation for the outcome indicators:

- Integrating innovative sustainable sanitation solutions into German DC programmes supports the further

[1] The theory was configured on the basis of documented objectives and indicators, specific best practices and experience-based assumptions, and considered the different levels of the project's results.

development of the conceptual framework for improving sanitation services in partner countries.

- The testing and piloting of sustainable sanitation approaches in urban contexts with partner staff creates important conceptual/technical elements for improving the technical framework for urban sanitation.
- Promoting and introducing sound information about sustainable sanitation solutions helps to influence / streamline international and national discussions and decision-making processes (policymaking conditions).
- Proper documentation and the promotion of proven approaches for the scaling-up of sustainable sanitation solutions helps make information about the sector publicly accessible.
- Improved financial sustainability of the exchange, discussion and coordination platform (SuSanA) ensures good communication about sanitation development.

Figure 4: Theory of Change

Figure 4: Theory of Change – Sector Programme 'Sustainable Sanitation'

	Results	Theory of Change: Assumptions and risks
Impacts	• Reduce child mortality. • Improve health of the target group. • Protect the environment.	*Assumption (3)*: - Sustainable sanitation solutions help reduce pollution. - Access to sanitation leads to better hygiene conditions. - Better hygiene conditions reduce child mortality.
Direct outcomes	• Increased access to sanitation worldwide. • Implementation of sustainable sanitation in partner countries by German DC projects. • Advisory support by the project for the integration of sustainable sanitation solutions/approaches in relevant political processes on national (BMZ …) and international level (UNICEF, SDGs …).	*Assumption (2)*: - Improvement of the enabling environment (as defined) at national and international level **will lead to the integration** (relevant political processes) and implementation (in partner countries) of sustainable sanitation.
	The enabling conditions for scaling up sustainable sanitation in partner countries and in German/international DC are improved.	*Assumption (1)*: - Integrating innovative sustainable sanitation solutions into German DC programmes **supports the further development** of the conceptual framework for improving sanitation services in partner countries. - Testing and piloting sustainable sanitation approaches in urban contexts with partner staff **creates important conceptual/technical elements for improving** the technical framework for urban sanitation. - Promoting and introducing sound information about sustainable sanitation solutions **helps to influence/streamline international and national discussions** and **decision-making processes** (policymaking conditions). - Proper documentation and the promotion of proven approaches for the scaling-up of sustainable sanitation solutions **helps make information about the sector publicly accessible**. - Improved financial sustainability of the exchange, discussion and coordination platform (SuSanA) **ensures good communication** about sanitation development.
Direct outcomes	1) Innovative approaches disseminated for scaling up sustainable sanitation considered in German DC. 2) Implementing partners in partner countries tested innovative approaches for the integration of sustainable sanitation in urban planning. 3) Knowledge about the topic of 'sustainability in sanitation' has been provided to international and national political processes. 4) Approaches are available for scaling up sustainable sanitation. 5) SuSanA partners contribute to the overall costs of the platform through cooperation systems.	*Assumption (0)*: - Innovative approaches help to promote and realise sanitation in partner countries. - Urban planning is key for sanitation improvements at city level. - Promotion and policy advice is required. - Exchange helps with upscaling.
Outputs	(A) Consider sustainable sanitation solutions in DC programmes. (B) Strengthen urban planning and implementation capacity for sustainable sanitation. (C) Translate scaling-up formats to policy level. (D) Improve international exchanges of sustainable sanitation practices and concepts.	*Assumptions*: - DC programmes are interested, access to cities via DC programmes is available. - Urban development actors are open to sustainable sanitation. - SuSanA platform continues to be attractive.

3 Evaluability and evaluation process

3.1 Evaluability: Data availability and quality

Data collection mainly focused on a basic set of documents identified during the inception phase of this evaluation (Annex 2: List of basic documents). In addition, the evaluators had access to a digital database comprising large amounts of documents, brochures and conceptual papers provided by the project. The specific data directory containing the principal and basic project information and the information regarding the outcome and output indicators ('*Belege*') was used intensively in order to assess the quality of the results and other outputs. Annex 3: NaSa 01 provides a complete list of the sources considered (cited) for this report. The system used to monitor the project was consulted in order to assess the extent to which the indicators and milestones were achieved in quantitative terms. The findings, statements and perceptions gained from the interviews with 22 stakeholders as part of the appraisal mission for the follow-on project were summarised and leveraged for the purpose of context-specific referencing of statements and/or conclusions. The same applies to the questionnaires elaborated specifically for the purpose of the evaluation that were put to six stakeholders (Annex 3). The selection of stakeholders (sanitation sector experts) for the Skype interviews was based on a list of names and institutions provided by the project (Annex 4).

The quality of the data and information provided was generally good. However, the quality of each of the more than 50 documents used as sources for drafting this evaluation report, was not put through a detailed analysis. The sample of documents referring to results and outcomes ('*Belege*') enabled the evaluator to obtain a good and comprehensive conceptual and thematic understanding of the achievements. In most cases, the documents give a general, sometimes focused, overview of relevant and specific topics. The case stories provided (see Section 4.3) significantly helped to understand the project's contribution.

The quality of the data sources was good enough to help draft the various findings and statements and to assess some of the project's evidence-based contributions. However, since not enough was known about the project's interaction with the targeted partners and the advice it delivered, it was not always possible to determine and quantify the project's real contributions in terms of evidence-based information (e.g. evidence-based proof that the project directly or indirectly influenced the drafting of the sanitation SDGs).

3.2 Evaluation process

The evaluation process was mainly desk oriented but did involve a limited number of direct interactions with relevant stakeholders (BMZ and international sanitation experts). There was no direct contact or interaction with the final target group (entire population without access to sustainable sanitation).

The evaluation design has a summative character that is reactive. It acts from the distance and with an external perspective that focuses on qualitative and quantitative data and information as well as prospective results with regard to project work (evaluation subject). The evaluation design has two phases. Phase one comprised a desk review for the detailed assessment of the data and information (NaSa 00) provided. This went hand in hand with a mainly qualitative analysis of information gained from interviews with international and national sector experts (Annex 5: List of stakeholders of the evaluation and selected interviewees) based on a list of evaluation questions (Section 3.1). In phase two, existing data and information was analysed and processed in keeping with the evaluation matrix and the OECD/DAC evaluation criteria.

4 Assessing the project according to OECD/DAC criteria

4.1 Long-term results of previous measure(s)

Evaluation basis and design for assessing long-term results of previous measure(s)
The assessment of previous projects, including their long-term results, focused on the 'Sustainable Sanitation' Sector Programme (PN 2015.2049.3), as this was the immediate predecessor, having been implemented in the period from Nov. 2015 to Oct. 2018. The evaluation examined the increase in the rollout and use of broad-impact sanitation systems internationally on the basis of the five sustainability criteria (as per the SuSanA definition). It also looked at health impacts.
The predecessor's objective at the time (2014) reflected the still underdeveloped political willingness in partner countries and donor organisations to implement and use broad-impact sustainable sanitation systems (core problem). Two main working areas were defined (Strengthening the Sustainable Sanitation Alliance, SuSanA and cooperation with bilateral DC programmes). The outcomes comprised: (1) Advisory services for the introduction of sustainable broad-impact sanitation systems in five partner countries, (2) Establishing seven partnerships, with the aim of ensuring the institutional sustainability of the SuSanA platform, and (3) Anchoring two relevant sanitation approaches in political processes (e.g. MDG monitoring).
Detailed information about results and conclusions, especially regarding the sustainability (durability) of interventions, are not easily accessible. However, a summary from March 2015 (NaSA 38) based on eight interviews with experts with detailed knowledge of the sanitation sector provided an insight into how important stakeholders perceived the programme to be at that time.

Analysis and assessment of predecessor programme's long-term results
A set of six questions was asked about the performance of the global programme (*Sektorvorhaben*). These questions explored German DC in the WASH sector and the SuSanA platform, specifically the platform's effectiveness as a knowledge platform and for stimulating policy dialogues for advancing WASH sector coordination and putting, sustainable sanitation onto the global agenda.
One of the main insights was that experts regarded SuSanA as the platform that had confirmed and paved the way for sustainable sanitation, culminating in the level of sustainability ascribed to the platform in this report. Although the sector programme was less well known, SuSanA now commands a high level of recognition, making it a firmly established information platform for the sanitation sector. The network was seen as an important contributor to the global debate (although it was difficult to define its measurable contribution). SuSanA was acknowledged as a state-of-the-art knowledge management platform with the additional benefit of volunteer contributions from the SuSanA network. SuSanA was considered to be an excellent platform for sharing information, for linking up with experts via the SuSanA forum and for accessing new publications. This confirms that the sustainability (durability) of the results and impacts stated for SuSanA has been increased and improved thanks to the successful development and institutionalisation of the platform and its content.

4.2 Relevance

Evaluation basis and design for assessing relevance
The OECD/DAC criterion of relevance was applied to the given evaluation dimensions and analysis questions as documented in the evaluation matrix (GIZ 01). The evaluation dimensions refer to: (1) the way the project fits into the relevant strategic reference frameworks; (2) the way the project concept matches the core problems and needs of the target groups at outcome and impact level; (3) the adequate adaptation of the project design (output level) to the chosen goal; and (4), and the question as to whether the project's conceptual design was adapted to changes in line with the requirements where applicable.

Relevance

Assessment dimension 1: The project fits into the relevant strategic reference frameworks.

The recently enacted new BMZ Water Strategy (BMZ 2017) clearly specifies in Goal 1 that fulfilling the right to water and sanitation services is considered to be essential for sustainable development and poverty reduction. Thus, the human right offers a perspective and an option for participating in public welfare services (BMZ 01). The BMZ strategy also refers explicitly to SDG 6.2 (sanitation) with a special emphasis on poor and marginalised population groups. In addition, the strategy underlines the importance of sustainable sanitation for SDG 2 (nutrition), SDG 3 (public health), SDG 4 (education), SDG 5 (gender equality), SDG 8 (economic development and employment), and SDG 11 (urban development). Its focus on a better enabling environment for the scale-up of sustainable sanitation solutions (module objective) and its comprehensive understanding of interlinkages in the sanitation sector (Section 2.4) means the project contributes to the implementation of the underlying national and international strategies (BMZ Water Strategy, SDGs/Agenda 2030). Its approach in terms of delivering support and advice to ongoing DC projects implementing WASH-related interventions in partner countries (receiving a relatively high share of the project budget) contributes to the achievement of the 2030 Agenda's objectives within the respective country context.

The results model and the Theory of Change (Section 2.4) show how the project intervenes in the four components and present the underlying basic assumptions (as a reference for the project's overarching intervention targeting the entire sanitation sector). The project fits into the relevant strategic reference frameworks and is fully in line with national and international strategies and concepts (40 out of 40 points).

Assessment dimension 2: The project concept matches the core problems/needs of the target group at outcome and impact level.

Since this is a global sector project that mainly operates at policy level, a clear definition of the target group is difficult. According to the module proposal, the target group ideally comprises more than 2.4 billion people without access to appropriate sanitation, mainly poor and deprived population groups in urban and peri-urban areas.

The module objective refers to the improvement of relevant enabling conditions for scaling up sustainable sanitation for people without access to appropriate sanitation. Its capacity development strategy is geared to DC programmes working on sanitation issues at target group level and to city planning staff involved in testing and piloting innovative concepts in the field of sanitation. The project's most important (and cost intensive) area of intervention, i.e. activities and interventions targeting urban sanitation, received a substantial share of the budget. This included the transfer of innovative sanitation approaches to national and international policy level as well as promoting international exchanges within the SuSanA network and expert knowledge on sanitation scale-up. The project's strategy and approach are major drivers of improvement in sanitation governance, leading to better services for the target group as stated above (Section 4.3). The project's concept and approach also comprise activities that address the situation of women and girls. Promoted scaling-up approaches (Fit for School (F4S); city sanitation planning in India, etc.) take account of the specific needs of women and girls with regard to privacy or separate toilets in schools. Care is also taken to ensure that women participate equally in the planning of sanitation measures, e.g. in assessing the scaling-up potential of technology solutions with the Technology Applicability Framework (TAF) method.

Overall, the project's strategy, concept and approach are considered to be suitable for matching the core problems and needs (lack of sanitation) of the target groups in a more general sense. This means that the project is able to support DC activities geared to implementing sustainable sanitation solutions in partner countries, cities and communities. Better conditions for scaling up sanitation solutions at global and national level and support for DC projects in realising WASH-related targets and objectives match the target group's needs (access to sustainable sanitation) (30 out of 30 points).

Assessment dimension 3: Adequate adaptation of the project design (output level) to the chosen goal.

The results logic and basic assumptions were formally confirmed to be logical and coherent. Indicators at outcome level defined how to go about improving the scale-up framework for sustainable sanitation solutions.

This understanding is based on past experiences and lessons learnt from previous sector projects.
The results logic reflects the needs defined at the time the project was designed (as a sector programme aiming to advise BMZ on sanitation policies). The Theory of Change highlights the comprehensive logic of the project's interventions while the results confirm that the project's setup is actually leading to the agreed targets. In the given circumstances, and as a sector programme, the project is considered to be well designed for the chosen goal (20 out of 20 points).

Assessment dimension 4: The question as to whether the project's conceptual design was adapted to changes in line with the requirements (where applicable).
The project is intervening in a naturally complex area. None of the challenges changed within the project term. However, the project's approach of harnessing opportunities to address and close sanitation gaps has proved flexible and therefore good at translating opportunities into achievements that correspond with the agreed objective and outcome indicators. There was no need to change the project's overall conceptual design, as it has proven capable of developing and implementing activities in line with the requirements and also of re-adapting them where necessary (10 out of 10 points). The results model and the Theory of Change show how the project intervenes in the four components. The project fits into the relevant strategic reference frameworks and is fully in line with national and international strategies and concepts (40 out of 40 points). The project's strategy, concept and approach are considered suitable for matching the core problems and needs. Improved governance conditions meet the needs of the target group (30 out of 30 points). The results logic reflects the needs defined at the time the project was designed as a sector programme. The project is considered to be well designed for the chosen goal (20 out of 20 points). There is no need to change its overall conceptual design, as it has proven capable of developing and implementing activities in line with the requirements and of re-adapting them, where necessary (10 out of 10 points). For the four evaluation dimensions of relevance, this leads to an overall rating of 100 points (*very successful*).

Criterion	Assessment dimension	Score
Relevance	The project fits into the relevant strategic reference frameworks.	40 (out of 40)
	Suitability of the strategy/concept to match core problems and needs of the target groups.	30 (out of 30)
	The design of the project is adequately adapted to the chosen goal.	20 (out of 20)
	The conceptual design of the project was adapted to changes in line with requirements and re-adapted where necessary.	10 (out of 10)
Overall rating for relevance		100 (out of 100)

4.3 Effectiveness

Evaluation basis and design for assessing effectiveness

The OECD/DAC criterion of effectiveness was applied to the evaluation dimensions and to the related analysis questions as documented in the evaluation matrix (GIZ 01). The evaluation dimensions concerned: (1) The goal's timely achievement in accordance with the DC measure's goal indicators agreed on in the contract; (2) the successful contribution of project services to the achievement of the goal agreed on in the contract; (3) the monitoring of any additional (not formally agreed) positive or negative results. This also examined whether any other additional opportunities for further positive results were seized.

The indicators for measuring the achievement of the goal as agreed on in the contract with BMZ fit the SMART criteria. Indicators are, in principle, in line with the criteria. However, indicators 1, 2 and 4, are unspecific, and so were discussed and defined with the project team (Table 1: adapted DC measure's goal indicator).

