

AFRICAN DEVELOPMENT BANK GROUP



African Development Bank Group Support to the Water Sector (2005-2016): An Independent Evaluation

From Infrastructures to Services Delivery and Behavioral Change

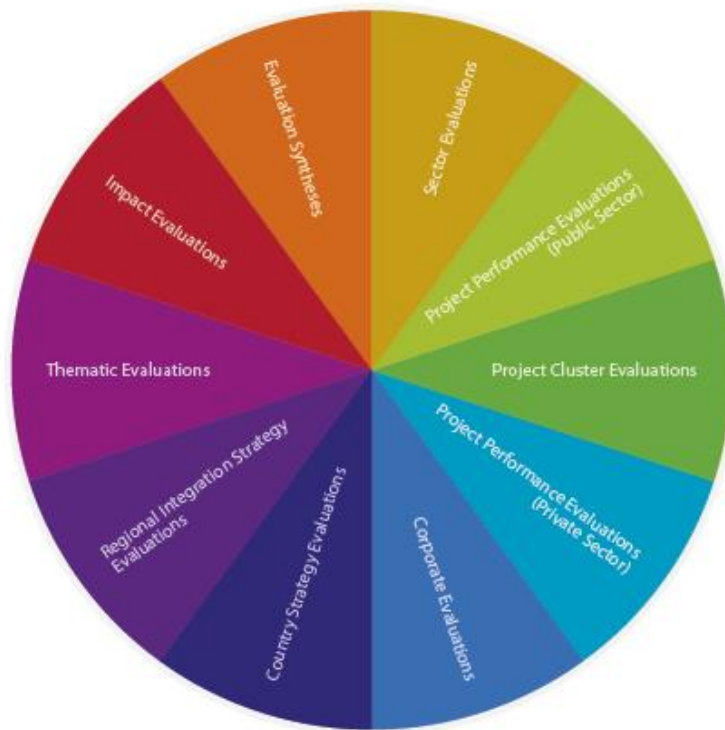
INCEPTION REPORT

February 2017

Independent Development



IDEV conducts different types of evaluations to achieve its strategic objectives



CONTENTS

ACKNOWLEDGEMENTS.....	v
ABBREVIATIONS, ACRONYMS AND INITIALISMS.....	vi
1. INTRODUCTION	1
2. SECTOR PROFILE.....	1
2.1 Context.....	1
2.2 Objectives, key activities and targeted results.....	2
2.2.1 Objectives	2
2.2.2 Key activities.....	3
2.2.3 Expected outcomes.....	3
2.3 Key stakeholders and governance in water sector.....	4
3. KEY CONSIDERATIONS.....	4
4. EVALUATION ISSUES AND QUESTIONS	6
5. EVALUATION APPROACH AND METHODOLOGY.....	9
5.1 Overall approach	9
5.1.1 Theoretical approach.....	9
5.1.2 Evaluation matrix.....	12
5.1.3 Sampling strategy for project level evaluation.....	12
5.1.4 Implementation phases	12
5.2 Data collection and analysis methods.....	17
5.2.1 Portfolio Review	17
5.2.2 Policy and Literature Review.....	18
5.2.3 Project Evaluation Reports (PERs) Rating Summary.....	19
5.2.4 Thematic Cluster Evaluations.....	19
5.2.5 Country Case Studies	20

5.3	Data integration and reporting.....	22
5.4	Constraints and challenges	23
5.5	Team composition and analysis methods.....	24
5.6	Client and stakeholder responsibilities.....	25
6.	WORK SCHEDULING.....	26
6.1	Task analysis and level of effort	26
6.2	Workflow schedule	28
6.3	Detailed delivery schedule.....	31
	Appendix A: Logic model.....	32
	Appendix B: Evaluation Matrix	35
	Appendix C: Thematic Cluster Evaluation Project Lists	39
	Appendix D: Data Collection Instruments	42
	Appendix E: Progress report template.....	51
	Appendix F: Water Sector Evaluation Report – Table of contents.....	52

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ABBREVIATIONS, ACRONYMS AND INITIALISMS

AfDB	African Development Bank Group
AMCOW	African Minister's Council on Water
AWM	Agricultural Water Management
AWF	African Water Facility
AWV	Africa Water Vision
IWRM	Integrated Water Resources Management
MDGs	Millennium Development Goals
MDWPP	Multi-Donor Water Partnership Programme
NEPAD	New Partnership for Africa's Development
OWAS	AfDB's Water and Sanitation Department
RMCs	Regional Member Countries
RWSSI	Rural Water Supply and Sanitation Initiative
SDGs	Sustainable Development Goals
UA	Unit of Account
USD	United States Dollar
WASH	Water Sanitation and Hygiene Promotion
WHO	World Health Organization
WSS	Water Supply and Sanitation

1. INTRODUCTION

This document presents the inception report for the evaluation of the support to the water sector by the African Development Bank Group (the "Bank"), which is being conducted by the Bank's Independent Development Evaluation (IDEV). It outlines the evaluation team's intended approach to the water sector evaluation. Under the guidance of the IDEV team, this document was prepared by Science-Metrix, a consulting firm, on the basis of the approach paper and terms of references prepared by IDEV. It contains a thorough review of the sector profile, the key considerations, the evaluation issues and questions, the evaluation approach and methodology and the tentative work schedule.

The water sector evaluation will inform the Bank's strategies and operational approach to providing assistance for water supply and sanitation along with agricultural water management, by identifying emerging trends in this area, assessing how the Bank has responded to these trends, taking stock of the results of the Bank's assistance and drawing lessons for future work. In so doing, this evaluation will assist the AfDB as it plans for future responses to the challenges in the water sector as it works with national and international partners toward achieving the Sustainable Development Goals (SDGs) and the Africa Water Vision 2025.

2. SECTOR PROFILE

2.1 Context

The Bank has a mandate "to contribute to the sustainable economic development and social progress of its regional members individually and jointly". Based on this mandate, the Bank identifies poverty reduction and development as a central goal. As one of the instruments for the operationalization of its mandate and in recognition of the important contribution to the achievement of all the MDG and SDG goals, the Bank has developed a Strategic Plan which gives water high priority.

The interventions that will be evaluated concerns two sub-sectors: 'water for health' and 'water for food'. The first sub-sector focus on Water Supply and Sanitation (WSS), and include access to safe drinking water, improved sanitation and sustainable water management and sanitation systems. The later emphasis on Agricultural Water Management (AWM) and include irrigation, drainage and flood control, water conservation and storage, on-farm water management, and institutional support to improve sustainability, user operation and management. By focusing uniquely on WSS and AWM sub-sectors, this evaluation excludes other water-related operations including water for electricity, transport, industry and tourism.

The evaluation covers WSS and AWM interventions approved during the past 12 years (FY05-16) coupled with projects approved for funding since 2000 and for which an independent evaluation was February 2017

carried-out. Interventions includes both public and private sector operations, analytic work and other activities related to institutional strengthening and capacity building.

According to the Bank’s SAP system, a total of 223 WSS and 116 AWM projects were funded during the past 12 years (FY2005-2016). These 339 projects had approximately UA 5.7 billion of net loan and grant¹. A total of 83 projects out of the 339 (24 %) aimed at financing studies while funding of the remaining 256 projects were allocated for investments (157 for WSS and 99 for AWM). As for WSS projects, 76 out the 157 investment-projects (48 %) were completed during FY2005-2016. In contrast, only 30 AWM investment-projects out of 99 (30 percent) were completed during FY2005-2016. In some, a total of 112 projects aim a financing investments were considered as completed for period FY05-16 and potential candidates for post-evaluation. Table 1 summarizes the portfolio main structure.

Table 1: Structure of AfDB’s water sector portfolio

	Water supply and sanitation (WSS)		Agricultural Water Management (AWM)		Total (WSS+AWM)	
	# of projects	Net amount (UA million)	# of projects	Net amount (UA million)	# of projects	Net amount (UA million)
All projects	223	3 711.1	116	2 023.8	339	5 734.6
- Investment-projects	157	3 647.4	99	2 012.7	257	5 660.1
- Studies	66	63.3	17	11.1	83	74.4
Completed Investment-projects	76	958.4	30	355.0	106	1 313.4

Source: SAP data – loans and grants approvals as at 31 December 2016

2.2 Objectives, key activities and targeted results

2.2.1 Objectives

The Africa Water Vision 2025, launched at the Second World Water Forum in The Hague in 2000, advanced the following vision for Africa “where the use and management of water resources are equitable and sustainable and contribute to poverty alleviation, socio-economic development, regional cooperation, and the environment”. Within the vision, the Framework for Action (FFA) identifies key milestones or objectives along with sets of actions and mechanisms for translating investments into action. The vision and the FFA orient the objectives and priorities of action founded on the Dublin-Rio Principles. The vision also sets out milestones for achievement in 2005, 2015 and 2025. These targets aim to follow the achievement of four broad categories of action areas including; 1) strengthening governance of water resources; 2) improving water wisdom; 3) meeting urgent water needs and; 4)

¹ “Net loan and grant” refers to the total amount approved from which amounts canceled are deducted.

strengthening the financial base for the desired water future. These action areas are expected to contribute to the achievement of: 1) new policy, strategy and legislative frameworks; 2) bottom-up institutional arrangements; 3) adherence to demand-responsive approaches while meeting the basic needs of the poor and; 4) food self-sufficiency.

2.2.2 Key activities

The Bank's strategy in the water sector is underpinned by several complementary initiatives providing structural orientations and operational directives. Action areas focus at the grassroots, national and sub-regional water-basin levels. According to the AWW priority actions in the Water Sector include: 1) awareness and consensus-building 2) creation of enabling environments for international cooperation; 3) responding to immediate water problems, 4) creating frameworks for integrated water resources management and capacity building.

Through its support to RMC's and in collaboration with other development partners, the Bank aims to assist with the construction and/or rehabilitation of WSS facilities and AWM infrastructure. In so doing, the WSS and AWM operations include one or more of the following activities: 1) training WSS and AWM sectors' actors across ministries, artisans, water utilities, water users etc.; 2) raising awareness of hygiene; 3) establishing regulatory framework for WSS (including tariffs); 3) providing equipment such as water and metering systems to water utilities/municipalities; 4) conducting studies and using evidence on WSS and AWM management issues; 5) carrying out campaigns to raise awareness on hygiene, health education, sanitation, water use and tariffs; 6) improving service delivery (e.g. build better sanitation facilities, maintain water, improve management of PPP and setting tariffs).

The African Development Bank Group (AfDB) currently hosts a number of complementary initiatives for scaling up, promoting innovation and supporting knowledge management activities. These include: the African Water Facility (AWF), the Rural Water Supply and Sanitation Initiative (RWSSI), the Multi-Donor Water Partnership Programme (MDWPP) and the NEPAD Water and Sanitation Program.

2.2.3 Expected outcomes

Ultimately, the Bank's WSS and AWM investments aim to positively impact health, education, labour supply and food security in Africa. These impacts are expected to be influenced through the achievement of four program outcomes; 1) reduced incidence of water and sanitation related disease; 2) reduced burden of fetching water in rural areas; 3) improved sanitation conditions and reduced pollution related to sewage and solid waste and; 4) increased and sustainable agricultural productivity in both irrigated and rainfed areas.

2.3 Key stakeholders and governance in water sector

According to the AfDB report “Water Sector Governance in African” water governance includes “...the range of political, social, economic and administrative systems that are in place to develop and manage water resources and the delivery of water services, at different levels of society.” Beyond actors in governments working across central, regional or local levels, civil society, composed of non-governmental and community-based organizations (NGOs and CBOs), donors, research institutes, religious groups, media, lobbyists, and individuals, among others, also play an important role. According to this report, the role these non-governmental actors play in governance around the water sector is too often neglected. Indeed, formal arrangements are just one aspect of planning and implementing developmental assistance and they do not always reflect what, actually, becomes a reality on the ground. Measures of governance thus also need to address the gap between the ‘intended’ and the ‘reality’. Public policy and frameworks are thus one of many sets of tools to inform policy and decision-making in any particular country.

Some of the most informative data sets on governance in the public domain include:

- World Bank Country Policy and Institutional Assessment (CPIA-WB);
- African Development Bank Country Policy and Institutional Assessment (CPIA-AfDB);
- World Governance Indicators (WGI), Kauffman, Kraay and Mastruzzi, World Bank;
- Corruption Perception Index (CPI), Transparency International;
- Failed States Index, Fund for Peace;
- Millennium Challenge Corporation Country Scorecards; and,
- Ibrahim Index of African Governance.

Water sector governance, at the micro level, is defined by GWP and UNDP as: “...the range of political, social, economic and administrative systems that are in place to develop and manage water resources and the delivery of water services, at different levels of society”⁸. Many of the processes and institutions will be defined directly by the central government, and these must function within the existing governance framework in the country. Improving governance in the water sector is therefore not only about government systems and services delivery; it encompasses a much broader range of factors, including engaging civil society, non-state agents and their relationship to government.

3. KEY CONSIDERATIONS

The successful operationalisation of this inception report will require taking into account some key considerations including: 1) country-mission schedule; 2) coordination and collaboration and 3) validity and reliability of data collected.

The first and key consideration is related to the scheduling of-country missions with regard to the coordination of field missions, agenda setting and travel arrangements. The planning phase of the 3-4 day in-country field missions is a key consideration in producing quality case studies. Technical Advisors will have specific windows of opportunity to conduct their in-country field missions. While they will carry considerable responsibility for their diplomatic protocols, other considerations, including program schedules and organizational practices require a joint collaborative effort. Technical Advisors will be visiting countries under the assumption that an agenda has been completed and will be respected during their visit. Forward planning and communication with country field offices with clear expectations, dates, roles and responsibilities is essential to mitigate the risk of incomplete itineraries upon the arrival of the Technical Advisors. The most common risk relates to the availability and willingness of interview candidates to participate in the evaluation process. It will be particularly important to have a sufficient number of interview candidates on an alternate list to avoid delays or unproductive country missions. No shows or late arrivals to meetings risk to become missing data as travel schedules are inflexible.

Mitigation strategies will be based upon setting and respecting a timeline to be established between the IDEV Task Manager and Science Matrix. This timeline will set specific dates during the months of February and March for the following: 1) identify reliable and well connected country level stakeholders; 2) establish clear lines of communication including expectations with stakeholders; 3) determine interview agenda and travel itinerary including all of the scheduled focus groups and interviews.

The second consideration concerns coordination and collaboration to ensure that timelines and quality standards for deliverables are adhered to. To accomplish this, both the IDEV and Science-Matrix evaluation teams must work as one team with a common understanding and uniform application of the water sector theory of change, its underlying assumptions, the Evaluation Matrix and the implementation schedule milestones. Also, the careful coordination of deliverables will be important in order to respect the tight sequence of deliverables which build upon earlier documents. For example, project results assessments are not only a key component of the Thematic Cluster Evaluations timely delivery, but will also be useful to inform Country Case Studies. Mitigation strategies will build upon good communication between the Task Manager at IDEV and the Evaluation Manager at Science-Matrix.

The final consideration relates to the validity and reliability of the data collected through stakeholder interviews because of the inherent biases of the stakeholder group. Indeed, the quality of the data to contextualize the country results will influence the ability of the evaluation to tell the performance story. Certainly, the evaluation will need to have access to good quality data which identifies the trends in the country, political events, civil unrest, and public finance. For example, while the influence of corruption on the ability of the Bank to achieve results in a country may be important, obtaining evidence in this regard is a challenge. The greater an issue is sensitive, the greater the challenge in accessing evidence.

