



Ministerie van Buitenlandse Zaken

*IOB Terms of Reference*

# **Sustainability and inclusiveness in WASH**

*IOB Terms of Reference - Sustainability and inclusiveness in WASH - IOB Terms of Reference - Sustainability and inclusiveness in WASH - IOB Terms of*

*Evaluation of Dutch policy on drinking  
water, sanitation and hygiene (WASH)*

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## Abbreviations and acronyms

AR	Court of Audit, Algemene Rekenkamer
BEMO	Activity Appraisal Document
BHOS	Foreign Trade and Development Cooperation
DGIS	Directorate General International Cooperation
IGG	Inclusive Green Growth Department
IOB	Policy and Operations Evaluation Department
IRC	International Water and Sanitation Centre
(I)WRM	(Integrated) Water Resources Management
LDC	Least developed countries
MFA	Ministry of Foreign Affairs
O&M	Operations and maintenance
OECD-DAC	Organization for Economic Cooperation and Development - Development Assistance Committee
PR	Periodic Review
RPE	Regulation for Periodic Evaluations
ToC	Theory of Change
ToR	Terms of Reference
WASH	Water, Sanitation and Hygiene

# 1 Introduction

The Policy and Operations Evaluation Department (IOB) is the independent evaluation service of the Ministry of Foreign Affairs of the Netherlands. IOB conducts evaluations on the effectiveness and efficiency of Dutch foreign policy.

Subject of this evaluation is the Water, Sanitation and Hygiene (WASH) policy of the Ministry of Foreign Affairs of the Netherlands (MFA) and is scheduled to be published by the end of the third quarter of 2025. It will serve as the first component for the periodic review of article 2 of the budget of Foreign Trade and Development Cooperation (BHOS), which is scheduled to be completed in 2028. Other components for the periodic review include evaluations on food security, renewable energy and Integrated Water Resources Management (IWRM). WASH (BHOS article 2.2) is evaluated first because the last IOB WASH evaluation was published in 2012, making it due for a re-evaluation. The evaluation will cover 2012 to present, with a main focus on the period since 2016. Annual expenditures increased during this period to +/- EUR 120 million, including centrally funded programmes (about 55%) as well as financial resources managed by the embassies (the remaining 45%).

In 2016, the department of inclusive green growth (IGG) introduced their WASH Strategy 2016-2030, renewing their commitment to WASH goals and updating their approach. In this strategy, the MFA committed to Sustainable Development Goal 6 (SDG 6), which aims for ensuring availability and sustainable management of access to water and sanitation for all. It pledged to provide 30 million people with access to clean drinking water and 50 million people with access to sanitation facilities in the period from 2015-2030, with an emphasis on the inclusion of marginalised groups. Progress on this 30/50 goal was recently evaluated by the Netherlands Court of Audit (NCA)<sup>1</sup>. This research mainly focussed on the tangible/countable results of WASH interventions and whether or not these were correctly presented to the Parliament. It concludes that, while the MFA claims to be ahead of schedule in reaching this goal, this is doubtful due to multiple shortcomings in how results were counted. Furthermore, the NCA concludes that it is not sure whether people that have been reached will have sustained access. According to the NCA, the MFA has limited insight in the sustainability of WASH facilities and argues that the Dutch WASH policy lacks a clear rationale on how to assure sustainability, posing the risk that certain groups (mainly marginalised groups) only have temporary access to clean water and sanitation (NCA, 2024). Similar issues with sustainability and inclusion of marginalised groups had also been noted by IOB in 2012.

IGG has been aware of these problems with sustainability and introduced elements of a system-approach in their WASH Strategy 2016-2030. This approach is based on the internationally recognized assumption that an intervention aiming for improved WASH services delivery can only be sustainable when all elements of a WASH system receive integrated attention. A functional WASH-system comprises of several underlying elements that influence the outcomes of WASH interventions. In practice this means that built infrastructure should be coupled with interventions on other elements within the WASH-system that create the right conditions for continued functioning of this infrastructure. At the same time, implementation must assure inclusiveness so that the target groups are provided with improved WASH services. Central focus in Dutch policy implementation are the system-elements concerning long-term finance mechanisms and institutions with clear roles and responsibilities to assure operation and maintenance. For an explanation on WASH systems and its elements, see the definitions of main concepts at the end of this introduction. As working with a system approach is relatively new for IGG, the operationalization and integration in WASH policy is an ongoing process.

This evaluation focuses on how the Netherlands has contributed to sustained access to drinking water, sanitation and hygiene services, notably for marginalised groups. The evaluation employs a qualitative case study design in Ethiopia, Kenya and the Sahel region.<sup>2</sup> In these studies, a selection of

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<sup>1</sup> NCA, 2024. Resultaten tellen; De Nederlandse bijdrage aan toegang tot schoon drinkwater en sanitatie in ontwikkelingslanden.

<sup>2</sup> See chapter 6 for more details on this methodology.

both ongoing and finished WASH programmes will be assessed. Ongoing programmes provide insight into how they aim to safeguard sustainability and inclusion, while finished programs offer insight into the medium/long-term effects of this approach on sustainability and inclusiveness. To test their broader relevance, findings of the country studies will be discussed with several embassies which could not be visited. Below the key concepts of this evaluation are described:

*Definitions of main concepts*

- **WASH interventions:** Interventions which contribute to improving the delivery of WASH services. There is a distinction between interventions on infrastructure and non-infrastructure interventions that aim for the improvement of one or more system elements that eventually should lead to the continued use and functionality of WASH facilities. Results comprising physical infrastructure are tangible and easily measurable (e.g. number of latrines, delivering water). Results with regard to interventions on non-infrastructure interventions are less or not tangible and therefore require qualitative approaches to account for its results.
- **Sustainable service delivery:** water is available at the pump or tap and in the household when needed, all people have a safe place to defecate and/or there are adequate facilities for the washing of hands and other domestic hygiene practices. In order to achieve safely managed service delivery, a chain is required that stretches from the individual in a household to some form of communally or professionally owned and managed infrastructure (Huston & Moriarty, 2018). Lockwood and Le Gouais (2014) describe a service ladder that provides a way to conceptualise different and increasingly higher levels of service (see explanation in Chapter 6).
- **Sustainability:** The extent to which the net benefits of the intervention continue or are likely to continue (OECD-DAC). In terms of WASH interventions this means the continued functionality of WASH-facilities (i.e. toilets, water pumps, water systems), the continued provision of WASH-services after programme completion and/or the follow-up of an intervention at an element in the system, such as better governance or the mobilisation of domestic financial and human resources. The NL MFA expects continuation of the program interventions for at least 15 years after ending it but does not specify this for non-infrastructure interventions. Sustainability is facilitated by development of an exit plan, including the obligatory sustainability compact, with the roles of all stakeholders towards ensuring sustainability of project results, including M&O beyond financial closeout<sup>3</sup>. Sustainability assessments in this evaluation are supply side focused (service delivery).
- **Inclusiveness:** The extent to which marginalised groups are included in all stages of planning and implementation and are provided with improved delivery of WASH services. The policy assumption here is that improved WASH services lead to increased access for the target groups. The NL MFA pays special attention to groups of the population with disproportionate access to WASH services: women and girls, children under five, disabled people, the poorest and most disadvantaged (minorities, tribes, LGBTIQ+)<sup>4</sup>. This evaluation includes more factors than explicitly described in the Dutch policy, as defined by WaterAid, as different programmes may focus on including different groups. Inclusiveness assessments in this evaluation are consumer side focused.
- **WASH system:** the interconnected network of actors and elements in which WASH services exist. It includes both physical components (e.g. infrastructure) and non-infrastructure elements that are categorized as follows<sup>5</sup>: policy and legislation, planning, institutions, finance, regulation and accountability, monitoring, water resources management (WRM) and learning and adaptation, together contributing towards and influencing sustainable WASH service delivery.
- **System approach:** a holistic method strengthening the water, sanitation and hygiene sector by addressing the interconnected elements needed for sustainable service delivery. The NL

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<sup>3</sup> WASH Strategy 2016-2030

<sup>4</sup> Macro-level contextual factors: geography (environment), migration, ethnicity/tribe, caste, sexual orientation/sexual identity, landlessness, economic situation, refugee/migration status. Micro-level universal factors: gender, age, disability, health status (WaterAid, Understanding and addressing equality, non-discrimination and inclusion in water, sanitation and hygiene (WASH) work, n.d.)

<sup>5</sup> Both IGG and IOB follow the framework of a WASH system as developed by IRC. See Huston and Moriarty, 2018. Understanding the WASH system and its building blocks: building strong WASH systems for the SDGs

MFA considers all elements, though with a focus on investments (finance) and institutions for the sake of financing, service delivery and maintenance.

## 2 Subject of the evaluation: the sustainability and inclusiveness of WASH service delivery

This chapter starts with a problem analysis which explains the importance of a system approach. Second, it introduces the policy theory and how it developed to improve the sustainability and inclusion of achieved results. Third, it provides an overview of the means and actors involved.