Table 1: Assessment of indicators according to SMART criteria

DC measure's goal indicator according to the offer/original indicators	Evaluation according to SMART criteria/assessment	Adapted DC measure's goal indicator
1) Different innovative approaches disseminated by the project for the scaling-up of sustainable sanitation have been considered in the implementation of 6 projects of German DC in a gender sensitive manner. Base value: 1 (City Sanitation Plan (CSP), India) Target value: 6 Source: Documents of DC programmes about introduction of approaches. On-site verification.	Specific: It is necessary to define what the project understands by 'innovative' approaches. Measurable: The indicator is measurable (number: 6). Achievable: Based on the progress already achieved and the good cooperation with German DC projects, the indicator appears to be achievable. Relevant: The indicator is relevant as it contributes to the overall module objective (implementing sustainable sanitation approaches by different German DC projects will support horizontal upscaling). Time-bound: End of current phase.	Definition of 'innovative'. It is understood that the introduction of instruments and concepts, like Shit Flow Diagrams (SFDs), CSPs etc., in partner countries and for specific scenarios is considered to be new and innovative for the stated context.
2) 10 implementing partners in 8 countries (i.e. municipalities, operators, NGOs) tested innovative approaches developed by the sector programme (SFDs, CSPs) for the integration of broad-impact sustainable sanitation into urban planning. Base value: 0 Target value: 10 Source: Reports, publications.	Specific: See above Measurable: The indicator is measurable (number: 10). Achievable: Based on the progress already documented, it is expected that the indicator can be achieved. Relevant: The indicator is relevant for horizontal upscaling. The relevance for improving the policies for upscaling becomes clear when relating it to other project components (SuSanA platform, best practices translated into policy advice etc.). Time-bound: End of project.	Definition of 'innovative' (see above).
3) Knowledge about the subject (solutions and approaches for sustainable sanitation) has been prepared and fed into 5 international and national political processes (i.e. sector concepts, country strategies, GIZ sectoral working groups (*Fachverbünde*), SDGs, Habitat III). Base Value: 0 Target value: 5 Source: Policy papers, country strategies.	Specific: The indicator is specific in terms of defining a core project process (policy advice). Measurable: The indicator is measurable (number: 5). Achievable: Based on the progress already achieved, it is expected that the indicator is achievable. Relevant: The indicator is relevant for the module objective, because it refers to improving the enabling conditions for sustainable sanitation. Time-bound: End of project.	'Knowledge about the subject' is understood as knowledge management and promotion at national and international level.

4)	3 approaches for the scaling-up of sustainable sanitation harmonised by the sector programme with international cross-sectoral stakeholders from politics, practice and academia are prepared and made publicly available. Base value: 0 Target value: 3 Source: Documentation of scaling-up approaches and documentation of the process.	Specific: It is not clear what is meant by 'harmonised'. Measurable: The indicator is measurable (number: 3). Achievable: Based on the progress already achieved, the indicator is expected to be achievable. Relevant: Public availability does not necessarily mean that the approaches are used on a broad scale (and thus contribute to improved conditions). The relevance for the module objective is therefore not clear. Time-bound: End of project.	Definition of 'harmonised approaches'. It is understood that the discussion and further development of sustainable sanitation (concepts, instruments …) lead to harmonised approaches.
5)	SuSanA partners contribute 75% of the overall costs of the platform through cooperation systems (i.e. regional groups, third-party funds). Base value: 60% Target value: 75% Source: Documentation of budget and partner contribution.	Specific: The indicator is specific. Measurable: The indicator is measurable (75%). Achievable: The indicator is already overachieved. Relevant: Although the financial contribution of partners to SuSanA improves the platform's sustainability and ownership, it is not clear how this is linked to improving the enabling conditions for upscaling sustainable sanitation. Time-bound: End of project.	Enabling conditions comprise key aspects targeted in the field of sanitation. Such aspects, formulated as outcome indicators (see Section 5.2), highlight what the project aims to improve with regard to the enabling conditions. Indicator 5 refers to the financial sustainability of the platform.

In line with the Terms of Reference and the inception report (IR), the evaluation design was intended to follow a theory-based approach that uses contribution analysis (CA), especially for measuring effectiveness and impact. CA is thus a guiding element that enabled the evaluators to identify and document the project achievements. Elements of the CA[2] are built into the evaluation's design by way of an 'approach for exploring cause and effect' and understanding 'attribution by assessing the contribution a programme is making to observed results'. A Theory of Change was formulated that corresponds with the results matrix (NaSa 01a) and the results model (NaSa 01b).

The evaluation's design essentially considers one selected cause-and-effect relationship ('that improvement of enabling conditions is leading … to the implementation of sustainable sanitation') with regard to the defined project outcome and expected intermediate outcomes and impacts. This relationship is the basic hypothesis for the project's interventions and serves as a guiding reference for the detailed assessment of the targeted results (Theory of Change: Assumption 2, Section 2.2).

The evaluation of the project's effectiveness did not include a detailed assessment of the results at output level. However, assumptions from output to outcome level (innovative approaches help to promote and apply sanitation in partner countries, urban planning is key for sanitation improvements at city level, promotion and policy advice is required, and assistance to scale up exchanges) were taken into account when assessing the evaluation criterion of effectiveness (see Section 5.2).

Effectiveness

Assessment dimension 1: Timely achievement of the goal in accordance with the DC measure's goal indicators agreed on in the contract. Table 2 summarises the achievement of the outcome indicators followed by a detailed assessment of the achievements.

Table 2: DC measure's goal indicator and achievements as at Nov. 2017

[2] Contribution Analysis: Coming of Age? Mayne, John, 2012.

DC measure's goal indicator according to the offer/original indicators	Clarified terms	Achievements (Nov. 2017)
1) Different innovative approaches disseminated by the project for the scaling-up of sustainable sanitation were considered in a gender sensitive manner in the implementation of 6 projects of German DC. Base value: 1 Target value: 6	It is understood that the introduction of instruments and concepts like Shit Flow Diagrams (SFDs) or City Sanitation Plans (CSPs) in partner countries is considered to be innovative.	The indicator was almost achieved (66%), 4 out of 6 innovative approaches were considered in the implementation of German DC programmes. It is likely that the indicator will be fully achieved by the end of the term.
2) 10 implementing partners in 8 countries (i.e. municipalities, operators, NGOs) tested innovative approaches developed by the sector programme (SFD, CSP) for the integration of broad-impact sustainable sanitation into urban planning. Base value: 0 Target value: 10	Definition of 'innovative' (see above).	The indicator was almost achieved: 7 implementing partners tested innovative approaches further developed by the project in 8 countries. It is likely that the indicator will be fully achieved by the end of the term.
3) Knowledge about the subject (sustainability in sanitation) was prepared and fed into 5 international and national political processes (i.e. sector concepts, country strategies, GIZ sectoral working groups, SDGs, Habitat III). Base value: 0 Target value: 5		The indicator was partly achieved. Knowledge about sustainability in sanitation was prepared and fed into 4 (out of 5) international and national political processes. It is likely that the indicator will be fully achieved by the end of the term.
4) 3 approaches for scaling up sustainable sanitation harmonised by the sector programme with international cross-sectoral stakeholders from politics, practice and academia are prepared and made publicly available. Base value: 0 Target value: 3		The indicator was partly achieved (50%); one approach for scaling up sustainable sanitation has been harmonised by the project with international cross-sectoral stakeholders from politics, practice and academia. This is now partly available to the public; a second one is in the pipeline. Full achievement of the indicator is likely by the end of the term.
5) SuSanA partners contribute 75% of the overall costs of the platform through cooperation systems (i.e. regional groups, third party funds). Base value: 60%. Target value: 75%.		The indicator was overachieved. SuSanA partners contribute 86% (target 75%) of the platform's overall costs through cooperation systems (i.e. regional groups, third party funds).

Outcome Indicator 1: The indicator was almost achieved (66%). Four out of six innovative approaches were considered in the implementation of German DC development programmes. It is likely that the indicator will be achieved in full by the end of the term.

The Technology Applicability Framework (TAF) developed by the SKAT Foundation (Switzerland) is a decision support tool for the applicability, scalability and sustainability of specific WASH technologies used to provide lasting services in specific contexts. TAF is also applied to determine a technology's readiness for introduction. The tool is participatory, facilitatory and easy to use and triggers the sharing of learned lessons between all actors involved, including local and national actors. After successfully testing the TAF method and scale-up potential in the Afghani water programme, it was subsequently introduced in Zambia (NaSa 02) and Uganda (NaSa 03). Furthermore, TAF has been used in Afghanistan to assess the scaling-up potential of decentralised wastewater treatment systems (DEWATS) and to identify bottlenecks which need to be addressed in order to improve sanitation in urban environments widely deprived of proper sanitation services (NaSa 04). In Uganda, TAF was applied to a faecal sludge transfer station in order to understand whether the concept and the operation reached certain levels of sustainability and scalability (NaSa 05). In Zambia, the

method was used in order to explore climate-friendly sanitation[3].
SFDs were promoted and introduced in India and several other countries. An excreta flow diagram (also often described as SFD) is a tool that helps stakeholders to readily understand, communicate and visualise how excreta physically flow through a city or town. It shows how excreta is contained, or not, as it moves from defecation to disposal or end-use, and the final destination of all generated excreta. The project supported the Indian DC programme (NaSa 06) by advising on the implementation of the National Urban Sanitation Policy and on the scaling-up of CSPs using SFDs as a conceptual backbone. City representatives highlighted GIZ's contribution to sanitation in Kochi (NaSa 07) and Nashik (NaSa 08) as 'innovative and leading', providing an indication of the project interventions. SFDs played a strong role in some of the cities as an instrument or tool and in others as a conceptual idea, leading to their integration into city sanitation. They also served as an example of how the DC programme contributed effectively to the further development of conceptual and organisational framework conditions in some Indian states (e.g. '*NaSa provided a consistent environment for the dissemination of sanitation information worldwide. It fosters rich dialogues in India as well as beyond. In India, in collaboration with the bilateral project, the SFD strategy has been mainly developed and refined and is now being rolled out with CSE, the largest Environmental NGO'* (NaSa 09)). Other German DC programmes in Bolivia, India, Zambia and Uganda were also supported and advised on the application of SFDs in the context of city sanitation.
The project is supporting a number of DC programmes with the further scaling-up of the well-known Fit for School (F4S) approach. F4S helps education ministries to progressively implement water and sanitation concepts in schools (WASH in Schools programme, WinS). At the same time, it contributes to the achievement of the 2030 Agenda's SDGs 4 and 6: Education and water and sanitation for all. The programme offers clear models and implementation guidelines that enable the education sector to integrate simple preventive measures into everyday school life without external funding. The DC programme in Guinea (NaSa 10) was supported in developing a specific F4S component. In Jordan, the project is backing WASH in Schools in the context of the DC programme's intervention in the field of decentralised wastewater treatment, both in cooperation with the regional F4S programme (NaSa 11). Support for, and coordination with, the global DC programme Sanitation for Millions (S4M) is ongoing and is featured in three components (Jordan, Uganda, and Pakistan).
Outcome Indicator 2: The indicator was partly achieved in that seven out of ten implementing partners tested innovative approaches. These had been developed further by the project in eight countries, with a view to integrating broad impact sustainable sanitation into urban planning. The focus of project interventions in this component is on strengthening urban planning and implementation capacity for integrating sustainable sanitation into urban development processes. After identifying and analysing suitable interfaces between sanitation approaches and urban development processes, SFDs were introduced on different levels of application. Planning approaches for integrating sanitation into urban development processes were or are being disseminated in eight countries.
In India, SFDs were introduced in the context of city sanitation planning and cooperation with the German DC programme, partly cofinanced by BMGF resources. The main strategy of the programme 'Support to the National Urban Sanitation Policy' (SNUSP) II) was to focus on the further development of the institutional enabling conditions at national, state and city level. These activities were based on a concept for vertical (national, state, city level) and horizontal (working in five states and a significant number of cities) upscaling, with a clear thematic orientation to the existing national sanitation strategy (National Urban Sanitation Policy (NUSP)) and also SFDs as a conceptual backbone of city sanitation. Ultimately, 48 cities achieved formally approved CSPs thanks to an innovative and systemic rollout and training concept (NaSa 12). Publications (NaSa 13) illustrate the political, social and environmental context for using SFDs as an approach and an instrument for integrating sustainable sanitation solutions in city contexts.
In addition to its engagement in India, the project supported the testing of SFDs in Afghanistan, where the Afghanistan Urban Water Supply and Sewerage Corporation (AUWSSC) developed five SFDs for their business units (NaSa 14). In Bolivia and Zambia, three cities and four districts respectively used SFDs for a better

[3] No information available.

understanding and planning of city sanitation (NaSa 15). These interventions were implemented in close co-operation with bilateral DC programmes in the sector. In Ethiopia, SFDs were used and implemented in 20 cities which were technically supported in preparing SFDs and, subsequently, with sanitation business plans. The intervention was conducted by Water Aid under the umbrella of the SFD Promotion Initiative (NaSa 16).
Outcome Indicator 3: The indicator was partly achieved. Knowledge about sustainable sanitation was prepared and fed into four (out of five) international and national political processes. A guideline (Septage Management - A Practitioners' Guide) contracted by the Indian Government, describes and recommends how city planners and decision-makers should use SFD as a tool in sanitation (NaSa 16a). The project participated actively in the further development of one attachment (out of six) of the German Water Strategy (BMZ 01). The SuSanA Vision 2030 and a WASH and Nutrition Operation Manual (ACF-UNICEF) were published (NaSa 18). The New Vision is guiding the platform's further global engagement in sanitation while the Operational Manual is used at international level to promote WASH and nutrition. Finally, the project was actively involved in introducing WASH in Schools for the Protocol on Water and Health to the Convention on the Protection and Use of Transboundary Waterways and International Lakes, published by UNICEF and the World Health Organisation (NaSa 19).
Outcome Indicator 4: The indicator was partly achieved (50%). The sector programme is harmonising approaches for scaling up sustainable sanitation with international cross-sectoral stakeholders from politics, practice and academia. These approaches are now partly available to the public.
The SFD approach was further developed and promoted (NaSa 37). The SuSanA platform's virtual SFD window has been extended, and now offers an SFD helpdesk and a tool for uploading and editing SFDs. In addition, the SFD approach was presented and discussed at major conferences (FSM4, World Water Week Stockholm and WEDC Conference) by various organisations (NaSa 20). The approach is the subject of discussions in online formats (Webinar, SuSanA discussion forum). Also, various training formats have been developed.
The Fit for School (F4S) approach is attracting increasing international interest. It was presented and discussed during the SuSanA Jubilee in Eschborn (NaSa 21), in Chennai at the SuSanA platform side event of the international Faecal Sludge Management conference in 2017 (NaSa 22), in Stockholm as a side event of the Water Week, where the approach was discussed in working group meetings with sectoral stakeholders (NaSa 23). Contributions were also made to the World Water Week in Stockholm and to the University of North Carolina (UNC) conference (NaSa 24). It is also worth mentioning that the F4S approach has been discussed in the context of the UNICEF-GIZ International Learning Exchange on WASH in Schools in Jakarta, Indonesia (2016) which was attended by 16 countries from Asia. The aforementioned F4S mainstreaming examples are documented on the SuSanA platform.
Outcome Indicator 5: The indicator was overachieved. SuSanA partners contribute 86% (target 75%) of the platform's overall costs through cooperation systems (i.e. regional groups, third-party funds). Cooperation with BMFG (cofinancing agreement, grant to Stockholm Environmental Institute (SEI)) for the further development of the SuSanA platform is still ongoing. The India Sanitation Coalition (ISC) is financing a part-time position for the coordination of the SuSanA Regional Chapter in India. Two relatively new cooperation schemes (Swiss Development Cooperation (SDC)) via the SuSanA partner Centre for Water Management Services (CEWAS) and the Federal Foreign Office (through the SuSanA partner German Toilet Organisation (GTO)) are contributing to the SuSanA Regional Chapter for the Middle East. The Water Supply & Sanitation Collaborative Council (WSSCC), a United Nations membership organisation that advocates improved sanitation and hygiene for the most vulnerable and marginalised people around the world, is funding training materials and documents of regional relevance (Middle East). In addition, WSSCC has funded a sector-wide event calendar on the SuSanA platform. Thus, by the end of November 2017, SuSanA partners contributed 86% to the financing of the platform. The information about cost recovery rates was assumed based on internal calculations undertaken by the project.
The assessment of outcome indicators is based on examples. It is likely that the examples only partly show the project's overall engagement in sustainable sanitation within the given term. A more detailed assessment based on direct and evidence-based documentation of the project's advisory and support services in the given context and beyond the outcome indicators would reveal the project's real achievement in promoting

sustainable sanitation. However, comments and remarks from national and international partners and stakeholders underline the project's highly recognised contribution (e.g. The '*project successfully instituted a strong stakeholder group and discussion platform to foster improvement of framework conditions'* or *'Improved sector frameworks are hard to measure – especially the causality between inputs and outcomes. Certainly, SuSanA has played a role in popularizing 2 key concepts for the urban sanitation sector: The sanitation value chain and how to align sector planning and programming by different development actors, and the SFD – now internationally used and implemented for sanitation advocacy thanks to SuSanA's dedicated efforts around the world* (NaSa 25)).

