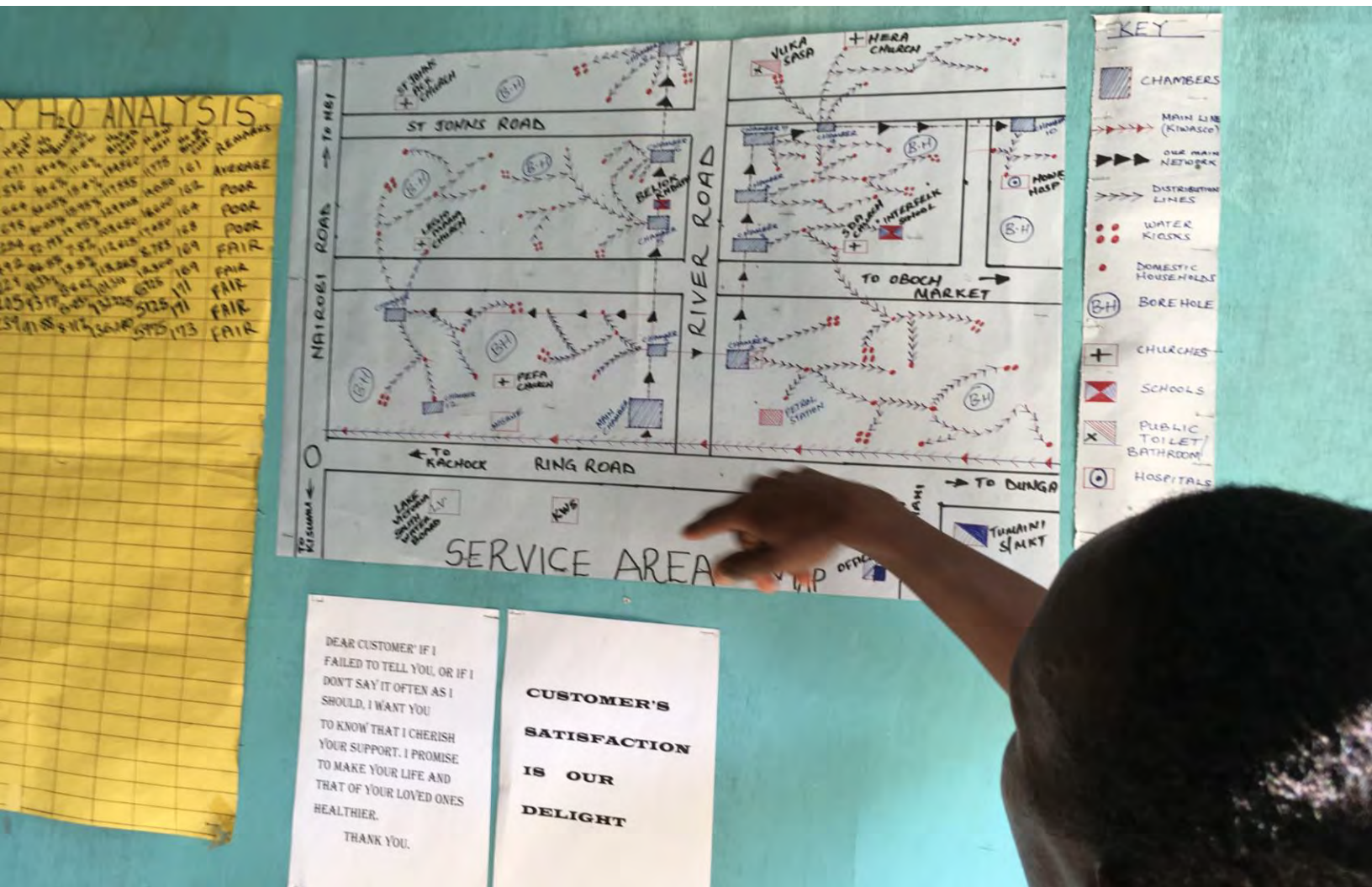




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MID-TERM EVALUATION OF THE KENYA INTEGRATED WATER, SANITATION AND HYGIENE (KIWASH) PROJECT

Summary of Findings and Recommendations



MARCH 2019

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SUMMARY OF FINDINGS AND RECOMMENDATIONS

MARCH 2019¹

DISCLAIMER

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

¹ This document is a summary of the full mid-term performance evaluation report prepared for the United States Agency for International Development by the Water, Sanitation, and Hygiene Partnerships and Learning for Sustainability (WASHPaLS) project under Task Order number AID-OAA-TO-16-00016 of the Water and Development Indefinite Delivery Quantity Contract (WADI), contract number AID-OAA-I-14-00068.

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ACRONYMS & ABBREVIATIONS

CHV	Community Health Volunteer
CLTS	Community-Led Total Sanitation
DP	Development Partner
EQ	Evaluation Question
FGD	Focus Group Discussion
FSM	Fecal Sludge Management
FY	Fiscal Year
GOK	Government of Kenya
IP	Implementing Partner
KII	Key Informant Interview
KIWASH	Kenya Integrated Water, Sanitation and Hygiene Project
M&E	Monitoring and Evaluation
MBS	Market-Based Sanitation
NRW	Non-Revenue Water
OD	Open Defecation
ODF	Open Defecation Free
USAID	United States Agency for International Development
USAID/KEA	USAID Kenya and East Africa
WASH	Water, Sanitation and Hygiene
WASHPaLS	Water, Sanitation and Hygiene Partnerships and Learning for Sustainability Project
WASREB	Water Services Regulatory Board
WRUA	Water Resources Users Associations
WSP	Water Service Provider

I.0 PROJECT BACKGROUND

I.1 OVERVIEW

The Kenya Integrated Water, Sanitation and Hygiene program (KIWASH) is a \$51 million 5-year project (October 2015 to September 2020) funded by USAID/Kenya and East Africa (USAID/KEA) and implemented by a consortium led by DAI. The goal of KIWASH is to improve lives and health through development and management of sustainable water, sanitation and hygiene (WASH) services in Kenya. Its purpose is to institutionalize catalytic models of sustainable service delivery for accelerated water and sanitation access in target counties and to improve complementary hygiene behaviors. The integrated nature of KIWASH's outputs are reflected in the diverse range of activities the project is implementing, from technical assistance to water utilities and WASH enterprises, to Community-Led Total Sanitation (CLTS) and sanitation marketing, to nutrition counseling. KIWASH activities are implemented in nine counties in two principal focus areas: Busia, Nyamira, Migori, Siaya, Kisumu and Kakamega counties in the Lake Victoria Focus Area, and Kitui, Makueni and Nairobi counties in the Tana/Athi Focus Area.

