

**EVALUATION OF THE WATER, SANITATION AND HYGIENE (WASH) PROGRAMME WITHIN THE
UNICEF COUNTRY PROGRAMME OF COOPERATION BETWEEN THE GOVERNMENT OF LAO PDR
AND UNICEF (2012-2014)**

TERMS OF REFERENCE

I. BACKGROUND

Water is one of Lao PDR's principal natural assets, from which, in fact, it has the highest per-capita water resources of any Asian country. While Lao PDR has made good progress in improving water and sanitation services in urban areas, it continues to face a great challenge for rural areas where 80 percent population live in, and particularly remote rural areas with poor infrastructure and subsistence agriculture. Surface water is the source most used by households in the poorest quintile and remote rural areas.

Inadequate water and sanitation services and facilities and poor hygiene practices significantly impacts upon the national economy. The World Bank's Water and Sanitation Program (WSP) Lao PDR country study (2009) estimated the annual economic loss to Lao PDR due to poor sanitation and hygiene at 5.6 per cent of the country's Gross Domestic Product (GDP) now equivalent to 2.7 trillion Kip (US\$332 million) per year if updated and adjusted to 2009 GDP figures. Efforts to increase sanitation coverage are further challenged by the rapid growth in the population, which stands at an estimated 2.3 per cent per annum; one of the highest in the region. At this rate, an additional estimated 130,000 people will require access to improved sanitation facilities every year, thus adding to the three million people currently living without these facilities. This means that, at the current rate of progress, meeting the Government's 80 per cent sanitation coverage target by 2020 will be a challenge for Lao PDR¹.

The gaps between remote rural and urban populations, between uneducated families and families with tertiary educated household heads, between the poorest and richest quintiles are 46, 30 and 32 percentage respectively. At 59 per cent, coverage of improved sanitation is close to the national MDG target of 60 per cent. However, some 38 per cent of the population still practise open defecation,¹ although this proportion has declined from levels exceeding 60 per cent in the 1990s. Inequity is far more glaring in sanitation than in water coverage, perhaps because sanitation is less of a priority amongst the poor. The proportion of the population practising open defecation is much higher in certain provinces (77 per cent in Saravan), amongst the poorest quintile (82 per cent) and least educated groups (58 per cent). The latest data from the 2011 Lao Social Indicator Survey (LSIS) shows that forty-one per cent of the Lao population live without access to sanitation², which corresponds to about three million people living without improved sanitation (that is, without an easily accessible, Household sanitary latrine).

Seeing the pressing need to address issues of insufficient water, sanitation services and facilities in Lao PDR, UNICEF has been working alongside the Government of Lao PDR particularly with the Ministry of Health and its Centre for Environmental Health and Water Supply ("Nam Saat Central") which is mandated to guide the Rural Water Sanitation and Hygiene (R-WASH) sector. The water,

¹ 'Universal Sanitation in East Asia. Mission Impossible?' Water and Sanitation Program UNICEF, WHO, 2007

² Lao Social Indicators Survey 2011, primary jointly funding from AusAID, UNICEF, UNFPA

sanitation and hygiene (WASH) component within the UNICEF Country Programme 2012-2016 emphasizes the efforts required to increase access to safe water sources, hygienic practices and improved sanitation especially in the rural areas and among vulnerable populations. The Country Programme has been developed through external and internal consultation. The realization of children's rights to survival, nutrition, growth, protection and participation are the main building blocks of the design of the Country Programme.

The WASH programme within the Country Programme has been designed to contribute to WASH Programme Outcome: "By 2015, children's health and development benefit from equitable and sustainable access to and use of safe water, improved basic sanitation and the elimination of open defecation, and improved hygiene practices, with particular emphasis on reaching the remote rural areas".

In order to contribute to overall outcome three separate but interlinked outputs are designed as mentioned below:

OP 1: Policy, Planning and Monitoring for WASH

National and Subnational line ministries and departments have strengthened political commitment, accountability and capacity to develop and adopt evidence based equitable and gender-sensitive policies, budgeted plans for scaling up of WASH interventions to promote safe drinking water, adequate sanitation and good hygiene practices. (Key Partners: Central NaamSaat under MOH, MoES).