The project will achieve the goal in time and in accordance with the DC measure's goal indicators agreed on in the contract. The current status of implementation was determined by assessing the quantity and quality of achievements with respect to the outcome indicators. In terms of operational planning for 2018, it can be assumed that the as yet incomplete achievements will be achieved in the course of 2018 and by the end of the project term (40 out of 40 points).

Assessment dimension 2: The services implemented by the project successfully contribute to the achievement of the goal agreed on in the contract.

The goal system (results matrix) as a whole summarises what the project does in the four components/working areas (NaSa 01a). Objectives at output level clearly indicate the specific contribution to the agreed DC measure's goal. On the one hand, the portfolio at output level considers scaling-up approaches in DC projects (Output A) in combination with capacity development for the planning and implementation of sustainable sanitation in the urban context in partner countries (Output B). On the other, it focuses on the further development (translation) of scaling-up approaches into policy-level formats (Output C) in combination with the promotion and exchange of sustainable sanitation approaches at international level (Output D). The achievements show (Outcome Indicator 1, Output Indicators A.1 and A.2, see results matrix, NaSa 1a) that integrating innovative sustainable sanitation solutions into German DC programmes is furthering the development of a conceptual framework for improving sanitation services in India and other countries (Basic Assumption 2). Testing and piloting sustainable sanitation approaches in city contexts with partner staff (Outcome Indicator 2, Output Indicators B.1, B.2, see results matrix, NaSa 01a) helps to transfer important conceptual/technical elements needed for improving the technical framework conditions in India and other countries (Basic Assumption 2). It is taken as given that promoting and introducing quality information about sustainable sanitation concepts (Outcome Indicator 3, Output Indicators C.1, C.2) will help influence/streamline international and national discussions and decision-making processes (Basic Assumption 2).

The qualitative assessment of evidence-based examples along with some limited but meaningful feedback from internationally recognised sanitation experts (e.g. Eawag, Canada, and United Kingdom) clearly underline the assumption. The project participated and contributed significantly to the streamlining of sanitation solutions and concepts (e.g. *'SuSanA platform has played an important role in speeding up sustainability thinking in the sector which has influenced* policy in many countries … SuSanA publications and other literature in the library are used as a reference by consultants and others working to support governments in the process of developing their sanitation policy … SuSanA's presence at regional sanitation conferences (e.g. AfricaSan) has influenced the regional sanitation declaration …' (NaSa 09)). Proper documentation and the promotion of proven and coordinated approaches for the scaling-up of sustainable sanitation solutions helps make sector-specific information publicly accessible while the improved financial sustainability of the exchange, discussion and coordination platform (SuSanA) ensures good communication about sanitation development (Outcome Indicator 4, Output Indicators D.1, D.2, and D.3).

The relatively openly formulated outcome indicators allowed the project to harness a relatively broad spectrum of opportunities for reaching the targeted achievements. The flexible approach required for identifying and analysing given opportunities is considered a major success factor in achieving the results and outcomes and in leveraging the project's financial resources (seed money), with the aim of attaining a broad impact.

In addition to the flexible approach to selecting opportunities, the following have all contributed to rendering the project very likely to achieve its objective by the end of its term: the sound and profound knowledge of the

sanitation sector; fruitful and trust-based cooperation with German DC programmes; and the project's intention to hone innovative approaches (TAF, SFDs, F4S).
In the light of the assumptions (outcome indicators), the ongoing development of key aspects (change) in the field of sanitation, and in the explicit context of German and international DC (improvement of enabling conditions) geared to scaling up sustainable sanitation solutions at national and international level, the maximum score achievable of 30 points is justified.

Assessment dimension 3: Monitoring whether any additional (not formally agreed) positive results and any other additional opportunities for further positive results were seized. No project-related negative results occurred, i.e. if any negative results had occurred the project would have responded adequately.
There is ample general as well as detailed information available about positive results that were not formally agreed. The project's documented interventions (at outcome and output level) and activities do not reflect the project's general attitude, understanding and concept regarding the further development of sustainable sanitation. The indirect approach of using DC programmes as a point of entry to partner systems makes it difficult to identify so-called positive but not formally agreed results. Thus, it is assumed (based on the quality of general feedback from interviewed stakeholders (NaSa 09)) that the project is contributing to the upscaling of sustainable sanitation in a very positive way and even beyond the agreed results. Indeed, none of the information refers to any negative project-related results.
Project documentation pertaining to core and other processes (support and management) is limited to its main conceptual element of intervention. Learning and innovation are considered to be integral parts of the project, as underlined by the module objective's focus on improving the enabling conditions for scaling up sustainable sanitation. This is also highlighted at the level of associated outcome indicators where the focus is on learning and innovation. The development and testing of innovative approaches in partner countries and the incorporation of project knowledge on sustainable sanitation into international and national policy processes, along with its dissemination through the SuSanA platform, all comprehensively reflect this focus. Thus, both innovation and learning are designed and implemented in such a way that they fit the overall approach and contribute to the achievement of the objective.
Although the project did not elaborate an explicit Theory of Change, the assessment has shown that the underlying assumptions along the vertical logic of the impact matrix were confirmed and addressed in project implementation and steering. Minor risks did not arise; the project team and the team leader stated that the risks had no impact on project implementation (30 out of 30 points).

The project will achieve the goal in time and in accordance with the DC measure's goal indicators agreed on in the contract. Part achievements will be finalised during the course of 2018 and by the end of the project's term (40 out of 40 points). The further development of key aspects (change) in the field of sanitation (improvement of enabling conditions) justify the maximum achievable score of 30 points for the second assessment dimension. The project is contributing to the upscaling of sustainable sanitation in a very positive way and even beyond the agreed results. Indeed, none of the information refers to any negative project-related results (30 out of 30 points).
For the three evaluation dimensions of effectiveness, this results in an overall rating of 100 points (*very successful*).

Criterion	Assessment dimension	Score
Effectiveness	The project achieves the goal in time and in accordance with the DC measure's goal indicators agreed on in the contract.	40 (out of 40)
	The services implemented by the project successfully contribute to the achievement of the goal agreed on in the contract.	30 (out of 30)
	The occurrence of additional (not formally agreed) positive results was monitored and additional opportunities for further positive results were seized. No project-related negative results have occurred, and if any negative results had occurred the project would have responded adequately.	30 (out of 30)
Overall rating for effectiveness		100 (out of 100)

4.4 Impact

Evaluation basis and design for assessing impact

The OECD/DAC criterion of impact examined the given dimensions and the related analysis questions as documented in the evaluation matrix (GIZ 01). The respective evaluation dimensions were: (1) Assess whether the superordinate long-term results occurred or were foreseen; (2) determine whether, in a global sense, the project contributed to the intended superordinate long-term results regarding the 'integration of sustainable sanitation' into relevant political processes at national and international level, the 'implementation of sustainable sanitation' and 'increased access to sanitation services', 'reducing child mortality' and 'improved health of the target group', and finally regarding the 'positive effects for the environment' (NaSa 01a, NaSa 01b).

In addition, the assessment also examined the occurrence of any additional (not formally agreed) positive results (if monitored) and asked whether additional opportunities for further positive results were seized. A third dimension looked at whether any project-related negative results occurred and, if so, whether the project responded adequately (3).

The assessment of the superordinate long-term results mainly focused on the intermediate outcomes (see Theory of Change) 'integration of sustainable sanitation in relevant political processes on the national and international level', the 'implementation of sustainable sanitation', and, where possible, on 'increased access to sanitation services'. Additional superordinate and long-term results (impacts) like 'reducing child mortality', 'improved health of the target group' and 'positive effects on the environment' were assessed by focusing on the plausibility of the underlying cause-and-effect mechanisms. In addition, other interventions (activities) relating to social, economic and ecological dimensions in the field of sustainable sanitation, the contribution to gender equality, environmental protection and safeguarding of natural resources, the reduction of greenhouse gas emissions and adaption to climate change were assessed by elaborating plausible contribution links.

Impact

Assessment dimension 1: Scheduled superordinate long-term results occurred or were foreseen.

The project's module objective refers to the improvement of enabling conditions for the scaling-up of sustainable sanitation in the partner countries and in German and international development cooperation. The result

model defines long-term results which the project aims to contribute to. Therefore, the assessment of impacts (superordinate development results) refers to the 'integration of sustainable sanitation in relevant political processes on the national and international level', to the 'implementation of sustainable sanitation', and to 'increased access to sanitation services', on a global scale. It also concerns the reduction of 'child mortality' and 'improved target-group health' as well as 'positive effects on the environment' (results model).
The Theory of Change sets out the basic assumptions and risks underlying the achievement of the improvements needed for scaling up sustainable sanitation and the superordinate long-term results. Basic assumption (2) that 'improving enabling conditions (as defined) at national and international level is leading to the integration of sustainable sanitation into relevant political processes and to the implementation of sustainable sanitation in the partner countries' offers a first and relatively reliable basis for the evidence-based evaluation of some of the defined superordinate long-term results. The detailed assessment of the outcome indicators (especially 1 - 3) shows a high degree of achievement (effectiveness) and confirms the basic assumptions regarding relations between project interventions and the improved enabling conditions: The integration of sustainable sanitation into relevant political processes on national and international level and the implementation of sustainable sanitation – named as intermediate outcomes – are contributing to the improvement of the enabling conditions as defined. Currently, four out of six innovative approaches have been considered for implementation in German DC development programmes. Moreover, seven implementing partners have tested innovative approaches developed by the project in eight countries and knowledge about sustainable sanitation has been processed and fed into four out of five international and national political processes.
Furthermore, the documented case histories illustrate the contribution comprehensively. In the case of the project's cooperation with the DC programme in India (NaSa 26), two programmes were implemented (Shit Flow Diagrams Promotion Initiative, capacity enhancement and preparation of city sanitation plans and septage management), both funded by BMZ and implemented by CSE, an efficient Indian NGO. One important result of direct cooperation was that the Indian Ministry for Urban Development (MoUD) decided to support 29 cities in developing SFDs under the national flagship programme Swachh Bharat Mission. In addition, as a confirmed (NaSa 12) direct consequence of cooperation, MoUD selected 131 cities to receive extensive hand-holding support, so that they could become flagship towns for faecal sludge management in India. CSE was chosen to provide support to 29 of the selected cities, based on its experience with the Shit Flow Diagrams Promotion Initiative. Thus, CSE representatives concluded that the 'initiative and its close links to the SuSanA platform have been a valuable source of support for strengthening CSE advocacy efforts to improve urban sanitation in India' and that CSE 'was one of the major actors that brought these issues to the forefront' (NaSa 27).
Another presented case story (NaSa 28) discusses how the project / SuSanA played an important role as a knowledge and discussion platform for the further development of basic sanitation solutions for the urban poor in Kenya. The implementing agency (Water Services Trust Fund (WSTF)) used the SuSanA platform to obtain inputs regarding the construction of decentralised treatment facilities as well as for capacity building and concept development along the sanitation chain. A former WSTF manager was of the opinion that the '*SuSanA Forum has allowed us to share lessons learnt from UBSUB (Upscaling Basic Sanitation for the Urban Poor) with a wide audience which have benefited others in their scaling-up effort, accelerating national efforts'*.
In addition, feedback from partners and involved stakeholders confirms the assumption in a more complex way. Given that the majority of the persons interviewed do not have a holistic perspective of the project, the statements and comments mainly referred to the SuSanA platform or to support of DC programmes ('*SuSanA has played a bigger role than we can actually imagine through the network. In the countries where we collaborate, SuSanA's ideas and publications have been supporting implementation, the donor and the government in national program and policy development. At global level, SuSanA has gained acceptance and has inspired major UN players: UNEP, UNICEF, UN Habitat the IADB, the World bank to mention a few. The regional and national push have been very important*. Last year when GIZ connected the SuSanA platform was very interesting, since the knowledge feeds into implementation allowing cross-breeding of knowledge worldwide' (NaSa 09)). The summary of comments and statements clearly confirm the assumption (2) mentioned above.

There is no information available about the project's direct contribution to increased access to sanitation services. However, the project is contributing in a more indirect way and the supported DC programmes (e.g. in India) are actively increasing or at least helping to increase access to sanitation.

In summary, the project contributed directly and verifiably to some of the intermediate outcomes (implementation of sustainable sanitation and integration of sustainable sanitation in relevant political processes on national and international level). The project's contribution to an increase in overall access to sanitation services seems plausible but difficult to attribute directly. Overall, some of the superordinate long-term results have occurred, are plausibly explained and were foreseen (35 out of 40 points).

Assessment dimension 2: The project's contribution to the intended superordinate long-term results.

The impacts concerning a reduction in infant mortality, better public health and environmental benefits are mainly expected to become apparent in the mid or long-term. Therefore, the impact assessment needs to be based on evidence-based assumptions and common sense regarding the probability of future impact.

Sustainable sanitation is seen as an enabling factor for most of the SDGs (see p. 13). The recent, final development of the Sustainable Development Goals revealed the cross-sectoral significance of safe and sustainable sanitation for achieving almost all relevant development goals. Assessing the extent of the project's direct contribution to the implementation of the partner countries' national strategies for implementing the 2030 Agenda (SDGs) is obviously difficult, as it would require a more detailed analysis of the context in each of the partner countries (this is considered to be beyond the scope of this evaluation).

The assumed understanding is that improved sanitation is connected to a number of aspects that help increase the economic, ecological and social sustainability of individuals in a given context. For example, sustainable sanitation is considered to be a basic service and a prerequisite for escaping the poverty trap. Also, the safe reuse of wastewater increases crop yields, thus creating a link between sanitation, malnutrition and stunting. Sanitation protects and promotes human health by breaking the cycle of diseases. Sanitation by-products serve as alternatives to fossil fuel for cooking and lighting while sanitation value chains generate opportunities for micro, small and medium-sized enterprises. Furthermore, water and sanitation are considered to be one of the key basic urban services required for a clean and liveable environment.

Such effects (positive synergies on these three levels) are assumed to be effective in the longer term. However, assessments of the project's concept, approach and scope (see previous sections) show that project intervention is indirectly targeting the dimensions of sustainability. 'The sustainability criteria defined and promoted by the SuSanA platform since 2007 and the orientation of work have been very much in line with the underlying philosophy of the new 2030 Agenda and the SDG's' (NaSa 29).

The overarching strategy of the 2030 Agenda, namely 'Leave no one behind' (LNOB), was postulated when defining the Sustainable Development Goals. Consequently, LNOB was not explicit taken into consideration at the time the project's concept and approach were developed. However, the TC programmes include interventions targeting marginalised groups such as women, children and other vulnerable target groups. Furthermore, the SuSanA platform's New Vison, drafted in 2017, clearly states that the platform will respond 'to the call to leave no one behind by particularly focusing its efforts on the hardest to reach and most vulnerable people' (NaSa 29).

Other contributions (impacts) can only be attributed to project interventions based on plausible and sector-wide acceptance of the cause-and-effect interrelationship (child mortality, public health and protection of the environment). The project's contribution to the implementation of the 2030 Agenda, to the SDGs and to increasing the economic, ecological and social sustainability of individuals in a given context have been pointed out. These comments were based on the project's comprehensive conceptual understanding and approach which is described, inter alia, in the new SuSanA Vision. Overall, the project contributed to the intended superordinate long-term results.