For example, asking executing agency representatives whether they believe that budget allocations available for achieving ODF community targets are adequate may lead to incorrect findings without confirmation and triangulation of other data sources. As a mitigation strategy, the evaluation should be mindful of these inherent biases when preparing the Evaluation Matrix, instrumentation and will use multiple data sources and triangulation analysis techniques to avoid the influence of inherent stakeholder bias.

4. EVALUATION ISSUES AND QUESTIONS

The evaluation plan is in accordance with the *Quality Standards for Development Evaluation* and will adhere to the long-standing principles of impartiality, independence, credibility and usefulness. The evaluation will apply the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) criteria for evaluating development assistance, i.e. **relevance, efficiency, effectiveness, impact** and **sustainability**. In this respect, the evaluation will address the overarching question *“How has the African Development Bank Group’s support to water contributed to improve the conditions of life of its RMCs’ people?”*

To fully respond to this question, taking into consideration the WSS and AWM theory of change as well as the underlying assumptions and exogenous factors, Science-Metrix proposes two sets of criteria previously used to prepare a sector synthesis report for the Bank. One set focuses on what the Bank has achieved and the other set focuses on explaining the *how* and *why* of these achievements, or the lack thereof. Enabling factors thus address the achievement of development results by responding to the question *“How and why were the development results achieved or not?”* The enabling factors would be examined using the following criteria: selectivity, efficiency, partnerships, leverage, analytical capacity, and managing for development results. Development results respond to the questions *“What has been achieved by the Bank?”* or more specifically, *“Have the WSS and AWM approved operations approved during the past 12 years achieved their anticipated outcomes?”* Development results criteria focus on impact, effectiveness, relevance, and sustainability. Organizing these evaluation criteria in this way will allow the evaluation to tell a performance story not only about what development results were achieved but also how and why they were / were not achieved drawing an analysis of the enabling results, the underlying assumptions about the theory of change and possible exogenous factors.

Science-Metrix has revised the Evaluation Matrix developed by IDEV to resemble the Evaluation Matrix used in the Comprehensive Evaluation of the Bank’s Development Results (CEDR) – Synthesis Report. The evaluation criteria and definitions are outlined in Table 2 below. While several of these criteria were part of the original Evaluation Matrix proposed by IDEV this adjustment aims to ensure evaluation consistency and continuity going forward. The Evaluation Matrix (Appendix B) further incorporates the operational definitions presented below. This exercise aims to establish boundaries between the

various evaluation indicators and to develop precision and clarification surrounding the use of evidence to respond to the evaluation questions.

Table 2: Evaluation criteria definitions

Evaluation Criteria	Definition
Enabling Factors	
Selectivity	The extent to which aide activities (i.e. WSS and AWM projects, operations, institutional strengthening and capacity and capacity building) are selective and strategically focused. This includes referring to thorough analysis of the Bank's contribution and comparative advantage in relation to other Donor Partners (DP).
Efficiency	Efficiency measures the outputs -- qualitative and quantitative -- in relation to the inputs. It is an economic term which signifies that the activity uses the least costly resources possible in order to achieve the desired results. This generally requires comparing alternative approaches to achieving the same outputs, to see whether the most efficient process has been adopted. When evaluating the efficiency of a programme or a project, it is useful to consider the following questions: <ul style="list-style-type: none"> • Were activities cost-efficient? • Were outputs achieved on time? • Was the programme or project implemented in the most efficient way compared to alternatives?
Partnerships	The extent to which the Bank has been effective facilitating and engaging productive partnerships with or between RMC, DP, industry, private companies, civil society and beneficiaries. When evaluating the extent to which the Bank was a key player in facilitating and engaging productive partnerships, it is useful to consider the following questions: <ul style="list-style-type: none"> • How did the Bank contribute to promoting dialogue or building cooperation frameworks? • How did the Bank promote the use of guidelines for emerging partnerships with industry partners and emerging donors, e.g. BRIC countries? • How did the Bank implement coordination structures, such as sector working groups? • How did the Bank assure consultations were documented?
Leverage	The extent to which the Bank has leveraged. By leveraging, the Bank's played a role in bringing additional financing into the country through dialogue and usage of relevant instruments and through program design, showing explicit and consistent attention to scaling up both at strategic and project level. Leveraging may further consider the ability of a public financial commitment to mobilize some larger multiple of private capital for investment in a specific project or undertaking. Per the Bank's definition, leveraging is considered to include catalytic investments and pooled financing (including co-financing). Inducing policy reform however is not considered a form of leveraging.
Analytical capacity	The extent to which the Bank has fulfilled its role as knowledge broker, advisor and convener, underwritten by strong knowledge and analytical work at country and project level. This includes the availability and usefulness of knowledge produced by the Bank whereby both the studies and the economic and sector work (ESW) produced by the Bank inform the selection, design and implementation of projects.

Evaluation Criteria	Definition
Managing for development results	The extent to which the Bank's country strategy papers (CSPs), programs and projects are designed, monitored and managed for development results as per the Paris Declaration principles and indicators, including the extent to which the Bank is learning from experience.
Development Results	
Impact	<p>The positive and negative changes produced by the Bank's aid activities, directly or indirectly, intended or unintended. This involves an assessment of the main impacts (i.e. outcomes) resulting from the activity on the local social, economic, environmental and other development indicators. The examination should be concerned with both intended and unintended outcomes and must also include the positive and negative outcomes of external factors, such as changes in terms of trade and financial conditions. When evaluating the impact of a programme or a project, it is useful to consider the theory of change and the following questions:</p> <ul style="list-style-type: none"> • What have been the outcomes of the programme or project? • What real difference have the activities made to the intended beneficiaries? • How many people have been affected?
Effectiveness	<p>A measure of the extent to which the Bank's aid activities and associated enabling factors have generated the expected outcomes. In evaluating the effectiveness of a programme or a project, it is useful to consider the following questions:</p> <ul style="list-style-type: none"> • To what extent were the outcomes achieved / are likely to be achieved? • What were the major factors influencing the achievement or non-achievement of the outcomes?
Relevance	<p>The extent to which the Bank's aid activities are suited to the priorities and policies of the target group, recipient and donor. In evaluating the relevance of a programme or a project, it is useful to consider the following questions:</p> <ul style="list-style-type: none"> • Were the inputs provided consistent with the initial design assumptions and sufficient to achieve the intended outcomes? • Were the activities and outputs produced consistent with the theory of change to generate the intended outcomes? • To what extent were the outcomes achieved still valid, that is, still addressed the needs of the intended beneficiaries.
Sustainability	<p>Sustainability is concerned with measuring whether the outcomes achieved are likely to have a lasting benefit after donor funding has been withdrawn. Projects need to be environmentally as well as financially sustainable. When evaluating the sustainability of a programme or a project, it is useful to consider the following questions:</p> <ul style="list-style-type: none"> • What steps were taken to ensure the sustainability of the outcomes achieved, e.g. planning, capacity building, self-sustaining revenue, alternate funding, etc.? • To what extent can the beneficiaries maintain and/or continue to generate the outcomes after donor funding ceases?

5. EVALUATION APPROACH AND METHODOLOGY

5.1 Overall approach

The overall approach to this evaluation is set out below, beginning with a synopsis of the theoretical approach underpinning the evaluation design. It is followed by the presentation of the evaluation matrix, sampling strategy and overview of the implementation phases.

5.1.1 Theoretical approach

This is a theory-based evaluation combining theory of change² and contribution analysis approaches.³ Theory-based approaches to evaluation use an explicit theory of change to draw conclusions about whether and how a policy, program or initiative contributed to observed outcomes and impacts. They generally follow a “logic of enquiry” along the continuum of an approved logic model. This theory of change approach helps to minimize the risk that the evaluation will be compromised by misaligned evaluation indicators and data collection tools, or driven by readily available data, or biased by special interest group issues. Another benefit of this approach is that it helps to articulate the assumptions underpinning the theory of change, including the identification, articulation and assessment of internal and external contextual factors that could influence development effectiveness either directly or indirectly and in a positive or negative manner. Using a Bank approved theory of change/logic model(s) as the basis for the evaluation combined with an assessment of underlying assumptions also facilitates rigorous contribution analysis. The theory of change and contribution analysis approaches complement one another and can be used in combination with most evaluation designs and data collection techniques.⁴

In the absence of experimental or quasi-experimental evaluation designs, contribution analysis is a practical way of verifying the theory of change, while taking into consideration other contextual factors that may influence the achievement of expected outcomes and downstream impacts. The evaluation team will implement six steps in the application of the contribution analysis approach and ask the following questions during the course of the evaluation.⁵

² Harris, E. (2005). *An Introduction to Theory of Change*. Harvard Family Research Project, XI (2). Retrieved from [http://www.hfrp.org/evaluation/the-evaluation-exchange/issue-archive/evaluation-methodology/an-introduction-to-](http://www.hfrp.org/evaluation/the-evaluation-exchange/issue-archive/evaluation-methodology/an-introduction-to-theory-of-change) theory-of-change

³ Mayne, J. (2001). *Addressing attribution through contribution analysis using performance measures sensibly*. The Canadian Journal of Program Evaluation, Vol. 16 – 1, pp. 1-24. Canadian Evaluation Society: Ottawa Canada.

⁴ Treasury Board Secretariat of Canada (2012). *Theory-based approaches to evaluation: Concepts and practices*. Ottawa, Canada: Treasury Board Secretariat.

⁵ Mayne, J. (2008). *Contribution analysis: An approach to exploring cause and effect*. ILAC Brief, 16. Retrieved from http://dmeforpeace.org/sites/default/files/0501_Contribution_Analysis_ILAC.pdf

Table 3: Steps for a contribution analysis approach to evaluation

Step #	Definition
<p>1. Acknowledge the attribution problem to be addressed</p>	<p>To what extent has the Bank contributed or caused the outcome? What kind of evidence would show that the Bank’s activities made a difference? What are the implications of the findings on the Bank’s operations? What other factors, whether related to the Bank, or not, may have had an influence on the outcomes Is the expected contribution from the bank plausible?</p>
<p>2. Confirm the theory of change and identify associated risks</p>	<p>Is the Water Sector theory of change well understood and accepted? Are the causal pathways to the achievement of outcomes and impacts evidence-based? What level of control and influence does the Bank have on the achievement of the different levels of outcomes, given contextual factors both internal and external?</p>
<p>3. Gather the existing evidence on the theory of change</p>	<p>What kind of evidence is available or needed to validate the theory of change in three areas: observed development results, assumptions about the theory of change, and other influencing factors?</p>
<p>4. Assemble and assess the performance story, and challenges to it</p>	<p>Which links in the results chain are strong and which are weak? Does the pattern of results and links validate the results chain? Do stakeholders agree with the performance story—given the available evidence; do they agree that the Bank has made an important contribution (or not) to the observed results? Where are the main weaknesses in the performance story? This last question would signal on where additional data or information would be useful.</p>
<p>5. Seek out additional evidence</p>	<p>What can we learn from the triangulation of the evidence available? Where are the gaps and how can these be filled in? Are there additional resources and financial data available to conduct a cost-benefit analysis?</p>
<p>6. Revise and strengthen the contribution story</p>	<p>Is the evidence sufficient and plausible? Have all possible contextual elements been considered?</p>

The WSS and AWS Results Chain (Appendix A) explains the multidimensional causal links that go beyond provision of physical infrastructure to encompass the broader outcomes occasioned by the Bank’s assistance, including the change process. The generic theory of change is presented in Box 1.

Box 1: Water (WSS and AWM) Sector Theory of Change

The impact of WSS and AWM interventions is related to health, education, labour supply and food security.

The Bank, along with other development partners, provides RMCs with funding, technical assistance, equipment and knowledge to construct and/or rehabilitate Water Supply and Sanitation (WSS) facilities as well as infrastructures for Agricultural Water Management (AWM). Accordingly, fully functional and operable WSS and AWM infrastructures (including both hardware and software) are delivered.

In addition, 1) WSS and Agriculture sectors' actors (ministries, artisans, water utilities, water users etc.) are trained on WSS and AWM management, operation and maintenance (including managing PPPs); 2) hygiene awareness is raised. Regulatory framework for WSS sector (including tariffs) is established; 3) Equipment (water metering systems) is provided to water utilities/municipalities; 4) high-quality studies on WSS and AWM sectors management issues are conducted and used; 5) campaigns to raise awareness on hygiene, health education, sanitation, water use and tariffs are effectively carried out; 6) Service delivery by different actors is improved (e.g. build better sanitation facilities, maintain water, improve management of PPP and setting tariffs).

All of this will lead to:

- Firstly, reduced incidence of water and sanitation related diseases through : 1) increased reliable production of high-quality (according to WHO safety standards) water and high-quality sanitation services; 2) increased access to sustainable drinking water supply by household, 3) increased volume of sewage reaching the treatment plant and as a result the volume of sewage effectively treated increased; increased volume of solid waste effectively disposed of increases leading to an improvement in dump site management ; 4) increased proportion of beneficiaries practicing proper hygiene including handling water properly and keeping it clean.
- Secondly, reduced burden of fetching water in rural areas through: 1) increased and sustained access to safe water supply by households in rural areas; 2) reduced time to fetch water in rural areas and as a result, beneficiaries have more time available for other productive activities.
- Thirdly, sanitation conditions and reduced pollution related to sewage and solid waste owing to: 1) increased volume of solid waste effectively disposed of increases leading to an improvement in dump site management; 2) beneficiaries practicing proper sewage and solid disposal and 3) reuse of treated water and sludge is increased.
- Finally, increased and sustainable agricultural productivity owing to increasing water-use efficiency and productivity in both irrigated and rainfed areas coupled with access to complementary inputs such as appropriate seeds, fertilizers, tools and crop protection measures. This is a result of: (i) adequate, timely and reliable service delivery to Water Users Associations; (ii) adequate, timely and reliable service delivery to water users and (iii) improved water management (Improved conservation and preservation of water).

While the WSS and AWS Results Chain provides a useful overview, Science-Matrix feels that more detailed logic models for each sub-sector would serve the evaluation better and has thus developed two alternate draft logic models for consideration (Appendix A). These draft logic models will be discussed with the IDEV Task Manager during the launch meetings and will be refined based on the Portfolio Review which will allow a mapping of the Bank's strategic approaches and the Literature and Policy Review which should inform the overall theory of change and expected outcomes for AWS and WSS. The final set of logic models will then be the basis for the assessment of development results.

5.1.2 Evaluation matrix

A revised Evaluation Matrix (Appendix B) is proposed which better aligns all the evaluation criteria (e.g. enabling and development results criteria), questions and indicators with the lines of evidence. The aim is to develop an Evaluation Matrix with which the IDEV and Science-Metrix evaluation teams can operationalize with the highest level of precision and accuracy as possible. This will be achieved through discussions with the IDEV Task Manager during the evaluation launch meetings. As such, the Science-Metrix team has prepared an Indicator Inventory for discussion during the launch meetings to better define and stabilize operational concepts from the beginning and make the links to the lines of evidence and specific data sources (e.g. policy documents, database lists, etc.).

5.1.3 Sampling strategy for project level evaluation

Owing to the fact that AfDB's PCRs have shortcomings in outcomes reporting, independent project evaluation report has been identified as line of evidence for this evaluation. Therefore, a sample of 35 projects (26 WSS and 9 AWM) was selected out of the total 106 completed investment-projects (76 for WSS and 30 for AWM) approved during the period FY05-16 for independent evaluation. Some of the 35 projects were already prepared during the CEDR exercise. The others ones were selected in the countries not covered by the CEDR with evaluability and budget constraints as selection criteria. In addition, 8 projects approved in the period FY00-04 and for which an independent evaluation was done were added in the sample to strengthen the learning part. Therefore, IDEV identify a total number of 43 project-level evaluations as a line of evidence for this evaluation (see Appendix C).