I.2 EVALUATION PURPOSE AND EVALUATION QUESTIONS

USAID/KEA commissioned the USAID Water, Sanitation, and Hygiene Partnerships and Learning for Sustainability (WASHPaLS) project to evaluate KIWASH performance over the first three years of implementation. The primary purposes of the evaluation were to: 1) assess the appropriateness of the KIWASH design, 2) assess progress of implementation to date, and 3) inform future USAID/KEA WASH and nutrition programming. The evaluation sought to answer the following evaluation questions (EQs), which were proposed by USAID/KEA in the Statement of Work:

1. How appropriate is the KIWASH activity design of market-based approaches in expanding sustainable access to water and sanitation services in the targeted counties?
2. How appropriate is the KIWASH activity implementation strategy to the success of the market-based approaches in expanding access to water and sanitation services?
3. To what extent have the different KIWASH private sector approaches for water service delivery and sanitation access expansion been successful? Which of the KIWASH implementation approaches for expanding sustainable water services delivery and sanitation access appear to be the most promising and should be prioritized in the remaining two years of the project?
4. To what extent has KIWASH been successful in building county-level capacity to improve sustainable service delivery?
5. In the first three years of KIWASH, to what degree were nutrition activities synergistic with WASH activities?²

I.3 EVALUATION DESIGN AND METHODS

The evaluation team was comprised of a Team Leader (with a WASH specialization), a WASH Specialist, a WASH Governance Specialist, a Gender Specialist, and WASH and Nutrition Specialist. The evaluation was conducted over a three-month period from October – December 2018; the team employed four

² Funding for activities related to nutrition and increased production and consumption of nutrient-dense foods was discontinued at the end of FY2017, or Year 2 of the project.

data collection methods: 1) a document review of contractual deliverables and other documents produced by KIWASH, 2) Key Informant Interviews (KIIs), 3) Focus Group Discussions (FGDs), and 4) site observations. The following counties were selected for team visits (see Figure 1 below): Kakamega, Kisumu, and Nyamira in the Lake Victoria Focus Area, and Kitui and Nairobi in the Tana/Athi Focus Area.

The evaluation team conducted 95 KIIs, 75 percent of which were with stakeholders in the five counties visited during the evaluation, and 25 percent were with women stakeholders. Interviewees included staff from KIWASH; USAID/KEA; national and county-level Development Partners (DPs) working in the WASH sector; and county- and community-level project participants who received technical assistance or funding from KIWASH. Ten FGDs were conducted at the community level with private/community-managed WASH enterprises, Community Health Volunteers (CHVs), and Water Resource User Association (WRUA) members. KIIs and FGDs followed structured guides prepared in advance, transcripts from these were coded and analyzed using the online application Dedoose. FGDs were usually followed by site visits.

This review was not intended to substitute for a Data Quality Assessment to inspect the accuracy of the KIWASH monitoring and evaluation (M&E) system. The evaluation team looked for evidence that KIWASH interventions are of sound design and implementation and contributing to the project’s wider objectives.

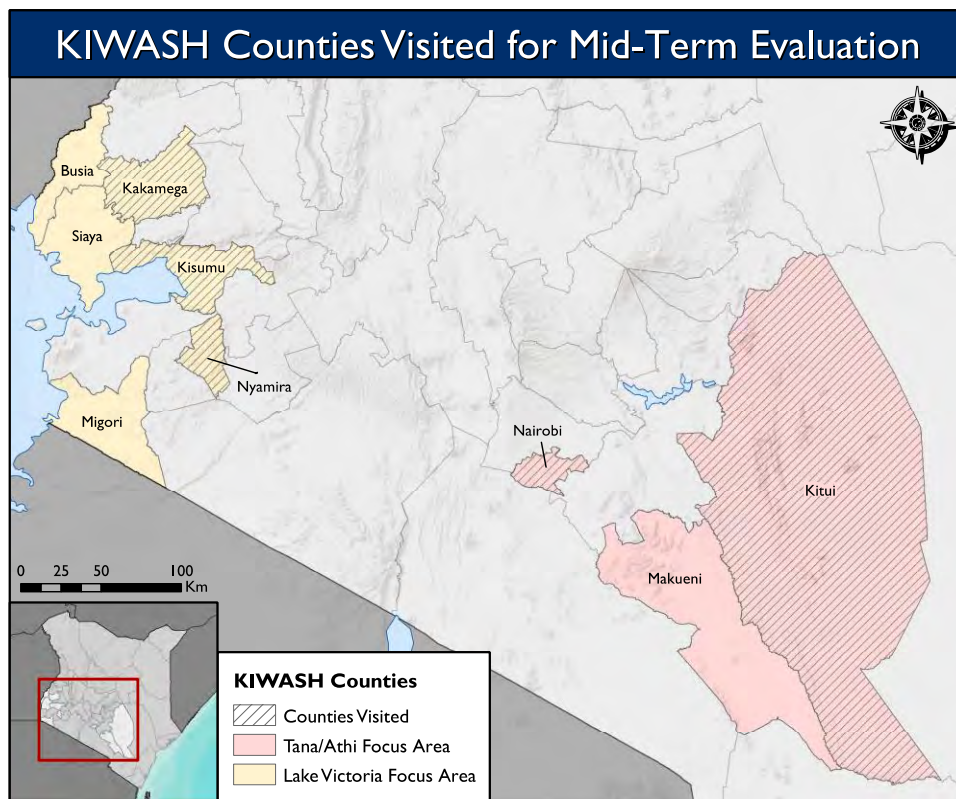


Figure 1: KIWASH Counties Visited

2.0 FINDINGS AND CONCLUSIONS³

2.1 OVERVIEW

KIWASH is an ambitious project with a wide-ranging set of interventions. While KIWASH is making strides in most areas, an overarching conclusion of the evaluation team is that it is challenging to deliver tangible impacts in a very emerging context with many component parts across a dispersed and politically varied geography. In terms of market-based approaches (a key focus of the program), delivery of water and sanitation services both have their challenges in terms of the heavy infrastructure costs to ensure delivery of the whole value chain (from abstraction to household for water and from toilet provision to disposal or reuse for sanitation), establishing cost recovery models, and meeting the needs of a varied customer base. In Kenya's currently evolving institutional and political context, significant efforts are needed to get market mechanisms and their governance working properly before shifting to a more comprehensive focus on investments for expanding coverage numbers. Given the emphasis in the KIWASH design on such expansion, KIWASH needs to make difficult decisions in terms of resource allocation to build capacity at the county and water service provider (WSP) levels while meeting the contractual requirements in terms of numbers of people reached with services.