### 2.1 Problem analysis

#### *Limited global progress on access to WASH*

Around the world, more than 2 billion of people lack access to safe drinking water and 3.6 billion people - almost half of the world's population, lack access to sanitation services.<sup>6 7</sup> The 2022 SDG progress report concludes that none of the SDG 6 targets<sup>8</sup> are on track, and that meeting them will require a fourfold increase in the pace of progress.<sup>9</sup> Access to WASH is under increasing pressure due to conflicts, population growth, urbanization, climate change, and rising demand from agriculture, industry and energy sectors. Of those lacking access, 80% live in rural areas, mainly in Least Developed Countries (LDCs) in Sub-Saharan Africa and South and East Asia.<sup>3</sup> In 2021, besides individual households, globally 10% of the healthcare facilities had no sanitation service and 22% of the healthcare facilities had insufficient water services.<sup>10</sup> Furthermore, less than 80% of the schools worldwide had sufficient drinking water and/or sanitation services in 2023. Additionally, according to a recent evaluation by WHO and UNICEF, access to menstrual health services in schools is way behind schedule and only two out of five schools provide menstrual health education.<sup>11</sup> As WASH services are crucial to human well-being, a lack of access to WASH results in developmental setbacks in areas such as public health (particularly in reducing child mortality rates), food security and gender equality.

#### *Limited inclusion of marginalised groups in WASH interventions*

A widely acknowledged issue is the insufficient involvement of marginalised groups in WASH interventions. Marginalised communities are groups that experience exclusion, discrimination or disadvantage based on macro-level, micro-level factors or both<sup>12</sup>. Common factors contributing to the exclusion of access to WASH are poverty, geography, discrimination, gender inequality, weak institutions, disability, climate change, conflict and migration and a lack of awareness. This causes the most vulnerable populations to be women and girls, children under five, elderly, disabled people, remote populations, the poorest communities, ethnic, religious and social minorities, displaced people, people affected by climate change, people living in conflict zones and migrants, refugees and

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<sup>6</sup> [Our lifetime opportunity to enable water, sanitation and hygiene for all \(who.int\)](https://www.who.int/news-room/fact-sheets/detail/sustainable-development-goal-6)

<sup>7</sup> Progress on household drinking water, sanitation and hygiene 2000–2022: special focus on gender. New York: United Nations Children's Fund (UNICEF) and World Health Organization (WHO), 2023.

<sup>8</sup> SDG 6.1: By 2030, achieve universal and equitable access to safe and affordable drinking water for all.

SDG 6.2: By 2030, achieve access to adequate and equitable sanitation and hygiene for all, and end open defecation, with special attention to the needs of women and girls and those in vulnerable situations.

<sup>9</sup> <https://unstats.un.org/sdgs/report/2022/Goal-06/>

<sup>10</sup> Progress on WASH in health care facilities 2000–2021: special focus on WASH and infection prevention and control. New York: United Nations Children's Fund (UNICEF) and World Health Organization (WHO), 2022

<sup>11</sup> Progress on drinking water, sanitation and hygiene in schools 2015–2023: special focus on menstrual health. New York: United Nations Children's Fund (UNICEF) and World Health Organization (WHO), 2024.

<sup>12</sup> Macro-level contextual factors: geography (environment), migration, ethnicity/tribe, caste, sexual orientation/sexual identity, landlessness, economic situation, refugee/migration status. Micro-level universal factors: gender, age, disability, health status ([WaterAid](#), Understanding and addressing equality, non-discrimination and inclusion in water, sanitation and hygiene (WASH) work, n.d.)

internally displaced people. These groups often face active discrimination by governing agencies and other service users in planning of WASH services<sup>13</sup> and often have less say in the delivery and management of WASH services (Sam & Todd, 2020). Additionally, they are disproportionately impacted by a changing environment. Multiple evaluations signalled that similar problems also affect WASH programmes supported by the MFA, hence the importance to look at this aspect (IOB, 2012, 2023; NCA, 2024).

*Limited sustainability of WASH interventions: Insights from previous reports*

A lack of sustainability of WASH services is another widely recognised problem, manifesting as a failure of services or infrastructure over time. This is often caused by insufficient maintenance, lack of funding and local ownership, leading to broken water points, neglected sanitation facilities and the absence of long-term health or economic benefits. Main barriers for achieving sustainable results include improper planning, a lack of local capacity and insufficient consideration of the WASH system as a whole. Also, for interventions supported by the MFA, there is evidence that their effects are not lasting. This is supported by both the IOB WASH evaluation of 2012, and the NCA report (2024), which found that the sustainability of WASH interventions is unknown. For example, insufficient investments in operation and maintenance led to a limited lifespan of WASH facilities. An important policy adjustment emerged from this; to introduce a sustainability clause. This clause demanded an upfront sustainability analysis conducted by the implementing partner and an exit plan that describes the hand-over of infrastructure, supplies and services to a local partner or government institution. In short, it should ensure that interventions remain functional and in good condition for at least fifteen years after their completion (WASH Strategy 2016-2030). Yet, the recent NCA report concluded that implementing this clause was legally unfeasible and clear guidance on the sustainability clause was not provided. This has resulted in limited application of the clause in projects and clear deterioration of interventions after project completion (NCA, 2024). Next to the operation and maintenance of infrastructure, both reports mention multiple other elements affecting the sustainability of WASH interventions which relate to various systemic elements: the need for behaviour change, the lack of political attention for WASH, an unsupportive regulatory framework, lack of opportunities for business development, a focus on immediate results, tension between a poverty focus and long-term financial solutions.

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<sup>13</sup> <https://www.unwater.org/water-facts/human-rights-water-and-sanitation>

## 2.2 Addressing the issues

### *The need for a system approach*

In the international WASH sector, a system approach has gained more traction over the past decade. Accordingly, it has also been picked up by the MFA (see paragraph 2.2). Especially the launch of the SDGs in 2015 marked a significant shift towards systemic approaches (See for instance: Lim, Jørgensen, & Wyborn, 2018; Morton, Pencheon, & Squires, 2017). Besides technical solutions, aspects such as social-acceptance of these solutions are also of importance for the sustainability and inclusiveness of WASH services (Neely, 2019). Instead of treating WASH mainly as a technical/infrastructural problem, it should be treated as a multidimensional issue with no single cause nor a simple solution. Actors often define different problems and prefer different solutions, based on their 'worldviews' (Checkland & Poulter, 2020; Reynolds & Holwell, 2020). System thinking was developed as an approach to better understand and tackle such complex challenges. It offers a way to understand how systems operate and how they could be influenced to produce desired effects (Arnold & Wade, 2015), making it a valuable approach in the complex WASH sector.

## 2.3 Policy theory, targets and results indicators

The main assumption in Dutch WASH policy to address the above-described sustainability issues, is that sustained (safe) access to drinking water and sanitation services can be accomplished through targeting supporting conditions in interventions. These supporting conditions are seen as building blocks, or systemic elements. In this evaluation we refer to these conditions as 'elements of the WASH system'. The Netherlands has started adopting these elements of a system approach in its WASH policy from 2016 onwards. At the Dutch policy level, however, a theory of change, endorsed by all stakeholders and applicable for evaluation research, is currently lacking. Yet, the main elements of a policy theory can be conceptualized from several key policy documents:

1. Policy letter on WASH (2017), including the WASH Strategy 2016-2030<sup>14</sup>
2. Theory of Change on Water (2018)<sup>15</sup>
3. IGG position paper on WASH (2020)<sup>16</sup>
4. Methodological notes 2024 with guidelines for measuring and aggregating results<sup>17</sup>

These key policy documents all refer to the same main objective: the provision of 30 million people with sustainable access to safe drinking water by 2030 and the provision of 50 million people with sustainable access to improved sanitation by 2030.

The WASH strategy 2016-2030 could be marked as the starting point of a new policy in which elements of a system approach become visible for the first time. Guiding principles are:

- service delivery for the poorest;
- a sustainability clause for 15 years;
- more attention to gender;
- adaptation to climate change;
- local capacity building;
- attracting private finance (leverage).

The strategy stresses an integrated approach with commitment of all involved stakeholders with an important role for Dutch partners to share and use their knowledge and experience. For its implementation, the strategy distinguishes three priority areas:

- Finance of WASH programmes through government to government, multilateral banks, private sector, local communities (NGOs) and knowledge institutes.

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<sup>14</sup> Tweede Kamer, vergaderjaar 2016–2017, 32 605, nr. 193

<sup>15</sup> Available at: [Theory of Change Ontwikkelingssamenwerking | Publicatie | Rijksoverheid.nl](https://www.theoryofchange.nl/)

<sup>16</sup> Internal document

<sup>17</sup> Internal document

- Promotion of collaboration between public and private sector, local communities and knowledge institutes.
- Facilitation of the use of Dutch knowledge and technology.

In terms of geography, the focus of implementation is on partner countries with a water programme, fragile and least developed countries through multilateral organisations and NGOs and transition countries for private sector development.

The ToC Water from 2018 builds upon the WASH Strategy 2016-2030, with an increased emphasis on safeguarding sustainability and several elements that are crucial for a functioning WASH system. To this end, the Netherlands commits to invest in improving the hygienic behaviour of the target group, in infrastructure and in the institutions that must contribute to adequate services, maintenance and financing of the facilities. Some elements are crucial, namely: a) monitoring; b) firm agreements on paper about tasks and responsibilities during and after the project period regarding the construction, maintenance and use of infrastructure (system element 'institutions', see Fig. 1); c) creating local financing mechanisms (system element 'finance', see Fig. 1); d) encouraging behavioural change and increased community engagement, with a specific focus on women and girls as a vulnerable target group. As urbanization - especially in Africa - is accelerating, the share of urban areas and slums will increase, leading to an increased policy focus on urban areas. The sustainability clause remains and all programmes should work with a sustainability 'compact' and annual sustainability checks, which should ensure that WASH facilities continue to function for at least 15 years.