Sustainable sanitation is seen as an enabling factor for most of the SDGs, and improved sanitation is connected to a number of aspects that help to increase the economic, ecological and social sustainability of individuals in a given context. Such effects (positive synergies on these three levels) are assumed to become

effective in the longer term. The project contributed to the intended superordinate long-term results as described (hence the score of 25 out of 30 points).

Assessment dimension 3: No project-related negative results occurred – and if they did, the project responded adequately.

It has already been said that the project delivered or is delivering a broad spectrum of initiatives in the field of sustainable sanitation beyond the formally agreed outcomes for improving the enabling conditions for scale-up. The project approach for achieving the results is the 'opportunity and leverage-oriented' intervention introduced before. Also, by its very nature, a sector-oriented programme has a focus on innovation and learning. The conceptual variety, the impressive technical level of the content and the process of exchange as well as the discussions on the SuSanA platform are all somehow self-explanatory. In synthesis, and for the sake of possible further positive outcomes at higher levels or cross-cutting themes and topics in the sanitation sector, attention should be given to the recently published SuSanA Vision. The documented understanding on how to manage the shift from the MDGs to the SDGs and the interpretation of sustainability (with the underlying philosophy of the 2030 Agenda and SDGs) highlights the integrated, sustainable and innovative horizon of the project. This includes a recognised and state-of-the-art understanding of sanitation and links to other development goals, which was also confirmed by feedback from interviewed stakeholders. Thus, the positive results were monitored and additional opportunities for further positive results were seized. By contrast, as far as currently known, there are no project-related negative results as a consequence of the project interventions articulated and documented (30 points).

In summary, some of the announced superordinate long-term results have occurred, are plausibly explained and foreseen (35 out of 40 points). Sustainable sanitation is seen as an enabling factor for most of the SDGs and improved sanitation is connected to a number of aspects that are helping to increase sustainability. The project contributed to the intended superordinate long-term results (25 out of 30 points). Positive results with regard to project interventions were monitored, no project-related negative results arising from project interventions were articulated and documented (30 of 30 points). For the three evaluation dimensions of impact, this leads to an overall score of 90 points (*successful*).

Criterion	Assessment dimension	Score
Impact	The scheduled superordinate long-term results occurred or were foreseen (should be plausibly explained).	35 (out of 40)
	The project contributed to the intended superordinate long-term results.	25 (out of 30)
	Any additional (not formally agreed) positive results have been monitored and additional opportunities for further positive results were seized. No project-related negative results occurred – and if they had, the project would have responded adequately.	30 (out of 30)
Overall rating for impact		90 (out of 100)

4.5 Efficiency

Evaluation basis and design for assessing efficiency
The OECD/DAC criterion of efficiency was applied to the evaluation dimensions and to the related analysis questions documented in the evaluation matrix (GIZ 01). The respective evaluation dimensions refer to: (1) The appropriateness of the project's use of resources with regard to the outputs achieved. This looks at how cost-effectively the objectives (indicators) at outcome level and, to a limited extent, at output level were achieved. It also considers the appropriateness of the project's use of resources with regard to achieving the DC measure goal (outcome). Efficiency was analysed using a 'follow-the-money' approach. Efficiency assessments in GIZ central project evaluations centre on two core aspects: production efficiency and allocation efficiency. Production efficiency describes the transformation of inputs to outputs while allocation efficiency describes the transformation of inputs to outcomes/impacts. For the analysis of production efficiency, and here specifically the 'follow-the-money' analysis, an Excel tool was used. This tool is designed to assign resources retrospectively to the respective outputs and to compare the findings with the progress achieved for each of the indicators associated to each output. The criteria of relevance and sustainability were assessed using the evaluation questions (evaluation matrix).

Efficiency
Assessment dimension 1: Appropriateness of the project's use of resources with regard to the achieved outputs (production efficiency).
The project has a budget of EUR 3,000,000 (BMZ). The additional budget of EUR 2,059,597 provided by the Bill and Melinda Gates Foundation (cofinancing agreement BMGF) is being used to boost funding of project activities. This evaluation did not entail a detailed analysis of cost allocation for each source of financing. The sometimes challenging conditions regarding the timely availability of budget funding for paying staff and financing project activities necessitated flexible financing procedures which were difficult to follow up and document properly within the scope of this evaluation.

Alternative ways of allocating the additional BMGF budget (e.g. a separate output) were discussed. Finally, following consultations with the team leader, the additional budget was distributed across the four outputs by way of a reasonably validated contribution. It is important to bear in mind that although the additional budget is used to support the development and implementation of activities in all four working areas, the main focus is on Output B: Integration of sustainable sanitation into urban development processes.
The review of the main conceptual/thematic element (SFDs) of the BMGF cofinancing agreement reveals the logic behind this distribution pattern: SFDs are introduced in the working areas as an innovative instrument for application in DC programmes, as a planning tool at city level and as a policy sensitisation instrument at policy level. At the international level, SFDs were developed further as a conceptual element of sustainable sanitation.
Some 20% of the BMGF cofinancing budget was assigned to Output A (Consideration of innovative sustainable sanitation solutions in DC programmes), Output C (Translation of formats for scaling up approaches to the policy level) and Output D (Improvement of international exchanges on sustainable sanitation practices and concepts) respectively. Output B was allocated 40% of BMGF cofinancing (see Figure 5). Strengthening planning and implementation capacities for sustainable sanitation in cities comprises activities and interventions in urban sanitation and is expected to be the project's most important and cost-intensive area of intervention, including outcomes at target group level (indirectly via DC projects).
However, it should be emphasised that the distribution pattern, although based on a plausible justification, inflates the total budget in each of the working areas. This is because a considerable share of the additional BMGF budget was spent on overarching topics and themes (e.g. research).
As described above, the first step in the analysis of production efficiency was to examine how much money had been allocated or spent so far in the four working areas and how much of the budget was spent on overarching costs. The results are presented in Figure 5, show that 96 % of the overall budget was distributed to the four outputs and 4% to the overarching costs. A more detailed assessment of the project's accounting practices (direct/indirect costs) were not undertaken, because not all accounting documentation was on hand. However, discussions held with the team leader confirmed a plausible allocation of direct costs to the outputs and/or overarching costs.

The detailed review of what has been achieved in the working areas in relation to the budget invested in the corresponding activities (output indicators) leads to the following figures[4]:
Firstly, EUR 1,070,679 or 25 % of the overall budget was spent on scaling up sustainable sanitation approaches in DC programmes (Output A). Two approaches (F4S, TAF) were prepared and introduced to German DC and ten (target: seven) advised DC programmes are considering innovative approaches for further scaling-up. Documents and protocols (NaSa 30) referring to respective (scaling-up) steps give a comprehensive overview of the partners and the institutional involvement of the interventions. Both indicators (A.1, A.2, see NaSa 01a) of Output A were achieved (WOM). The evaluation did not undertake a detailed assessment of the output indicators.
Secondly, EUR 1,189,766 or 28% of the overall budget was spent on strengthening city planning capacities (Output B). The project upgraded and presented one approach for integrating the SFD concept into city planning processes (CSP); a second CSP is almost ready (B.1). A series of case studies and thematic documents give an overview about how sanitation in cities has been developed and which partners were involved (NaSa 31). Feedback about the quality and effectiveness of capacity development activities for planning staff (B.2) in different countries and DC programmes is very good. Selective feedback from some of the staff involved that was gained during the appraisal of the new sector programme confirms the effectiveness of respective activities (NaSa 32). One indicator of Output B (see NaSa 01a) was achieved, another will be achieved by the end of the project term and a detailed survey is under preparation (WOM).
Thirdly, EUR 708,786 or 17% of the overall budget was spent on translating scale-up formats to policy level (Output C). The project produced or introduced five (out of nine) policy documents (C.1) and positioned three

[4] Being an interim evaluation, these numbers reflect the cost-output / outcome ratio at the time of the evaluation (first half of 2018).

(out of four) scaling-up concepts / approaches at international sector level (C.2). The policy documents (scaling-up formats) presented to the policy level and the thematic contributions illustrate the high-ranking focus of the interventions (e.g. UNICEF, IWA …) and the relevance of presented thematic documents (NaSa 33). Both indicators are on track (WOM). It is reasonable to assume (statements of team leader and staff) that the indicators will be achieved by the end of the project term.
Finally, EUR 1,200,764 or 26% of the overall budget was spent on further improving the international exchange (Output D). The project contributed specifically to the development of five (out of six) thematic documents for the SuSanA platform (D.1). It steadily increased the number of users of the SuSanA platform (D.2). The project assisted six (out of ten) SuSanA partners from different countries to integrate solutions into national policy processes (D.3). The variety of the different examples and documents presented is convincing. The indicators are on track (WOM). It is reasonable (statements of team leader and staff) to expect the indicators will be achieved by the end of the project term.

Figure 5: Overview

	Output A	Output B	Output C	Output D	Output E	Übergreifende Kosten
Outputs	Output A: Ansätze für das Scaling-up von nachhal-tiger Sanitärversorgung werden bei der Planung von Vorhaben der deutschen EZ zunehmend berücksichtigt.	Kapazitäten von Planungs- und Umset-zungsverantwortlichen auf kommunaler Ebene sind im Hinblick auf die Integration von nachhaltiger breitenwirksamer Sanitärversorgung in Stadtentwicklungsprozesse gestärkt. (inkl. Kofi)	Output C: Ansätze für das Scaling-up von nachhaltiger Sanitärversorgung sind in politikfähige Formate übersetzt.	Output D: Der internationale Austausch zwischen Akteuren aus Politik, Praxis und Wis-senschaft zur Förderung nachhaltiger breitenwirksamer Sanitärversorgung ist weiter verbessert.	0	
Kosten inkl. Obligo	658.759,95 €	365.927,43 €	296.567,26 €	708.844,97 €	0,00 €	168.200,20 €
Ko-Finanzierungen	411.919,40 €	823.838,80 €	411.919,40 €	411.919,40 €	0,00 €	0,00 €
Partnerbeiträge	0,00 €	0,00 €	0,00 €	0,00 €	0,00 €	0,00 €
Gesamtkosten	**1.070.679,35 €**	**1.189.766,23 €**	**708.486,66 €**	**1.120.764,37 €**	**0,00 €**	**168.200,20 €**
Gesamtkosten in %	**25%**	**28%**	**17%**	**26%**	**0%**	**4%**
Geplante Kosten	280.000,00 €	128.000,00 €	88.000,00 €	304.000,00 €	0,00 €	

Seen from a more quantitative perspective, the achievements at output level show that the given service packages dedicated to improving the enabling conditions were essentially implemented as planned. A detailed qualitative assessment of the outputs and of the project's real contribution to creating and producing said outputs in terms of thematic leadership or ownership was not undertaken.
However, the selective and detailed review of the products (see Section 5.2 for more detail) is convincing, considering the conceptual aspects and the quality of the products. Selective but significant feedback from the partner side (NaSa 09a) regarding the outputs and their quality underline the very positive way that achievements are perceived at output level and underscore the quality of the results and products.
The question as to whether different distribution of the financial resources would have led to better results at output level is difficult to answer. It is understood that intervention planning in the four working areas was based on the agreed results matrix with relatively open indicators, leaving room for flexibility in terms of embracing upcoming opportunities for fulfilling the agreed outcome and indicators. Consequently, financial resources were distributed to the working areas in line with current requirements and upcoming opportunities for achieving the indicators.
A relatively small share (15%) of the overall budget (beyond staff costs comprising 55% and financing agreements with implementing partners, comprising 30% of the overall budget) was spent on looking for upcoming thematic opportunities in the given context. The objective was to leverage effects to the highest extent possible ('seed money').
Nevertheless, before implementation got underway, the project team analysed and discussed the possibility of tendering larger service packages out to consulting companies in order to minimise the transaction costs of the tender procedures. In the end, this was not done however. The specific nature of the interventions and the loss of flexibility in responding to upcoming issues/themes would not have helped to maximise outputs or to increase the quality of the results under identical implementation conditions. Project staff members confirmed that other, alternative approaches to achieving the agreed indicators and outputs had not been discussed. This is because the given approach, which is based on lessons learnt and experiences of the previous sector project, has proven to be adequate and efficient. The analysis of budget plans (NaSa 36) and

reports delivered to the commissioning party show that no considerable deviations were observed during the project term. The budget figures were reported to the commissioning party in quarterly reports. As the successful implementation of activities in Working Area C (Translation of formats for scaling up approaches to the policy level) culminated in the overachievement of the respective indicator target, the remaining budget was distributed to other working areas according to their respective needs. According to statements from the project team and from the team leader, discussions as to how much of the project's limited budget should be spent on financing requisite technical experts and on tasks within each working area – and also for selected activities (together with DC programmes – in cities (urban sanitation)) of the partner countries, at policy level and within the SuSanA platform – were held during the operational planning of the project and while it was ongoing.
Considering the specific characteristics of sector programmes, the project's use of resources in the given context would seem to be appropriate in view of the outputs achieved. Full achievement of the indicators at outcome and output level is highly likely (effectiveness). It is assumed that the output-resources ratio and possible alternatives in achieving the outputs were reflected adequately. Output maximisation has become a permanent element of the project's strategy.
However, more comprehensive cost accounting would have helped to reflect the output-resources ratio and to possibly identify potential opportunities to improve the ratio. Overall, the project's use of resources would appear to be appropriate with respect to the outputs achieved; its production efficiency is rated as very good (70 out of 70 points).

Assessment dimension 2: Appropriateness of the project's use of resources with regard to achieving the DC measure goal (outcome) (allocation efficiency).
The question as to whether the project's use of resources is appropriate with regard to the outcomes would appear to be difficult to answer. There was no direct feedback from the key stakeholders interviewed about the appropriate use of resources in relation to the outcomes achieved.
However, the assessment (maximisation of outcomes) of the respective modes of delivery (using the DC programme as a focal point for scaling-up, coordination of approaches) in each of the working areas, combined with the almost 100% achievement of indicators at outcome level (effectiveness), points to the conclusion that the outcomes were achieved in an appropriate manner. Positive acknowledgement of the project's engagement in one of the working areas confirms this conclusion. Feedback from the very small number (24) of interviewed stakeholders (as detailed in Section 4.1) with a holistic understanding of the project structure, log frame and working areas highlighted the project's ongoing contribution and the longstanding and focused approach to supporting sanitation (NaSa 09).
In the light of its moderately sized budget, the project has managed to implement a wide range of interventions whose outcomes were in line with expectations. The strategic focus of the programme appears to be well defined. Also, the selection and design of specific interventions took windows of opportunity into account. The project's limited budget and the defined outcome (indicators) required efficient processes and highly specified sectoral knowledge to harness current and upcoming opportunities.
Scaling-up options were fully considered. The project's main conceptual focus is the scaling-up of innovative and sustainable sanitation solutions in the partner countries, whereby DC programmes are to be used as a point of entry for introducing and applying said solutions. The cofinancing agreement with BMGF created synergies by further developing and introducing an innovative instrument (SFD) as a core element of scaling-up.
The positive results of the effectiveness assessment and the achievements at output level lead to a similar positive conclusion regarding the way the project uses resources for achieving the DC measure's goal (outcome). Production efficiency and allocation efficiency are rated as good, although the latter will partly depend on the degree to which the intended impacts (outcomes) can be achieved in the medium term (25 out of 30 points).

Overall, the project's use of resources seems to be appropriate with regard to the outputs achieved. Its production efficiency (60 out of 70 points) and allocation efficiency are rated as good, whereby the latter will partly depend on the degree to which the intended impacts (outcomes) can be achieved in the medium term

(25 out of 30 points). For the two evaluation dimensions of efficiency, this results in an overall score of 95 points (*very good*).

4.6 Sustainability

Evaluation basis and design for assessing sustainability

The OECD/DAC criterion of sustainability was applied to the evaluation dimensions and to the related analysis questions documented in the evaluation matrix (GIZ 01). It refers to: (a) The extent to which the project results are anchored in the partner structures, (b) the durability forecast for its results, and (c) the ecological, social and economic balance of the project results. The assessment of the extent to which the results are anchored in the partner structures is based on the results of the effectiveness assessment (Outcome Indicators 1 to 4).