Briefly, in response to the five evaluation questions above:

- Interviews with stakeholders at all levels combined with a review of relevant documents confirm the appropriateness and timeliness of KIWASH's overarching focus on market-based approaches.
- With regard to water services, KIWASH has made significant strides particularly in building capacity at both 1) the county level to better understand and more effectively assume roles and responsibilities, and 2) the delivery agent level to enhance their effectiveness and operational viability. Working directly with utilities and WASH enterprises has enhanced their viability, while also helping the project meet coverage targets as detailed in the contract. For sanitation services, although slow to get underway, CLTS is being delivered "by the book" (i.e., as per Government of Kenya [GOK] protocols), although questions arise as to why KIWASH has focused sanitation efforts exclusively on CLTS in several counties that were well on their way to being open defecation free (ODF) before the start of the project. An intentional linking of CLTS with sanitation marketing in these areas should probably have been instituted from the start rather than sequentially.
- In terms of private sector approaches that include a recoverable grants program, efforts to enhance the professionalism of service providers and to engage and educate commercial financing institutions on how the WASH sector operates, all show real promise. Efforts to support market-based sanitation, a very nascent sub-sector, require further work to develop and iterate on product and service delivery packages for priority consumer segments.
- While county-level capacity building is starting to yield results, these are medium to long-term processes that may not directly contribute to KIWASH meeting contractual targets. As a result, there is a tension in the design around expectations for capacity building and coverage targets that appears to be putting pressure on KIWASH resource allocation.
- Finally, KIWASH efforts to integrate WASH and nutrition activities were starting to show progress when the funding was abruptly discontinued at the end of Year 2. The evidence of synergy in this area presents a mixed picture: while important collaboration emerged across institutions, the

³ This summary is organized by theme (water, sanitation, etc.) rather than by EQ.

evaluation team sees the absence of co-location (not mandated by USAID but considered best practice) as a missed opportunity.

By design, KIWASH operates very much at the county level: KIWASH has no national-level project indicators, and most of the project's interactions at Ministry and DP levels are guided directly by USAID. Expectations of KIWASH at the outset were difficult to manage. Being unfamiliar with USAID contracting mechanisms, county governments basically divided the amount of funding as advertised by the nine named participating counties⁴ and assumed that roughly US\$5.6m would be coming to each, an assumption that created tension when funding was not channeled in this way. It appears that these initial tensions, however, have dissipated aided in large part by the arrival of a new cohort of county government officials following the 2017 elections. That said, DPs also saw a substantial budget but then noted the rather small targets for some activities, such as 200 villages total or 25 villages per county reaching ODF status (a target surpassed by KIWASH). The target counties also are not the poorest or worst-performing in terms of WASH service delivery, and so there was a sense that KIWASH was designed to “target low hanging fruit,” but lacking the key subsequent tasks to document the lessons learned to expand the approach to a second generation of counties.

In terms of implementation, embedding four full-time staff in county government offices working alongside county officials on a day-to-day basis engenders comradery, provides the project valuable programmatic and technical insights, and allows stakeholders to access KIWASH expertise easily.⁵ KIWASH staff have come to be relied on as trusted and go-to members of the county team. They embody the customer care mantra that is a significant part of the KIWASH training modules, with a “proactive and participatory approach.” Indeed, work at the county level was described as “well structured” and anchored effectively in county government. As with all programs that embed staff in this way, it is important that KIWASH develop an exit strategy to ensure that activities and approach continue after the close of the project. In essence, KIWASH came at an opportune time and is well placed to influence a path forward at the county level.

One DP aptly notes, however, that “five years is a short time to do anything leading to fundamental transformation of complex systemic, structural, and behavioral issues and practices associated with WASH.” As such, some suggested that KIWASH could be more engaged, using partnerships to coordinate both messaging and approach. Efforts could have been made at the design stage to highlight this need for partnership and engagement, and USAID could be more proactive in promoting KIWASH activities and learning at the national level.

2.2 KIWASH AND THE KENYAN WATER SERVICES CONTEXT

The Kenyan policy environment explicitly endorses and fosters market-based approaches for both water and sanitation services. At their core, market-based approaches refer to efforts “to expand greater direct involvement of the private sector in WASH and strengthen the commercial orientation in the sector overall” (from Section C of the KIWASH contract). The KIWASH strategy focuses largely on strengthening the governance, management, and technical capacity of service providers at the utility and the enterprise levels to embrace such approaches. A key element of the approach has been around

⁴ “USAID/Kenya selected these priority counties based on an analysis of multiple factors that will enable the Mission to address the high priority needs within the WASH sector, while at the same time optimizing the opportunities for synergy with other USAID-funded development activities in related sectors.” (Section C of the KIWASH contract, p.19),

⁵ Work in Nairobi and Kisumu counties is led by KIWASH staff based in standalone project offices that are also responsible for regional oversight and personnel management.

changing mindsets to emphasize that service providers, large and small, need to operate more as a business with public service attributes, rather than as a public service with no attention paid to viability. KIWASH has also been working with service providers in a more direct way to expand coverage, which in the first three years has resulted in over 430,000 people gaining new access to water services (the five-year target is 786,000).

Support to Water Service Providers (WSPs)/Utilities. Since its inception, KIWASH has provided a wide range of support to WSPs across the counties in the portfolio. An understanding that all WSPs are not at the same point in their development helped to frame and tailor KIWASH's support to the WSPs, and as a result, the feedback received by the evaluation team in interviews was overwhelmingly positive.