#### *The introduction of system elements in Dutch WASH policy*

The first elements of a system approach were included in the WASH Strategy 2016-2030 of the MFA. This strategy distinguishes between infrastructure and non-infrastructure approaches for reaching the so called 30/50-objective. Infrastructure approaches refer to the technical approach of creating well-working service delivery, providing clean/treated drinking water and sanitary services to households and public places such as schools and health care facilities. The non-infrastructure approaches refer to systemic elements that are based on the IRC WASH system building blocks<sup>18</sup>: policy and legislation, planning, institutions, finance, regulation and accountability, monitoring, water resources management (WRM) and learning and adaptation. Together with the element of infrastructure, these elements are interconnected and interdependent and should create a functioning system with sustainable WASH service delivery. By applying a system approach, the policy intends to promote and secure sustained accessibility to drinking water and sanitation services, notably. The policy specifically aims to enhance access for the most marginalised groups. Namely, interventions in elements of the WASH system are designed and implemented with their needs in mind. In addition, the assumption is that Dutch funding will "help provide access and improved service delivery for a much greater number, by driving change in the sector."<sup>19</sup>

#### *The operationalisation of a system approach*

In their 2020 position paper on WASH, the Department for Inclusive Green Growth (IGG) started to operationalise its system approach to WASH. It acknowledges that system strengthening goes beyond merely strengthening the different elements of the system in isolation. Also, partner organisations cannot influence all these elements and should not necessarily work on all system elements. Rather, partners are expected to relate to the complexity of a system by making system analyses and identifying bottlenecks. They should make strategic choices concerning which bottlenecks to focus on, and with whom to tackle them. This explicitly includes the strengthening of systemic elements beyond the infrastructure of service delivery. Partners are also expected to monitor systemic changes. The most recent methodological note (2024) distinguishes between direct, indirect results and results on the enabling environment (see box 1). This distinction aims to include all results achieved, also on non-infrastructure elements within the WASH system. The IGG position paper of 2020 already introduced these principles in a ToC with three pathways (service

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<sup>18</sup> Huston and Moriarty, 2018. Understanding the WASH system and its building blocks: building strong WASH systems for the SDGs

<sup>19</sup> WASH Strategy 2016-2030, p. 10, available at: [document \(eerstekamer.nl\)](#)

delivery, lobby and advocacy, system strengthening) at two different levels (sub-national and national).

*Box 1: Direct and indirect results and results on the enabling environment*

Direct results:

These are concrete quantitative contributions to the 30/50-objective, achieved with an activity that is (co-financed) directly with funding from the NL MFA.

For instance, through providing a village with access to safe drinking water or a school with toilets and hand washing facilities.

Indirect results:

Contributions to the 30/50-objective that can be related to system strengthening (enabling environment) activities. For instance, through capacity building so that a water utility gained access to finance, which in turn enabled it to extend piped water. Here it is often more difficult to make a direct link with Dutch funding as other actors also contribute to these systemic elements.

Enabling environment results:

To measure contributions to changes in WASH systems, qualitative learning questions are posed. These questions focus on recording changes in several systemic aspects, namely: knowledge development and research; regulatory frameworks and quality control; capacity building and technology transfer; empowerment of vulnerable groups; market development and mobilizing additional financial means; policy development and diplomatic outreach.

*Sustainability in Dutch WASH policy*

The WASH Strategy 2016-2030 requires partners to do a sustainability analysis and prepare an exit plan to guarantee sustainability for 15 years as part of their project proposal.<sup>20</sup> This analysis should contain a context analysis of possible risks, challenges and strengths of the intervention regarding its sustainability. Furthermore, it needs to elaborate on possible unintended negative side effects of the proposed intervention. An exit plan should describe the hand-over of infrastructure, supplies and services after construction or rehabilitation from the MFA contract partner to a local partner or government institution. One obligatory element of the exit plan is the sustainability compact. Generally, this compact takes the form of an article within a memorandum of understanding (MoU) between an MFA partner and a local partner. It specifies the roles and responsibilities of all relevant stakeholders towards ensuring sustainability of projects results, including operation, maintenance and commitment after the financial close-out. Neither the exit plan nor the sustainability compact include a legal component. Furthermore, in 2024, IGG introduced specific sustainability guidelines for project design, implementation and monitoring (methodological notes 2024).

*Inclusion in Dutch WASH policy*

Dutch WASH policy focuses on marginalised groups, as they are less capable of dealing with disasters, stress, or economic shocks, threatening their access to WASH (Methodological Notes, 2024). Marginalisation is not only related to poverty, but also to social exclusion based on various other characteristics such as gender, race, religion, caste, age, or residential status (WASH Strategy 2016-2030). This for instance includes communities based in regions susceptible to climate change-induced weather events, such as floods and droughts, which face increased vulnerability to losing access to good WASH services. WASH policy has a particular focus on gender, based on the fact that limited access to WASH services disproportionately affects girls and women. A gender responsive approach is considered essential to empower women economically, shifting their role from vulnerable beneficiaries to active agents of change and leaders in local WASH decision-making, service delivery organizations, and water and sanitation committees (WASH Strategy 2016-2030).

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<sup>20</sup> This number of 15 years was introduced in the WASH strategy 2016-2030 as a reaction to the finding of the IOB (2012) report on limited sustainability of WASH.

*Reconstructed policy implementation theory for sustainable and inclusive WASH-results*

Based on the above information, IOB reconstructed a policy implementation flow chart to ensure sustainable delivery of WASH services and inclusive access. It shows the complexity faced by both the ministry and implementing partners, who need to look at various systemic elements through ex-ante analyses and develop exit strategies to ensure a 15-year lifespan. Figure 1 provides the flowchart of the policy-theory including focus areas, obligations, results and objectives.

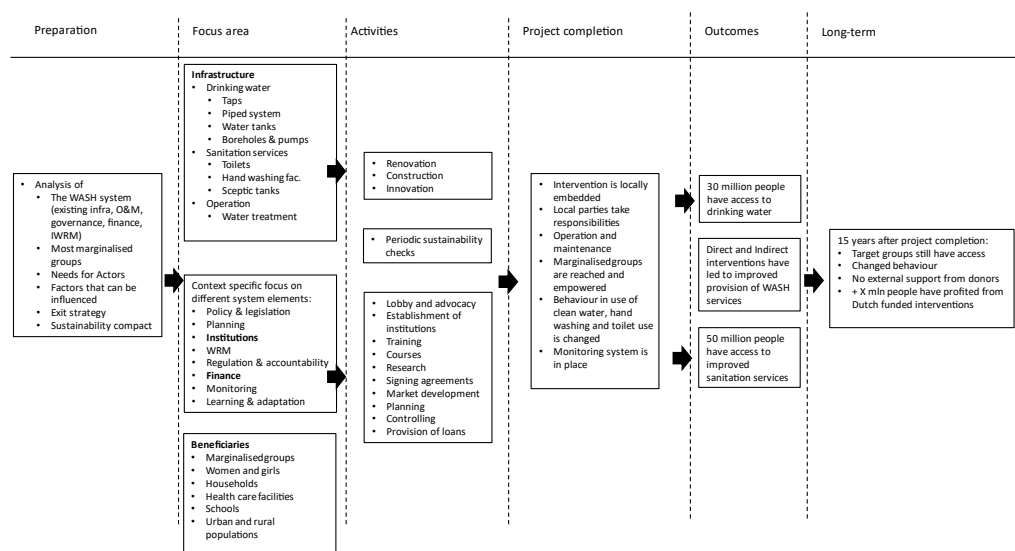


Figure 1: A reconstruction of the Dutch WASH policy implementation theory

## 2.4 Means and actors

### *Financial Allocation of WASH Activities*

WASH-specific objectives are integrated in a large number of Dutch funded activities under multiple articles of the foreign trade and development cooperation (BHOS) budget. The entire budget comprises Official Development Assistance (ODA) and the activities are labelled with the policy marker 'drinking water and sanitation'.<sup>21</sup> Between 2012-2023, approximately 2,8 billion euro was spent on activities with this policy marker. For an overview of the expenses per budget (sub) article, see Figure 2.<sup>22</sup> A large part of the WASH-related budget (1.16 billion euros) was spent in the field of humanitarian aid under budget article 4. This evaluation focuses solely on the activities of budget article 2.2, as this is the main budget article for WASH-related policy of the MFA. The total expenditure on article 2.2 is about €1.2 billion for the period 2012-2023.<sup>23</sup> The 2016-2030 WASH strategy aims for an annual allocation of EUR 120-130 million to the WASH sector. Figure 3 shows that the annual expenditures increase since 2016, but that the aim of 120 million euro is not met every year.<sup>24</sup>

<sup>21</sup> There are two different markers indicating whether WASH is either a significant or a principal goal for the activity. An activity receives a principal marker when the objective cannot be achieved without a focus on WASH. Therefore, only activities with a principal marker are included.