In addition, feedback from GIZ staff, stakeholders and partners was used to gather information about: how the results can be anchored in the partner structures; what has already been achieved or what is needed for anchoring the project results in partner structures.

Sustainability

Assessment dimension 1: Prerequisite for ensuring the long-term success of the project: how results are anchored in the (partner) structures.

The project's understanding of sustainability (NaSa 01) is as follows: It aims to ensure that the sanitation approaches promoted are adopted as standards in strategies at national level (e.g. CSPs) and integrated into urban development processes (e.g. SFDs).

Thus, the promoted approaches should be anchored in institutions in the partner countries (ministries, authorities, city administration, local government, etc.). It is further expected that they will be permanently used in those countries. With regard to the SuSanA platform, the project is in charge of developing a strategy with the SuSanA partners in order to ensure SuSanA's long-term organisational and financial sustainability (NaSa 01).

The outcome indicators and Basic Assumption 2 (improvement of enabling conditions at national and international level is leading to the integration and implementation of sustainable sanitation) are key to assessing sustainability. Based on the definition given (for improving enabling conditions), the assessment focuses on promoted sanitation approaches at national and international level. Specifically, it examines how these approaches are anchored (permanently used) in the targeted partner structures.

The assessments of effectiveness (Section 5.3) and impacts (Section 5.4) highlight what the project has already achieved or will be achieving in the medium to long term. The following examples show what has been achieved in terms of anchoring and permanent use. Overall, the project's contribution in terms of influencing and supporting the development and final international decision-making process surrounding SDG 6.2 definitely led to a sustainable political and institutional framework for the ongoing evolution of sustainable sanitation worldwide. The actual extent to which the project contributed to the final version and to the understanding of sanitation in SDGs is difficult to quantify. Interviewed stakeholders mentioned the project's conceptual contribution to the new understanding of sanitation in SDGs in a positive way (e.g. *SuSanA platform has played an important role of speeding up sustainability thinking in the sector*, NaSa 09).

The final endorsement of BMZ's Water Strategy fulfils the same sustainability criterion as above. The level of project engagement in supporting the discussion process and drafting the respective content for the new Water Strategy definitely led to a sustainable political and institutional framework for the further evolution of sustainable sanitation in German DC. While there is no doubt the project made a contribution, the true scale of this contribution is difficult to quantify. However, interviewed stakeholders (BMZ, GIZ, and BGR) underlined the project's contribution to the final version of the SDG.

Consideration of sanitation approaches within project intervention overall shows the high importance of SFDs as an approach, a concept and an instrument for planning and implementing sanitation solutions in partner countries. The success in scaling up and institutionalising SFDs in India (Section 4.2) ensures the political and institutional sustainability of the approach and its ongoing application. Recently, new add-ons have been

made available online (online SFD Graphic Generator: sfd.susana.org/data-to-graphic), enabling the use of SFDs on the SuSanA platform (together with an intensive and professional conceptual discourse). This supports the application and further promotion of SFDs now and in the medium term. Statements (NaSa 09) from interviewed stakeholders confirm the meaningful role and function of SFDs in the sanitation sector. This can be seen as evidence that the SFD approach that is being anchored at international level.
The same conclusion can be made for the F4S approach. 'Water, sanitation, and hygiene in schools are considered to be altogether integral to sustainable development. SDGs, particularly SDG 6 on water and sanitation, SDG 5 on gender equality, SDG 4 on education and SDG 3 on health and wellbeing recognise the central role of Wash in Schools (WinS) towards reaching the SDGs' (NaSa 34).
With regard to the SuSanA platform, the project is helping relevant partners develop a concept that will ensure the platform's long-term organisational and financial sustainability. The BMGF budget is being used to modernise and upgrade the platform's functionality (NaSa 35). The partners increasingly share financial responsibility for the platform's operation and its further development (Section 4.2). Thus, both packages are helping to strengthen the platform's financial and institutional sustainability.
The question as to the short and medium-term availability of organisational, human, financial, and economic resources and capacities within defined partner structures (e.g. in cities for the integration of sustainable sanitation in planning procedures) to ensure the further use and application of said concepts and approaches has still not been answered. However, the conditions for mobilising resources appear to be slightly favourable.
With regard to the resources in partner countries, the example introduced in India (SFDs and CSPs) is exceptional, as it is shows how to correctly anchor concepts and approaches in cooperation with ongoing DC projects. However, the government's budgeting policy for sanitation plays a crucial role, as it is decisive for future achievements in the sanitation sector.
It was commented (NaSa 09a) that the increasing interest in the sanitation SDG and the greater understanding of the cross-cutting impacts of sustainable sanitation for development at national and international level will be supportive in this respect (availability of resources and capacities).
The project did not need to develop an exit strategy. Future engagement as a sector project was confirmed by BMZ and a comprehensive proposal based on lessons learnt and detailed feedback from interviewed stakeholders presented to BMZ (June 2018).

Overall, the project contributed by anchoring concepts and approaches within the partner systems (e.g. ministries, authorities, city administrations) being used for DC projects that were supported by the project. The real contribution should be seen in the context of the project's overall strategy, concept and engagement in the sanitation sector, as synergy is generated by combining and complementing activities and interventions. Documented/introduced examples (SDG 6.2, BMZ Water Strategy, SFD approach, F4S approach, and SuSanA platform) and sustainability aspects as introduced below show that the project contributed substantially to anchoring the approaches. In addition, the conditions for the required mobilisation of resources in some of the targeted partner structures seem to be favourable. Overall, a score of 30 points (out of 40) is justified.

Assessment dimension 2: Forecast of durability, whether the results of the project are permanent, stable and exhibit long-term resilience.
Any forecast of durability regarding the medium and long-term resilience of the project's results should be seen in the context of sustainability as outlined above (e.g. government's budgeting policy for sanitation). Durability and long-term resilience depend on the current and future quality of the enabling conditions for the scale-up of sustainable sanitation, as described and specified in each of the project's intervention areas (partner structures). However, given that the project is built on the experiences and concepts of the previous module and will continue to support the ongoing promotion and development of innovative sanitation concepts and approaches, its durability outlook is considered to be promising – as long as the DC programmes continue to cooperate with the project and as long as future political changes or risks do not interfere in a negative way. Overall, and considering the difficult modes of delivery, a score of 25 points (out of 30) is justified.

Assessment dimension 3: The results of the project are ecologically, socially and economically balanced.
Sustainable sanitation, as it is understood in the given context and against the backdrop of the provenly integrated character of SDG 6 and its cross-cutting impacts for development (as introduced), explicitly refers to the interactions between the environmental, social and economic dimensions of sustainability at an underlying conceptual level. With regard to the sustainability dimensions of the achievements described in the partner countries (TAF, SFDs, F4S, etc.), the balance is dependent on specific interventions and on conceptual embedding in respective (sustainability) concepts of DC programmes with a local (sanitation sector partner countries) or regional (F4S) focus. The increased interest in sustainable sanitation is creating favourable conditions for its integration and for public funding for such approaches (TAF, SFD). This is positive for the financial sustainability of the approaches, whereby the financial sustainability of the W4S approaches greatly depends of the willingness and capacity of the responsible ministries/authorities to sustainably anchor financial resources in public budgets.
Furthermore, SFD development features environmental as well as social aspects in a prominent way. TAF is used as a method for reflecting relevant needs regarding the environmental, social and economic/financial aspects of sustainable sanitation approaches. F4S is designed in an integrated way, contributing to the achievement of various SDGs as pointed out previously.
Overall, it is considered that the project's underlying principles, strategies, concepts and outcomes comply with the stated sustainability dimensions. Targeted objectives in the medium and the long term comprise a balanced mix of ecological (environmental protection), social (public health, safe access to sanitation) and economic (feasible solutions) results. Particularly disadvantaged population groups (e.g. the poor, women and girls) benefit in a more indirect manner, seeing as they are a programmatic pillar of German DC programmes.
Overall, at the present time, the project and its interventions are comprehensively connected with sustainable sanitation in a holistic sense. Moreover, it takes ecological, social and economic aspects of sustainability into account as far as permitted in the specific context (sector programme) (25 points).

The project contributed substantially by anchoring concepts and approaches within the partner systems while the SuSanA platform increased its level of financial and institutional sustainability. Its score of 30 points (out of 40) is justified. The project promises to be durable, as long as the DC programmes continue to cooperate with it and as long as future political changes or risks do not interfere in a negative way. In this respect, it scores 25 points (out of 30). The project's underlying principles, strategies, concepts and outcomes comply with the stated sustainability dimensions. The targeted objectives in the medium and long term comprise a balanced mix of ecological (environmental protection), social (public health, safe access to sanitation) and economic (feasible solutions) results. It scored 25 points (out of 30). For the three evaluation dimensions of sustainability, this culminates in an overall score of 80 points (*rather successful*).

4.7 Key results and overall rating

Relevance: The results model and the Theory of Change show how the project intervenes in the four components and present the underlying basic assumptions. The project fits into the relevant strategic reference frameworks and is fully in line with national and international strategies and concepts (40 out of 40 points). Improving the enabling conditions for scaling up sanitation solutions at global and national level and the support for DC projects in realising WASH-related targets and objectives match the needs (no access to sustainable sanitation) of the target group (30 out of 30 points).
The results logic reflects the needs defined at the time the project was designed (as a sector programme aiming to advise BMZ in sanitation policies). The Theory of Change highlights the comprehensive logic of the project's interventions and the presented results confirm that the project's setup is heading towards the agreed targets. Thus, taking the circumstances and the orientation as a sector programme into account, the project is considered to be well designed for the chosen goal (20 out of 20 points).
There was no need to change the project's overall conceptual design, as it has proven capable of developing

and implementing activities in line with the requirements and of re-adapting them where necessary (10 out of 10 points). The OECD/DAC criterion of relevance with its four evaluation dimensions is rated as *very successful* (100 points).

Effectiveness: The project will achieve the goal in time and in accordance with the DC measure's goal indicators agreed on in the contract. The current status of implementation was determined by assessing the quantity and quality of achievements with respect to the outcome indicators. In terms of operational planning for 2018, it can be assumed that any targets that are still outstanding will be met in the course of 2018 and by the end of the term (35 out of 40 points).
The further development of key aspects (change) in the field of sanitation (improvement of enabling conditions), and in the explicit context of German and international DC targeting the scaling-up of sustainable sanitation solutions at national and international level, justify the maximum achievable score of 30 points.
Ample general as well as detailed information is available about positive, albeit not formally agreed, results. The project is helping to scale up sustainable sanitation in a very positive way that even goes beyond the agreed results. None of the information refers to any negative project-related results (30 out of 30 points).
The OECD/DAC criterion of effectiveness with its three evaluation dimensions is rated as *very successful* (95 points).

Impact: In summary, the project contributed directly and verifiably to some of the intermediate outcomes. The project's direct contribution to an increase in overall access to sanitation services seems plausible but is difficult to attribute directly. Overall, some of the superordinate long-term results have occurred or are plausibly explained (35 out of 40 points).
Sustainable sanitation is seen as an enabling factor for most of the SDGs. Moreover, improved sanitation is related in many ways to enhanced economic, ecological and social sustainability, whereby such effects are assumed to be effective in the longer term. The project contributed to the intended superordinate long-term results (25 out of 30 points).
Positive results with regard to project interventions were monitored and additional opportunities for further positive results were seized. By contrast, as things currently stand, no project-related negative results due to the project interventions were articulated or documented (30 out of 30 points). The OECD/DAC criterion of impact with its two evaluation dimensions is rated as *successful* (90 points).

Efficiency: Full achievement of the indicators at outcome and output level is highly likely. Output maximisation has become a permanent element of the project's strategy. Overall, the project's use of resources seems to be appropriate with regard to the outputs achieved and its production efficiency is rated as good (70 out of 70 points). The positive results of the effectiveness assessment and the achievements at output level lead to a similar positive conclusion regarding the project's use of resources for achieving the DC measure's goal (outcome). Production efficiency and allocation efficiency are rated as good, although the latter will partly depend on the degree to which the intended impacts (outcomes) can be achieved in the medium term (25 out of 30 points). The OECD/DAC criterion of efficiency with its two evaluation dimensions is rated as very *successful* (95 points).

Sustainability: The project contributed to long-term success by anchoring concepts and approaches within the partner systems used for DC projects supported by the project. The SuSanA platform increased its level of financial and institutional sustainability. The project's real contribution should also be seen in the context of its overall strategy, concept and engagement in the sanitation sector, as synergy is created by combining and complementing activities and interventions. Documented/introduced examples and highlighted sustainability aspects show that the project contributed substantially to the anchoring of approaches. In addition, the conditions for mobilising resources in some of the targeted partner structures seem to be favourable. Overall, a score of 30 points (out of 40) is justified.
As the project will continue to promote and develop innovative sanitation concepts and approaches, its durability is considered to be promising – as long as the DC programmes continue to cooperate with the project

and as long as future political changes or risks do not interfere in a negative way. It scored 25 points (out of 30).
The project's underlying principles, strategies, concepts and outcomes are deemed compliant with the stated sustainability dimensions. Targeted objectives in the medium and long-term comprise a balanced mix of ecological (environmental protection), social (public health, safe access to sanitation) and economic (feasible solutions) results. Particularly disadvantaged population groups (e.g. the poor, women and girls) benefit in a more indirect manner, seeing as they are a programmatic pillar of TC programmes implemented as part of German DC.
The project and its interventions are comprehensively geared to sustainable sanitation in a holistic sense and to the relevant social and economic aspects of sustainability as far as the specific context (sector programme) allows. The project scored 25 points (out of 30). The OECD/DAC criterion of sustainability with its two evaluation dimensions is thus rated as *rather successful* (80 points).

Criterion	**Score (out of 100)**	**Rating**
Relevance	*100*	*very successful*
Effectiveness	*95*	*very successful*
Impact	*90*	*successful*
Efficiency	*95*	*very successful*
Sustainability	*80*	*rather successful*
Overall score and rating for all criteria	*92*	*very successful*

100-point scale (score)	6-level scale (rating)
92-100	Level 1 = very successful
81-91	Level 2 = successful
67-80	Level 3 = rather successful
50-66	Level 4 = rather unsatisfactory
30-49	Level 5 = unsatisfactory
0-29	Level 6 = very unsatisfactory

5 Conclusions and recommendations

5.1 Factors of success or failure

Using DC programmes as a focal point for scaling up and coordinating approaches in each of the working areas, together with almost 100% achievement of the indicators at outcome level (effectiveness), leads to the conclusion that the way (advisory process) the outcomes were achieved was integral to the project's successful dissemination of knowledge and experiences. Positive acknowledgement of the project's engagement in one of the working areas confirms this conclusion. Feedback from the very small but competent number of interviewed stakeholders with a holistic understanding of the project structure, log frame and working areas highlighted the project's ongoing contribution and its enduring and focused approach to supporting sanitation.

5.2 Conclusions and recommendations

Advisory services for BMZ are a core process of the project. This sound, client-oriented advice to the ministry embedded in an integrated understanding of sustainable sanitation should be guaranteed and taken further.

Process documentation: Better documentation of (advisory and support) processes in each of the working areas (components) would help to better understand the project's real contribution in a given context. Such documentation could serve as a reference for more detailed assessments (contribution analysis).

Contribution stories: The story provided was very helpful in terms of understanding the project's contribution.

The format should be developed further (format, structure) as a standard that the project can refer to for documentation purposes and for ‘promoting’ impacts.

The focus on other programmes and projects (TC, FC) that advocate sanitation solutions is promising and should be taken forward in line with priorities, thereby creating beacon solutions for sustainable sanitation.

The interface (advisory support) between project and ‘clients’ (TC, FC) is key in promoting and introducing sustainable sanitation solutions. A concept or guideline (developed by the project) on how best to start, implement and follow up the advisory process (one-stop shop) would possibly increase effectiveness of support.

The development and implementation of scaling-up options and opportunities in close cooperation with the sector programme Sanitation for Millions (S4M) would increase the level of achievements (outcomes, impacts) of both sector programmes.