KIWASH has supported WSPs in the development of five-year strategic plans and short-term activities with Key Performance Indicators with related targets and appraisal processes needed to achieve these aims. In some cases, these have been followed by investment plans and financing proposals to help the WSPs mobilize funds, including from county government. KIWASH has also supported WSPs in developing policies to improve management and operations, including on gender mainstreaming, metering, human resource management, procurement, financial management, among others.

A significant part of the training and capacity building support offered by KIWASH has been in response to the shifting roles and responsibilities stipulated by the Water Act of 2016 that puts county government in charge of ensuring water service delivery. KIWASH has effectively delivered training for county staff and new WSP Board Members on company structures, the role of directors/trustees to fulfill strategic oversight functions, how utilities operate, the code of ethics for directors, and other related topics. Although articulated in different ways, these activities are seen by many stakeholders as fundamental to changing mindsets and moving towards a more viable commercial or business-minded approach to service provision.

KIWASH has also provided technical support and direct investment for infrastructure as well as grants for refits. These activities have included, among others, construction of water intakes and installation of water pumping systems, construction of main water transmission pipelines, and construction of water distribution pipelines. Largely aimed at also delivering savings to WSPs by reducing non-revenue water (NRW) and energy costs, KIWASH has supported the installation of bulk and zonal water meters and solar power units for water pumping.

Ultimately, much of the support from KIWASH helps WSPs to manage their relationships with multiple stakeholder groups. As a result, WSPs can negotiate and coordinate more confidently with county governments and DPs and communicate more effectively with customers and suppliers alike. WSP staff also have a clearer sense of what impacts the business and how best to ensure its viability (and thus safeguard their jobs). With time, these improvements will be reflected in the Water Services Regulatory Board (WASREB) rankings and positively affect the creditworthiness of the utilities.

Support to WASH Enterprises. To fill a gap in the market, WASH enterprises have emerged in primarily two forms: community-managed and privately operated.⁶ In terms of accountability, interviewees noted that it was unclear to whom these enterprises report, or which specific department within the new county structure was tasked with overseeing or regulating them. Similarly, the relationship between enterprises and the utilities, which appear to have an overarching responsibility to provide services in their areas of jurisdiction, remains a work in progress.

⁶ A further permutation in dense urban settlements is through a Delegated Management Area (DMA), which sees a neighborhood management committee provided with a metered bulk water supply from a municipal utility.

In most cases, when KIWASH began, counties did not have a ready-made inventory of water enterprises, with the exception of kiosks that were connected to the utility. With a contractual target of supporting at least 200 enterprises (20+ enterprises per county), KIWASH needed a set of criteria to determine where the project could have the greatest impact. Unsurprisingly, an early landscape assessment of enterprises found the type (non-governmental organization [NGO], community-managed, private entrepreneur), size, and capacity of the enterprises varied significantly, with the vast majority operating in the water rather than sanitation space. Most were fairly challenged in terms of their ability to manage a sustainable business that covers operations and maintenance costs (at a minimum). KIWASH selected 231 to be included in the project; of these, 25 to date have benefitted from KIWASH infrastructure investments. KIWASH staff have dedicated significant amounts of time and energy to supporting these enterprises, and as a result engendered enormous good will while also witnessing solid progress for these growing businesses.

Ultimately, the enterprise schemes play an increasingly important role in providing services to communities that are off the utility grid or connected through a bulk connection. The emphasis given by KIWASH to support enterprise schemes directly is sound. KIWASH efforts to build the capacity of water enterprises have been noted by the evaluation team as outstanding, having a real impact and delivering as intended in the original design. More analysis, however, is needed to understand how many of the enterprises are now “investible” or bankable.

KIWASH also has a role to play in helping to define the medium-term vision for these enterprises, particularly for those operating small piped schemes adjacent to the service areas of the utilities. If these enterprises are truly meant to be a bona fide part of the solution, then small lending programs, connected to a support program like KIWASH provides, would go a long way in ensuring their viability. Future programs should help deliver this clarity and vision at the county level and then develop appropriate support mechanisms.

Recoverable Grants. In terms of expanding the customer base of emerging enterprises and reducing their costs (i.e., forging a commercial orientation), KIWASH efforts aimed at enhancing storage capacity and reducing the material costs of providing services through an emphasis on NRW and solar-powered pumps are appropriate. Accompanying a traditional grant scheme for such investments, and to build experience with (and a résumé of) borrowing, KIWASH developed a successful \$2.2 million recoverable grants program consisting of short-term interest-free loans. Recoverable grants are repayable once investments start to yield income. Projects eligible for recoverable grants must be income generating, such as metering, or income saving, like solar panels, and must help expand a paying customer base (i.e., helping to reach the KIWASH targets) with costs below \$50 per capita. Approximately two-thirds of the available funding has been allocated to date, with a few grantees starting to repay their loans. KIWASH is confident that, barring any unforeseen obstacles, the enterprises will be able to repay these loans in full by the end of the project. A challenge faced by KIWASH in establishing and administering this mechanism for WSPs is how recoverable loans fit under procurement rules for public entities.

Leveraging Finance. At the moment, the landscape of WASH sector financing in Kenya is crowded with various government agencies and development partners “tripping over each other” to provide a solution. Several actors are working in this space, but it is not apparent, as noted by one NGO interviewee, “who has the big picture connecting the dots.” Some are focused on DP mechanisms and international resource mobilization, while others are focusing on commercial banks and national-level lending (some with national government while others focus at the county and utility level). Moreover, the different permutations of blended finance with bonds, loans (subsidized and commercial), and grants for short- and long-term finance promoted concurrently (often to the same utility) further complicate the picture. While competition is indeed beneficial, the underlying rules of the game at the macro level have yet to be fully negotiated, thereby leaving more confusion than clarity. While the Water Act of 2016 is clear in the overarching stakeholder roles and responsibilities, with regard to WSP borrowing, a

number of fundamental questions were not easily answered related to who is the borrower, who authorizes the loan, who holds the liability in case of default or delay in payments, and what are the current debt-service ratios of the target utilities. That said, commercial banks are looking for new opportunities that will provide stable returns. Towards this end, KIWASH has provided support to develop tailored investment strategies that stem from upgraded business and strategic plans. While still too early to see direct impacts, the shift in mindset within the banks as a result of these interventions appears clear across a wide range of stakeholder interviews. The proof will be in the actual success rates of supported proposals to leverage finance.