<sup>22</sup> This overview is based on activities with a principal WASH policy marker and/or falling within a WASH budget article and/or a WASH CRS-code.

<sup>23</sup> While this evaluation focuses on the period 2015-2023, financial data of 2012 onwards is included as IOB has not reviewed the specific WASH budget since then.

<sup>24</sup> WASH activities are selected by the following budget places: DHA BD Drinking Water and Sanitation Contributions; ACC GH Drinking Water and Sanitation Contributions; BAG IQ Drinking Water and Sanitation Contributions; COT BJ Drinking Water and Sanitation Contributions; DHA BD Drinking Water and Sanitation Contributions; IGG COVID Drinking Water and Sanitation Contributions; IGG COVID Drinking Water and Sanitation Subsidies; IGG Central



Figure 2: Expenditures on WASH divided by budget sub-article in million euros for the period 2012-2023

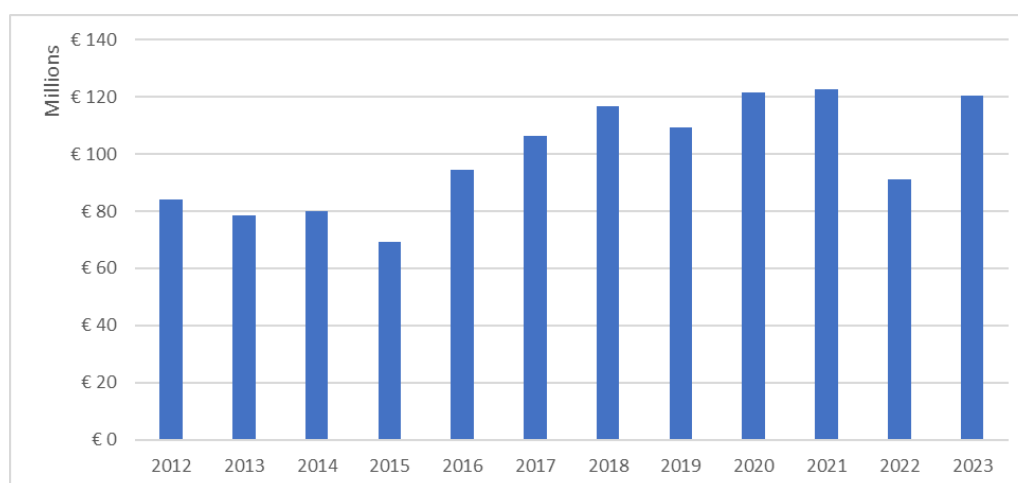


Figure 3: Annual expenditures on WASH within budget article 2.2

#### Central and delegated expenditure

The department of Inclusive Green Growth (IGG) is responsible for the centrally funded WASH programmes, which amount to 55% of total WASH expenditures (EUR 689 million). Delegated expenditure, i.e. the financial resources managed by the embassies, amount to 45% (EUR 559 million). WASH disbursements are made by the embassies in Cotonou (8%), Accra (6%), Ramallah (6%), Dhaka (5%), Maputo (5%), Addis Ababa (3%), Jakarta (3%), Sanaa (3%), Nairobi (2%), Kigali (2%) and Juba (2%). Figure 4 shows the central and delegated expenditure by channel.

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Drinking Water and Sanitation Contributions; IGG Central Drinking Water and Sanitation Subsidies; JAK ID Drinking Water and Sanitation Contributions; JBA SS Drinking Water and Sanitation Contributions; KAI EG Drinking Water and Sanitation Contributions; MAP MZ Drinking Water and Sanitation Contributions; NAI KE Drinking Water and Sanitation Contributions; NAI KE Drinking Water and Sanitation Subsidies; RAM OT Drinking Water and Sanitation Contributions; SAA YE Drinking Water and Sanitation Contributions; and Water Central: Drinking Water and Sanitation.

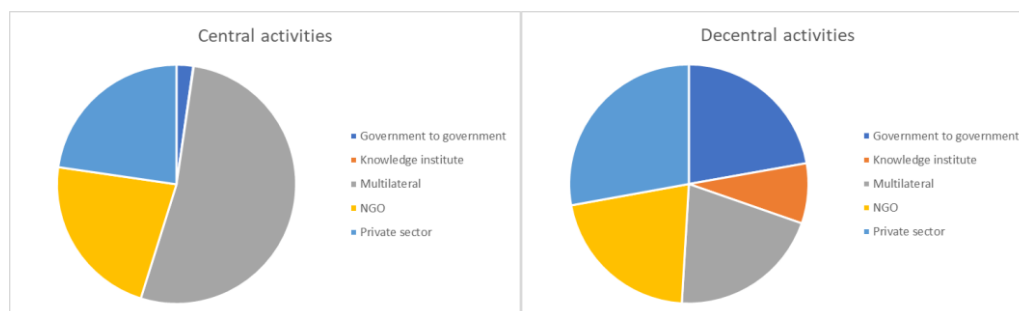


Figure 4: disbursements of centrally and delegated funding activities (2012-2023), separated by channel.

The biggest share of central funding is spent through the multilateral channel (53%/ EUR 351 million euro) (fig.4). This primarily includes activities by UNICEF (EUR 208 million), UNOPS (EUR 64 million) and The World Bank (EUR 49 million). The NGO channel receives almost a quarter of the share of the central funding. Most of this funding is spent on a few large programmes, namely the WASH SDG programme (EUR 63 million)<sup>25</sup>, Aqua for All (EUR 26 million) and WASTE (EUR 24 million). About 20% of the central funds is spent on public-private partnerships, most notably through Vitens Evides International (VEI) (EUR 53 million), RVO (EUR 41 million) and the PPP programme of Aqua for All (EUR 31 million). Only a small share of central funding is spent through the government-to-government channel and through knowledge institutes. For a detailed table of expenditures per centrally financed programme, see Annex 1.

At the embassy level, there is a different budget allocation per channel. Here the private sector channel is the most prominent one with about 28% (EUR 142 million) of expenditures. This includes private sector development programmes focussing on the domestic private sector, programmes including Dutch companies, and various types of PPPs. Large programmes in this channel include the RVO Ghana WASH Window (EUR 25 million), the Cape Coast water supply (EUR 20 million), and the Water Operator Partnerships with Vitens International (EUR 17 million). Within delegated budget allocation, the government-to-government channel has a more prominent share of about 22% (EUR 113 million). This is mainly caused by large expenditures in Benin (EUR 77 million). About 21% of expenditures (EUR 105 million) is disbursed through the multilateral channel. Although this is much less compared to the central funds, this is still a significant share, with UNICEF again playing a prominent role (EUR 60 million). The NGOs channel also receives about 21% (108 million) with the largest budget being allocated to BRAC in Bangladesh (EUR 32 million) and SNV (EUR 28 million) in multiple countries. Finally, also a part of the budget (8%) is spent on knowledge institutes (EUR 41 million), the largest programme being a collaboration with the university of Addis Ababa (EUR 18 million). For a detailed table of expenditures per delegated project, see Annex 1.

### 3 Evaluation aim

The main aim of this evaluation is to see how, and to what extent, the Netherlands has contributed to sustained access to drinking water, sanitation and hygiene services, notably for marginalised groups. Furthermore, the study aims:

- to learn from experiences with the 2016 WASH-strategy, with particular focus on the developing system approach;
- to gain insight in how elements in the system interact and what the role of the Dutch government, as funder of various programmes, has been;
- to assess whether the Netherlands has been successful in implementing its policy in two selected countries (Ethiopia and Kenya) and one selected region (Sahel);
- to formulate lessons for the Ministry of Foreign Affairs (notably IGG and embassies) on how to manage the policy's implementation;
- to inform new policies and strategies on a system approach.

<sup>25</sup> Besides, Simavi received EUR 12 million for other activities.

## 4 Scope

### *Evaluation period*

The evaluation covers the period from 2012 to the present, with a specific focus on the policy since 2016. During this period, the Netherlands committed to the 30/50 objective as a contribution to SDG 6 on universal access to WASH. In 2016 IGG published its WASH strategy to guide the implementation and attainment of this goal, including the introduction of the first elements of a system-approach. Evaluating the period since 2012 is desirable as it will provide more insights in the shift towards a system approach. with variation in the use of the approach, variation in the level of completion and hence also variation with regards to sustainability and inclusion. Furthermore, it links to the previous IOB evaluation which covered the period 1990-2011.

### *Focus*

This evaluation only concerns WASH activities under BHOS budget article 2.2 on water. While several activities outside this budget article do have a WASH marker, they are not directly linked to the IGG WASH policy's 30/50 objective. As marginalized groups are targeted in WASH policy, the evaluation will specifically look at people with limited access to drinking water and sanitation services, such as women and girls, children under five, disabled people, the poorest and most disadvantaged (minorities, tribes, LGBTIQ+). The evaluation takes a qualitative approach, analysing the (expected) contribution of the policy to sustained access. The scope of the evaluation is limited to the review of a selection of WASH programmes in two countries (Ethiopia and Kenya) and one region (Sahel) (see also Chapter 6).

