



USAID
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WATER AND DEVELOPMENT STRATEGY Implementation Field Guide



MARCH 2014

IMAGES

Front Left: USAID's Tanzania Agriculture Productivity Program. *Photo Credit: Fintrac Inc*

Front Right: USAID Wanawake Kwanza (Women First) growers association in Maza village, Morogora, Tanzania.
Photo Credit: USAID

Back: Two girls play with an irrigation pump in Dhaka, Bangladesh. *Photo Credit: Syed Ziaul Roobon*

WATER AND DEVELOPMENT STRATEGY

Implementation Field Guide

This Field Guide will be periodically updated. Comments from readers are welcome, especially comments to help clarify any portion of the guidance or where additional information may be useful. Readers are also urged to read the FAQs in Annex 3 for additional information.

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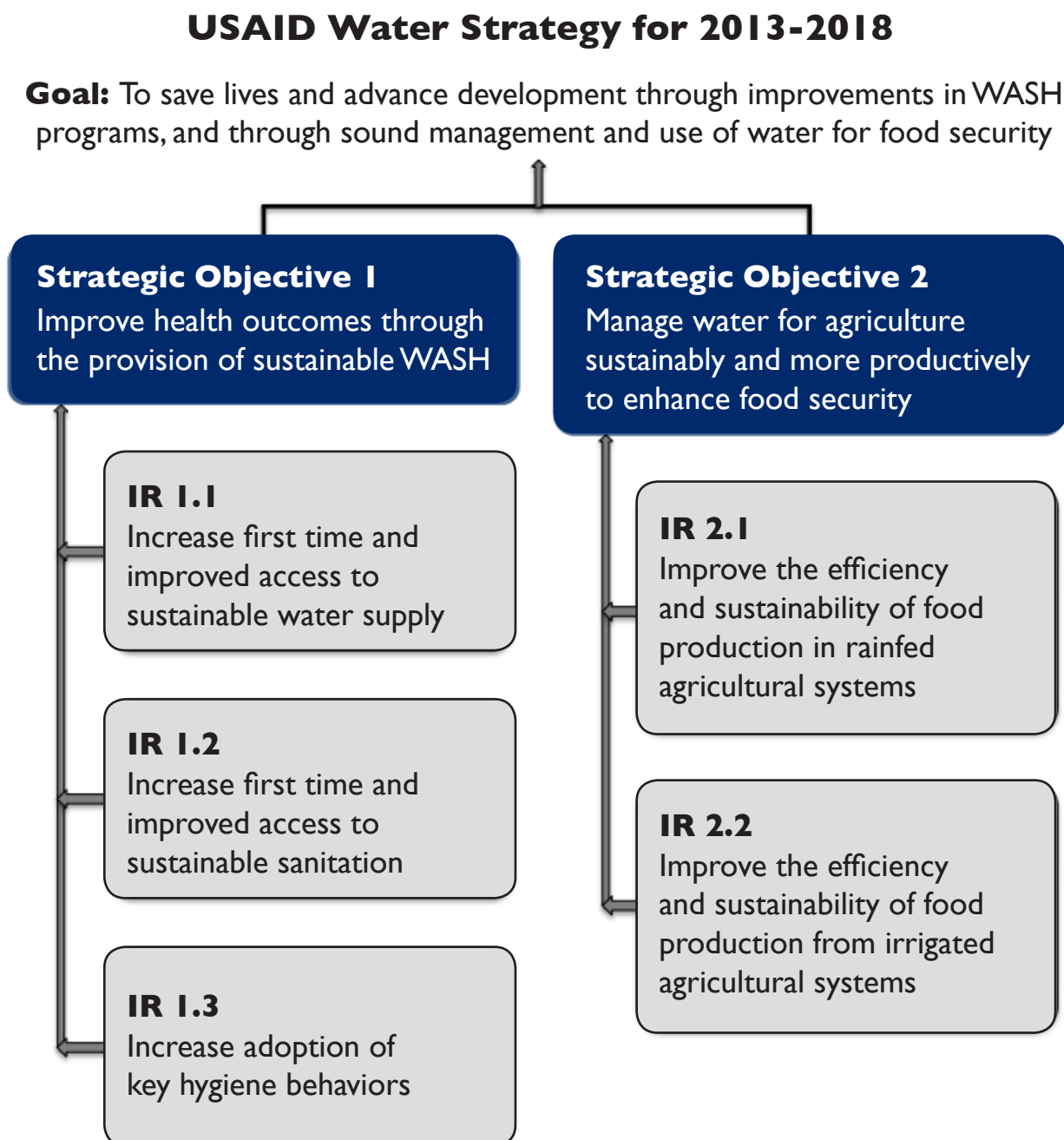
ACRONYMS