Therefore, while still identifying individual opportunities for lending that “push the needle forward,” the emphasis on commercial finance appears to be coming somewhat before its time. More work is needed across the sector to connect the different approaches into a coherent strategy that incorporates commercial financing as one of a set of options tailored for different service provider capacities and contexts. As is being attempted by the Water Sector Trust Fund (WSTF) and the Kenya Pooled Water Fund, there is a move to create a clear first generation of creditworthy service providers (including KIWASH target utilities) that are successfully borrowing and repaying loans. Lessons need to be extracted methodically from these early adopters to see how best to extend their readiness for, and uptake of, commercial finance, and then to reach a second generation of service providers.

2.3 THE SANITATION SERVICE DELIVERY CONTEXT

Sanitation is a constitutional right in Kenya. Per the County Government Act of 2012, the responsibility for achieving universal sanitation services rests with county governments, under the institutional jurisdiction of the Ministry of Health, as represented by the Public Health Office with staff at county and sub-county levels. Devolving responsibility for sanitation services to the counties, however, has not yet resulted in increased

public resource allocations to address the issue. According to one national level respondent, a recent Public Expenditure Review for WASH and Health in ten counties revealed that only five had any sanitation related specific expenditure in the county budgets. As such, multiple national-level respondents described sanitation as the domain of partners, without which the counties would not have resources to fund activities.

Table 1: Rates of OD and Unimproved Sanitation in KIWASH Counties

COUNTY	Source: <i>County Sanitation Profiles, MoH/Water and Sanitation Program, 2014</i>		Source: KIWASH Baseline, August 2016	
	OD RATE (%)	UNIMPROVED RATE (%)	OD RATE (%)	UNIMPROVED RATE (%)
MIGORI	33.1	15.5	12.5	30
KITUI	30.9	15.1	7.9	19.1
SIAYA	20.2	31.9	13.2	44.2
KISUMU	12.4	31.3	8.6	19
BUSIA	8.0	31.4	2.1	29.3
MAKUENI	2.0	41.6	0.0 ⁷	18.3
KAKAMEGA	1.5	15	1.4	49.5
NAIROBI	0.7	12.4	0.5	7.6
NYAMIRA	0.5	32.6	1.2	57.6

⁷ The KIWASH Baseline report detected no open defecation in Makeni, but public records do not substantiate this finding.

Creating Demand through CLTS. In rural settings, the Government of Kenya (GOK) has adopted Community-Led Total Sanitation (CLTS) as its foremost programmatic response to eliminating open defecation. The ambitious ODF Rural Kenya 2013 Campaign Roadmap suggests county governments, working primarily through the public health extension services, are duty bearers to lead their counties to ODF status by 2020, albeit without dedicated budgets to do so.⁸ According to the Roadmap, CLTS is to be rolled-out through the sub-county public health departments, working through cadres of CHVs. A national CLTS database funded by UNICEF and housed at the Ministry of Health tracks CLTS data reported through county governments. At the time of this evaluation, three counties in Kenya have been declared ODF (Busia prior to KIWASH, and Siaya and Kitui both partly because of KIWASH), while many others, particularly those with donor support, are working towards this goal (see Table I for OD rates in KIWASH counties). County-to-county peer pressure has also played a role in increasing the prioritization of sanitation by county leaders. As one county official notes, “immediately when Siaya became ODF, we decided we needed to have a comprehensive plan for ODF.”

As to KIWASH’s role, as noted, the original target number of 200 ODF villages was quite modest. In terms of geography, notwithstanding intra-county variations that may be masked by countywide statistics, it is notable that four of the eight KIWASH counties (as well as Nairobi, which does not have a CLTS focus for KIWASH) had some of the lowest OD rates in Kenya at the outset of the project. Other targets, like 237,000 people (or approximately 47,000 households) gaining access to basic sanitation services and an average annual increase of 1.2 percentage points of households having basic sanitation across all KIWASH counties, are more ambitious (the latter perhaps being unrealistic). KIWASH’s programmatic focus in sanitation has been almost exclusively on rural provision, justified by the absence of contractual targets for safely managed sanitation services.

The evaluation team found that KIWASH’s sanitation programming was late in starting. It was not until August 2016 when a dedicated Sanitation and Hygiene Leader with specific expertise in rural sanitation joined the project. Momentum for the sanitation work notably accelerated in October 2017 when USAID withdrew Feed the Future funding from the project, precipitating a re-organization and staff changeover with Nutrition Specialists embedded in county government offices being replaced by staff focusing exclusively on sanitation and hygiene. While CLTS was late to begin, it has picked up pace over the past two fiscal years, with the project reportedly having triggered 931 villages in seven counties (excluding Nairobi and Busia) by the end of Year 3 (with roughly 70 percent [643 villages] having achieved ODF status). Efforts to date have resulted in just over 57,000 people gaining access to basic sanitation services or 24 percent of the life of project target.

Nairobi County is an outlier compared to the other counties, as its urban landscape does not fit well with KIWASH’s rural facing strategy of CLTS and Sanitation Marketing. Initial thinking to adopt “urban” CLTS in Nairobi stalled in the absence of guidelines for such an approach in Kenya (or globally for that matter). The decision was ultimately made in fiscal year (FY) 2017 that KIWASH would not engage in any community-level sanitation work in Nairobi, but focus on supporting policy coordination meetings with the county.

KIWASH is effectively implementing CLTS “by the book” (i.e., as per GOK protocols), working through CHVs and following government procedures for triggering and follow-up. The evaluation team, however, saw no evidence that KIWASH specifically targeted villages in sub-counties that were known to have higher OD rates than the countywide averages. In addition, county governments have generally not yet followed through with commitments of public financing to maintain momentum beyond the life

⁸ The definition of ODF in Kenya is that all persons practice fixed-point defecation, irrespective of latrine quality or its characteristics.

of the project, thereby risking the sustainability of these efforts with regard to post-triggering and sustained latrine use and coverage.

Developing Supply Chains. Per the 2016 Environmental Sanitation and Health Policy and ODF Roadmap, community-focused behavior change efforts (including CLTS) are to be paired with sanitation marketing activities to promote the adoption of durable toilets that meet the SDG standards for basic sanitation. Despite the government's stated commitment, the evaluation team found that donor investment in market-based sanitation appears to be extremely limited and public-sector investment in non-sewerage services relatively nonexistent. There is much work to be done to develop a viable sanitation market in Kenya. Including an explicit focus on sanitation marketing (with mention of both product development and support to ensure entrepreneur viability) within KIWASH's design was, therefore, a justified area of intervention in rural areas.