This evaluation is a building block for the periodic evaluation on BHOS article 2. Budget article 2.2 consists of both WASH and Integrated Water Resource management (IWRM). Both themes are evaluated separately but are often intertwined in activities. Therefore, aspects of IWRM will also be considered in this evaluation when necessary; ultimately, IWRM is one of the nine elements of the WASH system this evaluation focuses on.

## 5 Evaluation questions and criteria

The central research question is as follows:

**How and to what extent has the Netherlands contributed to sustainable access to drinking water, sanitation and hygiene services, notably for marginalised groups, in Ethiopia, Kenya and the Sahel region?**

To answer this question, the following sub-questions are posed:

**1) Has the Netherlands been effective in improving elements of the WASH system? Have the programmes reached their objectives, including the ambition to improve conditions for the most marginalised groups? (effectiveness)**

As the system approach is still very much under construction, it is important to see how the MFA has started to implement it. Paragraph 2.3 explains that the main Dutch focus within the WASH system has shifted from the systemic element infrastructure to the elements finance and institutions. It is to be expected that interventions come across the other six described elements, progressively over time. An element has been improved effectively when its outcomes are achieved. For every programme investigated, the outcomes will be different (e.g. changes in financial security, institutional cooperation, and knowledge and technology use).

Those will be made explicit through the reconstruction of a simplified TOC. Outcomes could be on the level of the element as well as on the level of service delivery. If the contribution at the level of an improved element at the level of service delivery could be established, it is possible to investigate

whether the most marginalised groups have increased their access to the WASH services. This question requires a contribution analysis to assess the relation between the elements of the system and the delivered service and access for marginalised groups. It contains therefore also components of the OECD DAC evaluation criterion *relevance* and (*internal*) *coherence*. Within the WASH system, there are causal relations between different elements, leading them to positively or negatively influence one another in a WASH intervention. For example: an intervention focusing on financial sustainability could positively influence WASH infrastructure.

## **2) How sustainable are these results? How likely is it that improvements will last? (sustainability)**

Sustainability has been achieved when results last in time. Sustainability can hence be seen as long-term effectiveness. In line with the elaboration under question one, sustainability will also be assessed at the level of the elements or at the level of service delivery. Again, in the last case the sustainability of the access for marginalised groups will also be assessed.

An answer to this question can also provide information on the *efficiency* of the programme. The longer WASH facilities remain functional, the more efficient the investments of initial resources. In the WASH-sector the build-neglect-rebuild cycle has often been noted as a problem which hampers the efficient use of resources, as proper maintenance would cost less than having to rebuild facilities. Also, interventions can encounter a trade-off between a focus on inclusion of marginalised groups on the one hand, and efficiency, effectiveness and sustainability in terms of reaching the 30/50-goal on the other hand. Generally, the most marginalised groups are more difficult to reach and have less resources for operation and maintenance of WASH-facilities.

This evaluation will take into account both central (IGG) and delegated programs (embassies), funded through different channels. In this way, it will assess what systemic elements are addressed and why (i.e. based on a system-analysis), how they are addressed (i.e. stand-alone or interconnected), and with whom they are addressed (i.e. government, communities, companies).

The answers to these questions will ultimately provide the opportunity to make policy recommendations. Since the research questions address which systemic elements are worked on per program, it is likely that recommendations can also be made regarding which additional elements need more focus, or where an excessive focus may currently exist.

# 6 Method

## 6.1 Research methodology

This study employs a multiple-case study design, with the WASH system being the unit of analysis and a case being defined at programme level consisting of one or more system elements. All cases will be selected based on a portfolio analysis in Ethiopia, Kenya and the Sahel region. The case studies rely on multiple sources of evidence to be able to triangulate data. Furthermore, case studies are especially suited for answering *how* and *why* questions such as the central question in this evaluation. To capture various system elements, the evaluation will investigate older and newer WASH programmes in multiple locations (rural, urban) covering elements at multiple levels (local, regional, national) in multiple countries, funded through different channels and modalities. This variety can add to explanations for the level of sustainability and inclusion of WASH facilities.

### *Defining a WASH system*

A commonly used definition is that a WASH system encompasses financial, institutional, environmental, technical, and social factors, actors, motivations and interactions that influence WASH service delivery in a given context (i.e.: Ajroud et al., 2020; Hollander et al., 2020; Huston & Moriarty, 2018; UNICEF, 2017; Valcourt, Walters, Javernick-Will, & Linden, 2019). Huston and Moriarty (2018) operationalise this into a framework of nine building blocks, which can be seen as elements that need to be in place for a sustainable WASH system. These elements include institutions; policy and

legislation; finance; regulation and accountability; monitoring; planning; infrastructure; water resource management, and; learning and adaptation. See also Figure 5.



Figure 5: The IRC WASH Building Blocks, used by NL MFA when working on systemic elements<sup>26</sup>

Mapping a system is a complex and extensive task. By focusing on the IRC WASH building blocks in this study, a clear framework and boundaries are established without the necessity of mapping the entire system. While part of the system can be mapped through desk research, comprising an analysis of programme documents to make the system elements applicable explicit, the knowledge and experience of local communities and (local) experts are indispensable for understanding the interconnectedness of the elements and the way it eventually results in (sustainable) service delivery and access. This data will be collected through interviews and group discussions.

First a contribution analysis will be conducted in order to understand the way an improvement at a certain element contributes to the improvement of access to service delivery. Interviews in the field with several stakeholders will be conducted until the point has reached that the evaluators are confident enough to prove the contribution.

Second, the relations between the elements within a case will be assessed through qualitative models that represent the WASH system, encompassing all relevant variables affecting interventions and the causal relationships between them. These variables can range from measurable physical quantities, such as water availability or infrastructure durability, to more abstract and aggregate concepts, such as community engagement or policy effectiveness. By doing this, the interdependencies between system components will be illuminated, providing a detailed perspective on how targeted policies or interventions affect the system's overall sustainability. This enables evaluation of how interventions focusing on specific elements impact the broader system. While mapping an entire system is impossible, this is a practical alternative by focusing on the most critical systemic elements for each specific context. Since every case is unique, an evaluation matrix with indicators will be developed at programme level using the programme ToC. This targeted approach can provide actionable insights, enabling future interventions to be designed with a clear focus. It helps to answer our research questions by:

- Identifying key components within the WASH system
  - By identifying elements of a system that have the biggest impact on sustainability, it enables learning of how a system approach is

<sup>26</sup> Huston, A., & Moriarty, P. (2018). *Understanding the WASH system and its building blocks* (Working Paper). IRC. [https://www.irccwash.org/sites/default/files/084-201813wp\\_buildingblocksdef\\_newweb.pdf](https://www.irccwash.org/sites/default/files/084-201813wp_buildingblocksdef_newweb.pdf)

implemented. It will help answer research question 1: " *Has the Netherlands been effective in improving elements of the WASH system? Have the programmes reached their objectives, including the ambition to improve conditions for the most vulnerable groups?*"

- By making explicit the system interdependencies, representing the relationships between elements of a WASH system. Both elements and relationships are based on literary research, stakeholder input and (local) expert knowledge. It will help to answer research question 2, *How sustainable are these results? How likely is it that improvements will last?*"

#### *Data Collection and Operationalisation*

This evaluation will start from a selection of WASH programmes in the selected countries, using primary and secondary data such as monitoring results, midterm reviews, annual reports and evaluations and interviews to get a sense of the problem situation, the level of sustainability, the WASH-system factors being addressed in the programme, and the main stakeholders involved and their various roles and resources. The IRC Building Blocks will be used as a framework to look for elements of a systemic approach. It uses a hybrid approach, including both actors and factors as both are expected to have significant influence within the system. For actors, this means that they can sometimes be included indirectly, through proxy variables (e.g. "community engagement" for local communities). Stakeholders involved will be asked to provide their expert take on the most important and present variables and causal relationships in the system. This should result in key insights into the emergent properties of the WASH systems, why they function the way they function, and what that means for sustainability.

Through contribution analyses, the WASH-system elements will be linked to improved service delivery in the answer to the two sub questions. Lockwood and Le Gouais (2014) describe that indicators for the assessment of improved service delivery must reflect the criteria of availability, safety, acceptability, accessibility (including reliability) and affordability". Also essential is monitoring to ensure increased access for those most in need and without discrimination. As mentioned in the introduction (Chapter 1), a service ladder, also shown in Lockwood and Le Gouais (2014), provides a way to conceptualise different and increasingly higher levels of service. IOB will use this service ladder instead of the one used by the Joint Monitoring Programme (JMP) and also the Dutch ministry, since that ladder includes only three levels, namely piped, improved and unimproved linked to the type of technology rather than the actual service provided. See Table 1. The specific indicators will be elaborated during the preparation of the field work.

Service level	Quantity (lpcd <sup>27</sup> )	Quality	Accessibility (mpcd <sup>28</sup> )	Reliability	Status
High	>=60	Good	<=10	Very reliable	Improved
Intermediate	>=40	Acceptable	<=30	Reliable/secure	Improved
Basic	>=20	Acceptable	<=30	Reliable/secure	Improved
Sub-standard	>=5	Problematic	<=60	Problematic	Unimproved
No service	<5	Unacceptable	>60	Unreliable/insecure	Unimproved

Table 1: indicators to determine the level of service delivery

Depending on the element, an intervention focuses on and the level(s) at which a programme operates (national, provincial, local), its contribution to eventual service delivery may be more or less directly visible. To accurately determine the locations to be visited, it is essential that all elements of the cases considered are explicitly linked to concrete service delivery. Therefore, the selection of programmes will be finalised after consultations with the embassy and implementation partners.