Shit Flow Diagrams: The use of diagrams has proven very expedient. Their ongoing development and introduction as a conceptual reference and tool for the design and implementation of sustainable sanitation solutions should be one of the key advisory services of the project.

The further development of offsite sanitation solutions, including decentralised treatment facilities and concepts for faecal sludge management (FSM) in urban and peri-urban living areas, is urgently needed in the sanitation sector. The project should continue to concentrate its efforts on collecting and promoting experiences and best practices at international level (SuSanA platform).

Further support for the institutional and technical development of the SuSanA platform as it evolves into a global actor (knowledge management) and the modernisation of its functionality (Sanitation Google) necessitates conceptual guidance and should be based on a clear project idea or vision.

Annex

Annex 1: Evaluation matrix

	Evaluation Dimension	Analysis question	Evaluation indicator	Available data source	Other planned data collection projects	Evaluation strategy (evaluation design, method, procedure	Expected evidence strength (narrative
Relevance	**RELEVANCE**						
	The project fits into the relevant strategic reference frameworks	Which framework conditions or guidelines exist for the project?	[List of relevant Strategies and frameworks from evaluators perspective: - at level of country/region: ... - at international level: Agenda 2030, ... - German development Cooperation: … - other relevant interventions in the region and sector: …	- check with project -	DOK: GIZ-external documents: the relevant strategies and frameworks **INT: Interviews with GIZ staff and partners**	Analysis matrix to list the important aspects of the documents?	Medium, because of interest-driven interview partners.
		To what extent does the project contribute to the implementation of the underlying strategies (if available, especially the strategies of the partner countries)?	The relevant strategies and frameworks are available and known by the project. The project fits into the relevant strategic reference frameworks. No important aspects of the relevant strategic reference framework were left out in the project concept.	DOK: GIZ-documents for comparing: programme proposal, module proposal, results matrix, results model and results hypotheses (Theory of Change, ToC). ToC: old or current?	**INT: interviews with GIZ staff and partners**	Analysis matrix (see above) to compare GIZ-external with GIZ Project documents	High, because documents should clearly show link + triangulation via interviews.
		To what extent does the TC-measure fit into the programme and the BMZ country strategy (if adequate)?					
		How was the country's implementation and accountability for Agenda 2030 set up and what support needs were defined?					
		Sectors etc. Is there a prioritisation of the objectives of Agenda 2030 within a country context? To which SDGs does the project contribute? To what extent is the contribution of the intervention to the national/global SDGs reflected in the ToC?					
		Cross-sectoral change strategies, etc. Where has work been carried out on a supra-sectoral basis and where have such approaches been used to reinforce results/avoid negative results?					
		To what extent are the interactions (synergies/trade-offs) of the intervention with other sectors reflected in conception and ToC – also regarding the sustainability dimensions (ecological, economic and social)?					
	Suitability of the the project concept to match core problems/needs of the target groups (only Outcome and Impact level?)	To what extent was the concept designed to reach particularly disadvantaged groups (LNOB principle)? Which prerequisites were addressed for the concept and used as a basis?	The needs of the target group were correctly identified. Relevant disadvantaged groups were correctly identified. Safeguards&Gender Aspects were taken into account. The project concept mirrors the findings of the above named analysis of 1. target group needs, 2. disadvantaged groups needs, 3. important Safeguards&Gender aspects.	DOK: GIZ-documents: programme proposal, module proposal, results matrix, results model and results hypotheses (Theory of Change, ToC). Gender Analysis, Umwelt und Klimaprüfung (ZAK Dokumente?)	DOK: Analysis of sectoral and international documents	Analysis matrix (see above) to compare GIZ-external with GIZ Project documents	High, because documents should clearly show link + triangulation via interviews.
		How are the different perspectives, needs and concerns of women and men represented in the change process and how are the objectives represented (Safeguard & Gender)?					
		To what extent is the chosen TC-measures' goal geared to the core problems/needs of the target group?					

	The design of the project is adequately adapted to the chosen goal (only output level?)	Results logic as a basis for monitoring and evaluability (Theory of Change) o Are the hypotheses plausible? o Are the risks pre-sented plausibly?	The theory of change is clearly described in-cluding: activities and instruments, outputs, outcome, if needed several outcome di-mensions, impact, sys-tem boundary, risks and particularly hypoth-eses linking the ele-ments. The risks are 1. evi-dence-based, 2. plausi-ble The hypotheses be-tween outputs (with ac-tivities and instruments) and Outcome are 1. ev-idence-based, 2. plausi-ble. (Wünschenswert: Short Literature Review to check if hypotheses are plausible) Overloading				
		Is the strategic reference framework well anchored in the concept? (nach oben?)					
		To what extent does the strategic orientation of the project address changes in its framework conditions. (nach unten?)					
		How is/was the complexity of the framework conditions and guidelines handled? How is/was any possible overloading dealt with and strategically focused?					
	The conceptual design of the project was adapted to changes in line with requirements and re-adapted where applicable.	What changes have occurred?					
		How were the changes dealt with?					

	Evaluation Dimension	Analysis question	Evaluation indicator	Available data source	Other planned data collection projects	Evaluation strategy (evaluation design, method, procedure)	Expected evidence strength (narrative)
	EFFECTIVENESS						
Effectiveness	The project achieves the goal on time in accordance with the TC-measures' goal indicators agreed upon in the contract.	To what extent has the agreed TC-measures' goal already been achieved at the time of evaluation, measured against the goal indicators?	Module objective indicators: 1) Different innovative approaches disseminated by the project for the scaling up of sus san have been considered in the implementation of 6 projects of German TC in a gender sensitive manner 2) 10 implementing partners in 8 countries (i.e. municipalities, operators, NGOs) tested innovative approaches developed by the sector programme (SFD, City Sanitation Plans) for the integration of sustainable sanitation with a broad impact into urban planning 3) Knowledge about the subject sustainability in sanitation has been prepared and fed into 5 international and national political processes (i.e. sector concepts, country strategies, GIZ sectoral working groups (Fachverbünde), SDGs, Habitat III) 4) 3 approaches for the scaling up of sustainable sanitation harmonized by the sector programme with international cross-sectoral stakeholders from politics, practice and academia are availabe publicly in a ready-for-use form. 5)SuSanA partners contribute 75 % of the overall costs of the platform through cooperation systems (i.e. regional groups, third party funds)	Progress reports to BMZ WoM system of the project (available?) Several results presentations ("Belege") by the project	Interviews with commissioner (BMZ), partners and other stakeholders of the programme	Analysis of documents Contribution analysis	For monitoring system: high For interviews: medium, since partners might not be fully aware of project indicators
		To what extent is it foreseeable that unachieved goals will be achieved during the current project term?	About 80 % of the project are achieved.	Monitoring system of project (available?) Assessment by Interview partners	Interviews		
	The services implemented by the project successfully contribute to the achievement of the goal agreed upon in the contract	What concrete contribution does the project make to the achievement of the agreed TC-measures' goal, measured against the goal indicators?	Interviewed stakeholders confirm that the project activities and outputs contributes to the achievement of the goal. Policy papers by at least three inernational and national stakeholders can directly be traced to the outputs of the project.	Project documents, especially policy papers drafted by political stakeholders supported by the project	Interviews	Contribution analysis of selected hypothesis	Fair
		Which factors in the implementation contribute successfully to the achievement of the project objectives?	1. Success factors identified by interviewed stakeholders 2. Success factors identified in the project documentation	Project doumentation	Interviews	Contribution analysis, qualitative interviews	Limited: Interviewed stakeholders might be biased since they have an interest in the continuation of the project
		What other/alternative reasons contributed to the fact that the objective was achieved or not achieved?	The assessment of selected alternative hypothesis tested through text tracing show that others factors contribute to the achievement of objectives	Project documentation	Interviews Process tracing	Context analysis Contribution analysis	
		Are core, support and management processes designed in such a way that they contribute to the achievement of the objective?	1) 2/3 of the staff state that 80 % of core, support and management processes support the achievement of the obectives 2) Processes can plausibly be linked to the module objective	Capacity works documents	Interviews	Contribution analysis Qualitative interviews	Medium

	To what extent have risks (see also Safeguards & Gender) and assumptions of the Theory of Change been addressed in the implementation and steering of the project?	The impact matrix and the WoM system shows that risks have been identified and montitored constantly during the implementation	Impact Matrix Gender analysis WoM system	Interviews	Documentation analysis Qualitative interviews	High
The occurrence of additional (not formally agreed) positive results has been monitored and addition-al opportunities for further positive results have been seized. No project-related negative results have occured – and if any nega-tive results occured the project responded adequately.	Refers to Option A, Sustainability (determination of interactions in effectiveness and impact):				?	
	To what extent were risks of unintended results assessed as observation fields by the monitoring system (e.g. compass)?	The WoM shows that risks of unintended results and risks have been monitored. The rationale of management decisions based on the identification of external changes/risks and/or unintended results is documented and conducive towards the project goal.	WoM	Interviews	Analysis of WoM	high
	To what extent have the project's benefits produced results that were unintended?	Progress reports and products prduced by the project identify results not included in the impact matrix	Progress reports to BMZ	Interviews	Contribution analysis	medium
	Which positive or negative unintended results (economic, social, ecological) does the project produce? Is there any identifiable tension between the ecological, economic and social dimensions?	Progress reports and products prduced by the project identify results not included in the impact matrix	Progress reports to BMZ	Interviews with selected German TC projects supported by the project	Contribution analysis Data triangulation	medium
	How were negative unintended results and interactions counteracted and synergies exploited?	WoM matrix and interviews shows that unintended negative results have been indentified and opprtuities been seized Operation plan and management decisions show that measures to counteract unintended negative results or to exploit synergies have been implemented (if relevant)	WoM matrix Operation plan	Qualitative interviews	Contribution analysis	Limited. Potential for bias of interviewed stakeholders, can be mitigated through probing, e.g. asking for concrete examples
	What measures were taken?	s.above	WoM matrix Operation plan	Qualitative interviews	contribution analysis	

	Evaluation Dimension	Analysis question	Evaluation indicator	Available data source	Other planned data collection projects	Evaluation strategy (evaluation design, method, procedure)	Expected evidence strength (narrative)
	IMPACT						
Impact	The announced superordinate long-term results have occurred or are foreseen (should be plausibly explained).	To which superordinate long-term results should the project contribute (cf. module and programme proposal, if no individual measure; indicators, identifiers, narrative)?	Module proposal: The access of the poor and deprived popoulation in urban and peri-urban areas worlwide to sustainable sanitation systems has increased (no indicator despcribed by the project).	Products of the project	Analysis of quantitative data (I.e. UN system, SDG monitoring System, BMZ)	Contribution analyses (plausible contribution) of at least one hypotheses to	low, since achievements can not be directly attributed to the project
		To what extent will the project contribute to the implementation for implementing Agenda 2030/to the SDGs?	Sustainable sanitation is included in the SDGs	SDGs and process of elaborating the SDGS SusAnA protocolls	Qualitiative interviews with representatives of GEMI	Contribution analysis	low, since achievements can not be directly attributed to the project
		Which dimensions of sustainability (economic, ecological, social) does the project affect at impact level? Were there positive synergies on the three levels?	Selected TC projects that the project has supported state that there have been impacts on economic, ecologic and social dimension of sustainability which can be traced back to NaSa	Progress reports	Interviews with selected TC projects suported by the project	Contribution analysis	s.above
		'Leave No One Behind': To what extent have targeted marginalised groups (such as women, children, young people, the elderly, people with disabilities, indigenous peoples, refugees, IDPs and migrants, people living with HIV/AIDS and the poorest of the poor) been reached and is there evidence of the results achieved at target group level?	Selected TC projects that the project has supported and broschures produced by the project proof the link between mariginalised groups and the projects outputs	Gender analysis Brochures and leaflets produced by the project	Interviews with selected TC projects suported by the project	Target group analysis Context analysis	s.above
	The project contributed to the intended superordinate long-term results.	To what extent is it plausible that the results of the project on the output and outcome levels (project goal) contribute to the superordinate results? (contri-bution-analysis approach)	In at least one of the hypotheses of the project a direct link between ouput, outcome and impact can be traced	Project documentation, especially contribution to policy papers in component 3 and Susana workshop reports	Qualitative stakeholder Interviews	Contribution analysis of selected hypothesis	fair

	What are the alternative explanations/reasons for the results observed? (e.g. the activities of other stakeholders)	At least 3 other stakeholder's activi-ties in the context of the project can be at-tributed plausibly to the results observed	Brochures of part-ners and stake-holders of the pro-ject	Qualitative sta-keholder Inter-views	Contribution analysis	low, since achieve-ments can not be di-rectly attributed to the project or to other stakeholders
	To what extent do changes in the framework conditions influence superordinate long-term results?	Progress resports identify a significant change of the context of the project (i.e. dif-ferent stakeholders, SDG debate)	Progress reports	Qualitative stakeholder In-terviews Context analysis	Context analysis	fair
	To what extent is the effectiveness of the development measures positively or nega-tively influ-enced by other poli-cy areas, strategies or interests (German ministries, bilateral and multilateral development partners)? What are the con-sequences of the project?	Analysis of other re-lated policy aereas (i.e. water) and inter-ventions of stake-holders Analysis of influence of international coop-eration environment on the effectiveness of the intervention	Stakeholder / Ac-tors map	Stakeholder in-terview with GIZ Sector project water and other German stake-holders and in-ternational work-ing in sanitation	Stakeholder analysis	limited, since interac-tions between the pro-ject and other stake-holders are numerous and results in the po-litical sphere can sometimes not be traced back to a single actor
	To what extent has the project made an active and systematic contribution to widespread impact? (4 dimensions: relevance, quality, quantity, sustainability; scaling-up approaches: vertical, horizon-tal, functional or combined)? If not, could there have been potential? Why was the potential not ex-ploited?	Success facors of the scaling up hypothe-ses of the project	Project documen-tation , i.e. Pro-gress reports	Stakeholder in-terviews with cli-ents and part-ners of the project	Contribution analysis of selected hypothe-sis	fair, might be biased since upscaling is the core objective of the project
	Referring to the three dimensions of sustainability (economic, ecological, social): How was it en-sured that synergies were exploited in the three dimensions? What measures were taken? (-> dis-cussion of interactions in the sense of trade-offs below for unintended results)	The intervention has carried out an analy-sis of potential trade-offs between eco-nomic, ecologic and social impacts	Project documen-tation	Stakeholder in-terviews	Contribution analysis	Limited
The occurrence of additional (not formally agreed) positive results has been moni-tored and additional opportunities for fur-ther positive results have been seized. No project-related negative results have oc-cured – and if any negative results occured the project responded adequately.	Which unintended positive and/or negative results/changes at the level of superordinate results can be observed in the wider sectoral and regional environment of the development measure (e.g. cross-cutting issues, interactions between the three sustainability dimensions)?	1. Description of un-intended postive re-sults 2. Description of un-intended negative re-sults	WoM system Progress reports	Stakeholder in-terviews	Contribution analysis	fair
	To what extent is the (positive or negative) contribution of the project plausible?	The contribution anal-ysis shows a plausi-ble link between the intervention of the project and positive (unintended) results (if any)	Progress reports Susana reports or products / publica-tions SDGs	Stakeholder In-terviews	Contribution analysis	Limited
	What are the alternative explanations/reasons for the results observed? (e.g. the activities of other stakeholders)	Narrative assessment of reasons for results observed Activites of other stakeholders		Interviews with other stakehol-ders		limited
	Have negative results oc-curred?	Description of nega-tive results	Progress reports WoM	Stakeholder In-terviews Interviews with target groups	Contribution analysis	fair
	To what extent were the risks of negative, unintended, superordinate results identified and as-sessed in the monitoring system? To what extent were these negative results in the sense of (neg-ative) interactions or trade-offs in the ecological, economic and social dimensions already known during the conception of the project and reflected (e.g. in the module or programme proposal)?	Description of nega-tive results in the pro-ject proposal and in the WoM system	WoM system Project proposal Progress report	Stakeholder in-terviews	Contribution analysis	fair
	Was there a corresponding risk assessment in the TC-measures' proposal? How was the ability to influence these risks originally assessed?	Risk assessment of project proposal available	Project proposal WoM system	Qualitative inter-views with pro-ject staff	Contribution analysis	fair