KIWASH began sanitation marketing efforts in earnest in early FY18, two years after the start of the project, with an eight-county market supply study of sanitation product suppliers in sub-counties where CLTS efforts were ongoing. While the evidence on how to phase CLTS and sanitation marketing is thin, research suggests that sanitation marketing should be incorporated into CLTS as an integral part of the process as opposed to being thought of as a post-ODF activity. Indeed, recent evidence suggests that programs introducing supply-side interventions years after triggering largely fail to move communities up the sanitation ladder.⁹

KIWASH is supporting two types of latrine technologies: the SATO pan, a durable plastic interface sold as a pan or stool solution, and the SAFI latrine, an emptiable offset latrine model. In the last months of FY18 and early FY19, KIWASH began to train masons on the SAFI latrine and establish local supply chains for the SATO products sold through local CHVs. Using the formative research findings, a more comprehensive sanitation marketing strategy is now needed to: 1) identify household profiles to target with the SATO or SAFI products, 2) understand household liquidity or affordability constraints that may inhibit product uptake, and 3) identify barriers to entrepreneur viability. To date, however, the sales price of the products was undefined as were mechanisms for service delivery and customer acquisition. To this point, one County Public Health Officer (CPHO) expressed concern that the SAFI latrine, for which the substructure and squat platform cost approximately 17,000 KES, is not affordable for most households (note that the cost of the superstructure is also borne by the household and depends on the materials used.) KIWASH does not appear to be working on a financing solution for households interested in investing in a durable sanitation solution.

By including Nairobi County as one of the nine focus counties, USAID could have been more explicit about expectations for the implementing partner (IP) to work on higher levels of sanitation services beyond containment, recognizing that Social Behavior Change Communication (SBCC), even coupled with sanitation marketing, would not meet the needs of the dense urban settings found in Nairobi County. Had the contract been more explicit about working in urban areas, the IP may have been in a better position to be more creative about how to address longer-term sanitation needs beyond containment. That said, the complexity of providing urban sanitation services should not be underestimated and would have further complicated the project's ambitious design. Indeed, Nairobi is probably where significant experimentation could have taken place on market-based approaches in linking KIWASH with other groups and stakeholders (Water and Sanitation for the Urban Poor [WSUP], Practical Action, etc.) who are active in this space. Engaging with this complexity, however, would have required significant amounts of both time and money.

⁹ USAID, 2018. An Examination of CLTS's Contributions toward Universal Sanitation. Washington, DC., USAID Water, Sanitation, and Hygiene Partnerships and Sustainability (WASHPaLS) Project.

Ultimately, the evaluation team questions the value added to the project of including a small remit to work on fecal sludge management (FSM) solutions. While FSM is certainly an area of concern in a rapidly urbanizing context, the appropriateness of adding this niche and specialized area of concentration into a mechanism with such a wide scope is questionable. While including FSM is certainly not contrary to the project's goals, global experience suggests that doing it well, beyond offering business development services to operators already working in the field, would require skillsets beyond what would have been staffed for an integrated and ultimately more rural-facing project such as KIWASH. Discussions did not reveal any particular momentum on FSM solutions as a result of KIWASH activities.

WASHPaLS research suggests that establishing sanitation markets is a long and interactive process.¹⁰ Globally, the most successful MBS programs to date have had market strengthening as their primary focus rather than as a component (or sub-component) of a large integrated project like KIWASH. Expecting the IP to successfully design, test, and scale up a sanitation marketing intervention within the Kenyan context and in the timeframes allocated was perhaps an unreasonable expectation.

In summary, in the four counties with low OD rates KIWASH could have dove into market-based sanitation from day one. Although admittedly there are not that many sanitation enterprises with which to work, KIWASH could still be more intentional around this component. KIWASH is wading into largely unfamiliar territory given the nascent state of rural sanitation markets, so expectations should be set accordingly. The project (and USAID) should anticipate some false starts and generally modest SATO and SAFI sales over the next 12 months and likely through the end of the project.

2.4 BUILDING COUNTY-LEVEL CAPACITY TO IMPROVE SUSTAINABLE SERVICE DELIVERY

At the outset of the project, there was little knowledge at the county level of how the WASH sector works. County officials were, as noted by one KIWASH staff member, “really starting from scratch with the governors’ offices [having minimal] understanding of water service provision, regulations and rules in the country.” Few counties had been able to “identify their needs, cost a road map, and invest the time and energy in coordination mechanisms”—all necessary elements for any program at the county level to succeed. Thus, county governments are now developing their own water and sanitation policies, legislation, and plans to locally govern, manage, and provide services as assigned by the Constitution. A change in planning culture and perspectives as well as an openness to more participatory and accountable decision-making has been required to meet the growing expectations of the electorate. Ministers at the county level are keen to show progress.

Over the last three years, KIWASH has implemented various capacity building interventions targeting county level policymakers and practitioners. KIWASH supported WASH taskforces to contribute to the water investment plans of the County Integrated Development Plans (CIDP) 2017-2022 and emerging related monitoring protocols. To support policy development processes, KIWASH contributed to the establishment of county WASH coordination committees drawn from relevant ministries. KIWASH also provided short-term experts to support policy and legislative processes (e.g., County Environmental Sanitation and Health policies).

Specific to oversight of the WSPs, stakeholders interviewed highlighted an initial need to “get past the perception that the water companies were an easy source of revenue for the government.” Also important was to find ways to curtail micro-management and county government interference. KIWASH work on county contributions to WSP governance has been critical in redressing some of these aspects.

¹⁰ Ibid.

KIWASH was also expected to improve the effectiveness of local governments to engage and manage the private sector—e.g., through improved regulation, contractual engagement, enforcement mechanisms, etc.—to complement the project’s market-driven service delivery approach. Effective as it has been, the work with the enterprises, however, has not appeared to be sufficiently aligned with KIWASH county government capacity building as yet. Interviews with county officials did not suggest sufficient familiarity with how best to support, oversee, regulate, and incorporate WASH enterprises into their planning. Undoubtedly this is a work in progress.