| | |
|--------------|---|
| AWM | Agricultural Water Management |
| BFS | Bureau for Food Security |
| BRM | Budget and Resource Management |
| BRR | Bureau Resource Request |
| CBJ | Congressional Budget Justification |
| CDCS | Country Development Cooperation Strategy |
| CLA | Collaborating, Learning, and Adapting |
| CLTS | Community-Led Total Sanitation |
| CMM | Conflict Management and Mitigation |
| DAA | Deputy Assistant Administrator |
| DCHA | Democracy, Conflict, and Humanitarian Assistance |
| DO | Development Objective |
| E3 | Bureau for Economic, Analysis, Education, and Environment |
| ESF | Economic Support Fund |
| F | Office of Foreign Assistance Resources |
| FAQ | Frequently Asked Question |
| FTF | Feed the Future |
| FY | Fiscal Year |
| HA | Hectare |
| IDEA | Innovation and Development Alliances |
| IR | Intermediate Result |
| LAC | Latin America and the Caribbean |
| MRR | Mission Resource Request |
| NRM | Natural Resource Management |
| OAPA | Office of Afghanistan and Pakistan Assistance |
| ODF | Open Defecation Free |
| OMB | Office of Management and Budget |
| OP | Operational Plan |
| OST | Office of Science and Technology |
| PAD | Project Appraisal Document |
| PMP | Performance Management Plan |
| PPD-6 | Presidential Policy Directive on Global Development-6 |
| PPL | Policy, Planning, and Learning |
| PPR | Performance Plan Reports |
| QDDR | Quadrennial Diplomacy and Development Review |
| RDCS | Regional Development Cooperation Strategy |
| SO | Strategic Objective |
| TA | Technical Assistance |
| TEG | Technical Earmark Group |
| USAID | United States Agency for International Development |
| USG | United States Government |
| WASH | Water, Sanitation, and Hygiene |
| WHO | World Health Organization |
| WP | Water Productivity |
| WRSA | Water Resources Sustainability Assessment |
| WRM | Water Resources Management |

I. Introduction and Background

The United States Agency for International Development's (USAID's) first ever Water and Development Strategy was launched and became effective May 21, 2013. The Strategy is intended to guide Agency-wide programming on water from 2013-2018. The overarching goal of the Strategy is to save lives and advance development through improvements in water supply, sanitation, and hygiene (WASH), and through sound management and use of water for food security. To achieve this goal, the Strategy sets two strategic objectives (SOs). The focus of SO1 is water for health, and the focus of SO2 is water for food (Figure 1).

Figure 1. Water and Development Strategy Results Framework



Together, these objectives reflect the overarching U.S. policy guidance contained in the Senator Paul Simon Water for the Poor Act of 2005 [Public Law 109-121¹], the Presidential Policy Directive on Global Development-6 (PPD-6), the Quadrennial Diplomacy and Development Review (QDDR), and recent research and current thinking. The Strategy aligns with and complements other Agency objectives and initiatives including USAID Policy Framework (2011-2015), Global Health Initiative, Global Climate Change Initiative, and Feed the Future (FTF).

The Strategy's operating principles are consistent with USAID Forward and provide the foundation for how water issues will be integrated into USAID programming. These principles, listed in Figure 2, underpin both SOs and are essential to improving the outcomes of water-related programming across the Agency.