OP 2: WASH in Emergencies

WASH partners use strengthened coordination mechanisms to better plan, budget, implement and monitor activities related to Humanitarian Situation and DRR (Key partners: NDCC/MoNRE; Nam Saat, Cluster/Sector members).

OP 3: WASH in Communities and Schools

Focus Provinces / Districts have increased capacity and deliver child friendly, gender-sensitive WASH services and promote hygiene in schools and communities (including Primary Health institutions) to ensure women and children have sustained access to safe water, sanitation and hygiene facilities (Key Partners: NamSaat, MoES).

In summary, UNICEF WASH interventions focus on upstream evidence based policy advocacy, building institutional capacity at National/sub national and community level, generate evidences for informed decision making and finally the service delivery (see annexe 3 for more details on the theory of change). In the current country programme cycle the programme has been funded by DFAT Australia, Japan Committee for UNICEF, Korea Committee for UNICEF, US AID, Swedish Government.

The Centre for Environmental Health and Water Supply ("Nam Saat Central") which is responsible for Rural WASH at the national level operates under Department of Hygiene and Health Promotion of Ministry of Health (MoH) is the key implementing partner for UNICEF WASH Programme at the national level and Provincial Nam Saat under Department of Provincial Health at sub national level. WASH Programme also works with Department of Pre and Primary Education of Ministry of Education & Sport (MoES) and its line departments at sub national level.

II. PURPOSE OF EVALUATION:

The overall purpose of this evaluation is to generate substantial knowledge and learning on the results of WASH programme to influence the government's policies, strategies and funding priorities in order to improve water, sanitation and hygiene situation in Lao PDR. Further there is a need to gain more insight on the WASH programme since no review or evaluation have been carried out in the past 2 years except the MTR of Country Programme Cycle in 2013. The evaluation will capture in depth the knowledge and learning on the three WASH programme outputs listed above. In addition, the findings will also be used to inform UNICEF Laos' WASH programme plan for the next country programme cycle (2017-2020).

Specific objectives of evaluation:

The specific objective of this evaluation is to assess the relevance, efficiency, effectiveness and sustainability of the WASH Programme as well as the extent to which it contributed to equitable results for children, women and vulnerable populations. Based on this analysis, the evaluation is meant to distil lessons learnt and to draw concrete recommendations that will guide present and future interventions.

Specifically, the evaluation will:

1. Analyse the extent to which the programme objectives and strategies are consistent with beneficiaries' needs and aligned with national development goals;
2. Assess the extent to which the overall WASH programme and related projects have achieved their intended results;
3. Analyse how UNICEF Lao PDR's WASH resources have been translated into the achievement of results;
4. Assess the extent to which child rights and gender equality have been included in the work undertaken under WASH programme;
5. Analyse the extent to which UNICEF's interventions in the WASH sector focused on deprivation and vulnerability.
6. Assess the extent to which WASH intervention strategies and field activities are designed and carried out in order to maximize the likelihood of results (outputs, outcomes and impacts) to sustain over time and to be scaled up.
7. Develop, in consultation with the WASH sector stakeholders (UNICEF, Government and other development partners), a set of recommendations to inform the next country programme, specifically on the strategic direction, organizational framework and programmatic themes of the WASH programme.

Scope of Work:

The scope of the evaluation will primarily focus on the UNICEF Lao PDR Country Office Programme's WASH component, encompassing the 3 outputs listed above. 2012 to 2014 will be considered as time frame for the evaluation. 12 selected project recipient communities, (three per province) of four Provinces (two from the North: Luangnamtha and Luangprabang Provinces

and two from the south: Attapeau and Saravan) will be considered for the field visit to understand the field level activities.

It is expected that the evaluation will result in a series of specific policy recommendations for the WASH component of the current and future country programme (2017 -2020).