Despite an appreciated set of activities and the recognition of KIWASH as a respected and trusted advisor at the county level, interviewees and the document review did not reveal a comprehensive and deliberative countywide capacity building strategy for the WASH sector. Nor was it clear to the evaluation team why some strategies and activities were applied by KIWASH in some counties but not in others, what a sequence of activities might look like, or what criteria would be used to determine when certain activities would be carried out or not.

For KIWASH, an aspect noted in the evaluation revolves around the conundrum that while county-level capacity building is critical to ensuring sustainable WASH service delivery, these activities would extend beyond the duration and practical reach of the project. As noted directly and indirectly by numerous interviewees, “governance is the overriding issue in everything.” However, efforts to address these gaps are “long-term processes” and struggle against forces that are “not under any program’s control.” Most importantly for the framing of KIWASH, such activities do not directly contribute to achieving the targets required of the project. Short-term trade-offs in terms of energy, funding, and staffing allocations need to be balanced against the expectations of wider, lasting impact and the opportunity that the transition provides.

Policy and lawmaking are process- and resource-intensive, requiring political goodwill, interest, and involvement of all stakeholders (as the KIWASH-supported WASH forums have done). Working with other DPs and rallying political commitment to policy development and legislative processes are imperative. Clear policy statements at the county level are a work in progress and support on these could be a significant legacy for KIWASH. KIWASH’s role needs to be in connecting the different contextual elements (strategic planning across the county, oversight and regulation, and budget allocations and finance) to ensure success in sustaining and expanding services.

2.5 WASH AND NUTRITION SYNERGIES

In its 2015 Water Development Strategy WASH and Nutrition Implementation Brief, USAID outlined co-programming of WASH and nutrition as an area of increasing attention across the Agency. The original KIWASH design included efforts aimed at improving access to integrated programming by working with USAID Feed the Future health and nutrition programs to increase production and consumption of nutrient-dense and diverse foods. However, USAID’s decision to discontinue Feed the Future funding at the end of the second year of implementation came at a time when community-level interventions were just getting underway.

After a slow start in some counties, KIWASH’s work in this area was recognized as the first time an attempt was made to bring together three sectors (WASH, Agriculture, and Nutrition) within county government to implement an integrated approach. The initiative was well received, and its momentum was building before funding was discontinued. The enabling environment provided by both the county ministries and DPs was supportive with potential for KIWASH to have been successful and, given the lack of other DP supported activities in this space, exemplary.

As per Figure 2, an assessment suggests the approach was consistently reaching high levels of collaboration and some cross-training in all counties visited by the evaluation team. Co-location was less in evidence, however. Because the program ended early and abruptly, KIWASH and USAID missed an

opportunity to learn and document evidence on WASH and nutrition integration, as well as better understand specific methods for successful integration as was initially intended. Such documentation

Strength of WASH Nutrition Integration						
Lower						Higher
Coincidence	Co-Location	Coordination	Cross-Training	Collaboration	Complete Integration	
WASH and nutrition activities planned independently. Overlap happens unintentionally in communities reached by both CHVs and agriculture extension agents.	WASH and nutrition programs intentionally target the same beneficiaries, but with no or minimal coordination during implementation.	Joint planning (through coordination platforms) of WASH and nutrition activities and harmonization of interventions through different delivery agents.	Staff focusing on WASH or nutrition receive basic additional training in the other thematic area to ensure alignment.	Joint assessment, implementation and monitoring of expert delivery agents from different fields.	Joint service delivery by the same institutions. Examples include: <ul style="list-style-type: none"> • Integration of WASH in NACS guidelines/ job aids • Promotion of EWAs & ENAs through ORT corners • Hygiene kits distributed through MCH service delivery points • EWA & ENA implemented by CHVs and/or agriculture extension workers 	
Kakamega	✓	✓	✓	✓	✓✓	—
Kisumu	✓	✓	✓	✓	✓✓	—
Kitui	✓	✓	✓	✓	✓✓	—
Nairobi	✓	✓	✓✓	✓	✓✓	—
Nyamira	✓	✓	✓✓	✓	✓✓	—

Figure 2: Integration between WASH and Nutrition

would have been invaluable to inform future programming in Kenya and globally.

2.6 GENDER MAINSTREAMING

The KIWASH project has a gender mainstreaming focus in all stages of the project. The entire KIWASH consortium has been trained in gender mainstreaming with a clear plan on who would be the gender focal person responsible for reporting on gender indicators. At the utility (WSP) level, senior management has been trained in gender mainstreaming. Interviews and findings from this qualitative review of the program showed increases in women’s skills, particularly in terms of operating the enterprises, confidence in leadership roles, and capacity to advocate on their own behalf with decision-makers. KIWASH is “proactively striving to meet the 30 percent gender rule in the board composition” of WSPs.

Community-level stakeholders and water enterprises are well aware of the need to include women in water committees and decision-making bodies of the organizations. Both the utilities and WASH enterprises have made conscious efforts to include women not only as consumers, but as part of the service provision value chain (i.e., as water kiosk operators, vendors, and employees). One example stood out in Nyamira of a woman plumber who was noted by community members as more effective and responsive to the community’s needs given her clear understanding of the issues they face.

The KIWASH project has involved women in the design of community WASH facilities to make water sources accessible to women so that they feel safe and free from harassment. KIWASH has been

consistent in including both men and women in sanitation and hygiene messaging. At the community level, KIWASH has effectively engaged both men and women as CHVs.

3.0 RECOMMENDATIONS

RECOMMENDATIONS

Based on findings and conclusions presented above, this section presents short- and long-term recommendations for KIWASH project management and for USAID. Both sets map specifically to the EQs while offering the evaluation team's higher-level perspective considering the breadth of the review. While there are areas to improve, a quote from one KIWASH staff member adequately sums up the project at this stage. "We have planted and started weeding, the harvest is coming. If we went to the next stage, everything would be so easy. The demand has been created for the services that KIWASH is providing."