#### *Capturing inclusion in WASH systems*

To capture processes of inclusion in WASH systems, this evaluation uses the marginalisation framework as developed by Water Aid (2018, p. 24). This framework has two phases. First, identifying who is marginalised and second, identifying their barriers to inclusion. The identification of

<sup>27</sup> Litres per capita per day

<sup>28</sup> Minutes per capita per day spent fetching water, taking into consideration distance and crowding

marginalised groups starts with looking at the target groups of the selected programme. Those should be targeted based on an analyses of macro-level contextual factors, including geographic location, economic situation, and societal configurations (i.e. ethnicity, migration status, religion, caste). Then micro-level universal factors will be looked at. These are factors for which it is known that they affect equitable access to WASH, and they include gender, age, disability and health status. The last step in identification involves looking for intersections of both micro and macro-level factors. When marginalised groups are identified, it is important to see what barriers they face to access WASH. These barriers can be environmental, institutional or attitudinal.<sup>29</sup> Environmental barriers are physical barriers in the built and natural environment, like steps at the entrance to a toilet, or a remote water point. It also relates to the way information is communicated, like hygiene messages on billboards, which cannot be read by visually impaired people. Institutional barriers relate to legislation, government or company policies, cultural norms and traditional practices. For instance, this can be a lack of government standards for accessibility. Finally, attitudinal barriers are beliefs, cultural practices, behaviour and language that can hinder equitable access to WASH. This includes excluding women from meetings, denying people living with HIV access, or considering that menstruation is impure.

## 6.2 Country and case selection

To be able to analyse WASH programmes in various contexts and to answer the research questions, this evaluation plans two country visits.<sup>30</sup> To identify the most relevant countries, we employed multiple criteria, namely:

- Size of the financial disbursements on WASH within BHOS budget article 2.2 between 2012-2023<sup>31</sup>
- Availability of both ongoing and finished programmes
- A continuation of WASH-programming at embassy-level
- A variety in systemic elements supported
- A variety of central (IGG) and delegated (embassy) activities and of channels through which the activities are funded.
- Avoiding duplication with the recent NCA study, and recent IOB studies which looked at WASH programmes
- No travel restrictions in terms of security that could hamper visiting selected locations

The first criterium was used to compile a list of the top 10 countries in terms of financial disbursements on WASH.<sup>32</sup> The other criteria were used to select and eliminate countries from this list. This resulted in the selection of Kenya and Ethiopia. Within each country, a strategic selection of the main WASH programmes has been made to cover as much as possible old and new programmes, different channels, both water and sanitation / hygiene interventions, rural and urban programmes and as many system elements as possible. This preliminary selection of programmes is based on discussions with the embassies, with IGG and through a document analysis of appraisal reports. After a more thorough analysis of programme locations based on annual reports and evaluations, a final selection of locations will be made.

As the portfolio of the two countries do not include centrally funded programmes designed for the most fragile countries, it was decided to add a third study that covers programmes with a focus on the Sahel countries<sup>33</sup>. None of the countries within the Sahel case will be visited, due to high risks of visiting these countries. Therefore, this part of the study will rely on desk research. Nevertheless, embassies in the Sahel with counterparts who work with IGG on the selected programmes, will be

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<sup>29</sup> These barriers clearly overlap with, and can be integrated in, the systemic elements mentioned in table 1.

<sup>30</sup> More than two country visits is not feasible due to capacity constraints.

<sup>31</sup> This includes both central and delegated expenditures between 2012-2030. The central expenditures are an estimation as no country specific expenditures are available in MIBZ for the entire period.

<sup>32</sup> Benin, Palestinian Authorities, Bangladesh, Ghana, Mozambique, Ethiopia, Indonesia, Kenya, Yemen, Niger

<sup>33</sup> Countries included: Senegal, Mauritania, Mali, Burkina Faso, Niger, Nigeria, Chad, Sudan, South Sudan, Eritrea

consulted. At the same time this provides an opportunity to triangulate findings from the country studies.

As every programme is assumed to intervene on a unique WASH-system with different elements, the level of the cases investigated is on programme level. That means that a case consists of one or more system elements within the same programme.

For an overview of all central and delegated programmes in the two country studies and the Sahel study, see the three tables below (Table 2 for the Kenya study, Table 3 for the Ethiopia study and Table 4 for the Sahel study). The green-shaded programmes have been tentatively selected for this evaluation to be the basis for the answers on the research questions. The overview is based on desk research of appraisal reports and the MFA management information system (MI-BZ)<sup>34</sup>. The main criterium to select the programmes is that the total group of selected activities should represent as many as possible the different channels, locations (urban and rural), modalities (central, delegated), and WASH-system elements. As specific locations, availability of interviewees, restrictions, etc. are still not entirely clear and to be discussed with IGG and the embassies, the selection of programmes can be altered and narrowed. However, for every country we expect to visit 4-5 so-called 'hotspots' that several Dutch funded programmes targeted.

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<sup>34</sup> MaxQDA was used to abstract the various indicators with a main focus on the elements the programme (implicitly) targeted.

Table 2: Kenya case selection

Programme	Period	Implementing partner	Channel	Central (1) Delegated (2)	Water (1) or San./Hygiene (2)	Urban (1) or Rural (2)	Budget (BeMo) <sup>35</sup> (mln. EUR)	Applicable building blocks*	Overlap with other study
Strengthening Water Operators	2017-	VEI	PPP	1	1, 2	1	33.0	1, 2, 3, 4, 6, 7	E <sup>36</sup> , S <sup>37</sup>
Water Operator Partnerships (WOP)	2012-2019	VEI	PPP	2	1, 2	1	8.8	1, 2, 3, 4, 5, 6, 7	-
WASH SDG (COVID extension)	2020	Simavi	NGO	1	1, 2	1, 2	6.0	2, 3, 5, 7	E
Sanitation and Hygiene Fund	2020-	UNOPS	UN	1	1	1, 2	25.0	1, 2, 3, 4, 7	E, S
Aqua for All	2011-		PPP	1	1, 2	1, 2	70.0	2, 3, 4, 5, 6, 7	E, S
FINISH Mondial	2019-	Stichting WASTE	NGO	1	2	1, 2	4.1	1, 2, 3, 4, 5, 6, 7	E
Sustainable Water Fund	2012-	RVO	PPP	1	1, 2	1, 2	37.5	2, 4, 5, 6, 7	E, S
Water Supply and Sanitation Collaborative Council	2016-2019	UNOPS	UN	1	2	2	49.7	1, 2, 3, 4, 5, 7	E, S
Catchment to Tap	2021-	WWF	NGO	2	1, 2	2	4.5	2, 3, 4, 6, 7	-
Sanitation Improvements through Market Strategies	2013-2016	GOAL Kenya	NGO	2	2	1	1.5	4, 5, 7	-
Kenya Innovative Finance Facility for Water (KIFFWA)	2014-	Waste B.V.	Private Sector	2	1, 2	1, 2	10	2, 4, 6, 7	-
Policy Support for the Water and Water related activities	2021-	Multiple countries	Private Sector	2	1, 2	1, 2	0.3	1, 2, 3, 4	-
Water Financing Facility	2017-	Cardano Dev. Services B.V.	Private Sector	1	1, 2	1, 2	10.5	2, 4	-
UNICEF WASH Programme	2008-2014	UNICEF	UN	2	1, 2	2	28.0	1, 2, 3, 4, 5, 6, 7	-
WASH Alliance	2015-2018	Simavi	NGO	1	1, 2	1, 2	6.0	2, 3, 4, 6, 7	E, S
Global Water Security and Sanitation Partnership	2016-	World Bank	Multilateral	1	1, 2	1, 2	34.0	1, 2, 3, 4, 6, 7	S
Water Integrity Network (WIN)	2017-	WIN Association	Network	1	1, 2	1, 2	1.5	3, 7	-
Sanitation and Water for All (SWA) Secretariat Additional Support	2019-	UNICEF	UN	1	1, 2	1, 2	1.7	1, 2, 3	S
UN-Water	2022-	UNOPS	UN	1	1, 2	1, 2	10.8	1, 2, 6, 7	E, S

<sup>35</sup> In case of a central funded activity the total budget is shown, which is (probably) spread over a multiple number of countries.