	To what extent have the project's services caused negative (unintended) results (economic, social, ecological)? Is there any identifiable tension between the ecological, economic and social dimensions? -Economically: Impairment of competitiveness, employability, etc. -Socially: How should the impact be assessed in terms of distributive results, non-discrimination and universal access to social services and social security systems? To what extent can particularly disadvantaged population groups benefit from the results or have negative results for particularly disadvantaged population groups been created? -Ecologically: What are the positive or negative environmental impacts of the project?	Description of unintended negative results and trade-offs available 2. Narrative assessment of intervention's contribution to negative results	Project proposal WoM system	Qualitative interviews with project staff Qualitative interviews with Selected German TC project supported by NaSA	Contribution analysis	Limited
	What measures have been taken by the project to counteract the risks/negative interactions?	Description of mitigation measures by the intervention towards risks	Project proposal WoM system	Qualitative interviews with project staff	Contribution analysis	fair
	To what extent have the framework conditions for the negative results played a role? How did the project react to this?	If relevant: The project has described and assessed framework conditions for negative results and identified mitigation measures	Stakeholder analysis SWOT analysis (available?)	Qualitative interviews with project staff	Contribution analysis	fair

	Evaluation Dimension	Analysis question	Evaluation indicator	Available data source	Other planned data collection projects	Evaluation strategy (evaluation design, method, procedure)	Expected evidence strength (narrative)
	EFFICIENCY						
Efficiency	The project's use of resources is appropriate with regard to the outputs achieved. [Production efficiency: Resources/Services in accordance with the BMZ]	To what extent are there deviations between the identified costs and the projected costs? What are the reasons for the identified deviation(s)?					
		To what extent could the outputs have been maximised with the same amount of resources and under the same framework conditions and with the same or better quality (maximum principle)?					
		To what extent could outputs have been maximised by reallocating resources between the outputs?					
		Were the output/resource ratio and alternatives carefully considered during the design and implementation process – and if so, how?					
		For interim evaluations based on the analysis to date: To what extent are further planned expenditures meaningfully distributed among the targeted outputs?					
	The project's use of resources is appropriate with regard to achieving the TC-measures' goal (outcome). [Allocation efficiency: Resources/Services in accordance with the BMZ]	To what extent could the outcome have been maximised with the same amount of resources and the same or better quality (maximum principle)?					
		Were the outcome-resources ratio and alternatives carefully considered during the conception and implementation process – and if so, how? Were any scaling-up options considered?					
		To what extent was more impact achieved through synergies and/or leverage of more resources, with the help of other bilateral and multilateral donors and organisations (e.g. Kofi, MSPs)? If so, was the relationship between costs and results appropriate?					

		Evaluation Dimension	Analysis question	Evaluation indicator	Indikatoren	Available data source	Evaluation strategy (evaluation design, method, procedure)	Other planned data collection projects	Expected evidence strength (narrative
		SUSTAINABLILITY							
Sustainability		Prerequisite for ensuring the long-term success of the project: results are anchored in (partner) structures	What has the project done to ensure that the intended effect can be achieved in the medi-um to long term by the partners themselves (working aid re-view)?						
			Which advisory contents, approaches, methods and concepts of the project are anchored/institutionalised in the (partner) system?						
			To what extent are they continuously used and/or further developed by the target group and/or implementing partners?						
			To what extent are (organisational, personnel, financial, economic) resources and capacities in the partner country (longer-term) available to ensure the continuation of the results achieved (e.g. multi-stakeholder partnerships (MSPs)?						
			To what extent are national structures and accountability mechanisms in place to support the results achieved (e.g. for the implementation and review of Agenda 2030)? o What is the project's exit strategy? o How are lessons learnt prepared and documented?						
		Forecast of durability: Results of the project are permanent, stable and long-term resilient	To what extent are the results of the project durable, stable and resilient in the longer-term under the given conditions?		.2.1.1 Wahrnehmung der GIZ als Arbeitgeber, der das Thema Gender in seiner Organisation berücksichtigt a) Nur Männer in Führungspositionen/ Nur Frauen in Führungspositionen b) Fördert Gleichberechtigung/ Benachteiligt die Geschlechter c) Vorreiter im Thema innerbetriebliche Gleichstellung/ Nachzügler im Thema innerbetriebliche Gleichstellung d) Familienfreundlich/ Familienunfreundlich Die Auswertung der Wahrnehmungsabfrage erfolgt differenziert nach Außenstruktur und HQ.				
			What risks and potential are emerging for the long-term protection of the results and how likely are these factors to occur? o (Example: Adaptability of target groups and institu-tions regarding economic dynamism & climate change; particularly disad-vantaged groups are able to represent themselves in the long term and their in-dividual countries have the capacity for their participa-tion; changes in behav-iour, attitudes and awareness among target groups and institutions that sup-port the sustainability of the project's results, etc.? o What has the project done to reduce these risks and exploit potential?						
		Are the results of the project ecologically, socially and economically balanced?	Evaluation of the outcome results with regard to interactions between the environmental, social and economic dimensions of sustainability		Indikator 6: Gendersensibilität der Rekrutierung von Personal 1.2.2.1 Anteil von Frauen bzw. Männern, die sich auf Stellen in der GIZ beworben haben, differenziert nach a) Bändern b) OE c) Personalkörper				
			Which positive or negative intended and unintended results (economic, social, ecological) does the project produce? (Assign intended and unintended results from the effectiveness evaluation to the three sustainability dimensions)						

			Is there any identifiable tension between the ecological, economic and social dimensions? o Economically: Impairment of competitiveness, em-ployability, etc o Socially: How should the impact be assessed in terms of distributive re-sults, non-discrimination and universal access to social services and social security systems? To what extent can particularly dis-advantaged population groups benefit from the results or have negative results for particularly dis-advantaged population groups been created? o Ecologically: What are the positive or negative envi-ronmental impacts of the project?		mit deutschem Arbeitsvertrag; nationales Personal (im Rahmen der Fallstudien) d) CIMler; EHler e) Jahren 1.2.2.2 Anteil von Frauen bzw. Männern, die zu Vorstellungsgesprächen eingeladen wurden, differenziert nach a) Bändern b) OE c) Personalkörper mit deutschem Arbeitsvertrag; nationales Personal d) CIMler; EHler e) Jahren				
			If negative interactions have been avoided and synergies exploited, how was this ensured? What measures were taken?		1.2.2.3 Anteil von Frauen bzw. Männern, die eingestellt wurden, differenziert nach a) Bändern b) OE c) Personalkörper mit deutschem Arbeitsvertrag; nationales Personal d) CIMler; EHler e) Jahren				

Annex 2: List of resources (NaSa 01)

NaSA 00	Provided digital data and data sources
GIZ 01	GIZ Evaluation Matrix
NaSa 01	2018_07_15 Sources NaSa Evaluierung.docx
NaSa 1a	I.5 Wirkungsmatrix Stand BE2 Finaler Entwurf (2015.2049.3)
NaSa 1b	Result Modell: I.6 Wirkungsmodel (2015.2049.3), BMZ 1 V.d.1 BMZ Wasserstrategie
NaSa 1	PV NaSA: I.1 PV laufendes Vorhaben (2015.2049.3)
NaSa 2	Program Reform of the Water Sector, PN 2013.2201.5
NaSa 3	*Climate-friendly Sanitation in peri-urban Areas*, PN 2015.2230.9.
NaSa 3	V.b.6 Afghanistan – TAF Report – DEWATS.
NaSa 4	V.b.7 Uganda – TAF Report – FSTS
NaSa 5	ENWASS, PN 2016.2111.9
NaSa 6	Sanitation programme India: PN 2013.2110.8.
NaSa 7	V.b.4 India – City Sanitation Plan – Kochi
NaSa 8	V.b.5 India – City Sanitation Brochure – Nashik
NaSa 9	2018_06_14 Summary evaluation questionnaire SV NaSA
NaSa 9a	2018_02_28 Zusammenfassung Interviews Prüfung SV NaSa
NaSa 10	PN 2013.2458.1
NaSa 11	PN 2013.2458.1
NaSa 12	2018_03_14 Summary Report Final Evaluation SNUSP II India
NaSa 13	V.c.6 India – *CSE Down to Earth – Pipe dream*, V.c.5, V.c.5 India – CSE – *Down to Earth – Dirty tricks*
NaSa 14	V.c.1 Afghanistan – Participation List SFD Workshop, V.c.2 Afghanistan – Participation List Sanitation Planning
NaSa 15	V.2
NaSa 16	V.c.4 Ethiopia – WaterAid presentation
NaSa 16a	V.d.7 CSE MoUD – Septage Management
NaSa 18	5_(BE2)_ACF-UNICEF_WASH and Nutrition Publication
NaSa 19	V.d.5 WinS final meeting report
NaSa 20	V.e.1 Nachweise Indikator 4
NaSa 21	V.a.4 - SuSanA Anniversary Report 2017.
NaSa 22	V.e.1 Nachweise Indikator 4
NaSa 23	V.a.4 - SuSanA Anniversary Report 2017
NaSa 24	V.a.4 - SuSanA Anniversary Report 2017
NaSa 25	2018_06_14 Summary evaluation interviews.docx
NaSa 26	Case Story 7: City Sanitation Plans and Septage Management in India.
NaSa 27	Case Story 7: Page 2
NaSa 28	Case Story 2: *Up-Scaling Basic Sanitation for the Urban Poor*, UBSUP
NaSa 29	SuSanA Vision Document 2017, Version: 2017-06-12.
NaSa 30	Output A: V.I.1 - V.I.19.
NaSa 31	Output B: V.c.9 to V.c.11.
NaSa 32	2018_02_28 Zusammenfassung Interviews Prüfung SV NaSa
NaSa 33	Output C: V.d.11 to V.d.15, V.d.16 to V.d.26.
NaSa 34	V.d.24 WinS – ILE report – print
NaSa 35	BMGF budget is used to (source)
NaSa 36	I.11 Kostenträger- und Obligobericht.txt

NaSA 37 V.e.1 Nachweise Indikator 4.docx
NaSA 38 V.a.8 - Interviews Sector Experts 2015

Annex 3: Terms of Reference

Stabsstelle Evaluierung Zentrale Projektevaluierung

WISSEN WAS WIRKT

Terms of Reference

Central project evaluation of the project
'SV Nachhaltige Sanitärversorgung/ Sustainable Sanitation' (PN 2015.2049.3)

giz Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

Contents

List of abbreviations

AV	Officer responsible for the commission
BMZ	German Federal Ministry for Economic Cooperation and Development
CV	Curriculum vitae
DeGEval	DeGEval – Evaluation Society
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
GVR	Joint Procedural Reform
OECD-DAC	Organisation for Economic Co-operation and Development (OECD)/Development Assistance Committee (DAC)
PN	Project number
RBM	Results-based monitoring (system)

Central project evaluations at GIZ

1.1 Context and objectives

GIZ's evaluation system is facing a number of new challenges, which include increasingly diverse types of commissions and projects, the growing complexity of implementation contexts and projects, and new information requirements on the part of policy-makers (short-term achievement of results, other evaluation criteria, etc.). In addition, there are the new evaluation requirements arising from the 2030 Agenda for Sustainable Development and the Joint Procedural Reform in commissioning procedures with BMZ. Requirements related to how GIZ evaluations are used have also changed. 'Learning from evaluations' is still an important function of evaluations. The main task here is to process the knowledge generated by the evaluations to precisely facilitate decision-making. In addition, the requirements for accountability (and hence for the quality and independence of evaluations and evaluation reports) have become increasingly rigorous in recent years. Against this backdrop, GIZ's Management Board decided to fundamentally reform the GIZ evaluation system in December 2016. The goals of this reform are particularly:

- **to improve evidence of effectiveness:** The new evaluation system is intended to put GIZ in a better position to observe long-term results and the sustainability and mainstreaming of approaches in the partner structures. In addition, evaluations should be conducted at a time when statements about results and sustainability are possible and appropriate, and should be designed using the appropriate methodologies and procedures to ensure this is the case.

- **Enhance credibility of evaluation findings:** We want to further increase the credibility of our evaluation findings by strengthening the independence of project evaluations. Project evaluations will accordingly be managed by and under the responsibility of the Evaluation Unit, which reports directly to the Management Board and is separated from operational business. Implementation is carried out by specialist external evaluators. Evaluations will be conducted in line with recognised national and international standards and quality criteria, and the evaluation reports will be published.

- **Gearing project evaluations to new challenges:** Central evaluations should take into account the growing complexity of projects and implementation contexts, the increased requirements for accountability and the evaluation challenges arising from the 2030 Agenda and the Joint Procedural Reform.

1.2 Designing implementation of the multi-year evaluation portfolio

6 Central project evaluations generally concern projects that GIZ carries out on behalf of BMZ. Central project evaluations involve a critical analytical review of the results and implementation of a project. They can be carried out at different times. Completed projects are evaluated some eight months after the end of their term, which is usually three years (final evaluation). Projects with planned follow-on measures are also evaluated during their term (interim evaluation), depending on the intended use (submission for planning the follow-on commission, project steering, reporting to the commissioning party, strategic reflection). Both the interim and final evaluations take predecessor projects into consideration (where substantively relevant) in order to make statements about long-term results and sustainability.

In BMZ business, all projects with a commission value over EUR 3.0 million are included in the evaluation process on a standard basis. A two-stage procedure is used to select projects for evaluation. In the first stage the projects to be evaluated are selected by means of a regionally stratified random sample. In a second stage the sample is supplemented by evaluations that are selected in accordance with specific information requirements (criteria-based selection).

Overall, it is planned to ensure that in the medium term, project evaluations cover between 30% and 50% of the total population of all projects with a commission value exceeding EUR 3.0 million in business with BMZ. This will mean carrying out some 100 central project evaluations a year. The total number of evaluated projects should be large enough to make a representative statement about the assessment of the OECD-DAC criteria for the total population of all projects.

An EU-wide tender will be carried out for implementation of the first evaluation portfolio. The goal is to enter into framework agreements with pools of evaluators who are structures by technical sector and regional knowledge and experience, and who will carry out evaluations for this random sample up to 2020. As completion of the contract award procedure cannot expected before the second quarter of 2018, the first pilot evaluations at the end of 2017 and beginning of 2018 will be put out to tender as individual services using a short list or an e-tendering procedure.

Object and goal of the evaluation

2.1 Project description and object of the evaluation

Globally, more than 2.4 billion people have no access to adequate sanitation. According to estimates of the United Nations Children's Fund, about 1,000 children under the age of 5 die each day as a result of diarrheal diseases caused by contaminated drinking water or a lack of sanitation and hygiene. The greatest health risks due to lack of sanitation exist for people below the poverty line, most of whom live in informal settlements in fast-growing cities. In order to provide these people with access to adequate sanitation, the international community faces the challenge of scaling up sustainable sanitation approaches. However, a number of political, social and economic factors hamper the scaling-up of sanitation. Still, an often inadequate focus on poverty in sector strategies in the affected countries prevents investments in the sanitation sector from benefiting all sections of the population. In many partner countries, as well as in German and international development cooperation, the framework conditions for the scaling-up of sustainable sanitation are still insufficient (core problem).
The module objective of the sector project SV Sustainable Sanitation is: Framework conditions for the scaling-up of sustainable sanitation are improved in partner countries as well as in German and international development cooperation. For this purpose, the sector project supports and advises German development cooperation (GDC) projects in the implementation of scaling-up approaches for sustainable sanitation and provides implementation experiences for German and international development cooperation (action area 1). In order to promote the integration of sustainable sanitation into urban development processes, the SV Sustainable Sanitation strengthens capacities of technical staff and decision-makers at the municipal level and supports them in testing suitable approaches in urban sanitation planning (action area 2). The SV translates sector knowledge into politically acceptable formats and feeds these into national and international policy processes (action area 3). Through the international exchange platform of the Sustainable Sanitation Alliance (SuSanA), approaches for the scaling-up of sanitation with cross-sectoral actors are discussed and structured knowledge on the subject is disseminated in a targeted manner (action area 4). In the process, the sector project closely cooperates with projects of GDC on sanitation and sewage management and other relevant sector projects, in particular the SV Internationale Wasserpolitik. In addition, the project continues to serve as the secretariat of SuSanA, working closely with SuSanA partner organizations such as the Stockholm Environment Institute (SEI) and the Swiss Federal Institute of Aquatic Science (Eawag).
The SV Sustainable Sanitation has a term of 3 years (from 11/2015 to 10/2018) with German TC contribution of up to 3,000,000 EUR.