SHORT-TERM RECOMMENDATIONS

I) General

1. To sustain the gains made by having staff embedded in county governments, develop an exit strategy focused around a dedicated shadowing role for county staff with related commitments from county leadership.
2. Forge more linkages across the county-level work (among staff but also between county government partners) to exchange experiences to clarify the types of activities that are having the most impact and the criteria for when such interventions would be implemented.
3. Continue to advocate for increases to WASH budget allocations at the county level.
4. Clarify a strategy for the remaining period that prioritizes an appropriate strategic balance among macro policy-level work, operational activities and knowledge sharing.
5. Provide clear guidance to partners on funding and proposal processes (including with regard to their competitive nature).
6. Cascade gender mainstreaming training to all levels of KIWASH engagement from national to community.
7. Engage with organizations focused on women's empowerment to ensure the sustainability of the project's gender equality goals once the project is over.

II) Water

1. Continue to support governance improvement activities at the county-WSP level.
2. Continue to work with WSPs to articulate Performance Improvement Plans for specific components of their work.
3. As possible, work with Water Sector Trust Fund (WSTF), Kenya Pooled Water Fund and WASREB (and others as appropriate, including Agence Française de Développement [AFD], the Dutch PEWAK Program, the Water, Sanitation and Hygiene Finance [WASH-FIN] project, among others) to articulate a clearer national-level strategy for financial instruments for WSPs and financial reporting. (A water.org initiative may be attempting this.)
4. Revisit the World Bank-Deloitte financial modeling tool (and compare to that of commercial banks) to advise WSPs of the criteria needed to access commercial finance.
5. Document the NRW and other direct impacts of KIWASH's work with WSPs.

6. Work with counties and WSPs to develop a strategy/masterplan for how they engage with localized service providers (enterprises and community-based models) and continue to develop WASH inventories.
7. Document the work with enterprises (disaggregating community-managed and private entrepreneur) to underscore both the challenges and the prospects for their success based on KIWASH support.
8. As affordable, scale up acquisition of efficient and affordable billing software to address part of the operations inefficiencies in the WSPs.
9. Articulate an investment strategy with counties for solar energy options for water providers to substantially reduce material costs.
10. Ensure work with Water Resources Users Associations (WRUAs) links up with enterprise work to protect sources.
11. Explore collaborations with others working on WRUA capacity building (World Wide Fund for Nature [WWF] Kenya, for example) to align approaches.

III) Sanitation

1. Continue to support final passage of the county-level Environmental Health and Sanitation Bills before the end of the project.
2. Continue ongoing CLTS efforts, focusing on achieving ODF status for sub-counties (or smaller areas if resources do not allow) by the end of Year 4. Use Year 5 to document KIWASH's legacy with CLTS while supporting continued reporting of sanitation data in ODF communities as prescribed in national protocols.
3. As resources allow, develop and test a model of pairing new CLTS work with sanitation marketing efforts from entry into new areas (e.g., blending demand activation and supply chain efforts more effectively) rather than introducing sanitation products as part of post-ODF activities.
4. Continue to establish or strengthen the supply chain of SATO products into communities.
5. Clarify the enterprise model currently being trialed for the SATO products and the SAFI latrine, being more explicit how it works, KIWASH's inputs, and what is being tested until the end of the project.
6. Systematically document the effectiveness of the sanitation marketing approaches being tried. Keep records of buyer profiles, prices and sales margins (among other aspects) to understand how these fluctuate by season and across the diverse project area. Plan follow-up surveys with early adopters to document their profiles and motivations for adoption. Share findings at national level to influence the next generation of projects working in this area.
7. Unless already part of the enterprise development work, remove the intention to support FSM improvements across the end stages of the sanitation value chain.

IV) County-Level Support

1. Based on lessons learned, develop a Capacity Gap/Needs Assessment Framework for county governments with regard to WASH service provision that can be used in future projects and in non-KIWASH counties.
2. Showcase each county's successes and lessons to promote learning, foster exchange and encourage replication. For example, highlight Makueni in terms of leadership as it has a progressive and engaged County Executive Committee and Governor with strong public consultation processes, Kakamega, which is further along in policy-level advances and budgeting for WASH; Kisumu for the strength of its WASH Forum.
3. Focus at the national level not on overarching national-level issues but advocating specifically on what KIWASH has learned regarding the issues to be resolved and the support needed at the

county level. This includes budget allocations, clearer roles and responsibilities (asset ownership, loan guarantees, county-wide strategies, budget allocations) and their implications at the operational level, and borrowing protocols and limits, among others.

4. Seek to articulate a county level strategy for community-based enterprises with regard to their relationship to county oversight and WSP expansion plans.
5. Document the pros and cons of the recoverable grants program and determine whether a pilot county-led program could be developed in a further phase.
6. Consolidate the best approaches for county-level monitoring and evaluation (M&E).

V) WASH/Nutrition Integration

1. Finalize and officially hand over to the counties the training of trainers (TOT) toolkit and the Training Manual for Community-Based Service Providers on Integrated WASH and Agri-Nutrition.
2. Consider an impact assessment of the distribution of hygiene kits on the uptake of maternal and child health (MCH) services.

LONG-TERM RECOMMENDATIONS (USAID)

1. Recognizing the transition to devolution, consider reducing the number of pre-defined targets in tender documents for a follow-on program related to WASH governance and systems strengthening, allowing respondents to suggest annual and life of project targets that respond to a series of objectives and intermediate results set by USAID.
2. Contribute to filling the gap in rural sanitation programming by directing more resources explicitly to developing the sanitation market in Kenya, working simultaneously and interdependently at national, county and community levels.^{11,12}
3. Invest in working with WSPs, county governments and unregulated service providers to develop, cost and implement new models for FSM, much in the same way that KIWASH currently does on the water side with WSPs.
4. Ensure that an environment element is fully integrated to address degradation of water resources.
5. Work with the Kenyan government and align future nutrition programs with the government's support to agribusiness through financing and information systems.
6. In future programs, emphasize and facilitate more structured collaboration among United State Government partners to ensure more synergy in the provision of complementary interventions.

“KIWASH has just come when devolution started... when they leave, then you leave us in the hands of the devolved systems.” (Focus Group Discussion, WASH Enterprises—Kisumu)

¹¹ Refer to the MBS framework introduced in the 2018 USAID/WASHPaLS report entitled *Scaling Market Based Sanitation: Desk Review on Market-Based Rural Sanitation Development Programs*.

¹² The changing living standards and urbanizing demographics in Kenya suggest considerable efforts are needed beyond excreta containment in small towns and peri-urban areas.

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