<sup>36</sup> Ethiopia Country study

<sup>37</sup> Sahel study

Table 3: Ethiopia case selection

Programme	Period	Implementing partner	Channel	Central (1) Delegated (2)	Water (1) or San./Hygiene (2)	Urban (1) or Rural (2)	Budget (BeMo) <sup>38</sup> (mln. EUR)	Applicable building blocks*	Overlap with other study
Strengthening Water Operators	2017-	VEI	PPP	1	1, 2	1	33.0	1, 2, 3, 4, 6, 7	K <sup>39</sup> , S
WASH SDG Programme	2017-	Simavi	NGO	1	1, 2	1, 2	59.0	1, 2, 3, 4, 5, 6, 7	-
WASH SDG (COVID extension)	2020	Simavi	NGO	1	1,2	1, 2	6.0	2, 3, 5, 7	K
Sanitation and Hygiene Fund	2020-	UNOPS	UN	1	1	1, 2	25.0	1, 2, 3, 4, 7	K, S
Aqua for All	2011-	Aqua for All	PPP	1	1, 2	1, 2	70.0	2, 3, 4, 5, 6, 7	K, S
Sustainable Water Fund	2012-	RVO	PPP	1	1, 2	1, 2	37.5	2, 4, 5, 6, 7	K, S
Water Supply and Sanitation Collaborative Council	2016-2019	UNOPS	UN	1	2	2	49.7	1, 2, 3, 4, 5, 7	K, S
WASH Alliance	2015-2018	Simavi	NGO	1	1, 2	1, 2	6.0	2, 3, 4, 6, 7	K, S
UN-Water	2022-	UNOPS	UN	1	1, 2	1, 2	10.8	1, 2, 6, 7	K, S
FINISH Mondial	2019-	Stichting WASTE	NGO	1	2	1, 2	4.1	1, 2, 3, 4, 5, 6, 7	K
WASH-MUS	2011-2014	UNICEF	UN	2	1, 2	1, 2	19.5	2, 4, 5, 7	-
Kunzila Integrated Landscape Management and WASH Project	2020-	Addis Ababa University	Knowledge inst.	2	1, 2	1, 2	16.0	2, 3, 5, 6	-
One WASH National Programme	2020-2022	Eth. Ministry of Finance	Gov	2	1, 2	1, 2	22.3	1, 2, 3, 4, 5, 6, 7	-
One WASH National Programme	2022-	The World Bank	Multilateral	2	1, 2	1, 2	12.0	1, 2, 3, 4, 5, 6, 7	-
Reach, Expand and Access Community Health (REACH)	2022-	Engenderhealth Inc.	NGO	2	1, 2	1, 2	6.5	4, 6, 7	-
Empowering self-help sanitation of rural and peri-urban communities	2009-2020	Plan NL	NGO	1	2	1, 2	4.5	1, 2, 3, 4, 7	-
IRC Water Sanitation Centre	2011-2017	IRC	NGO	1	1, 2	1, 2	10.4	1, 2, 3, 4, 7	S
Building WASH system to deliver the SDGs	2017-2022	IRC	NGO	1	1, 2	1, 2	6.9	1, 2, 3, 4, 7	S
Football for Water	2012-2021	KNVB	PPP	1	1, 2	1, 2	13.5	4, 5, 7	-
European Investment Bank (EIB) Water Sector Fund Replenishment	2021	EIB	Multilateral	1	1, 2	1, 2	25.2	4, 5, 6, 7	S

<sup>38</sup> In case of a central funded activity the total budget is shown, which is (probably) spread over a multiple number of countries.

<sup>39</sup> Sahel study

Table 4: Sahel case selection<sup>40</sup>

Programme	Period	Implementing partner	Channel	Central (1) Delegated (2)	Water (1) or San./Hygiene (2)	Urban (1) or Rural (2)	Budget (BeMo) <sup>41</sup> (mln. EUR)	Applicable building blocks*	Overlap with other study
Strengthening Water Operators	2017-	VEI	PPP	1	1, 2	1	33.0	1, 2, 3, 4, 6, 7	K, E
Global Water Security and Sanitation Partnership	2016-	World Bank	Multilateral	1	1, 2	1, 2	34.0	1, 2, 3, 4, 6, 7	K
Sanitation and Water for All (SWA) secretariat support	2017-2019	UNICEF	UN	1	1, 2	1, 2	1.5	1, 2, 3	-
Sanitation and Water for All (SWA) Secretariat Additional Support	2019-	UNICEF	UN	1	1, 2	1, 2	1.7	1, 2, 3	K
Sanitation and Hygiene Fund	2020-	UNOPS	UN	1	1	1, 2	25.0	1, 2, 3, 4, 7	K, E
Aqua for All	2011-		PPP	1	1, 2	1, 2	70.0	2, 3, 4, 5, 6, 7	K, E
Sustainable Water Fund	2012-	RVO	PPP	1	1, 2	1, 2	37.5	2, 4, 5, 6, 7	K, E
Water Supply and Sanitation Collaborative Council	2016-2019	UNOPS	UN	1	2	2	49.7	1, 2, 3, 4, 5, 7	K, E
WASH Alliance	2015-2018	Simavi	NGO	1	1, 2	1, 2	6.0	2, 3, 4, 6, 7	K, E
UN-Water	2018-2021	UNOPS	UN	1	1, 2	1, 2	4	1, 2, 6, 7	-
UN-Water	2022-	UNOPS	UN	1	1, 2	1, 2	10.8	1, 2, 6, 7	K, E
IRC Water Sanitation Centre	2011-2017	IRC	NGO	1	1, 2	1, 2	10.4	1, 2, 3, 4, 7	E
Building WASH system to deliver the SDGs	2017-2022	IRC	NGO	1	1, 2	1, 2	6.9	1, 2, 3, 4, 7	E
European Investment Bank (EIB) Water Sector Fund Replenishment	2021	EIB	Multilateral	1	1, 2	1, 2	25.2	4, 5, 6, 7	E
Partnership Accelerating Sanitation and Water for All (WCARO)	2013-2022	UNICEF	UN	1	1, 2	1, 2	90.5	1, 2, 3, 4, 5, 6, 7	-
Access to Sanitation, Water and Hygiene	2018-	UNICEF	UN	1	1, 2	1, 2	57.5	1, 2, 3, 4, 5, 6, 7	-
Access to Water, Sanitation and Hygiene Niger	2019-2022	LuxDev	Gov	1	1, 2	2	15	1, 2, 3, 4, 5, 6, 7	-
COVID-19 UNICEF support to reduction	2020	UNICEF	UN	1	2	1, 2	7.5	3, 4, 7	-

\*Building blocks (+ inclusiveness)<sup>42</sup>:

1. Policy and legislation
2. Institutions
3. Regulation and accountability

<sup>40</sup> Countries included: Senegal, Mauritania, Mali, Burkina Faso, Niger, Nigeria, Chad, Sudan, South Sudan, Eritrea

<sup>41</sup> In case of a central funded activity the total budget is shown, which is (probably) spread over a multiple number of countries.

<sup>42</sup> Inclusiveness is added to the building blocks to explicitly include question 4. The building blocks Planning, Monitoring and Learning and Adaptation are left out in the table since these blocks apply for all activities. The building blocks have been distinguished by looking at the elaboration on the planned activities in the appraisal report. Most programmes have different goals with several pertaining activities that clearly could be classified under one of the building blocks/elements.

4. Finance
5. Infrastructure
6. Water resources Management
7. Inclusiveness (pro-poor focus, vulnerable groups, gender equality)

### 6.3 Data sources and data collection techniques

Data collection covers two main phases for each selected country study: a preparatory study followed by fieldwork. The Sahel case covers a preparatory phase followed by (digital) interviews. To prepare for the fieldwork, preliminary research will be done based on program appraisal reports, project plans, annual reports, independent evaluations and interviews with relevant actors (policy officers of the MFA, actors from Dutch private parties, international NGOs, knowledge institutes and multilateral organisations). One of the results in this stage are simplified TOC. This will help to determine the level and type of outcomes and to gain insight in the existing WASH systems in advance, providing valuable insights into their structures and dynamics. Having a clearer understanding of systems beforehand will enable us to conduct a contribution analysis and more focused and targeted fieldwork.

In each country, a local consultant will be contracted for both interpretation and guidance. We aim to work with consultants who have both knowledge on the local context and on WASH specifically.

Table 5 shows the evaluation matrix with the evaluation questions and the relevant data collection methods and sources. The specific number and type of actors interviewed and sites visited will be determined in the preparatory phase for each country visit. Important sites are for instance communities, schools, healthcare facilities, and water treatment plants. Important actors to interview include, but are not limited to, MFA officials, project implementers, water operators, water users, community members, marginalised groups (i.e. women and girls), and government officials at various levels. As can be seen in Table 2, 3 and 4, all selected programmes deploy multiple elements of a WASH system and can therefore all be discussed in an interview. We expect to conduct 6-10 interviews per programme with implementers and other stakeholders, and, if possible and/or necessary, 1-2 group discussions with beneficiaries.

*Table 5: Evaluation matrix of data collection methods for the selected programmes*

Question	Data sources and data collection techniques
1) Has the Netherlands been effective in improving elements of the WASH system? Have the programmes reached their objectives, including the ambition to improve conditions for the most marginalised groups? (effectiveness)	<ul style="list-style-type: none"> <li>• Desk study of multi-annual strategic plans, programme appraisals, programme plans, annual reports, domestic policy documents, local monitoring data, archives, and available (mid-term) evaluations</li> <li>• Interviews with internal (i.e. MFA staff, project implementers) and external (i.e. government officials, water users, water utilities, marginalised groups) actors on their role.</li> <li>• Observations at various sites on the implementation, results and on inclusion, and on how various (enabling and/or obstructing) factors and actors interact to influence inclusion</li> <li>• Group discussions with different actors</li> </ul>

2) How sustainable are these results? How likely is it that improvements will last? (sustainability)	<ul style="list-style-type: none"> <li>• Desk study of multi-annual strategic plans, programme appraisals, programme plans, annual reports and available (mid-term) evaluations, domestic policy documents, local monitoring data, archives, etc</li> <li>• Interviews with internal (i.e. MFA staff, project implementers) and external (i.e. government officials, water users, water utilities, marginalised groups) actors on sustainability, and how various (enabling and/or obstructing) factors and actors interact to influence these aspects</li> <li>• Observations on sustainability, and on how various (enabling and/or obstructing) factors and actors interact to influence sustainability</li> <li>• Group model building session with different actors</li> </ul>
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## 7 Products

This evaluation will deliver a final report in English and an executive summary in Dutch and English. The reports will be published on the IOB website and shared with Parliament. They can be shared prior to publication - under embargo - with third parties such as the media.