All RWSS (16) and Agricultural Water Management (9) projects listed in appendix C will be considered for two stand-alone cluster evaluation products to be prepared by Science-Metrix. It should also be noted that the IDEV team may undertake Thematic Cluster Evaluations for the Urban Water Supply and Urban Sanitation Projects with project evaluation reports.

Ten countries were selected for Country Case Studies based upon IDEV criteria as follows: 1) agriculture relevance is strong with representation of rain-fed and irrigated water projects; 2) a strong potential for improving or expanding AWM; 3) political will for improved AWM is strong with the presence of strategies and plans to support this will and; 4) the Bank has made the most investment according to the number and size of projects during the evaluation period. The selected countries are as follows: Cameroon, Kenya, Mali, Morocco, Mozambique, Nigeria, Rwanda, Senegal, Uganda and Zambia.

5.1.4 Implementation phases

The three phases of this evaluation are described below and are further illustrated in Figure 1 below as well as in the Work Scheduling section.

Phase 1: Inception phase

This phase began with exchanges regarding the sampling strategy for country case analysis. During this Inception Phase, the evaluation team received background documentation and data files (T1) to conduct a qualitative and quantitative data availability assessment (T2) which is ongoing. The logic model depicting the theory of change, including the expected outcomes and impact pathways, was revisited and alternate logic models proposed for discussion with the IDEV Task Manager (T3). The Evaluation Matrix was also revised (T4) and will be discussed during the evaluation launch meetings (M2). Once agreement is reached on the logic models and the Evaluation Matrix, the evaluation team will finalise the preliminary data collection tools (T5), which have been appended hereto in Appendix D (T6). It will be subject to review, discussion, suggestions for improvement, revised thereafter by the evaluation team and submitted to the IDEV Task Manager for final approval.

The approved Inception Report (D1) will supersede the Terms of Reference as the evaluation's primary reference document. Any subsequent changes thereafter to the methodology or workplan proposed by either the IDEV Task Manager or the Science-Metrix Evaluation Team Leader must be formally documented in a Progress Report, mutually acceptable, and subject to a contract amendment if appropriate.

Phase 2: Data collection and analysis phase

This phase will commence upon approval of the Inception Report. There will be five (5) lines of evidence, as follows: 1) Portfolio Review, 2) Literature and Policy Review, 3) Project Result Assessment Summary, 4) Thematic Cluster Evaluations, 5) Country Case Studies. Each line of evidence will generate one or more deliverables (i.e. evaluation products) for which either IDEV or Science-Metrix will be responsible. The respective roles and responsibilities for the implementation of these lines of evidence and the preparation of deliverables are presented in Table 4.

Table 4: Respective roles and responsibilities by line of evidence

Lines of Evidence and Related Deliverable(s)	Secondary Data Collection and Analysis		Primary Data Collection and Analysis		Preparation of Deliverables / Evaluation Products	
	IDEV	Science-Metrix	IDEV	Science-Metrix	IDEV	Science-Metrix
1) Portfolio Review Report	x		x		x	
2) Literature and Policy Review Report (D2)		x		x		x
3) Project Evaluation Reports	x		x		x	
4) Project Evaluation Summary		x				x

Lines of Evidence and Related Deliverable(s)	Secondary Data Collection and Analysis		Primary Data Collection and Analysis		Preparation of Deliverables / Evaluation Products	
	IDEV	Science-Metrix	IDEV	Science-Metrix	IDEV	Science-Metrix
5) WSS/AWM Thematic Cluster Evaluation Synthesis Reports (D3)		x				x
6) Country Case Study Reports (10) and a Synthesis Report (D4)		x		x		x

The IDEV will complete the Portfolio Review, the project-level cluster evaluations, and the PERs, in addition to Bank specific policy and background documents. Science-Metrix will provide comments and suggestions on the Portfolio Review Report and will summarize the performance ratings across Project Evaluation Reports, in addition to preparing the following deliverables: the Literature and Policy Review (D2), the two WSS and AWM Thematic Cluster Evaluation Synthesis Reports (D3), ten (10) country case study reports and the Country Case Study Synthesis Report (D4), and the Water Sector Evaluation Synthesis Report (D5) which will be completed during the Reporting phase.

A *copy bundle* of the Atlas.ti project file will be transferred to the Task Manager along with the main deliverables for which Science-Metrix is responsible so that the IDEV team can review the supporting evidential data, making the data analysis and reporting phase as collaborative and transparent as possible. This would apply to the Literature and Policy Review Report (D2), two Thematic Cluster Evaluation Synthesis Reports (D3), the Country Case Study Synthesis Report (D4) and the Water Sector Evaluation Synthesis Report (D5).

Phase 3: Reporting phase

The Science-Metrix team will conduct content analysis on all evaluation products as they are completed during the evaluation process and during this phase (D2, T14, T15, T16). They will be uploaded into the Atlas.ti and using the Evaluation Matrix as a closed coding structure then analysed and coded for relevant indicator data. Open coding will be used to capture topics of interest and emerging evaluation issues. The coded data by question and indicator is triangulated and analyzed using data visualization techniques and/or data query tools. A one-day Science-Metrix team working session will be held to review the data analysis and articulate the findings statements to answer each of the evaluation questions based on the supporting triangulated evidence and formulate conclusions statements. IDEV would like to send two of its team members to Canada to work with the Science-Metrix team to review the evaluation database, participate in the triangulation process, discuss the preliminary findings and articulate/refine the conclusions. The advantages of using a common software platform for data integration, analysis and reporting are evident in terms of quality control and assurance for IDEV, cost-

efficiencies for report preparation and revisions for Science-Metrix and an overall more harmonious evaluation process between the client and the evaluation services supplier.

The Science-Metrix team will draft Water Sector Evaluation Synthesis Report (T17) in a clear, concise, and readable performance story format. The findings will be supported by an evidence-based narrative which draws on the relevant data from the different lines of evidence. The draft Synthesis Report will be accompanied by an Evidence Binder and forwarded to internal peer reviewers, an external peer-reviewer, the Reference Group, IDEV Management and other Bank stakeholders for comment and suggestions. The Task Manager will consolidate these comments in track changes and forward the draft report in track changes to the Science-Metrix team for review and revision.

The reporting phase will include a Stakeholder Validation Workshop (M3), the purpose of which will be to test the face validity of the findings and conclusions to determine the extent to which they can withstand the scrutiny of those most knowledgeable and interested in water sector programming. The second task will be to articulate immediately thereafter a limited number of recommendations that address any identified weaknesses in water sector programming and/or the design of water sector investments. This 1-2 day facilitated working session should involve at minimum the Task Manager, the Water Sector Program Manager and staff and other knowledgeable stakeholders in drafting strategic and actionable recommendations. The Final Draft Water Sector Evaluation Synthesis Report (D5) will then be presented by IDEV to CODE for final approval.

An overview of the implementation process is illustrated in Figure 1 below.

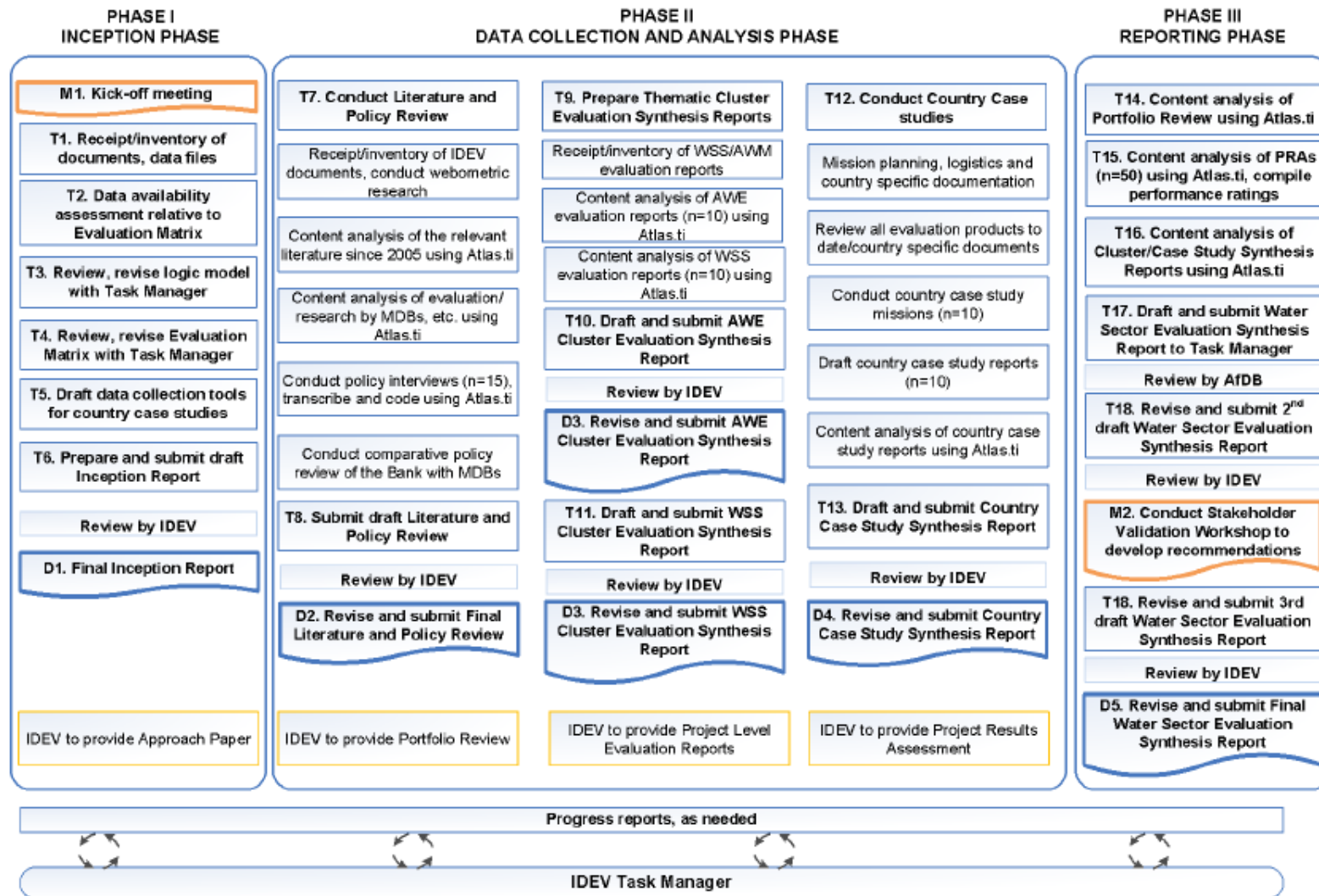


Figure 1: Evaluation Implementation Plan

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5.2 Data collection and analysis methods

The five lines of evidence comprised in this evaluation are described below in terms of how the data will be collected, respective roles and responsibilities, sampling targets, data analysis methods and tools along with associated deliverables. The perceived challenges (risks) and proposed solutions (mitigation strategies) are reiterated and follow from the key considerations mentioned above.

5.2.1 Portfolio Review

The portfolio review will analyze the evolution of the Bank support to the water sector, the characteristics and composition by sub-sectors, the objectives and the expected results and the development effectiveness of Bank support. As stated in the Terms of Reference, the portfolio review has three objectives: 1) to overview the trends of the Bank's water lending and approvals; 2) to further guide the evaluation in the development of input, activity and output components of the RWSS and AWM logic models; 3) to answer the evaluation questions related to enabling factors, in particular efficiency. If suitable, the portfolio review will also address the financial performance of the private water projects.

The universe of Bank water supply, sanitation (WSS) and agricultural water management (AWM) projects, programs, interventions, studies (i.e. feasibility, ESW/Sectoral) and technical assistance (hereafter referred collectively as water 'projects') will be included in the Portfolio Review. This includes investment-projects and studies regarding institutional strengthening, such as regulatory and administrative reform in the water sector, advisory services, capacity building and other governance-related projects will also be included in the review. Lastly, water projects using the Bank new financing instruments, such as partial risk guarantees, lines of credit, climate change-related and equity participation will also be included. In total, the WSS and AWM consist of approximately 223 and 116 projects respectively.

The completion of the Portfolio review is a responsibility of the IDEV. Science-Metrix will review the Portfolio Review, paying attention to the following items: 1) the representativeness of the portfolio review and the completeness of ex-post evaluation documents; 2) the use of various project documents and evaluations (i.e. PCRs, PCR Reviews, PERs, PPERs, PADs) including information about project design, project execution and programming trends from other primary (e.g. interviews with Task Managers) and secondary sources (socio-economic and physical indicators).

Analysis: Although IDEV will be leading the data collection and analysis of this data and is responsible for the completion of the Portfolio Review report, Science-Metrix will review and comment on the document thus fulfilling a quality assurance function, as well as conduct content analysis so as to triangulate relevant data with other lines of evidence and integrate relevant information into the synthesis report.

5.2.2 Policy and Literature Review

The Literature and Policy review will focus on: 1) highlighting the emerging trends and lessons in the Water Sector and, 2) the evolution of the Bank’s policy framework. Relevant literature will be reviewed to identify the factors that have influenced the water sector in Africa and other development countries from 2005 and will examine how these changes have influenced the development community. Four overarching sources of information will be used for this purpose: 1) policy documents by the Multilateral Development Banks (MDB) including bilateral institutions active in Africa; 2) evaluation and research documents produced by these and other relevant institutions; 3) studies by water and agriculture specialists and; 4) interviews with Bank staff. The literature will contain a large range of water and agriculture publications including AfDB documents, World Bank and European Union (EU) documents, policy and evaluation documents of bilateral institutions, and publications by water and agriculture sector specialists (excluding water related topics which do not concern agriculture). Attention will also be given to include documents from emerging Development Partners, including those from BRIC countries.

The secondary data sources will include continental and international policy documents, strategy papers, declarations, and conventions as previously mentioned, including but not limited to, The African Water Vision 2025 and other key documents released by the African Minister’s Council on Water (AMCOW), the 2015 and 2016 World Economic Forum’s Global Risk Reports, the World Bank report “High and Dry: Climate Change, Water, and Economy”, UN Secretary-General report on progress toward Sustainable Development Goals and Millennium Development Goals. It will also include sector specific papers and evaluations within the water sector at the AfDB, including but not limited to water and agriculture strategy papers, medium and long terms development plans, Synthesis Report on AfDB Project Assistance for WSS (2014), Agriculture Water Management in Ghana and Mali, 1990-2010 (2012) and Capacity strengthening of Urban WSS entities in RMCs (2004).

Up to fifteen telephone interviews with Bank staff will be completed with the aim of triangulating evidence and thus validating the story being developed in line with the trends, lessons and evolution of the water sector in general, and the Bank’s policy framework in particular. Key informants from the Bank will be asked to participate in a one hour telephone interview at an appropriate time near the end of the secondary document review. The key informants will be Water Sector Specialists with a longstanding involvement in the water sector planning with the Bank at Headquarters and the country level with rich knowledge of both past and future developments. The total number of interviews exactly will depend upon the appearance of any new information and opinions surfacing during the data collection process.

Interview guide development: The interview guide will query general topics regarding the key events which may have influenced the trajectory of the water sector along with the strengths, weaknesses, opportunities and threats having occurred along the way. Questions aim to corroborate the current knowledge being integrated into the review and to identify any missing or incomplete knowledge. A draft interview guide has been developed (Appendix D) for comment, revision and approval.