Key Evaluation Questions

The evaluation will examine:

Evaluation Criteria	Evaluation Questions
Relevance	<ul style="list-style-type: none"> • To what extent the interventions design are appropriate and aligned with the existing strategies, guidelines, national plan of action etc.? • To what degree the interventions meet the needs of the communities and users particularly women, children, vulnerable and deprived populations in the poor remote areas of Lao PDR? • To what extent the WASH programme design and implementation are aligned with UNICEF’s renewed focus on equity?
Efficiency	<ul style="list-style-type: none"> • How well the WASH programme has used the resources in the most economical manner such as value for money, and budget monitoring and tracking tools and practices to achieve the result within the planned resources? • To what extent WASH programme has utilized resources to attain child rights, gender equity and equality? • To what extent UNICEF established partnerships or coordination with other key actors (e.g. implementing partners, local authorities, other line ministries and other UN agencies conducting complementary interventions) to enhance processes and results, to avoid duplication of intervention, and a clear delineation of roles and responsibilities within joint initiatives, and the overall success of the initiative’s implementation?
Effectiveness	<ul style="list-style-type: none"> • To what degree the programme focus approaches have added value in terms of results/outputs if compared with other areas where the approaches have not been implemented? • To what extent and in what way have the 3 WASH programme outputs achieved their intended results? • To what degree the programme provides evidence to informed decision making on WASH national agenda? • To what extent the programme has contributed to enhance local governance in WASH sector? • To what extent the program has contributed to create local ownership and involved local communities in the decision making process?
Sustainability	<ul style="list-style-type: none"> • To what extent the WASH interventions have contributed to ensuring sustainable access to improved source of safe water, improved sanitation and hygiene promotion in schools, health institutions and communities?

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| | <ul style="list-style-type: none">• To what extent the programme or some parts of the programme are ready to be scaled-up? |
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III. EVALUATION METHODOLOGY:

The main methodology for this evaluation will mainly be qualitative method with a combination of tools for data collection and analysis. The overall methodology should be participatory and should ensure that the various social groups including the most marginalized will be reached and their voices elicited. Analysis of disparities based on geography, gender, ethnicity and other key variables will be central to the methodology. Triangulation of data through different tools and sources is considered fundamental.

The following phases are foreseen:

- Phase 1:** Desk review of key programme documents including UNICEF's reports, relevant national and subnational documents (see annex 1). Analysis of secondary information e.g. data from reports, studies, national HH surveys (MICS, LSIS, Census, LECS) and administrative data from Naamsaat, MoH, MoES and others
- Phase 2:** Inception based on interviews to be held at the national and subnational levels and with UNICEF staff and partners, the consultant will develop an Inception report containing, among other things, refined evaluation questions and scope, full methodology and workplan.
- Phase 3:** Primary data collection and analysis: focus groups will be organized with different social groups (ensuring an equity approach to data collection and analysis); interviews with communities, government partners (national/sub-national) and other key stakeholders. Consultant shall conduct at least one FGD at the community level in each Province (Ref. the name of Provinces above "Scope of work"). There will be other tools used to collect data from rest of the project recipient communities as well as formal/ informal interviews with District and provincial partners.
- Phase 4:** Reporting: Sharing of draft findings with stakeholders and with the evaluation reference group and subsequent finalization of the final report.

IV. MANAGEMENT ARRANGEMENTS

The evaluation will be managed by the Policy and Planning Specialist within UNICEF Lao PDR with support from the Monitoring and Evaluation (M&E) Officer. The team will oversee the timely implementation of the evaluation work plan and provide overall guidance in the management of the evaluation process and will be the main contact point for the consultant(s) within UNICEF. The team will arrange meetings with all key stakeholders for sharing draft ToR, inception report, draft and final reports- in consultation with the evaluation reference group. The Policy and Planning Specialist as evaluation manager will also be responsible for approving the inception report and the final report as well as for finalizing the evaluation management response in consultation with the representative.

In addition, the Policy and Planning Specialist and his team will support the coordination of the evaluation, by facilitating the evaluation reference group and provide necessary assistance, information to effectively support the WASH Programme Evaluation. The Regional Office and HQ-based Evaluation Office will also be invited to comment on the draft deliverables. The Policy and Planning Specialist together with the Representative and in consultation with WASH section chief will give final approval for all the deliverable, including inception report, the final evaluation report, and prior to final payment. A reference group will be composed of key stakeholders, including UNICEF CO and RO; representation and participation from selected government ministries mainly Central Nam Saat and Department of Pre and Primary Education. The reference group is an advisory body to the evaluation manager and consultants as well as to foster a participatory and consultative approach to the exercise. The key functions of the reference group will be to review and provide input to the key documents of the evaluation (e.g. inception report, draft report); to convene and encourage the participation of other stakeholders in the evaluation; and to disseminate the evaluation findings. However, in order to safeguard the independence of the evaluation, the evaluation manager and consultants will exercise final judgment on how to address comments from the reference group. This will be done in a transparent manner, with an explanation behind their rationale to be shared openly with members of the reference group.