Figure 2. Water and Development Strategy Operating Principles

Operating Principles

- **Support host country ownership** to strengthen local and regional capacity and align with country priorities
- **Build in sustainability from the start** to promote governance, technical, and financial capacity
- **Apply integrated approaches to development** to optimize impact and sustainability across sectors
- **Leverage “solution holders” and partner strategically** to develop innovative approaches and enhance financial investments
- **Promote gender** equality and female empowerment to address the needs and opportunities of both men and women
- **Leverage science and technology** to address development needs in a more rapid and cost-effective manner
- **Measure and evaluate impact** to identify and disseminate lessons learned and best practices
- **Achieve resilience** to better prepare countries for the impacts of climate change and other shocks and stresses

Purpose

This document is intended to serve as a reference tool to help Operating Units understand and apply the Strategy. The Guide provides an overview of:

- The intended procedures and expectations for operationalizing the Strategy and transitioning the Agency's water portfolio to align with the Strategy

¹ <http://www.gpo.gov/fdsys/pkg/PLAW-109publ121/pdf/PLAW-109publ121.pdf>

- Key principles, best practices, and approaches for programming related to the Strategy’s two SOs
- Specific funding parameters related to programming in each of the two SOs, including eligible attribution of water directive funding²
- Expectations of Operating Units related to monitoring, evaluation, and reporting, including required indicators, the timing, and procedures for annual performance reporting
- Expected contributions of Operating Units to ongoing Agency knowledge management, collaboration, and learning in the water sector

The Guidance is intended to be complemented by other resources, as described in Section VI.

² The term “water directive” is used herein to refer to the more commonly used “water earmark.” Congress prefers the use of the term “directive,” and we are asked by Policy, Planning, and Learning (PPL) and Budget and Resource Management (BRM) to help in bringing its consistent use into practice in the Agency.

II. Operationalizing the Strategy

A. Results Orientation

Following USAID Forward's results-oriented approach, USAID will implement this Strategy to maximize achievement of targeted results. Associated project designs and implementation should be guided by this results-oriented principle. Some targeted Strategy results are already clearly defined and measurable using established Office of Foreign Assistance Resources (F) standard indicators. Missions will be expected to integrate these indicators, detailed below, in project designs. The description of other targeted results and associated indicators will evolve over the life of the Strategy.

i. SOI: Results

SOI seeks to improve health outcomes through the provision of sustainable WASH. Measures of success include providing a minimum of 10 million people with sustainable access to improved water supply and 6 million people with sustainable access to improved sanitation over the five-year life of the Strategy.

There is no single standard indicator to measure progress against the overarching SO of improving health outcomes. Sustainable WASH provision contributes to a variety of improved health outcomes, both related to waterborne infectious disease and through the role that improved WASH plays in contributing toward healthy households, communities, and public facility environments.³ Operating Units should also consider associating SOI projects/activities with improvements in other health related objectives, e.g. those targeting nutritional improvements or basic service delivery improvements. SOI investments should be tracked along with higher-level indicators associated with the chosen Country Development Cooperation Strategy (CDCS), Development Objectives (DOs), Intermediate Results (IRs), or sub-IRs and/or outcome indicators associated with 3.1.8 and/or 3.1.6.8 in the F Framework.

IRI.1: Increase first time and improved access to sustainable water supply.

At least one of the two current standard F output indicators should be used to track progress toward this targeted result:⁴

- 3.1.8.1-2: *Number of people gaining access to an improved drinking water source.*
- 3.1.8.1-3: *Number of people receiving improved service quality from existing improved drinking water sources*

It is the sum of these two indicators that will be used to measure progress toward the Strategy's "projection" of a minimum of 10 million persons with first-time or improved access. **Given the importance of these indicators in tracking Strategy progress, Operating Units contributing to IRI.1 should report on one or both of these indicators and carefully ensure application of the standard definition.**

Operating Units might also choose to report on other standard indicators in 3.1.8.1 and 3.1.8.3 through activities that are being pursued in support of IRI.1 or custom indicators.