Analysis: All secondary and primary data source documents will be inventoried and subject to content analysis using Atlas.ti. These data sources will be uploaded and coded using both the deductive and inductive approaches. First, a closed coding structure will be developed based on the approved evaluation framework. Open coding will also be used when other unforeseen topics of interest are identified. The reference document quotations constitute the evidence that will be analyzed by evaluation question and indicator. A summary of findings for this line of evidence will be documented in the draft Literature and Policy Report for discussion, revision and approval.

5.2.3 Project Evaluation Reports (PERs) Rating Summary

Science-Metrix proposes to complete a quantitative ratings analysis of all completed PERs and to produce ratings summary tables to provide an overview of performance on a number of key criteria. This will include ratings for both private and public (including private partnerships) projects and will include ratings for: 1) relevance of objectives; 2) relevance - project design; 3) relevance - overall; 4) effectiveness - output; 5) effectiveness - outcome; 6) unintended outcomes; 7) effectiveness - overall; 8) efficiency – cost benefit; 9) efficiency – cost effectiveness; 10) efficiency – timeliness; 11) efficiency – advancement; 12) efficiency – profitability; 13) efficiency – overall; 14) sustainability – technical soundness; 15) sustainability – financial and economic viability; 16) sustainability – institutional and capacity strengthening; 17) sustainability – political governance; 18) sustainability – ownership and partnerships; 19) sustainability – (ESAP category), social and environmental; 20) sustainability – resilience to exogenous factors and risk management; 21) sustainability – business success; 22) sustainability – environmental and social performance; 23) sustainability – overall.

Analysis: The Science-Metrix team will complete a rating summary for all projects with complete post-evaluation reports and ratings. Data will be managed using the Excel software. This rating summary will be used to compare overall performance of projects grouped across countries and themes. The ratings summaries will thus provide a stand-alone line of evidence and data for inclusion in the country case studies and the cluster evaluations. Rating summaries can then be interpreted using the Bank's rating scale which identifies the strength with which the development results criteria have been achieved. This rating scale was used in the CEDR Synthesis Report.

5.2.4 Thematic Cluster Evaluations

In line with the Bank Ten Years Strategy (2012-2025) and High Five priorities IDEV will conduct WSS and AWM Project Evaluation Reports (PERs) to provide insight into: 1) the sustainability of rural water supply operations; 2) Use of value chain approach for rural sanitation interventions; 3) gender mainstreaming and impact of the Rural Water Supply and Sanitation Initiative (RWSSI) and; 4) the effectiveness of AWF's implementation strategies. The WSS PERs will assess the role of the: 1) the Bank's RWSSI interventions and 2) Public-Private Partnership (PPP) financing. The AWM PERs will assess how the Bank has mobilized resources and capacity to build effective agricultural water management. All PERs will address the agreed upon evaluation criteria with findings and conclusions and draw lessons learned at the project level.

Science-Metrix will complete two Thematic Cluster Evaluations: 1) Rural Water Supply and Sanitation (RWSS) and 2) Agricultural Water Management (AWM). A complete list of projects is presented in Appendix C. Upon receipt from IDEV of the PERs for RWSS (16) and AWM (9), the Science-Metrix team will proceed immediately to conducting the content analysis using Atlas.ti in accordance with the Evaluation Matrix at the question and indicators level. A Synthesis Report will be prepared for each of the RWSS and AWM thematic cluster evaluations that will assess past experiences, draw lessons and formulate recommendations to inform and guide the Bank's future investments in this sub-sector. A summary of the findings and conclusions for this line of evidence will be documented in the draft Cluster Evaluation Synthesis Reports for discussion, revision and approval

5.2.5 Country Case Studies

As stated in the Terms of Reference, the aim of the country case studies is to have in-depth discussion on policy and strategic issues with the main water sector stakeholders. The country case studies will advance understanding of the role of factors which are internal and external to the Bank which contribute to the success or failure of water sector interventions. Country level factors, both punctual and systematic, will be identified to: 1) describe how they interact with the Bank's water sector interventions and 2) explain their possible complementary, sequential or synergistic relationship with the Bank's water sector interventions. The extent to which the Bank's approach to addressing water sector issues is comprehensive within each of the RMCs and is thus responsive to country specific needs will be assessed in each country case study.

Selection of Interviewees: The Bank's Country Managers or other knowledgeable staff member(s) in the field office will work in collaboration with the IDEV Task Manager and Water Sector specialist(s) at the Bank's Head Quarters to identify the key informant interviewees. The interviewees will ideally permit the evaluation to gather evidence representing three key target groups who play an indispensable and interconnected partnership role with the Bank's water strategies and project management, these include: 1) government officials working in central and line ministries with mandates associated directly or indirectly with WASH and/or AWM; 2) International Donor Partners with WASH and/or AWM operations/projects, and 3) civil society and non-governmental organizations with WASH and/or AWM projects. The evaluation will also interview staff working at the Bank's country field office. Where possible, up to two group interviews will be completed across each of these four target groups. This would include a maximum of eight group interviews for each country case study. Where group interviews are not possible, individual interviews will be completed. The Technical Advisors are responsible for the completion of country case study reports and thus will judge the degree to which the data is saturating evaluation questions. In collaboration with the Bank's Country Managers, they may adapt the planned interview schedule to the particular country contexts, opportunities and circumstances during the field missions.

Interview guide development: A draft interview guide has been developed for initial discussion with IDEV Task Manager during the launch meetings (Appendix D). The questions aim to elicit the data needed to build evidence to respond to the evaluation questions in the Evaluation Matrix. The interview

guide was also inspired by the evaluation criteria and operational definitions used in the Country Factor Reviews from the CEDR Synthesis Report. It is expected that the interview guide will be further customised to each country’s circumstances by the Technical Advisors by adding supplementary questions informed by all evaluation products generated to date and available country specific documentation as its acquired during the field missions.

Scheduling in-country missions: The planning phase of the 3-4 day in-country field missions will be crucial to producing quality case studies. The IDEV Task Manager will be responsible for organizing communication processes with the Bank’s Country Managers who will be charged with country mission planning. A standard country mission itinerary template will be prepared and forwarded by the IDEV Task Manager to the Country Manager to guide them in the planning and documenting the mission itineraries. They will compile the stakeholder contact lists from which key informants will be selected and communicated the interest of the evaluation to conduct group or in-person interviews. As a best practice, all candidates should be notified in advance by the Bank’s Country Managers about the evaluation, emphasize its importance and enhance the legitimacy of the process. The in-country mission itineraries should be prepared in collaboration with the IDEV Task Manager and communicated to the Science-Metrix Evaluation Manager. The Evaluation Manager and the locally/regionally-based Technical Advisor on the Science-Metrix team will further work in collaboration with the Bank to assure that travel itineraries across the country missions are well coordinated. For those countries with a mixed WSS and AWM programming composition, two Technical Advisors would undertake the country missions, otherwise only one of the Technical Advisors would be involved. Technical Advisor country mission assignments are presented in Table 5.

Table 5: 10 Country Mission Assignments

Technical Country	Advisor/	Susana Sandoz International TA	Amacodou Ndiaye Regional TA	Jerry Rogers International TA	Simon Mead Regional TA
Cameroon		x			
Kenya				x	
Mali		x	x		
Morocco		x	x		
Mozambique					x
Nigeria		x			
Rwanda				x	x
Senegal		x	x		
Uganda					x
Zambia					x

Conducting and transcribing interviews: The Technical Advisors will follow the group interview guide and use supplementary questions relevant to the country context to obtain more detailed responses as appropriate. Interviews will be conducted in the official language of choice of the interviewee(s). Given the interviewees’ consent, interviews will be digitally recorded to facilitate transcription. The digital recording will be destroyed once the interview has been transcribed. Interview notes are assigned an identifying code before they are added to the evaluation database

to protect the confidentiality of the interviewee. Any derivation from this process will be negotiated during the preparation of the Inception Report during the launch meetings.

Data analysis: Primary documents, including both secondary data sources (e.g. documents and papers) and primary data sources (e.g. transcribed interviews, site visit notes, photos) will be coded and analyzed using Atlas.ti by the Science-Metrix team. Quality assurance and control measures are used to ensure the validity and internal consistency of all coded data. The initial coding using Atlas.ti will be conducted by one team evaluator and independently verified by another. Possible errors, inconsistencies or misinterpretations will be corrected before data analysis begins. The findings from this line of evidence will allow the evaluation to identify enablers and barriers to the achievement of outcomes, and emerging issues for further content analysis with the other lines of evidence. Findings for each country case study will be provided in a country case study report. A country case study template will be designed for use by the Technical Advisors which is based on the Evaluation Matrix structure, relevant questions and indicators. A Synthesis Report (D4) of the ten country case study reports will be prepared for discussion, revision and approval.

Risk and mitigation: The risks involved in undertaking multi-country field missions are numerous and should be mitigated to the extent possible from the inception phase onwards. The Technical Advisors will have specific windows of opportunity to conduct their in-country field missions. While they will carry considerable responsibility for their program schedules, diplomatic protocols, organizational practices and other considerations require a joint collaborative effort. Forward planning and communication with the Bank's country field offices with clear expectations, tentative dates, roles and responsibilities is essential to mitigate the risk of incomplete itineraries upon the arrival by the Technical Advisors. The most common risk relates to the availability and willingness of key informant interviewees to participate in the evaluation process. It will be particularly important to have a sufficient number of interview candidates on an alternate list to avoid delays or unproductive country missions. The risk of 'no shows' to group interviews is also common which requires timely confirmations 1-2 days prior to the scheduled interviews. Another risk relates to the validity and reliability of the data collected through stakeholder interviews because of the inherent biases of the stakeholder group. For example, asking the representatives of NGOs acting as executing agencies whether they believe that budget allocations available for achieving ODF community targets are adequate may lead to incorrect findings without confirmation and triangulation of other data sources. As a mitigation strategy, the Technical advisors should be mindful of these inherent biases when finalising the interview guides, conducting the interviews, and will use multiple data sources and triangulation analysis techniques to avoid the influence of inherent stakeholder bias.

5.3 Data integration and reporting

The lines of evidence and evaluation products have been outlined (D2, T14, T15, T16). Each of these products will be uploaded into the Atlas.ti and analysis will be guided by the Evaluation Matrix as a closed coding structure and coded for relevant indicator data. Open coding will be used to capture topics of interest and emerging evaluation issues. The coded data by question and indicator is triangulated and analyzed using data visualization techniques and/or data query tools. The team will

review data and discuss findings as they emerge with weekly sessions. In this respect, a collective Hermeneutic Unit will be built over time with input across each of the team members. As much as possible, each of the evaluation questions will be analysed separately using multiple lines of evidence, thus permitting the triangulation of supportive (or unsupportive) evidence across multiple lines of evidence. Negative cases analysis will further be completed in order to identify challenge findings as they emerge. Controversies or contradicting findings will be included in the evaluation report.

Communication between the IDEV and Science-Metrix teams will further contribute to the data integration and reporting process. Two IDEV team members will come to Canada to review the evaluation database, participate in the triangulation process, discuss the preliminary findings and articulate/refine the conclusions making the data analysis and reporting phase as collaborative and transparent as possible.

The Science-Metrix team will draft Water Sector Evaluation Synthesis Report (T17) and findings will be supported by an evidence-based narrative which draws on the relevant data from the different lines of evidence. The draft Synthesis Report will be accompanied by an Evidence Binder and forwarded to internal peer reviewers, an external peer-reviewers, the Reference Group and IDEV Management for comment and suggestions. The Task Manager will consolidate these comments in track changes and forward the draft report in track changes to the Science-Metrix team for review and revision.

The reporting phase will include a Stakeholder Validation Workshop, the purpose of which will be to test the face validity of the findings and conclusions to determine the extent to which they can withstand the scrutiny of those most knowledgeable and interested in water sector programming. The second task will be to articulate immediately thereafter a limited number of recommendations that address any identified weaknesses in water sector programming and/or the design of water sector investments. This 1-2 day facilitated working session should involve the IDEV Task Manager, the Water Sector Task Manager and the Reference Group members and others experienced in drafting strategic and actionable recommendations. The Final Draft Water Sector Evaluation Synthesis Report (D5) will then be presented by IDEV to CODE for final approval.

5.4 Constraints and challenges



Figure 2: Project and evaluation management triangle of constraints

This triangle symbol captures the three key management consulting factors that constrain a project or an evaluation. The three factors include: quality, time and cost. The form of the triangle further illustrates that each of these three factors are interconnected and thus that a change in the importance of one factor inevitably results in an alteration in the importance of another factor. An equilateral triangle captures a well-designed project or well calibrated evaluation. For example, if there is a change in the scope, that is, an additional deliverable or a more detailed analysis mid-way through the evaluation, in order for the project to maintain balance, the other two factors

(cost/resources and schedule/time) would have to adjust. For this evaluation, time is a key constraint. A rather complex data collection and coordination process combined with a sizable body of data suggests that the evaluation may not be as balanced as would be ideal. This time constraint may limit the depth/scope of responses to the evaluation questions.

As has already been described, this evaluation project is challenged by a complex data collection process where coordination between the Technical Advisors itineraries and data collection agendas across country case studies is required to be exceptional. There is little, if any room for slippage. In this respect, the role of the Bank’s Country Managers will be important to establish during the evaluation launch meetings.

5.5 Team composition and analysis methods

The Science-Matrix team is composed of four evaluators and four Technical Advisors.

Table 6: Science-Matrix and Technical Advisor Team

Evaluation team	Responsibilities
Werner Meier	Team Leader, liaison with IDEV Diversion Manager and Evaluator General, QA/QC of all deliverables
Sherri Bisset	Evaluation Manager, liaison with IDEV Task Manager, finalizing logic model and evaluation matrix, content analysis across all lines of evidence, QA/QC of all deliverables, reporting. Assure field mission itinerary development.
Elsa Da Costa	Evaluator/Environmental Specialist, Qualitative data analysis of major deliverables, Triangulation of lines of evidence data, Report preparation.
Isabelle Agier	Evaluator/Economist and Statistician. Elaboration of logic model, Data collection for indicators at regional and national levels, data integration, content analysis
Chantale Tippett	Evaluator/LMIC Development Expert. Refinement of Evaluation Matrix, Content advisor, data integration, content analysis
Jerry Rogers	Technical Advisor/Agriculture, Water and Environment. Complete AWS field missions in Kenya and Rwanda including the production of draft country case study reports
Amacodou Ndiaye	Technical Advisor/Agriculture, Water and Environment. Complete AWS field missions in Senegal, Mali and Morocco including the production of draft country case study reports
Susana Sandoz	Technical Advisor/ Water, Sanitation and Hygiene. Complete WSS field missions in Senegal, Mali, Morocco, Cameroon and Nigeria including the production of draft country case study reports
Simon Mead	Technical Advisor/ Water, Sanitation and Hygiene. Complete WSS field missions in Rwanda, Mozambique, Zambia and Uganda including the production of draft country case study reports

5.6 Client and stakeholder responsibilities

Table 7: Bank IDEV Team responsibilities

Stakeholder	Responsibilities
Rakesh Nangia	Overall guidance and troubleshooting for IDEV Task Manager
Rafika Amira	Overall guidance and troubleshooting for IDEV Task Manager
Joseph Mouanda	Principal Evaluation Officer, BDEVI Task Manager for Project. Liaison with Science-Metrix Evaluation Manager. Review and revise Evaluation Matrix and Logic Model, punctual content analyses. Consolidate input for draft reports. Organize field mission itinerary.
Mabarakissa Diomandé	Responsible for agricultural water management cluster evaluation, Evaluation Officer
Michel Aka	Junior Consultant -Statistician Economist Portfolio review.
Ayari Henda.	Archivist/Documentalist. Administrative and some research assistance
Jacqueline Nyagahima	Communications and Knowledge Management Specialist, lead evaluation knowledge management, communication and dissemination strategy. Support Task Manager with stakeholder communication

6. WORK SCHEDULING

6.1 Task analysis and level of effort

The following table sets out the meetings, tasks and deliverables to be completed in each phase of the evaluation along with the estimated level of effort required by each member of the evaluation team.