Subject to this evaluation is the technical cooperation module SV Sustainable Sanitation (PN 2015.2049.3) with an overall term starting from 11/2015 to 10/2018. When relevant, the predecessor module SV OEKOSAN (2012.2123.3) - should be considered within the framework of evaluation in order to obtain reasonable results on long-term impacts and sustainability of the project.

2.2 Goal of the evaluation

A key element of evaluation work at GIZ is that evaluations should be geared to their intended use. The central project evaluations follow this fundamental approach and are intended to support decision-making.

- Evaluation processes and findings help strengthen the decision-making competence of decision-makers and other change agents.
- This leads to decisions that improve either public policies, the design and implementation of GIZ projects, or GIZ corporate strategies.
- These improvements in turn lead to improved service delivery by partners for their own citizens, by GIZ for

its partners and target groups, and for its commissioning parties and employees.
- This will ultimately increase the effectiveness of public policies and GIZ projects for the target groups, and enhance satisfaction among partners, clients and employees.

The evaluation is intended to rate the success of the current module (PN 2015.2049.3). This is done in line with the OECD-DAC criteria, based on data, facts and figures, and within the framework of a predefined rating system. As already noted in Section 2.1 above, predecessor modules are also taken into consideration (if substantively relevant) in order to make statements on the long-term results and sustainability of the project.

As this is an interim evaluation, the evaluation should also offer suggestions for the follow-on measures that can be included in the appraisal of the follow-on measure.

At an initial meeting between the contractor and the Evaluation Unit, the officer responsible for the commission at the project and possibly the partner, the information requirements are spelled out in detail and the object of the evaluation is jointly defined.

Process and inputs

3.1 Responsibilities

This evaluation is carried out in cooperation between the GIZ Evaluation Unit and an external evaluator, who will jointly conduct the evaluation.

Responsibilities of the Evaluation Unit:
The Evaluation unit (the contractor) is responsible for the choice and integration of the external evaluator. In this specific case, the evaluation unit will co-conduct the evaluation jointly with the external evaluator. The unit will collect and analyse preliminary data and prepare an inception report. It will also assist the external evaluator in identifying stakeholders for interviews and conduct meetings and interviews together with the external evaluator. Based on the interviews, it will contribute to selected chapters of the evaluation report. The evaluation unit will also be responsible for quality assurance of the final evaluation report

Responsibilities of the external evaluator
The external evaluator will be responsible for the overall coordination of the evaluation mission. He will elaborate the interview plan and schedule of the mission and will have the overall responsibility for drafting the evaluation report.

The project also assists at various points in the individual process steps.
Support by the project covers:
- providing relevant documents
- identification of relevant interview partners + assistance in the development of interview plan

The procedure for the evaluation, including clarification of roles, can be seen in the following process overview. The process chart is based on the experience of the Evaluation Unit with the independent evaluation programme and decentralised project evaluations, and will now be examined within the framework of central project evaluations, and successively modified where necessary. Joint assessment with the contractor at the end of the evaluation is planned for this purpose.

3.2 Overview of central project evaluation process

The following inputs must be provided in the period beginning of January 2018 to mid-April 2018. The evaluation mission will take place in Germany.

Work Step	When	Responsible	Collaborating	To be informed
Preliminary clarifications including agreement on timing of evaluation	Oct 2017	Evaluation Unit	AV, Partner	
Provision of documents	End of Nov 2017	Evaluation unit (standard documents) AV/project team (project documents)		
Clarification of commission incl. role clarification in evaluator team	Beginning January	Evaluation Unit	External. Evaluator	
Launch meeting to clarify roles and determine information requirements	08/11/2017, additional meeting when needed	Evaluation Unit	AV, Project team	
Letter informing central stakeholders at the start of evaluation (incl. information on process and roles	Jan 2017	Evaluation Unit.		AL, LD or GL, AV, Partner, BMZ
Desk study incl. initial preliminary clarification of content at GIZ - data available (incl. RBM) - partner systems (if relevant) - partners' information requirements	Dec 2017-Jan 2018	Evaluation Unit External Evaluator		
Preparation Data collection and analysis	Dec 2017-Jan 2018	Evaluation Unit, External Evaluator		
Draft inception report (IR) in accordance with GIZ specifications and template, report language: English	02/02/2017	Evaluation Unit	External Evaluator	
Formulation and agreement of interview plan	Jan 2018	External Evaluator	AV, Partner Evaluation Unit	
Launch meeting and briefing	05/2/2018 (tbc)	External evaluator	AV/Project team, Partners, BMZ, Evaluation Unit	
Performance of mission	05/02-19/02/2018	External evaluator	Evaluation Unit	

Documentation of provisional findings for local final presentation/debriefing (in accordance with GIZ specifications)	End of mission / end of February	External evaluator	Evaluation unit	
Final presentation, debriefing/ final meeting	End of mission / end of February	External evaluator, Evaluation Unit	AV/ project team, Partner, BMZ	
Evaluation, analysis, report	19/02/2018 - 09/03/2018	External evaluator	Evaluation Unit	
Submission of evaluation report (in accordance with GIZ specifications and template; report language: English)	09/03/2018	External evaluator	Evaluation Unit	
Quality check on evaluation report	10/03/2018-23/04/2018	Evaluation Unit.	AV/Partner (for accuracy of content)	
Revision of evaluation report (including linguistic and editorial quality assurance)	24/04/2018-09/04/2018	External evaluator		
Approval of evaluation report	09/04/2018	Evaluation Unit		
Final meeting by Skype (joint assessment of evaluation)	Mid-April 2018	Evaluation Unit, External Evaluator		
Publication of evaluation report	End of April 2018	Evaluation Unit.		External Evaluator AV, Partner

Specific requirements for inputs

The inputs by the external evaluator must be provided as shown above in Section 3.2 in the period from beginning of January 2018 to mid-April 2018. The first draft of the evaluation report according to GIZ specifications and templates must be submitted by 09/03/2018 in English, any revision based on feedback to the contractor must be completed by 09/04/2018 (for the detailed procedure, see process overview in Section 3.2).

4.1 Quality requirements for central project evaluations

In its evaluations GIZ follows the evaluation standards of the Evaluation Society (DeGEval): usefulness, feasibility, fairness and accuracy, and the OECD-DAC quality standards for development evaluation. As a basis for developing quality assurance instruments, the Evaluation Unit defines the quality standards for process quality, methodological quality and product quality.

The **usefulness** of an evaluation ensures that the information requirements of its users are taken into account and the desired information is provided to them.

- Identification of participating and affected parties: the individuals or groups of individuals involved in the object of the evaluation or affected by it should be identified so that their interests can be clarified and, as far as possible, taken into account in setting up the evaluation.
- Clarification of the purposes of the evaluation: it should be made clear what the purposes of the evaluation are, so that participating and affected parties can state an opinion on this and the evaluation team can follow a clear work order.
- Credibility and competence of the evaluator: persons carrying out evaluations should be personally credible and possess the required methodological and technical expertise so that the evaluation findings offer maximum credibility and acceptance.
- Selection and scope of information: the selection and scope of the information collected should enable treatment of the questions to be investigated for the object of the evaluation and at the same time take into account the information requirements of the commissioning party and other recipients.
- Transparency of values: the perspectives and assumptions of the participating and affected parties on which the evaluation and interpretation of findings are based should be described in such a way that the basis for the assessment is clearly comprehensible.
- Completeness and clarity of reporting: evaluation reports should provide all material information, and be easy to understand and verifiable.
- Timeliness of evaluation: evaluation projects should be started and completed in time for the evaluation findings to be incorporated into impending decision-making processes and improvement processes.
- Use and benefits of evaluation: planning, execution and reporting of an evaluation should encourage the participating and affected parties to review the evaluation attentively and use its findings.

The **process quality** meets the DeGEval standards for feasibility and fairness. The way the process of an evaluation is designed is decisive for the use of the evaluation. To make the evaluation as useful as possible for decision-making processes, the following standards should be met.

- Appropriate procedure: evaluation procedures, including the procedure for obtaining necessary information, should be chosen so that there is a reasonable relationship between the burden on the object of evaluation or participating and affected parties and the expected benefits of the evaluation.
- Diplomatic approach: evaluations should be planned and carried out such as to achieve the greatest possible acceptance of the evaluation approach and findings among the various participating and affected parties.
- Efficiency of the evaluation: there should be a reasonable relationship between the effort involved in conducting the evaluation and its benefits.
- Formal agreements: the obligations of the parties to the contract for the evaluation (what should be done, how, who by and when) should be set down in writing so that the parties are obliged to meet all the conditions of the agreement or renegotiate it.
- Protection of individual rights: evaluations should be planned and carried out so that the security, dignity and rights of the persons included in an evaluation are protected.
- Complete and fair review: evaluations should investigate and present the strengths and weaknesses of the object of the evaluation as fully and fairly as possible, so that the strengths can be further developed and the weaknesses addressed.
- Impartial execution and reporting: the evaluation should make clear the different views of participating and affected parties with regard to the object and findings of the evaluation. Reports and the overall evaluation process should demonstrate the impartiality of the evaluation team. Assessments should be made fairly and be as free as possible from personal feelings.
- Publication of findings: the findings of the evaluation should be made accessible to all participating and affected parties as far as possible.

The **methodological quality** of an evaluation relates to the application of the methods of empirical social research for data collection and analysis and corresponds to the DeGEval criterion of accuracy.

- Description of the object of the evaluation: the object of the evaluation should be clearly and accurately described and documented, so that it can be unambiguously identified.
- Context analysis: the context of the object of the evaluation should be investigated and analysed in sufficient detail.
- Description of purposes and approach: the object, purposes, questions and approach of the evaluation, including methods used, should be accurately documented and described so that they can be identified

and assessed.

- Citation of sources of information: the sources of information used in an evaluation should be documented with sufficient accuracy to assess whether the information is reliable and appropriate.
- Valid and reliable information[5]: the procedure for obtaining data should be chosen or developed and applied in such a way as to ensure the reliability of the data obtained and their validity for answering the questions in the evaluation in line with technical standards. The technical standards should be aligned with the quality criteria of empirical social research.
- Systematic error checking: the information collected, processed, analysed and presented in an evaluation should be systematically checked for errors.
- Analysis of qualitative and quantitative information: qualitative and quantitative information in an evaluation should be appropriately and systematically analysed to technical standards so that the questions in the evaluation can be effectively answered.
- Justified conclusions: the conclusions drawn in an evaluation should be derived from findings in a way the recipients can follow.

4.2 Profile for evaluators

- Experience of evaluation
- Experience with complex evaluation designs
- Social-scientific research methods (quantitative, qualitative and participatory methods)
- Sustainable sanitation and water sector competence incl. knowledge of the BMZ Water Strategy and the (global) actor landscape in the sanitation sector.
- Sound understanding of GIZ's scaling-up approach and approaches of development cooperation projects to implement concepts for comprehensive sanitation and the sustainable management of sewage and faeces in an inter-sectoral context.
- Experience with GIZ
- Country knowledge in sanitation sectors especially in Eastern and Southern Africa as well as in India (Asia in general) and MENA region
- Experience in applying and assessing the OECD-DAC criteria
- An excellent written and oral command of English and German are mandatory and thus, not part of the assessment.

For reasons of independence, neither evaluator may have participated in designing, planning, implementing, providing advisory services to or evaluating the project.

4.3 Methodological procedure

For the central project evaluations it is generally sufficient as a basis for credible accountability to document as robustly as possible the contribution that the project under consideration has made towards achieving objectives (*contribution*). It is a matter of showing a plausible relationship between the project and the results, i.e. using methodological and data triangulation to collect sufficient evidence that the observed intended results are most probably due to the project. Besides documenting the project contribution, understanding and knowledge should be increased of *what is working and what not*, in order to be able to make sound decisions on the future orientation of the project.

To enable robust proof of results in the central project evaluations, GIZ prescribes a theory-based approach to evaluation. Theory-based approaches, such as realist evaluation, process tracing and contribution analysis, are distinguished by the following methodological elements:

- a *results model*, which is contained in the project proposal at GIZ and visualises expectations of the project's causal relationships and shows pathways from the inputs via activities and outputs to the desired outcomes and impacts.
- A *theory of change* based on the results model, which formulates *hypotheses* and possibly *mechanisms* to explain the causal links embodied in the results model and which can be investigated and assessed in the evaluation. Possible risks involved in implementing the project must also be taken into account.

[5] i.e. verified and reliable information

- A *contribution story* that shows the observed changes and contribution made by the project to achieving results, evaluated on the basis of sound, verifiable and credible evidence. For this, alternative explanations (e.g. context factors or third-party measures) must also be analysed and the *theory of change* modified if necessary.

When selecting theory-based evaluation designs, the central project evaluations should give preference to those that match the information requirements and object of the evaluation. Based on the GIZ results model and RBM system, the indicators formulated in the offer and the hypotheses underlying the results model can be taken as a basis for assessment and examined for plausibility. Appropriate quantitative and qualitative methods are used for data collection, e.g. document analysis, exploratory individual and group interviews and standardised online questionnaires. Theory-based approaches must be supplemented by additional methods to document unintended results and to assess efficiency.

4.4 Participatory approach

Partner orientation is an important characteristic of central project evaluations. This is reflected in the different phases of project evaluation and evaluation management (e.g. by defining the partners' information requirements in the ToRs, briefing at the local start of evaluation, documentation of partner perspectives, debriefing).

5. Scope and content of the bid to be submitted

The Evaluation Unit would like to ensure that the choice of evaluators conforms to the need for their independence. As defined by the Evaluation Unit, this applies to all evaluators not involved in designing, planning, implementing, providing advisory services to or evaluating the project. Only those bids are taken into account for assessment that fully meet the criterion of independence. If the criterion is not met, this results in exclusion of the bidder from the competition.

The bid should cover the following aspects and not exceed three to five pages (excluding CV).

- Outline of a methodologically sophisticated procedure including a theory-based approach. Both the design and data collection methodology should be appropriately presented. The Evaluation Unit wishes to see an increase in contribution analysis approaches in future project evaluations. Bids that consider the possibility of implementing this approach will be positively viewed in the assessment.
- Experience in German and international development cooperation/international cooperation, particularly with GIZ or its predecessor organisations.
- Extent and quality of evaluation experience
- Sectoral knowledge and experience, or other knowledge and experience relevant for evaluating the project
- Language skills
- References

Please use the CV template in the annex to this invitation to tender.

6. Specification of inputs

The specification of inputs should not exceed 20 expert-days for the external evaluator in total

- Inception phase up to 6 expert-days
- Carrying out mission (in Germany and via Skype /telephone interviews) including preparation and travel days up to 7 expert-days (including travel days)
- Analysis and reporting up to 7 expert-days

Travel expenses
The financial bid should include travel costs to Bonn and Eschborn / Germany (one business trip to Bonn, up to 2 days and two business trips to Eschborn, up to 5 days; reimbursement against evidence). Overnight costs and per diem allowances must also be costed.

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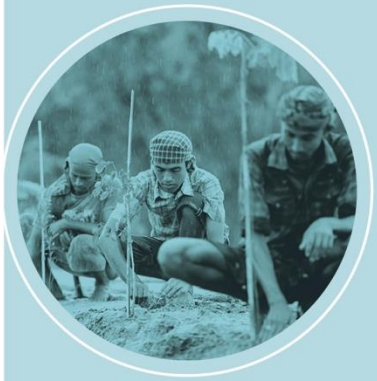

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