³ The most significant impact on global burden of disease associated with WASH comes from diarrhea among children and the immune-compromised and has motivated a long history of WASH investments associated with maternal and child health, nutrition, and HIV/AIDS programming.

⁴ See Annex I for Performance Indicators describing these and all standard Strategy-related indicators.

IRI.2: Increase first time and improved access to sustainable sanitation.

The following F output indicator should be used to track progress toward this targeted result:

- 3.1.8.2-2: *Number of people gaining access to an improved sanitation facility*

USAID will exclusively report using 3.1.8.2-2 on progress toward meeting the Strategy target of a minimum of 6 million persons gaining access to an improved sanitation facility. **Given the importance of this indicator in tracking Strategy progress, Operating Units contributing to IRI.2 should report on this indicator and carefully ensure application of the standard definition.**

USAID also views the following standard indicator as important in tracking progress toward IRI.2:

- 3.1.6.8-5: *Number of communities certified as “open defecation free” (ODF) as a result of United States Government (USG) assistance*

Ending open defecation is an important step toward achieving basic sanitation access. Operating units are encouraged to support achievement of this goal at the community level and track results using this standard indicator.

Operating Units might also choose to report on other standard indicators in 3.1.8.2 and 3.1.8.3 through activities that are being pursued in support of IRI.2 or custom indicators.

IRI.3: Increase adoption of key hygiene behaviors.

The standard indicators in 3.1.6.8 were developed by USAID to track this result. The Fiscal Year (FY) 2014 standard indicator list includes two on drinking water treatment:

- 3.1.6.8-2: *Percent of households in target areas practicing correct use of recommended household water treatment technologies*
- 3.1.6.8-4: *Number of liters of drinking water disinfected with point-of-use treatment products as a result of USG assistance*

Since FY 2011, USAID had included an additional standard indicator related to hygiene behaviors:

- 3.1.6.8-1: *Percent of households with soap and water at a handwashing station commonly used by family members*

If household water treatment promotion is part of its portfolio, Operating Units contributing to IRI.3 are encouraged to report on the two standard drinking water treatment indicators. While dropped as a standard indicator in FY 2014, the handwashing station indicator remains a valuable measure of hygiene behavior change and will be reintroduced as a standard indicator in FY 2015. **Operating Units should report on this and other hygiene behavior measures as custom indicators tracking progress toward IRI.3.**

ii. **SO2: Results**

SO2 seeks to manage water in agriculture sustainably and more productively to enhance food security. Measures of success include increasing water-use efficiency and productivity in both rainfed areas and in irrigated areas. There are currently four standard indicators relevant to this SO:

- 4.5.2-41: *Number of water resources sustainability assessments undertaken*
- 4.5.1-28: *Hectares under new or improved/rehabilitated irrigation or drainage services as a result of USG assistance*
- 4.5.2-2: *Number of hectares under improved technologies or management practices as a result of USG assistance*
- 4.5.2-5: *Number of farmers and others who have applied improved technologies or management practices as a result of USG assistance*

In addition to considering use of these indicators for tracking SO2 results, Operating Units are encouraged to consult with the Bureau for Economic Growth, Education, and the Environment Water Office (E3/W) as they establish indicators to systematically track progress toward increasing “water use productivity and efficiency” related to agriculture.