Table 7: Task analysis and level of effort

Steps and Task Descriptions	Team Leader Werner Meier	Evaluation Manager Sherri Bisset	Evaluator, Isabelle Agier	Evaluator, Elsa De Costa	Evaluation Analyst Chantale Tippett	Technical Advisor WSS Susana Sandoz	Technical Advisor WSS Simon Mead	Technical Advisor AWM Jerry Rogers	Technical Advisor AWM Amacodou Ndiaye	Total LoE Days
Phase I: Inception	8.5	7.5	3	3	5	2	2	2	2	35
M1 - Kick-off email exchanges	0.5	0.5								1
T1 - Receipt/inventory of documents, data files		1			3					4
T2 - Data availability assessment relative to Eval. Matrix			3	3						6
T3 - Review, revise logic model with Task Manager	0.5	1								1.5
T4 - Review, revise Evaluation Matrix with Task Manager	0.5	1								1.5
T5 - Draft data collection tools for country case studies	0.5	1				2	2	2	2	9.5
T6 - Prepare and submit draft Inception Report	1	3			2					6
M2 - Launch meeting in Abidjan with Task Manager	5									5
D1 - Revise and submit Final Inception Report	0.5									0.5
Phase II: Data collection and analysis	20	66	15	33	13	37.5	35.5	18	23.5	261
T7 - Conduct Literature and Policy Review	11	29	0	18	2	0	0	0	0	60
- receipt/inventory of IDEV documents					2					2
- content analysis of the relevant literature since 2005		2		8						10
- content analysis of evaluations/research by MDBs,		2		8						10
- conduct policy interviews (n=15), transcribe, code	5	10								15
- conduct comparative policy review with MDBs	2	2		2						6
T8 - Draft and submit Literature and Policy Review	2	10								12
D2 - Revise and submit Final Literature and Policy Review	2	3								5

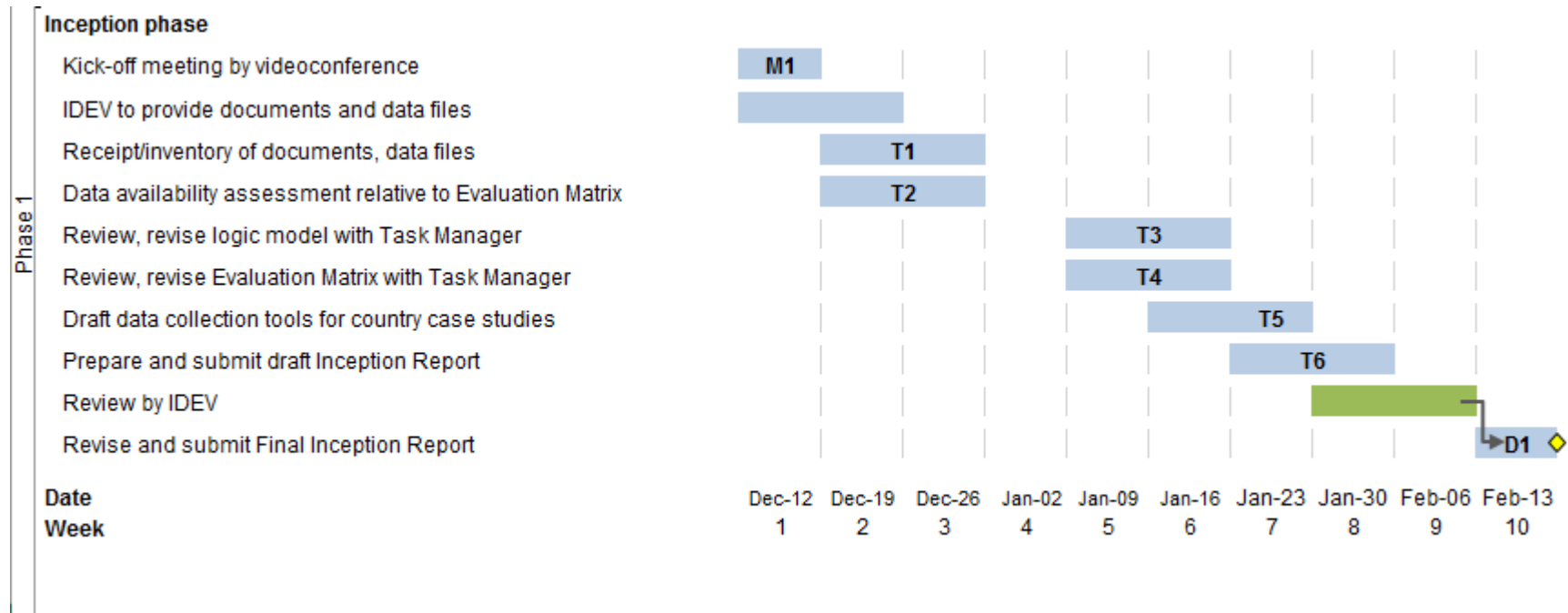
T9 - Prepare Thematic Cluster Evaluation Synthesis Reports	6	18	10	10	2	1	1	1	1	50
- receipt/inventory of WSS/AWM evaluation reports					2					2
- content analysis of AWM evaluation reports (n=10)			5	5						10
- content analysis of WSS evaluation reports (n=10)			5	5						10
T10- Draft /submit AWM Cluster Evaluation Synthesis Report	2	8						1	1	12
D3 - Revise/submit AWM Cluster Synthesis Report	1	1								2
T11- Draft/submit WSS Cluster Evaluation Synthesis Report	2	8				1	1			12
D3 - Revise/submit WSS Cluster Synthesis Report	1	1								2
T12 - Conduct Country Case Studies	3	19	5	5	9	36.5	34.5	17	22.5	151
- mission planning, logistics, country specific documents		3			9					12
- review all eval. products /country specific documents						4	4	2	3	13
- conduct country case study missions (n=10)						20.5	18.5	9	10.5	58.5
- draft country case study reports (n=10)		2				12	12	6	9	41
- content analysis of country case study reports		2	5	5						12
T13- Draft and submit Country Case Study Synthesis Report	2	10								12
D4 - Revise/submit Country Case Study Synthesis Report	1	2								3
Phase III: Reporting	11.5	27.5	20	0	0	2	0	0	0	61
T14 - Content analysis of Portfolio Review		1		3						4
T15 - Content analysis of PERs (n=50); compile ratings		1	20							21
T16 - Content analysis of Cluster/Case Study Reports	1	5								6
T17 – Draft/submit Water Sector Evaluation Synthesis Report to Task Manager	3	13				2				18
T18 - Revise/submit 2nd draft Water Sector Evaluation Synthesis Report	1	2								3
M3 - Conduct Stakeholder Validation Workshop to develop recommendations	5	5								10
T19 - Revise/submit 3rd draft Water Sector Evaluation Synthesis Report	1	1								2
D5 - Revise/submit Final Water Sector Evaluation Synthesis Report	0.5	0.5								1
Total Level of Effort (days)	40	101	38	36	18	41.5	37.5	20	25.5	357.5

Note: M: Meetings, D: Deliverables, T: Tasks

6.2 Workflow schedule

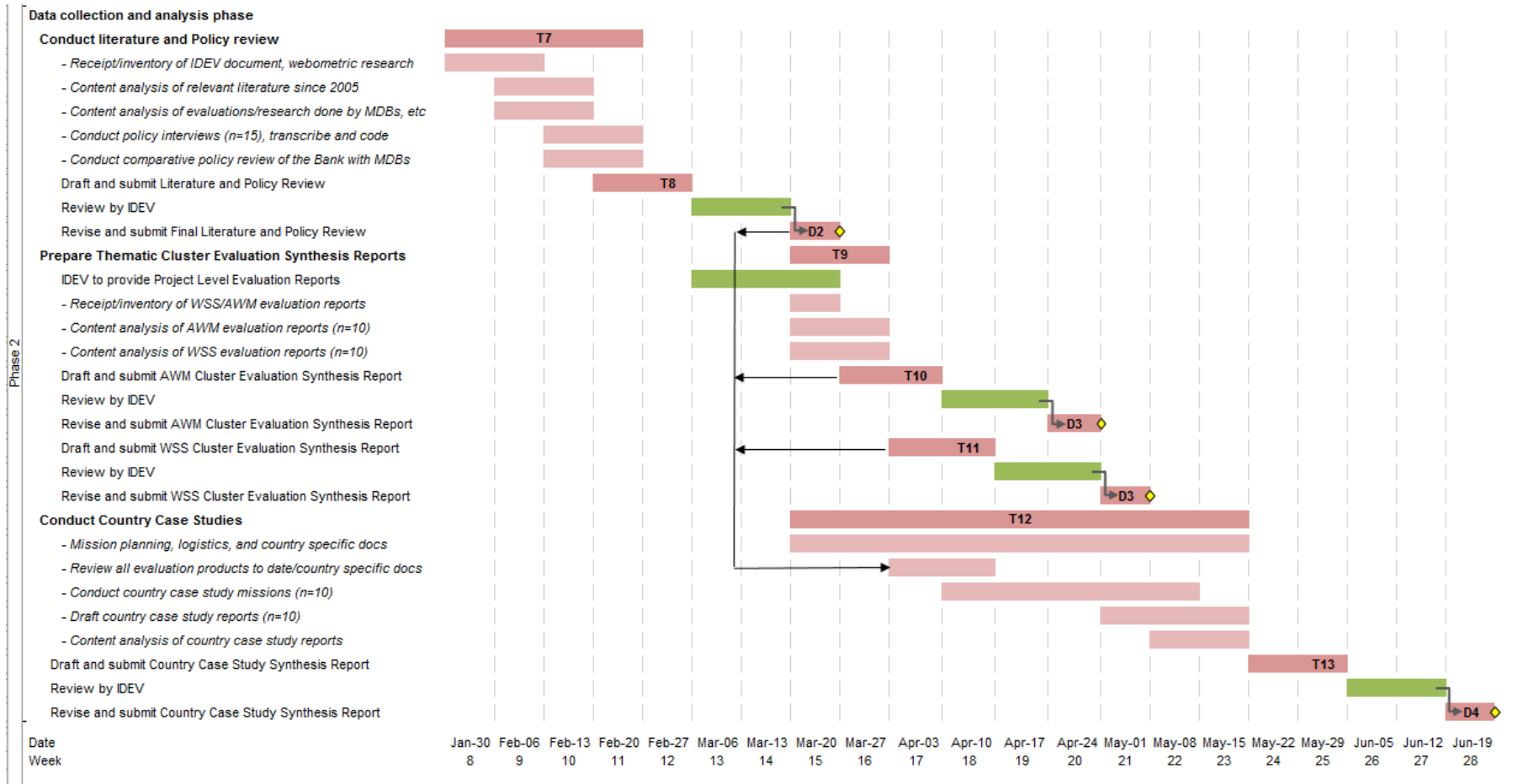
The Gantt charts below presents an overview of how the evaluation will unfold, including the flow of the various phases and their components. To ease the readability of the Gantt chart given the relatively lengthy timeline of the current evaluation, the components are presented on a biweekly basis, with each number below a set of dates denoting a two-week period.

Figure 3: Schedule for Phase 1 : Inception Phase



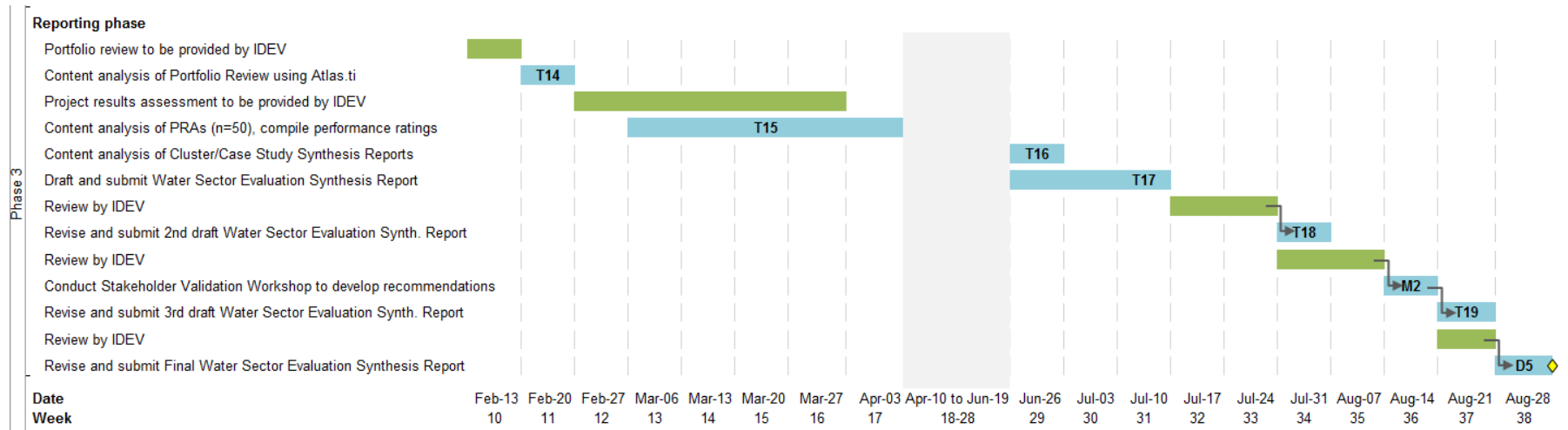
Note: D: Deliverable, M: Meeting, T: Task, ◆: Approval by the Bank