V. ETHICAL CONSIDERATIONS:

The Evaluation will follow UNICEF guidelines on the ethical participation of children and the UNEG Ethical Guidelines for Evaluations in the UN System³ and Code of Conduct for Evaluators⁴. Specific mechanisms for feeding back results of the evaluation to stakeholders will be included in the elaborated methodology. All the documents, including data collection, analysis tools, and all the data developed or collected for this consultancy are the intellectual property of UNICEF. The consultant shall not publish or disseminate the Evaluation Report, data collection tools, collected data or any other documents produced from this consultancy without permission of UNICEF, Lao PDR. The UNICEF logo shall only be used if prior authorization has been obtained from UNICEF Lao PDR.

VI. KEY DELIVERABLES and TASKS

The tasks to be completed by the contractor (team of consultants) include, but are not necessarily limited to the following:

Phases	Tasks	Deliverables	Timeline (Working Days)
Phase 1	1. Review background documentation, including reports on WASH programme interventions, policies, guidelines, other WASH evaluations in Lao PDR and other countries that have similar context as Lao PDR	Inception Report submitted to UNICEF Lao country office	7 days

³ <http://www.unevaluation.org/ethicalguidelines>

⁴ <http://www.unevaluation.org/uneqcodeofconduct>

Phase 2	2. Develop an inception report including evaluation design and detailed methodology/tools, workplan for data collection, and data analysis outline/framework		5 days
Phase 3	3. Data collection: Meet/interview/group discussion with relevant key stakeholders and beneficiaries	Interviews and group discussion with key stakeholders conducted in due time, Note on the progress of data collection phrase submitted to UNICEF	15 days
Phase 4	4. Perform analysis and produce draft preliminary findings and Produce draft evaluation report	Preliminary findings and draft report available and shared with UNICEF Lao country office, regional office and other key stakeholders	15 days
	5. Consultation with selected partners (stakeholders) to consolidate comments and feedback ⁵	Consultation workshop conducted, final comments and feedback are shared with UNICEF Lao country office	3 days
	6. Produce final evaluation report including summary in power point format	Final report including summary in power point format available and shared with UNICEF Lao country office, regional office and other key stakeholders	5 days
	Total		52 days

The above timeline is indicative only.

VII. QUALIFICATIONS OF CONSULTANTS (TEAM MEMBERS)

The selected consultant should have the following qualifications:

Team of Consultant	Work Experiences and academic qualification
Team Leader (International)	<ul style="list-style-type: none"> Advanced University degree with at least 8 years of work experience (both international and national) in research and evaluation, A solid understanding on the use of evaluation methodologies especially in qualitative method Excellent report writing and analytical skills in English. Knowledge of Lao language will be as asset. Familiarity with UNICEF's programming strategies and organizational culture

⁵ Consultant will act as resources person and facilitator

	<ul style="list-style-type: none"> • Previous experience in undertaking evaluations for WASH programmes or similar work experience in the Region specifically in Laos will be an asset; • Strong inter-personal, teamwork and organizational skills • Familiarity with information technology, including proficiency in word processing, spreadsheets, and presentation software
National consultant (With WASH technical background)	<ul style="list-style-type: none"> • University degree in international development, social sciences or a related subject • Good understanding on the use of evaluation methodologies especially in qualitative method and qualitative data collection • Previous experience in undertaking evaluations especially for WASH programme is considered an advantage • Familiarity with UNICEF's programming strategies and organizational culture • Familiarity with information technology, including proficiency in word processing, spreadsheets, and presentation software • Fluent in English and Lao languages.

UNICEF will provide temporary office space for both consultants in Vientiane as well as provide travel expense (economic fare) for International consultant and transportation for field visit in the Provinces. In addition UNICEF will organise one workshop in Vientiane to share the findings of the evaluation and consultant will take responsibility to facilitate the workshop as resource person.