B. Roles and Responsibilities

Each Operating Unit has a role and responsibility related to operationalizing the Strategy. The following is a list of the entities with a stake in Strategy implementation and their corresponding roles and responsibilities:

i. Water Sector Council

The Water Sector Council is a decision-making body comprised of Deputy Assistant Administrators (DAAs) from all Washington-based Regional and Pillar Bureaus with responsibility to review implementation progress and achievements against SO1 and SO2. The Council is a resource to the Strategy Implementation Group where policy decisions or interpretations are required. The Council is informed by the technical expertise of the Strategy Implementation Group and its mandate is to:

- Advise Agency leadership on water dimensions relevant to policies, strategies, and initiatives
- Provide guidance on priorities
- Establish and maintain linkages within USG

The Water Sector Council is chaired by the USAID Global Water Coordinator and meets quarterly or as needed. The Council will include DAA representation from the Regional Bureaus (Africa, Asia, Middle East, Office of Afghanistan and Pakistan Assistance (OAPA), Latin America/Caribbean (LAC); Budget and Resource Management (BRM); Policy, Planning, and Learning (PPL); Office of Science and Technology (OST); Innovation and Development Alliances (IDEA); E3/W; Global Health; Democracy, Conflict, and Humanitarian Assistance (DCHA); and Bureau for Food Security (BFS).

ii. **Strategy Implementation Group**

The Strategy Implementation Group is the Washington-based technical platform for discussion and enhanced coordination on water-related topics at USAID and provides both technical thought leadership to the Agency in the application of the Strategy and practical support to Operating Units in its implementation. The Strategy Implementation Group takes on the previous role of the Technical Earmark Group (TEG) for water. It has a role in ensuring that both SOs are achieved. Specific activities include:

- Coordination among Operating Units on water priorities, funding, and programming
- Technical guidance to the Water Sector Council and Agency on areas of strategic direction
- Recommendation on resolution of competing priorities
- Identification of, and periodic reconfirmation of, focus countries under SO1 and SO2
- Participation in annual portfolio reviews for SO1 and SO2 (FTF portfolio reviews for SO2)
- Developing and updating water directive definitions
- Developing and providing water directive guidance to the field
- Field guidance on funding, mechanisms, and resources to support programming
- Support to the Missions in the design and implementation of programming that fulfills Strategy SOs
- Identification of areas of strategic intervention, research, and learning related to water
- Coordination of monitoring, evaluation, and reporting against the Strategy

The Strategy Implementation Group is chaired by the Director of the Water Office or designee and includes technical representation from the Regional Bureaus (Africa, Asia, Middle East, OAPA, LAC), BRM, PPL, IDEA, E3/W, Global Health, DCHA, and BFS. The full E3/W and Global Health Environmental Health Team participate in the Group. Other Operating Units have designated one or two representatives. The Strategy Implementation Group will meet twice per month beginning in FY 2014. Notes from each meeting will be documented and made available through the Water Office.

iii. **E3/Water Office**

The Water Office within E3 Bureau provides direct support to the Global Water Coordinator and is operationally responsible for Strategy implementation. In close collaboration with members of the Strategy Implementation Group, and especially with colleagues of the Global Health/Environmental Health Team (SO1) and BFS (SO2), the Water Office provides technical leadership, field support, training, and guidance across the Agency on all water-related matters. The Environmental Health Team provides technical leadership in all matters relating to WASH. BFS provides technical leadership in implementation, including irrigation, watershed inventory, sustainable intensification, and agronomic research.

The Water Office is responsible for coordination and synthesis of Agency-wide water reporting, both congressionally mandated and otherwise. The Water Office maintains technical staff engaged in technical leadership, evaluation, innovation, research, knowledge management, communications, and partnerships. Water Office staff also maintain close coordination on water issues with other sector strategies and policies, including for example, the Global Climate Change and Development Strategy.

iv. Missions

Mission personnel are at the ‘front line’ for implementation of the Strategy. Missions are responsible to implement, monitor, and report on programming that is in full alignment with the Strategy. Alignment begins with the CDCS or Regional Development Cooperation Strategy (RDCCS) process and carries through with the Project Appraisal Document (PAD) development phase of new programs. Missions should consult with Regional Bureaus and the Strategy Implementation Group, as needed, for clarification on any matter. Missions are responsible for requesting and marshaling the human, financial, and technical resources needed to deliver results, measure outcomes and impact, and harvest and share lessons learned. It is intended that Mission staff will play an integral role in efforts to continually improve Agency-wide knowledge management in the water sector.