Figure 4: Schedule for Phase 2 : Data collection and analysis phase



Note: D: Deliverable, M: Meeting, T: Task, ♦: Approval by the Bank

Figure 5: Schedule for Phase 3 : Reporting Phase



Note: D: Deliverable, M: Meeting, T: Task, ◆: Approval by the Bank

6.3 Detailed delivery schedule

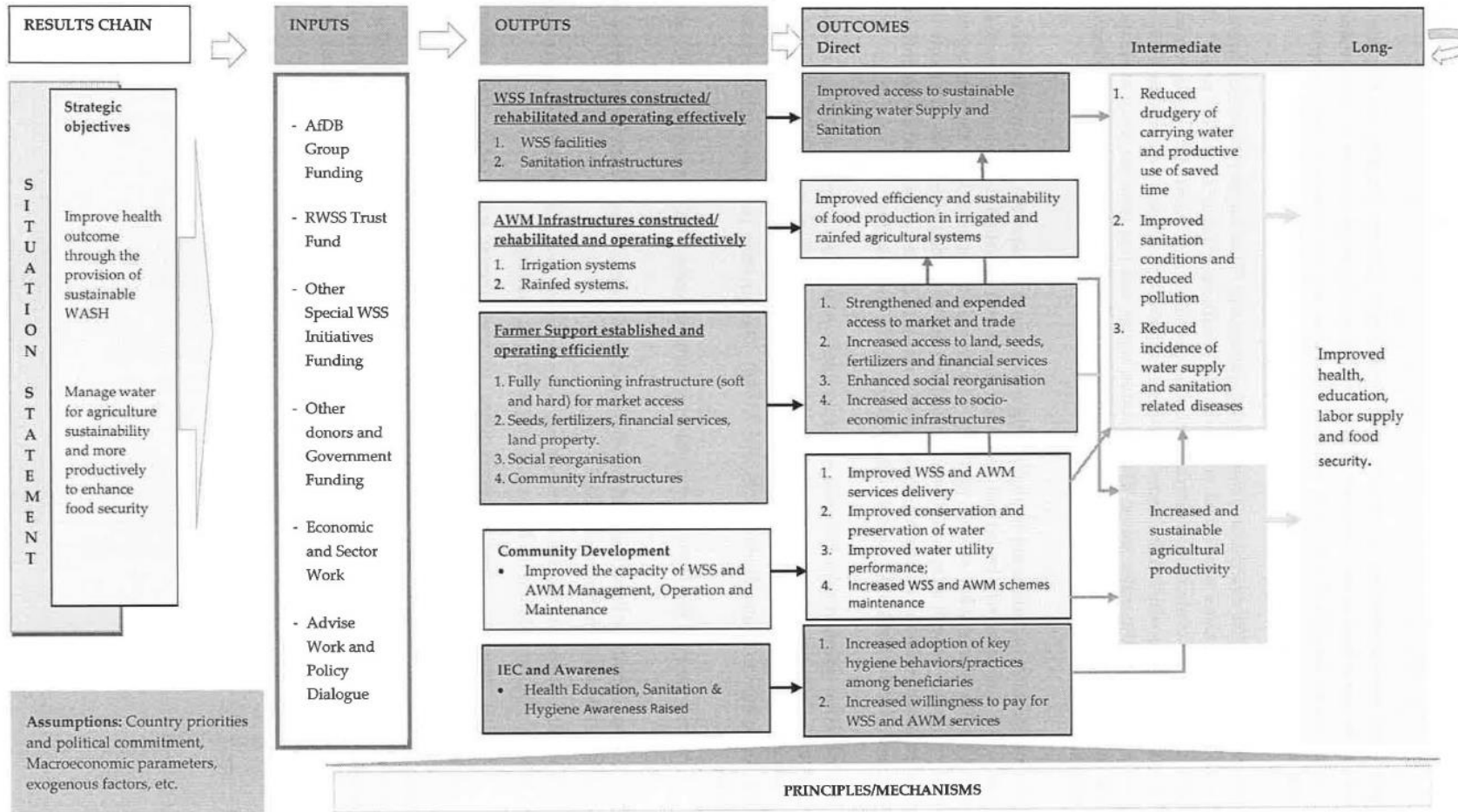
The following table sets out the detailed start-end dates of the meetings, key tasks and deliverables, as well as the support that will be required from the Task Manager in order to remain on schedule.

Table 8: Detailed delivery schedule

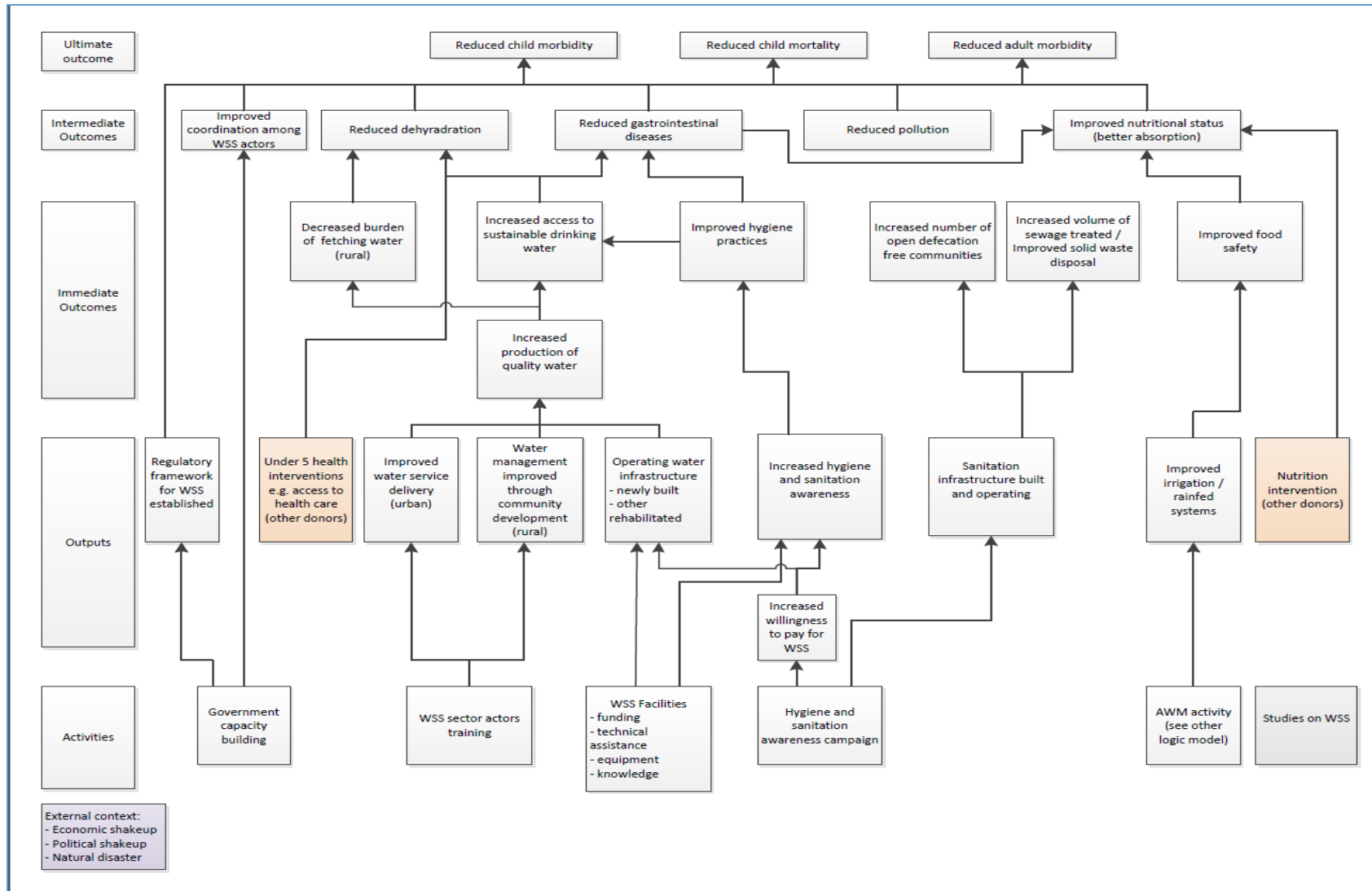
Key Deliverables - Reports	Date
D1. Inception Report	Week of January 30
D2. Literature and Policy Review	Week of March 20
D3. AWM and WSS Cluster Evaluation Synthesis Reports	Week of May 1
D4. Country Case Study Synthesis Report	Week of June 19
D5. Water Sector Evaluation Synthesis Report	Week of August 28

Appendix A: Logic model

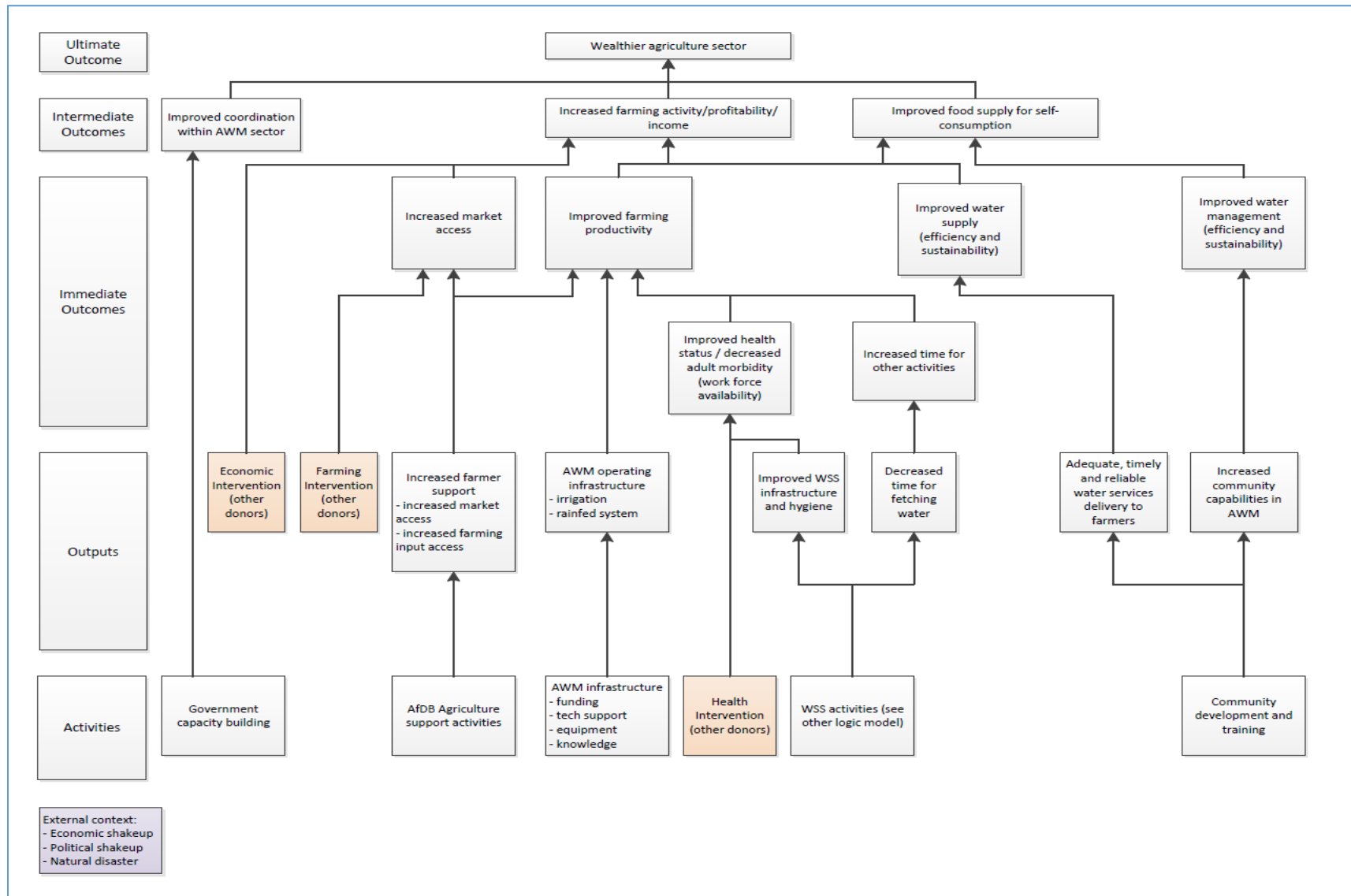
Figure 1: Water (WSS and AWM) Sector Results Chain



Water Supply and Sanitation Logic Model (proposed revised model for discussion)



Agriculture Water Management Logic Model (Proposed revised logic model for discussion)



Appendix B: Evaluation Matrix

Evaluation Core Issues	Evaluation Questions	Evaluation Indicators	Portfolio Review	Literature & Policy	PER Assessment	Cluster Evaluation	Country Case Studies
Enabling Results							
ER 1.0 Selectivity	ER 1.1 To what extent are the Bank's projects (WSS and AWM) strategically focused, coordinated and complementary with other development partners?	1.1.1 Degree of coordination with projects of other donor and development partners (DPs)		•	•	•	•
		1.1.2. Degree of complementarity of Bank's water project with those of others donor and development partners (DPs)	•	•	•	•	•
		1.1.3 Extent to which the Bank completed a thorough analysis of its' comparative advantage in relation to other development and donor partners		•			•
ER 2.0 Efficiency	ER 2.1 To what extent the Bank's identification, design and approval mechanisms and human resources contributed to ensure that the activities (i.e. WSS and AWM projects) used the least costly resources possible in order to achieve the desired results (Optimize Cost-benefit ratio, Cost-effectiveness)?	2.1.1 Extent to which the Bank's water projects included a standard comprehensive range of feasibility studies (engineering design, ...) done as part of the project Q@E process	•	•			
		2.1.2 Extent to which the Bank made a consistent use of economic and financial analysis (IRRs) at appraisal stages, including systematic testing of alternative designs (i.e. alternative approaches were compared to see whether the most efficient process was adopted).	•	•			
	ER 2.2 To what extent Bank's WSS and AWM portfolio incurred delays and cost overruns in delivering expected outputs (timeliness)?	2.2.1 Extent to which the Bank's water portfolio faced delays and cost overruns	•		•	•	•
		2.2.2 Extent to which procurement of Bank financed projects were conducted in a timely manner.	•		•	•	•
ER 3.0 Partnerships	ER 3.1 How effective has the Bank been in facilitating and engaging productive partnerships with or between RMC, DP, industry, private sector, civil society and beneficiaries in water sector (WASH and WSS)?	ER 3.1.1 Extent to which the Bank has established partnership arrangements/ frameworks in the water sector with RMC, DP, private companies or civil society.			•	•	•
		ER 3.1.2 Evidence that the Bank contributed to promoting policy dialogue or building cooperation frameworks		•			•
		ER 3.1.3 Evidence that the Bank implemented coordination structures, such as sector working groups		•			•
		ER 3.1.4 Evidence that the Bank assured that sector consultations were documented		•			•

Evaluation Core Issues	Evaluation Questions	Evaluation Indicators	Portfolio Review	Literature & Policy	PER Assessment	Cluster Evaluation	Country Case Studies
		ER 3.1.5 Evidence that the Bank has of guidelines for promoting partnerships with the private sector and emerging donors.		•			•
	ER 3.2 To what extent are the responsible Departments (i.e. OWAS, OWSAN) using strategic principals and mechanisms to achieve expected outcomes?	ER 3.2.1 Extent to which the Bank’s water projects use demand-driven participation and methods in water sector	•	•			•
		ER 3.2.2 Extent to which the Bank’s water projects use private sector development in water sector	•	•			•
		ER 3.2.3 Evidence of gender mainstreaming in water sector projects	•	•	•	•	•
ER 4.0 Leverage	ER 4.1 How well has the Bank leveraged resources?	ER 4.1.1 Extent to which Bank brought additional co-financing to the project (e.g. public commitment, private capital) which would not likely have occurred without the Bank’s involvement	•		•	•	
		ER 4.1.2 Extent to which Bank brought additional co-financing at the sector level (e.g. development and donor partners) which would not likely have occurred without the Bank’s involvement	•				•
		ER 4.1.3 Strengths and weaknesses in maximizing leveraging in water sector	•		•	•	•
ER 5.0 Analytical Capacity	ER 5.1 Has the Bank fulfilled its policy influence and advocacy role with strong knowledge products and analytical work at country and sector level?	ER 5.1.1 Existence of knowledge products and analytical work available (e.g. sector political economy, institutional governance and performance, PFM, corruption, etc.)		•			•
		ER 5.1.2 Proportion knowledge products and analytical work specific to the water sector, by theme or topic		•			•
		ER 5.1.3 Extent to which RMCs, DPs and civil society express their satisfaction with the Banks knowledge products and analytical work		•			•
ER 6.0 Managing for Development Results	ER 6.1 To what extent has the Bank’s monitoring been supportive to achieving the expected short-term and intermediate outcomes (as per the Paris Declaration principles and indicators, including the extent to which the Bank is learning from experience)?	ER 6.1.1 Extent to which the performance indicators identified in the PAD are closely monitored afterwards			•	•	
		ER 6.1.2 Extent to which the assumptions and risks identified in the PAD are closely monitored afterwards			•	•	
		ER 6.1.3 Extent to which updated performance and risk indicator is available at the project level.			•	•	
		ER 6.1.4 Extent to which updated performance and risk indicator is available at the sector level.		•			•
		ER 6.1.5 Extent to which the Bank’s country teams used monitoring data for project and sector management.		•			•
	ER6.2 To what extent the Bank’s projects were adapted over time, taking into account RMCs’ emerging	ER 6.2.1 Extent to which there has been an evolution in the Bank’s project component structure over time in response to RMC’s development needs.	•	•			•