PAYMENT SCHEDULE:

Payment proportion	Deliverables
30% of total cost	Upon delivery of deliverables 1 & 2
30 % of total cost	Upon delivery of deliverables 3 to 5
40 % of total cost	Upon delivery of deliverables 6

VIII. ESTIMATED BUDGET: \$ 55,000 GRANT SC149903; WASH-OP1

Professional Fees 52 days @\$400/day for International Consultant and @\$125/day for national Consultant= Total 52*(400+125) = \$27,300.00

- DSA and travel will be paid based on the actual travel days as per UNICEF financial rules.
- International Travel for Team Leader will be paid for one complete leg (One round trip air fare)
- UNICEF reserves the right to withhold all or a portion of payment if performance is unsatisfactory, if work/outputs is incomplete, not delivered or for failure to meet deadlines.

The report should be provided in both hard copy and electronic version in English in the required UNICEF format.

Completed data sets (filled out questionnaires, records of individual interviews and focus group discussion, etc.)

The evaluation report will be required to follow and will be rated in accordance with “UNICEF Evaluation Report Standards” (http://www.unicef.org/evaldatabase/files/UNEG_UNICEF_Eval_Report_Standards.pdf) and UNICEF Evaluation Technical Notes

Annex 3: Theory of Change of the WASH Programme

A Theory of Change (ToC) is a strategic planning, decision making and evaluation tool. It represents the foundation of a programme, namely outcomes, results, accomplishments or preconditions. It maps out the pathway of change, creating a graphic representation of the change process. The ToC approach favors a reversed planning process where one starts by focusing on outcomes and then considers the necessary pre-conditions to achieve such outcomes;

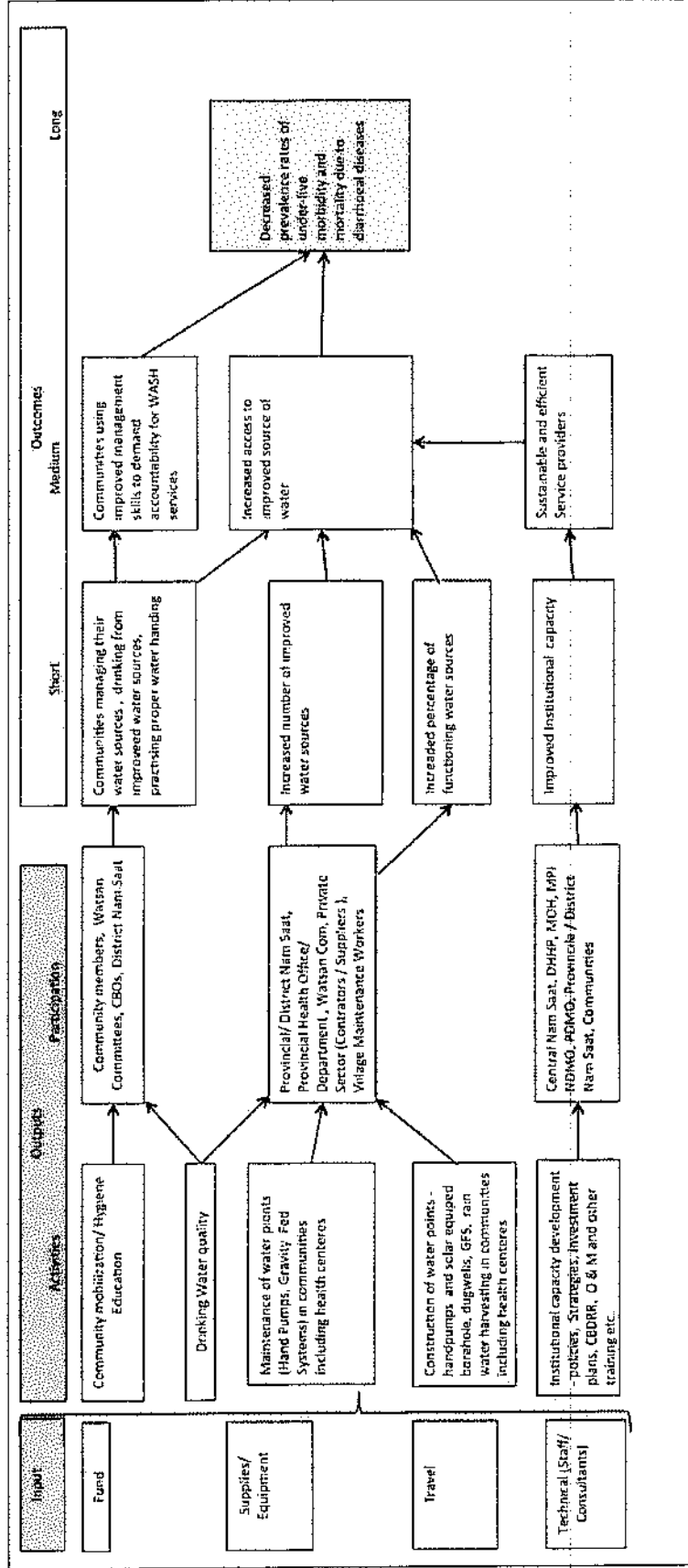
- When defining outcomes and preconditions the ToC must also include progress indicators;
- When identifying preconditions underlying assumptions and rationale for interventions need to be explicit;
- Although it results in a map of visual relations, the ToC strategy is not only a product but also a process