In addition, Mission personnel are expected to lead consultations with host country government institutions, the private sector, civil society organizations, communities, and other donors to identify the most strategic, effective, and efficient ways to move countries forward on sustainable pathways to achieving SO1 and SO2. In budget requests and CDCS submissions, Missions proposing food security and global health programs should consider, as relevant and appropriate, how water interventions can help to support program objectives. Finally, Missions are responsible for evaluating their water sector investments, and for continuing to provide data to E3/W through established reporting processes to enable USAID to present progress on Strategy implementation to external stakeholders.

v. Regional Bureaus

Each Regional Bureau will have at least one Water Advisor with whom Missions should maintain frequent and regular contact. Regional Bureau Water Advisors are members of the Strategy Implementation Group, and thus are integrally involved with budget formulation and the 653(a) process of allocating water directive amounts across priority countries. These Advisors have technical expertise of their own and work closely with technical experts from other Bureaus in Washington who are able to assist Missions with program strategy, design, evaluation, and other requirements. Importantly, Regional Bureaus play the leading role in determining if Mission water activities are aligned with the Strategy, and in communicating any potential discrepancy to the Strategy Implementation Group for clarification pertaining to the “exceptions to alignment” process.

In summary, Regional Bureaus, principally through their Water Advisors, are responsible for engaging with Missions to reach agreement on funding levels, water directive allocations, program transition to Strategy alignment, approvals for exceptions to alignment, and for communicating to the Strategy Implementation Group periodically on overall country-level progress and on the timing of and participation in Mission Portfolio Reviews.

C. Geographic Focus

The Strategy seeks to enhance the development impact of the Agency’s resources by concentrating programming in countries based on a combination of factors that relate to country needs and opportunities for water programming. The methodology for determining priority countries is different for SO1 and SO2, but both processes have been coordinated through the Strategy Implementation Group and the Water Sector Council, in consultation with priority Mission staff.

i. **SOI: Geographic Focus**

The Water for the Poor Act requires the designation of high priority countries for assistance. The Water for the Poor Act requires that countries be selected on the basis of: 1) greatest need for increased access to safe water and sanitation; and 2) potential impact of such increased access on promoting good health, economic development, poverty reduction, women's empowerment, conflict prevention, and environmental sustainability. The Strategy seeks to enact this requirement in a more transparent and deliberate way.

To this end, the SOI priority countries were identified through an analysis that took into account: 1) the country's need and vulnerability as evidenced by the proportion of the population without access to improved WASH services and key health indicators; and 2) the host country's opportunity and potential to achieve significant impact (through a qualitative analysis by water specialists familiar with the Missions' programs). The Strategy Implementation Group agreed upon an initial list that was then circulated within the Regional and Pillar Bureaus. Ultimately, the Water Sector Council reviewed and approved the draft list. The countries on the list represent a diverse spectrum of the current level of development in the sector, as well as potential opportunity to make significant headway. It is recognized that the Strategy will be applicable to each in a distinct way.

To provide further focus, and based on the analysis, the Strategy characterizes countries into three tiers together with implications for programming. Through this analysis, six Tier 1 Countries, 16 Tier 2 Countries, and six strategic priority countries have been recommended and cleared by the Water Sector Council.⁵ The full list of priority countries can be found in Annex 2.

All other countries that are not identified as priority countries by the Strategy are encouraged to continue programming WASH, but can expect to see a decrease in water directive funding over the Strategy implementation period.

Tier 1 Countries “are determined by an analysis of need, opportunity, and a favorable programming environment to significantly leverage USAID’s resources” and achieve impact at national scale. Within this subset of countries, it is envisioned that USAID will identify an area of intervention within the WASH sector, in coordination with sector partners, where USAID resources can remove bottlenecks to service delivery, increase aid effectiveness, and/or strengthen sustainability in a way that reaches scale.