Evaluation Core Issues	Evaluation Questions	Evaluation Indicators	Portfolio Review	Literature & Policy	PER Assessment	Cluster Evaluation	Country Case Studies
	challenges and evolving development priorities?						
Development Results							
DR 1.0 Impact (i.e. outcome achievement)	DR 1.1 To what extent the Bank's expected development immediate and intermediate outcomes were achieved?	DR 1.1.1 Extent to which the Banks' projects have achieved the expected immediate and intermediate outcomes as per the logic model in the PAD.			•	•	
		DR 1.1.2 Extent to which the Banks' projects have achieved immediate and intermediate outcomes as per the evaluation sub-sector logic model			•	•	
		DR 1.1.3 Number of people whose lives were positively affected			•	•	
		DR 1.1.4 Evidence of unintended consequences (positive or negative) attributable to the Bank's projects.	•	•	•	•	•
DR 2.0 Effectiveness	DR2.1 What were the major enabling factors that influenced the achievement of or non-achievement of the expected outcomes a/p the sub-sector logic models?	DR 2.1.1 Evidence that demonstrates which enabling factors contributed most to the achievement of expected outcomes		•	•	•	•
		DR 2.1.2 Evidence that demonstrates which constraining factors contributed most to the non-achievement of expected outcomes		•	•	•	•
DR 3.0 Relevance	DR 3.1 To what extent do the outcomes achieved by the Bank address the water-related policies and priorities of the Bank, RMCs, development partners and intended beneficiaries?	DR 3.1.1 Extent to which the outcomes achieved align with the Bank's water strategy focus during the evaluation timeframe			•	•	•
		DR 3.1.2 Extent to which the outcomes achieved contributed to addressing the RMCs key water development challenges			•	•	•
		DR 3.1.3 Extent to which the outcomes achieved align with the MDGs, SDGs and Water Vision 2015 Goals.			•	•	•
		DR 3.1.4 Extent to which the outcomes still address the needs of the intended beneficiaries at the time of the evaluation			•	•	•
DR 4.0 Sustainability	DR 4.1 What steps have RMCs taken to ensure the sustainability of the outcomes achieved, e.g. use of technology, self-sustaining or alternate funding, institutional capacity building, etc. after donor funding ceases?	DR 4.1.1 Extent to which the RMCs have access to the right technology to address the water infrastructure challenges		•	•	•	•
		DR 4.1.2 Extent to which the RMCs have the technical skills for the maintenance of new water infrastructure		•	•	•	•
		DR 4.1.3 Extent to which the RMCs continue to procure equipment and spare parts to maintain capital assets (e.g. pumps, motors, pipes, etc.) to address water infrastructure challenge		•	•	•	•
		DR 4.1.4 Extent to which the RMCs have established the means to ensure the financial viability of the new water infrastructure		•	•	•	•

Evaluation Core Issues	Evaluation Questions	Evaluation Indicators	Portfolio Review	Literature & Policy	PER Assessment	Cluster Evaluation	Country Case Studies
	DR 4.2 Do beneficiaries maintain and /or continue to generate the outcomes both ensuring environmental sustainability and social equity after donor funding ceases?	DR 4.2.1 Extent to which the beneficiaries maintain and /or continue to generate the outcomes			•	•	
		DR. 4.2.2 Extent to which beneficiaries have the capacity (e.g. financial, time) to maintain and /or continue to generate the outcomes			•	•	
		DR 4.2.3 Extent to which beneficiaries have a sense of ownership to ensure the environmental sustainability of the outcomes			•	•	
		DR 4.2.4 Extent to which the beneficiaries have equitable access to the outcomes and the benefits			•	•	

Appendix C: Thematic Cluster Evaluation Project Lists

No	Country	SAP code	Division	Project Name	Status	Group	Approval Year	Net Loan (UA Million)	Disb. Rate
Urban Water Supply (8)									
1	Morocco	P-MA-E00-005	OWAS2	HUITIEME PROJET D'APPROVISIONNEMENT EN EAU	CLSD	WSS – Urban Water Component	2004	53,64	100
2	Mozambique	P-MZ-E00-006	OWAS2	NIASSA PROV TOWNS WATER AND SANITATION	COMP	WSS – Urban Water Component	2009	18,00	x
3	Mozambique	P-MZ-E00-003	OWAS2	URBAN WATER SUPPLY, SANITATION AND INSTI	COMP	Urban WSS	2002	19,45	100
4	Ethiopia	P-ET-E00-005	OWAS2	HARAR WATER SUPPLY & SANITATION PROJECT	COMP	Urban Water	2002	19,23	100
5	Ghana	P-GH-E00-008	AWTF	IMPROVED SANITATION AND WATER SUPPLY SERVICES	COMP	WSS – Urban Water Component	2009	1,75	100
6	Tanzania	P-TZ-E00-003	OWAS2	DAR ES SALAAM WATER SUPPLY & SANITATION	CLSD	Urban WSS	2001	33,99	100
7	Tanzania	P-TZ-EA0-008	OWAS2	MONDULI DISTRICT WATER PROJECT	CLSD	WSS – Urban Water Component	2003	15,30	100
8	Mauritania	P-MR-EA0-007	OWAS2	PROJET D'AEPA DE NOUAKCHOTT I and II	CLSD	Urban Water	2008	19,14	100
Urban Sanitation (7)									
1	Cameroon	P-CM-EB0-003	OWAS1	PROJET D'ASSAINISSEMENT DE YAOUNDÉ(PADY)	CLSD	Urban Sanitation	2005	21,72	100
2	Morocco	P-MA-E00-006	OWAS2	NEUVIEME PROJET D'APPROVISIONNEMENT AN EAU	COMP	WSS - Urban Sanitation Component	2006	71,57	93
3	Senegal	P-SN-E00-002	OWAS1	ASSAINISSEMENT DE LA VILE DE DAKAR	CLS	Urban Sanitation	2001	11,87	100
4	Congo CG	P-CG-E00-002	OWAS1	ASSAINISSEMENT BRAZZAVILLE ET POINTE-NOIRE	COMP	Urban Sanitation	2009	12,75	94
5	Mauritius	P-MU-EB0-005	OWAS2	PLAINES WILHEMS SEWERAGE PROJECT- STAGE 1	COMP	Urban Sanitation	2007	7,34	100
6	Kenya	P-KE-E00-005	OWAS2	WATER SERVICES BOARDS SUPPORT PROJECT	COMP	WSS – Urban Water Component	2007	34,17	100
7	Comores	P-KM-EA0-001	OWAS2	PROJET D'EAU POTABLE ET D'ASSAINISSEMENT	COMP	WSS – Urban Water Component	2009	1,77	100
Rural Water Supply and Sanitation (16)									
1	Burundi	P-BI-EA0-004	OWAS2	PROJET DE REHABILITATION ET D'EXTENSION	COMP	RWSS	2005	12,00	94

Inception Report – Evaluation of the Effectiveness of the AfDB Group to the Water Sector

No	Country	SAP code	Division	Project Name	Status	Group	Approval Year	Net Loan (UA Million)	Disb. Rate
2	Senegal	P-SN-E00-003	OWAS1	1° SOUS-PROGRAMME AEPA MILIEU RURAL	CLSD	RWSS	2005	24,92	100
3	Ghana	P-GH-E00-003	OWAS1	RURAL WATER AND SANITATION PROGRAMME	COMP	RWSS	2004	9,82	100
4	Zambia	P-ZM-E00-003	OWAS2	CENTRAL PROV. RURAL WATER/SANITATION	CLSD	RWSS	2000	10,87	100
5	Zambia	P-ZM-E00-009	OWAS2	RURAL WATER SUPPLY & SANITATION PROGRAM	COMP	RWSS	2006	15,00	100
6	Rwanda	P-RW-E00-010	OWAS2	RURAL WATER SUPPLY & SANITATION PROGRAM I	COMP	RWSS	2003	9,25	98%
7	Burkina Faso	P-BF-E00-008	OWAS1	AEPA EN MILIEU RURAL DANS QUATRE REGIONS (CASCADES, CENTRE-QUE	COMP	RWSS	2007	20,00	94
8	Mauritania	P-MR-EA0-005	OWAS2	PROJET D'AEPA EN MILIEU RURAL DANS LA ZONE MERIDIONALE	COMP	RWSS	2006	9,70	81
9	Uganda	P-UG-E00-005	OWAS2	RURAL WATER SUPPLY & SANITATION PROGRAM	CLSD	RWSS	2005	40,00	100
10	Uganda	P-UG-E00-011	OWAS2	WATER SUPPLY AND SANITATION PROGRAMME	COMP	WSS	2011	40,00	93
11	Zimbabwe	P-ZW-E00-002	OWAS2	URGENT WATER SUP. & SAN. REHABILITATION (including Suppl)	COMP	WSS	2011	30,84	100
12	Chad	P-TD-EA0-001	OWAS1	PROGRAMME D'ALIMENTATION EN EAU POTABLE ET D'ASSAINISSEMENT	COMP	WSS	2006	11,62	100
13	Mali	P-ML-EA0-004	OWAS1	PROJET AEPA DANS LES RÉGIONS DE GAO, KOULIKORO ET SEGOU	COMP	RWSS	2008	22,00	78
14	Rwanda	P-RW-E00-005	OWAS2	DEUXIEME SOUS-PROGRAMME D'AEPA EN MILIEU RURAL	COMP	RWSS	2009	9,96	100
15	Tanzania	P-TZ-EA0-009	OWAS2	RURAL WSS PROGRAM Phase I	COMP	RWSS	2006	45	100
16	Ethiopia	P-ET-E00-006	OWAS2	RURAL WSS PROGRAM	CLSD	RWSS	2005	43,61	100
Water Sector Adjustment (1)									
1	Morocco	P-MA-E00-004	OWAS2	PROGRAMME D'AJUSTEMENT SECTORIEL DE L'EAU	COMP	Water	2003	188,34	100
Agricultural Water Management (9)									
1	Gambia	P-GM-AA0-007	OSAN2	FARMER MANAGED RICE IRRIGATION PROJECT	COMP	AWM	2005	5,00	100
2	Kenya	P-KE-AAZ-001	OSAN1	KIMIRA-OLUCH SMALLHOLDER IRRIGATION DEVELOPMENT PROJECT	COMP	AWM	2006	22,98	99

Inception Report – Evaluation of the Effectiveness of the AfDB Group to the Water Sector

No	Country	SAP code	Division	Project Name	Status	Group	Approval Year	Net Loan (UA Million)	Disb. Rate
3	Kenya	P-KE-AAD-004	OSAN3	GREEN ZONES DEVELOPMENT SUPPORT PROJECT	COMP	AWM	2005	25,03	100
4	Madagascar	P-MG-A00-001	OSAN1	PROJET DE REHABILITATION DU PERIMETRE IRRIGUE DE MANOMBO	COMP	AWM	2007	9,06	100
5	Mali	P-ML-AAC-005	OSAN2	PROJET INTENSIFICATION BAGUINEDA	CLSD	AWM	2005	14,92	100
6	Nigeria	P-NG-AA0-027	OSAN2	SUPPORT TO THE NATIONAL PROGRAMME FOR FOOD SECURITY IN EKITI	COMP	AWM	2006	22,00	59
7	Rwanda	P-RW-A00-007	OSAN1	PROJET D'APPUI AU DEVELOPPEMENT AGRICOLE BUGESERA	COMP	AWM	2006	9,96	100
8	Rwanda	P-RW-AAE-004	OSAN1	LIVESTOCK INFRASTRUCTURE SUPPORT PROGRAMME - LISP	COMP	AWM	2011	21,81	100
9	Senegal	P-SN-A00-001	OSAN2	PROJET D'APPUI AU DEVELOPPEMENT RURAL EN CASAMANCE (PADERCA)	COMP	AWM	2005	19,32	100
TOTAL PROJECT EVALUATION REPORTS (43)									

Appendix D: Data Collection Instruments

Interview Guide for Bank Water Sector Specialists (Draft)

Up to fifteen interviews (n=15) with Bank staff will be completed with the aim of triangulating evidence and thus validating the story being developed in line with the trends, lessons and evolution of the water sector in general, and the bank's policy framework in particular. Midway through the completion of the Literature and Policy Review, key informants from the Bank will be asked to participate in a one hour in person interview. Key informants include actors with a longstanding involvement in the water sector planning with the Bank and rich knowledge of both past and future developments. The total number of interviews exactly will depend upon the appearance of any new knowledge. The interview guide aims to respond to evaluation questions by gathering the evidence required to measure the evaluation indicators as found in the Evaluation Matrix. Data will corroborate evidence being integrated into the review and identify any missing or incomplete knowledge.

Section 1 Enabling Results

ER 1.0 Selectivity

1. What kind of structure does the Bank use to coordinate its actions in the country with other donors and development partners? (ER 1.1.1, ER 1.1.2)
 - a. Is there a donor round table for the water sector?
 - b. Are there sector working groups?
 - i. How often does the round table meet (Is the Bank always present)?
 - ii. Can you tell me more about the roles and responsibilities of the members of this round tables (Who convenes meetings, sets the agenda, sends invitations, documents consultations)?
 - c. How has the Bank positioned its particular contribution relative to other donors? (ER 1.1.2)
 - i. How would you describe the complementarity between the Bank and other Donors and development partners?
 - ii. Is the Bank's comparative advantage clear to you, that is, there is a clear rational for why you would select the Bank as a partner versus another donor is explicit? (ER 1.1.3)

ER 2.0 Efficiency (this line of evidence is not currently associated with this evaluation question in the Evaluation Matrix, perhaps this should be changed?)

2. How well did the Bank ensure that the activities (i.e. WSS and AWM projects) used the least costly resources possible in order to achieve the desired results?
 - a. identification, design and approval mechanisms and human resources (Optimize Cost-benefit ratio, Cost-effectiveness)?
 - b. use of economic and financial analysis (IRRs) at appraisal stages, including systematic testing of alternative designs

ER 3.0 Partnerships (this line of evidence is not currently associated with the majority of indicators for this evaluation question in the Evaluation Matrix, perhaps this should be changed?)

3. With which of these stakeholders does the Bank partner on a strategic level? (ER 3.1.1)
 - a. How has the Bank contributed to building an effective governance structure in water sector (ex. promoting dialogue among stakeholders, established cooperation framework)? (ER 3.1.5)
4. Has the Bank contributed to building an effective governance structure in water sector (ex. promoting dialogue among stakeholders, established cooperation framework)? (ER 3.1.5)
5. Are emerging partnerships with industry, BRIC donors, private sector considered among this governance structure? (ER 3.1.6)
6. When it comes to designing, and implementing projects, would you describe the Bank's approach as more top-down or bottom-up (demand-driven) and why would you describe it this way? (ER 3.2.1)
7. When it comes to designing, and implementing projects, how well has the Bank integrated the participation of the private sector? (ER 3.2.2)
8. How would you describe the Bank's approach and success of gender mainstreaming in the water sector? (ER 3.2.3)

ER 4.0 Leverage (please note that data source should be added accordingly in the Evaluation Matrix) (ER 4.1.2, ER 4.1.3)

9. Has the Bank leveraged resources?
 - a. What kinds of resources have been leveraged?
 - i. Lending vs. Non-lending
10. Can you identify any situations where the Bank might be missing opportunities with respect to leveraging?