WASH Logic Model

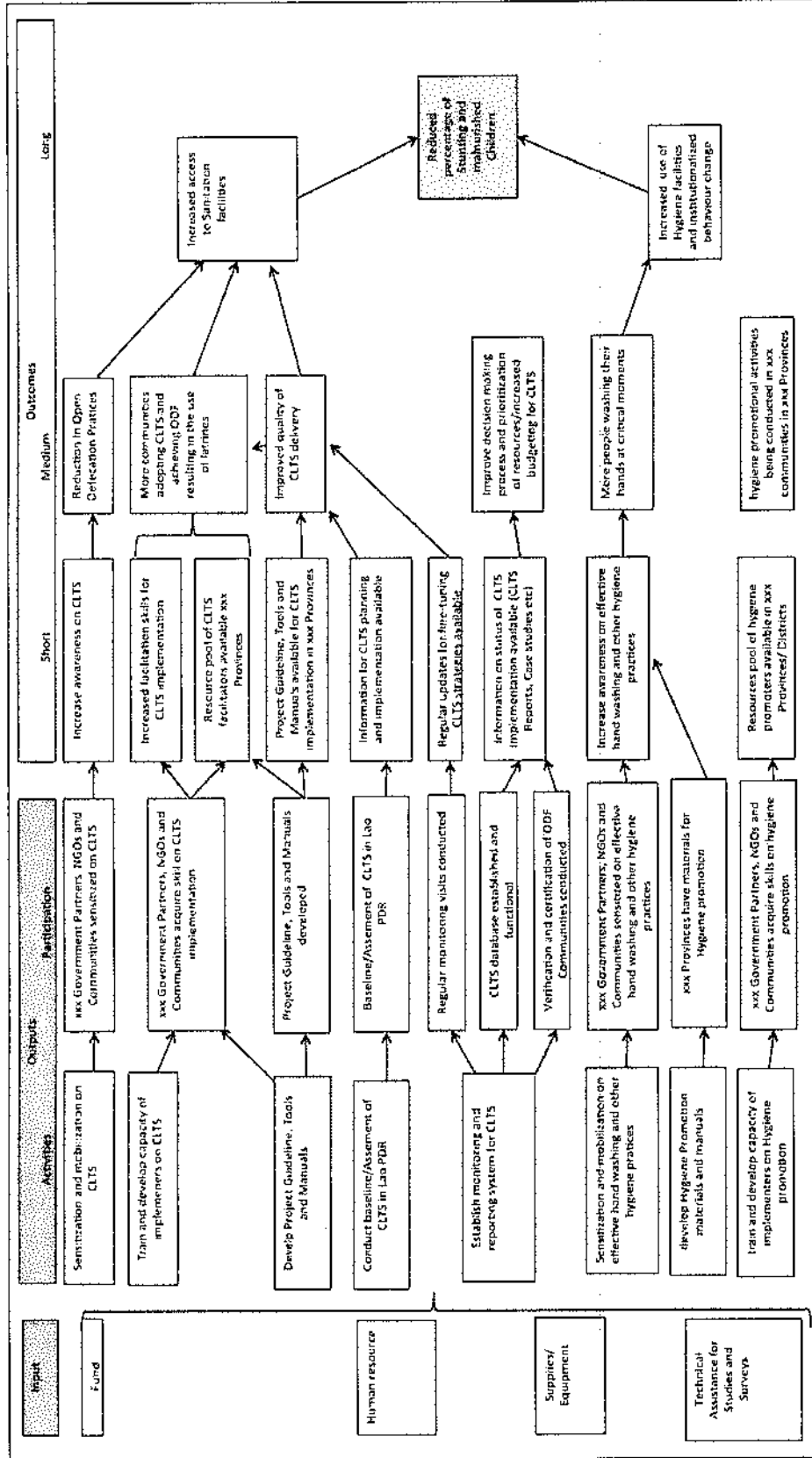
1) WASH in Schools

- Education component becomes “stand-alone”;
- Research component is considered cross-cutting and supportive of outcome instead of pre-condition

2) Water Supply in Communities




3) Scaling Up Rural Sanitation and Hygiene Promotion



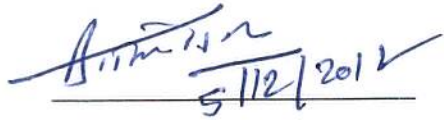
practice prevalent amongst the poor in many countries of the region

This is a



Prepared by IR Manager: WASH Section

Date:



Reviewed by: WASH Section Chief

Date: **Bishnu Timilsina**
Chief of WASH



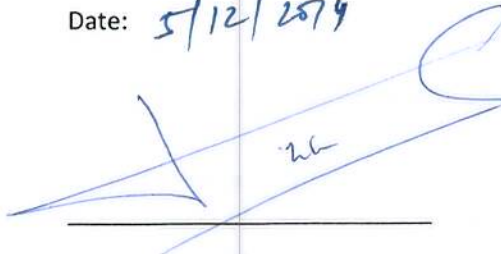
Reviewed by Deputy Representative:

Date: 5/12/2014



Reviewed by: Policy & Planning Specialist
HAN AKHTAR

Date: 5/12/2014



Endorsed by Operation Manager

Date: 5/12/2015
Doudou Luvungu Luemba
Operations Manager
UNICEF, Vientiane, Lao PDR



Approved by Representative

Date: 6 Dec. 2014

ANNEXES

Annex 1: Existing information sources:

Identify relevant information sources that exist and are available, such as:

- Monitoring systems and/or evaluations (provide an appraisal of quality and reliability)
- Project documents and reports for the period
 - WASH Programme Annual Reports –2011, 2012, 2013, and 2014
 - WASH Programme Mid-Term Report – 2012, 2013, and 2014
 - Project proposals -2012, 2013, and 2014
 - Donor Reports –2012, 2013, and 2014
- Trip reports of relevant UNICEF programme staff
- Surveys, studies, evaluations for the period of 2010-2014
- Data from government offices
- Meeting minutes (WASH section meetings, meeting with government partners, INGOs) 2010-2014
- WASH Programme Activity Reports
- LSIS Reports 2012
- UNICEF CPD document for the current programme cycle
- Situation Analysis Report
- UNICEF Mid-term Review
- UNDAF Report

Annex 2: Report structure

An inception report, detailing an evaluation design and approaches that meet the quality expectations, a detailed workplan, a description of the evaluation quality assurance process and detailed budget.

Draft Evaluation Report, which should include

- a. Executive summary
- b. Brief description of the UNICEF Lao WASH programme being evaluated
- c. Evaluation objectives and scope
- d. Methodology: description of sampling and evaluation methodology used, assessment of methodology and its limitation, data collection instruments, and data processing (analysis methodology, and quality assurance), timeline
- e. Findings (covering each evaluation criteria and question)
- f. Conclusions
- g. Recommendations
- h. Lessons learned
- i. Annexes: List of indicators, questionnaires, and if survey, table of sample size and sample site as appropriate;

A final evaluation report will be based on the above outline.