## 8 Planning

Table 6: Planning (for detailed planning see Annex)

Element (milestone)	Planning
Approval of the ToR	Jan 2025
Country Study Ethiopia	Feb-Mar 2025
Country Study Kenya	Apr-May 2025
Study Sahel	Jun 2025
Approval of the report	Oct 2025
Publication and transmission to Parliament	Nov 2025

## 9 Organisation

### 9.1 Team

The evaluation will be executed by the Policy and Operations Evaluation Department (IOB) of the Dutch Ministry of Foreign Affairs. IOB operates independent of the policy directorates and has an independent position within the Ministry of Foreign Affairs. The research team consists of the following people:

Table 7: Research team

Name	Role

Pim de Beer	Project leader, contact person
Cécile Reinkingh	IOB team member
Echica van Kelle <sup>43</sup>	IOB team member
Martine de Groot <sup>44</sup>	IOB team member
Local consultant Kenya	Translator/ advice
Local consultant Ethiopia	Translator/advice

## 9.2 Sounding board group

Table 8: Sounding board group

Name
Miyabi Babasaki
Marian Noppert
Trix van Mierlo

## 9.3 External reference group

The evaluation will be supported and quality assessed by an external reference group<sup>45</sup> (ERG) with the following members:

Table 9: External reference group

Name	Function/organisation	Role in ERG
Wendela Haringhuizen	Cluster manager (cluster BHO), MFA: IOB	Chair
Joke Baak	MFA: Inclusive Green Growth Department (IGG)	Representative policy directorate
Julia Boulenouar	Agua Consult	External expert
Klaas Schwartz	IHE Delft	External expert

<sup>43</sup> Until May 2025.

<sup>44</sup> From March 2025 onwards.

<sup>45</sup> The external reference group (ERG) is responsible for external quality control of this evaluation. Its task is to comment and advise on the content and methodology of the ToR, substudies and draft final report, in view of these texts' approval. In this way the ERG advises the research team, the director of IOB and IOB's quality manager. Advice is not binding. If a member of the ERG disagrees with the content or conclusions of a report, he or she can report this in writing. If necessary, a declaration can be included in the report.

## 10 Annexes

### Annex 1: Summary and expenditures of largest WASH activities

#### Partnership Accelerating Sanitation

The largest activity is the Partnership accelerating sanitation and water for all in West and Central Africa (WCARO). This is managed by UNICEF in Benin, Central African Republic, Ivory Coast, Ghana, Guinea, Liberia, Mali, Mauritania, and Sierra Leone. WCARO is implemented by national and local governments in collaboration with the private sector, knowledge institutions, and NGOs. The goal is to leverage partnerships to scale up WASH activities.

#### Water Supply and Sanitation Collaborative Council (WSSCC)

EUR 82 million has been spent in three phases on the Water Supply and Sanitation Collaborative Council (WSSCC). In phase three, the Dutch contribution equals 20% of the total WSSCC budget. WSSCC is a UN-mandated membership organization with a global network, hosted by UNOPS.

#### Global Sanitation Fund (GSF)

Through the Global Sanitation Fund (GSF) and the Sanitation Leadership Trust Fund (SLTF), contributions are made to international WASH agenda-setting and improving access to sanitation under the SDGs. GSF operates in rural areas in the following countries: Benin, Cambodia, Ethiopia, India, Kenya, Madagascar, Malawi, Nepal, Nigeria, Senegal, Tanzania, Togo, and Uganda. GSF is implemented through local partners. Local implementing organizations are selected via a tender process. (International) NGOs, national governments, and UN organizations serve as Executing Agencies. The majority of Sub Grantees are local NGOs, strengthened through the program. SLTF contributes to sector knowledge development.

#### WASH SDG Program

Thirdly, the WASH SDG Program by Simavi has spent a significant amount. This program, consisting of a consortium including WASH Alliance International (WAI), SNV, and Plan International Netherlands alongside Simavi and various partners (Amref, Akvo, RAIN (as a brand of Aidenvironment), WASTE (via Nedworc-STIP), IRC, Wetlands International, PRACTICA Foundation, and RUAF (Hivos)), focuses on increasing demand for WASH facilities through behaviour change, improved service delivery, and strengthening WASH policy and institutional frameworks. Focus countries include Ethiopia, Uganda, Zambia, Bangladesh, Indonesia, Nepal, and Tanzania.

#### Access to Sanitation, Water and Hygiene (ASWA)

Finally, the Towards Universal access to Sanitation, Water and Hygiene (ASWA) program focuses on the sustainable use of WASH services for poor and vulnerable people in Mozambique, Tanzania, Somalia, Burkina Faso, Cote d'Ivoire, Mali, Niger, and Nigeria. Specific attention is given to reducing child migration and cholera. Innovative modalities for financing WASH are being developed to create leverage.

Other important activities include WaterWorx, led by Vitens Evides International (VEI) in partnership with all Dutch drinking water companies; the PPP innovation program Making Water Count by Aqua for All, focusing on innovation and financing; and SWA (Sanitation and Water for All), a multistakeholder partnership involving governments, NGOs, private sector, UN agencies, knowledge institutions, development banks, and donors.<sup>46</sup>

Table 6: The 25 largest centrally funded programmes, expenditures in million euros (2012-2023)

Programme	Disbursements
WCARO - UNICEF	€ 122
WSSCC, Phase I, II and III - UNOPS	€ 82
NL WASH SDG Programme - Simavi	€ 63

<sup>46</sup> All Sahel countries, but special focus on Kenya and Mali.

Access to Sanitation, Water and Hygiene (ASWA) - UNICEF	€ 58
WaterWorx Phase II Strengthening Water Operators - Vitens International	€ 47
Water Global Partnership - World Bank	€ 45
Sustainable Water Fund II - RVO	€ 41
Aqua for All PPP Innovation - A4A	€ 50
FINISH-Mondial - WASTE	€ 24
Contribution to Sanitation & Hygienic Fund - UNOPS	€ 17
Access to Water Sanitation & Hygiene Niger - LuxDev	€ 15
PPP Football for Water	€ 14
European Investment Bank Water Sector TF	€ 12
UNICEF WASH programme	€ 12
Building WASH system to deliver the SDGs - IRC	€ 10
IRC Water Sanitation Centre	€ 9
Water Financing Facility (WFF)	€ 9
COVID-19 UNICEF support to reduction	€ 8
Aqua for All Building Bridges	€ 7
WASH FIRST COVID-19 response - Simavi	€ 6
WASH Alliance 2016 - Simavi	€ 6
Empowering Selfh. Sanitation - Plan NL	€ 5
SWA secretariat support - UNICEF	€ 4
WSP II - The World Bank	€ 4
UN-Water - UNOPS	€ 4

Table 7: The 25 largest delegated programmes, expenditures in million euros (2012-2023)

Programme	Country	Disbursements
Omidelta - Ministere de l'Economie et Finances	Benin	€ 39
AIAS	Mozambique	€ 33
Ghana Wash Window - RVO	Ghana	€ 25
Support to Fipag	Mozambique	€ 24
Water Sanitation, Health - BRAC	Bangladesh	€ 21
PPEA II WASH - Ministere de l'Economie et Finances	Benin	€ 20
Cape Coast Water Supply - Denys Engineers & Contractors Bv	Ghana	€ 20
Sustainable WASH Programme - UNICEF	South Soudan	€ 19
WASH MUS - UNICEF	Ethiopia	€ 12
Clean Water for Gaza - The World Bank	Pal. Auth.	€ 11
Urban sanitation - DHV Group	Indonesia	€ 10
KIFFWA Innovative Water Finance - WASTE	Kenya	€ 10
Fonds de Transition Eau - Ministere de l'Economie et Finances	Benin	€ 9
Sustainable Access Water Supply Yatta - UNICEF	Pal. Auth.	€ 9
One WASH National Programme	Ethiopia	€ 8
Improving Sanitation Access - UNICEF	Ghana	€ 8
UNICEF WASH program	Kenya	€ 8
Bethlehem Water Project - Min. Des Affaires Etrangeres France	Pal. Auth.	€ 8
Urban Sanitation Development Project II - Haskoning	Indonesia	€ 7
Integration: WASH & BRAC - BRAC	Bangladesh	€ 7
GNWP Master Planning - Witteveen Bos	Ghana	€ 6
MSA Water Operators Partnership - Vitens International	Kenya	€ 6
Catalysing WASH: P2P - SNV	Ghana	€ 6
Quartet Core Funding 2019-2021	Pal. Auth.	€ 6
Transboundary wastewater pollution - UNDP/PNUD	Pal. Auth.	€ 6

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