ER 6.0 Managing for Development Results (ER 6.1.1 through ER 6.2)

11. Can you tell me about the Bank's monitoring and supervision activities?
 - a. What kind of data is collected to monitor implementation and outcomes of projects??
 - b. How useful has this data been?
 - c. What kind of supervision does the Bank deploy for its activities?
 - d. What are the strengths and limits of these activities?
 - i. Is there an appropriate mix of expertise?
 - ii. Have reports provided appropriate and sufficient details? Have they provided an appropriate balance of strengths and weakness?
12. How well do you think the Bank's activities have adapted over time and thus considered RMC's implementation performance and emerging challenges? (ER 6.2)
13. What changes have been made in the approach the Bank has taken to respond to their limitations regarding its lending and non-lending activities? (ER 6.2)
 - a. What changes are still needed (ER 6.2)

Section 2 Development Results

Please note there may be room for improvement in Evaluation Matrix regarding the identification of factors which describe the country's enabling environment. While the following questions are essential in this respect, they seem to be absent in the Evaluation Matrix.

14. How do factors including the institutional, policy and legal frameworks vary between countries?
 - a. Could you tell me how this enabling environment interacts with the potential of Bank activities to have an impact?
 - b. How do these enable WSS and AWM programmes to be implemented and give results?

DR 2.0 Effectiveness (DR 2.1. and DR 2.2)

15. What actions does the Bank take in the WASS and AWM sectors in order to assume a leadership role?
 - a. How well is the Bank succeeding in this respect?
16. Could you tell me how the Bank's activities (e.g. non-lending activities such as advising, leadership) contribute to creating the conditions for improvements in the RMC (i.e. institutional, policy and legal frameworks)?
17. Overall, what do you see as evidence that the Bank is making improvements in the water sector? (DR 2.2)

DR 3.0 Relevance (DR 3.1 through to DR 3.2)

18. How satisfied are you with the Bank's approach to building strategies that respond directly to the needs and conditions across RMCs?
19. Can you talk to me about your satisfaction regarding how well the Bank's water strategies support RMCs to achieve their MDG? and SDGs?
 - a. Are MDGs, SDGs and Water Vision Goals explicitly identified across RMC strategies?
 - b. Are operational frameworks and action plans similarly linked to these goals?
20. How satisfied are you with the integration of Integrated water resources management (IWRM) approach, water security issues, climate change adaptation/resilience and water-energy nexus integrated in Banks strategies and interventions
21. How satisfied are you with respect to how soft components (capacity development - including reforms - and awareness) are taken into account in Bank's water strategies and interventions?
 - a. What changes have been made in the approach the Bank has taken to support RMC?
 - b. What changes are needed in the Bank's approach to further support RMC?
 - c. The Bank's support to RMCs includes both lending and non-lending activities, can you describe the Bank's strengths and limits with these activities?
 - i. Institutional capacities
 - ii. Regulatory Frameworks

DR 4.0 Sustainability (this line of evidence is not currently associated with the majority of indicators for this evaluation question in the Evaluation Matrix, perhaps this should be changed?)

22. Overall, across the WSS and AWM projects, how does technology and technical choices influence the potential for a project to be sustained? (DR 4.1)
23. Overall, across the WSS and AWM projects, how well does the Bank assure the presence of financial conditions and frameworks to assure the project's sustainability? (DR 4.2)

24. Overall, across the WSS and AWM projects, how well does the Bank assure the presence of institutional capacities to assure the project's sustainability (DR 4.3)?
25. Overall, across the WSS and AWM projects, how well has the Bank assured the mobilization of a sufficient stakeholder network to assure the project's sustainability? (DR 4.4)
26. Overall, across the WSS and AWM projects, how sufficiently has the Bank appropriately assessed the risks and identified mitigation measure to assure the project's sustainability? (DR 4.5)

Country Case Studies

Interview Guide with Water Sector Stakeholders (Draft)

This interview guide will be used for both individual and group interviews conducted during the in-country case study field missions. The sample of group interviews will ideally consist of three key target groups: 1) government officials working in ministries with mandates associated directly or indirectly with WSS and/or AWM; 2) International Donor Partners with WSS and/or AWM operations/projects; and 3) Non-governmental organizations with WSS and/or AWM projects. Individual interviews will be conducted with Bank staff working at the country field office. Where group interviews are not possible, individual interviews will be completed.

The country context is key to the success or failure of the Bank's (and other donors) activities and will be an important factor in how we judge the impact of the Bank's projects. These group/individual interviews aim to: 1) describe the strengths and weaknesses of country specific Bank water sector activities and 2) explain these strengths and weaknesses in relation to the country's enabling environment.

The enabling environment consists of the institutional, policy and legal framework a country has in place to enable WSS/AWM programmes to be implemented and to achieve results.

Introductory Questions

1. I'd like to begin by asking you to tell me about your familiarity with the Bank's water sector projects and operations in this country? And more specifically, what relationship does your organization have with the Bank in this respect? Could you describe your respective roles?
(All stakeholders)

Evaluation Criteria: Selectivity

2. Could you describe how the Bank coordinates its water projects with other donors and development partners like yourself. **(Development Partners and NGOs)**
 - a. Can you tell me about how the Bank's activities are either complementary (or in competition) with your activities? [ER 1.1.2]
 - i. How is the division of responsibility for various projects decided upon among donors and development partners?
 - ii. How well do you think donors' and development partners' water sector projects complement one another? Can you describe this in more detail?
 - b. Relative to your other development partners, how do you see the comparative advantage of your partnership with the Bank? [ER 1.1.3]

Evaluation Criteria: Efficiency

3. Regarding your water projects with the Bank, can you tell me about how well the project has... **(Government Managers)**
 - a. ... respected the planned timeline? [ER 2.2.1]
 - b. ... experienced a smooth procurement process? [ER 2.2.2]
 - c. ... is on track to meet its outcomes?

Evaluation Criteria: Partnerships

4. Would you please describe the country's water sector governance structure, including levels of coordination? **(All stakeholders with the exception of d and e)**
 - a. Has the Bank facilitated your ability to build a partnership with any particular group of actors, such as the RMC, industry, private sector, civil society, beneficiaries, donors and other development partners? [ER 3.1]
 - b. Are you aware of any structures that the Bank implemented to favor the creation of effective partnerships? Could you provide some examples? [ER 3.1.2, ER 3.1.3]
 - i. Are you aware of how the Bank has promoted policy dialogues or cooperation frameworks in the water sector? Could you provide some examples? [ER 3.1.2]
 - ii. Are you aware of how the Bank has implemented other coordination structures such as sector working groups? Could you provide some examples? [ER 3.1.3]
 - c. How are these various consultations and meetings documented? [ER 3.1.4]
 - d. What role does the Bank's play to engage partners and facilitate partnerships with the key actors in the water sector? [ER 3.1, ER 3.1.2, ER 3.1.3, ER 3.1.4, ER 3.1.5]
(Bank country field office)
 - e. Are you aware of any of the Bank's guidelines which are specific to the private sector and emerging donors? [ER 3.1.5] **(Bank country field office)**
5. Now I would like to turn attention to the strategic principals and mechanisms that the Bank aims to implement to facilitate the achievement of outcomes. **(Bank country field office with the exception of d)**
 - a. Would you describe the Bank's approach as more top-down or bottom-up (demand-driven) and why would you describe it this way? [ER 3.2.1]
 - b. Can you describe how the Bank includes private sector development in the water sector? [ER 3.2.2]
 - i. How does this approach influence the achievement of planned outcomes?
 - c. Finally, can you describe how the Bank considers (or integrates) gender in the water sector? [ER 3.2.3]
 - i. How does this influence the achievement of planned outcomes?
 - d. Can you describe any of the Bank's demand-driven or participatory methods in the water sector? **(All stakeholders)**
 - i. How does this approach influence the achievement of planned outcomes?

Evaluation Criteria: Leveraging

6. To what extent has the Bank leveraged financial resources for your water projects? **(Bank country field office)**

- a. What are some of the strengths and weaknesses with regard to the Banks leveraging activities? [ER 4.1.3]
 - i. Is the Bank missing opportunities with respect to leveraging?

Evaluation Criteria: Analytic Capacity

7. Now I'd like to talk about your use and the utility of the Bank's knowledge products and analytical work that are specific to the water sector. **(All stakeholders)**
 - a. Are you aware of these products? [ER 5.1]
 - b. Do these products respond to your needs? If so, could you provide me with some examples? If not, could you tell me why? [ER 5.1]
 - c. Do you consult with a water sector specialist or advisor at the Bank? [ER 5.1.3]
 - i. How often do you consult?
 - ii. What specific areas of advice or expertise are available to you?
 - iii. Does this advisor listen to your comments and provide feedback?

Evaluation Criteria: Managing for Development Results

8. Can you tell me about the Bank's monitoring and supervision activities in the water sector? **(Bank country field office, Government Managers)**
 - a. What kind of data is collected to monitor implementation and outcomes of projects? What kind of supervision does the Bank deploy for its activities? [ER 6.1.5]
 - i. How has this data and these activities been useful?
 - b. What are the strengths and limits of these activities?
 - i. Is there an appropriate mix of expertise?
 - ii. Have monitoring reports provided appropriate and sufficient details? Have they provided an appropriate balance of strengths and weakness?
 - iii. How were the monitoring frameworks and indicators developed? Was there any level of consultation and participation with these decisions?
9. How has the Bank's WSS/AWM project designs evolved overtime based upon monitoring and evaluation information as well as responsiveness to RMC development needs? [ER 6.2.1] **(Bank country field office, Government Managers)**

Evaluation Criteria: Effectiveness and Impact

10. Now we are going to turn our attention to the enabling factors that influence the achievement or non-achievement of the development results. **(Bank country field office, Government Managers)**
 - a. Does the RMC have a water policy? [DR 2.1, DR 2.2]
 - i. What is the composition and constituents of this policy?
 - o Sanitation / Hygiene / Agriculture
 - ii. Is there a ministry or directorate with exclusive responsibility for the various components?
 - iii. Is there an independent regulatory agency?
 - o Water / Sanitation / Hygiene / Agriculture
 - iv. To what extent does the policy reflect the goals of
 - o MDG/SDG/Water Vision

- b. Does the RMC have an action (or actionable) plan at the national level? [DR 2.1, DR 2.2]
 - i. What is the composition and constituents of this action plan?
 - o Equitable (urban vs rural, regions etc.)
- c. Is there an official regulatory framework for WSS and AWM actions? [DR 2.1, DR 2.2]
 - i. Is there a system in place to ensure compliance with regulations?
- d. Is there, or are there, a coordinating table or working group of WSS and AWM actors? [DR 2.1, DR 2.2]
 - i. What importance does the government attribute to the various components of the water sector?
 - o Human resources? Stability? Qualification? Training? Expertise?
- e. Could you tell me how the Bank's leadership might have mobilized improvements with regard to the enabling environment? [DR 2.1.1]
 - i. Have Bank activities influenced the water policy and institutional frameworks in the country?
 - ii. Has the Bank helped you to take action to overcome policy issues, regulatory issues, institutional reforms?
- f. Finally, is government transparency and corruption a constraining factor in the water sector? [DR 2.1, DR 2.2]

Evaluation Criteria: Relevance

- 11. The next set of questions concern the outcomes that have been achieved among the Bank partnered projects. **(Government Managers, Civil Society Organisations)**
 - a. Can you tell me about how Bank's projects align with your own water development challenges? [DR 3.1.2]
 - i. Is there room for improvement? If so, how?
 - b. Can you tell me about how Bank's projects contribute to your progress towards MDG, SDG and Water Vision Goals? [DR 3.1.3]
 - i. Is there room for improvement? If so, how?
 - c. Can you tell me about how Bank's projects address the needs of the intended beneficiaries? [DR 3.1.4]
 - i. Is there room for improvement? If so, how?

Evaluation Criteria: Sustainability

- 12. The next, and final set of questions concern the actions of the RMC to ensure the sustainability of the outcomes that have been achieved among the Bank partnered projects. **(All stakeholders and Bank country field office)**
 - a. Can you tell me about the RMC's technical capacity and how it may or may not contribute to overcome challenges related to infrastructure, capacity and systemic/organisational issues? [DR 4.1.1]
 - b. Can you tell me about the RMC's human capacity and how this may or may not contribute to overcome challenges related to infrastructure, capacity and systemic/organisational issues? [DR 4.1.2]

- c. Can you tell me about the RMC's capacity to acquire the necessary equipment and expertise, and how this may or may not contribute to overcome challenges related to infrastructure, capacity and systemic/organisational issues? [DR 4.1.3]
- d. Can you tell me about the RMC's capacity to ensure the financial viability needed to overcome challenges related to infrastructure, capacity and systemic/organisational issues? [DR 4.1.4]

Appendix E: Progress report template

Evaluation title:

Phase:

Date:

A. Progress overview:

- Phase I:
- Phase II:
- Phase III:

B. Progress by deliverable/line of evidence, challenges and proposed mitigation action:

- Line of evidence 1:
- Line of evidence 2:
- Line of evidence 3:

C. Challenges encountered and proposed mitigation strategy:

Work on ...

D. Next steps:

Drafting and delivery of ...

E. Track record (Table of deliverables submitted):

Date (mm/dd/yyyy)	Deliverable title

F. Contract events/amendments:

Date (mm/dd/yyyy)	Event/Amendment

Appendix F: Water Sector Evaluation Report – Table of contents

Table of Contents

Acknowledgements.....	
Acronyms and Abbreviations.....	
Executive Summary.....	Erreur ! Signet non défini.
1. Introduction.....	Erreur ! Signet non défini.
2. The Water Sector context.....	Erreur ! Signet non défini.
3. What factors explain the Bank’s performance?.....	Erreur ! Signet non défini.
3.1. Policy and strategy overview.....	Erreur ! Signet non défini.
3.2. Portfolio coherence.....	Erreur ! Signet non défini.
3.3. Analytical capacity.....	Erreur ! Signet non défini.
3.4. Partnerships.....	Erreur ! Signet non défini.
3.5. Selectivity.....	Erreur ! Signet non défini.
3.6. Leverage.....	Erreur ! Signet non défini.
3.7. Efficiency.....	Erreur ! Signet non défini.
3.8. Managing for results.....	Erreur ! Signet non défini.
4. How well has the Bank performed?.....	Erreur ! Signet non défini.
4.1. Impact.....	Erreur ! Signet non défini.
4.2. Effectiveness.....	Erreur ! Signet non défini.
4.3. Relevance.....	Erreur ! Signet non défini.
4.4. Sustainability.....	Erreur ! Signet non défini.
5. Conclusions and recommendations.....	Erreur ! Signet non défini.

Annex A: Water Sector Logic Models	30
Annex B: Evaluation Matrix	Erreur ! Signet non défini. 5
Annex C: Methodology.....	Erreur ! Signet non défini. 0
Annex D: Summary Performance Ratings	Erreur ! Signet non défini. 5
Annex E. Data Tables.....	Erreur ! Signet non défini. 9
Annex F. Endnotes.....	Erreur ! Signet non défini.