Tier 2 Countries “are based on the strategic application of limited USAID resources, and generally are countries in which relatively small investment levels are likely to generate significant impact in at least one dimension of WASH – such as first-time access to an improved drinking water source, first-time access to an improved sanitation facility, ending open defecation, or new hand washing practices.” The interventions may be concentrated in one sub-region or one subsector of WASH, but are expected to be catalytic in impact.

⁵ This list is not meant to be fixed for the life of the Strategy. Rather, based on regular assessment and discussion with Missions, countries may shift between tiers based on country contexts and Mission and Agency priorities.

Strategic Priority Countries “are places in which USAID anticipates continued WASH programs due to a combination of strategic considerations and development needs.” The Foreign Assistance Act and Water for the Poor Act stress the Development Objective (DO) of extending access to the poorest, those least likely to achieve access without targeted interventions. There are some countries where strategic priorities, other than low levels of access to improved drinking water and basic sanitation or associated health impacts, may be the driver for USAID funding of WASH activities. In these countries, USAID activities will continue to focus on improving the quality of WASH services and making them more sustainable. However, the spirit and intent of the Water for the Poor Act and the Strategy cannot be met by a disproportionate allocation of resources to these countries at the expense of the other priority countries.

Recommended priority country Missions should submit in writing to the Strategy Implementation Group any requests for changes to proposed country category or exceptions to compliance with the country category “expectations” in Table I. These will be considered by the Water Sector Council.

The Strategy Implementation Group, in consultation with Missions, will review country prioritization on an annual basis, in consultation with Missions and make any recommended changes to the Water Sector Council.

Table I. Country Alignment Expectations

| Alignment Area | Description |
|---|--|
| Resources | <ul style="list-style-type: none"> Water directive allocations assigned on priority basis according to tier designation Mission Point of Contact assigned for WASH program management and coordination Budgeted activities linked to SOI goals and targets (see Metrics below) |
| CDCS | <ul style="list-style-type: none"> WASH included in DO, IR, or sub-IR (original or by amendment) Adopt at least one of the WASH access indicators (see Section II.A) |
| Metrics | <ul style="list-style-type: none"> Adopt at least one of the recommended standard F indicators (see Section II.A) Adopt additional indicators for scale, as appropriate |
| Sector Coordination and Leverage | <ul style="list-style-type: none"> Act as a leader in sector coordination efforts Programming fits with host country priorities Leverage water portfolio sector investments of others to achieve scale (amount in accordance with country tier, in consultation with Strategy Implementation Group) |

| | |
|----------------------------------|---|
| Monitoring and Evaluation | <ul style="list-style-type: none"> • Establish landscape for key metrics and sector conditions (Washington to support for Tier 1 countries, see FAQ in Annex 3) • Plan/implement evaluation to assess impact (see Section II.E.v and FAQ in Annex 3) • Invest WASH resources in local capacity building for long-term sector sustainability monitoring |
| Portfolio Review | <ul style="list-style-type: none"> • Annual Portfolio Review coinciding with Mission schedule and procedure |

ii. **SO2: Geographic Focus**

FTF is the USG global hunger and food security initiative led by USAID. Nineteen priority countries were selected on the basis of five criteria (comparable to those used for SO1): level of need, opportunity for partnership, potential for agricultural growth, opportunity for regional synergy, and resource availability. Given the critical linkages between the water sector and the objectives of FTF (including inclusive agricultural growth, improved nutrition, and climate smart development), the Strategy commits the Agency to proactively support the objectives of FTF through enhanced application of best practices in the use of water for agricultural and nutrition goals.

The priority countries under SO2 of the Strategy will be within the focus country list already identified by FTF. As with SO1, the full list of SO2 recommended countries can be accessed in Annex 2.⁶

D. **Timeline for Implementing the Strategy**

Implementation of the Strategy will be an ongoing process with changes made as CDCS, Operational Plans (OP), and Performance Plan and Reports (PPR) are available for review. Within the budget cycle, Strategy implementation will begin with the FY 2014 OP and PPR.

E. **Building the Strategy into the Program Cycle**

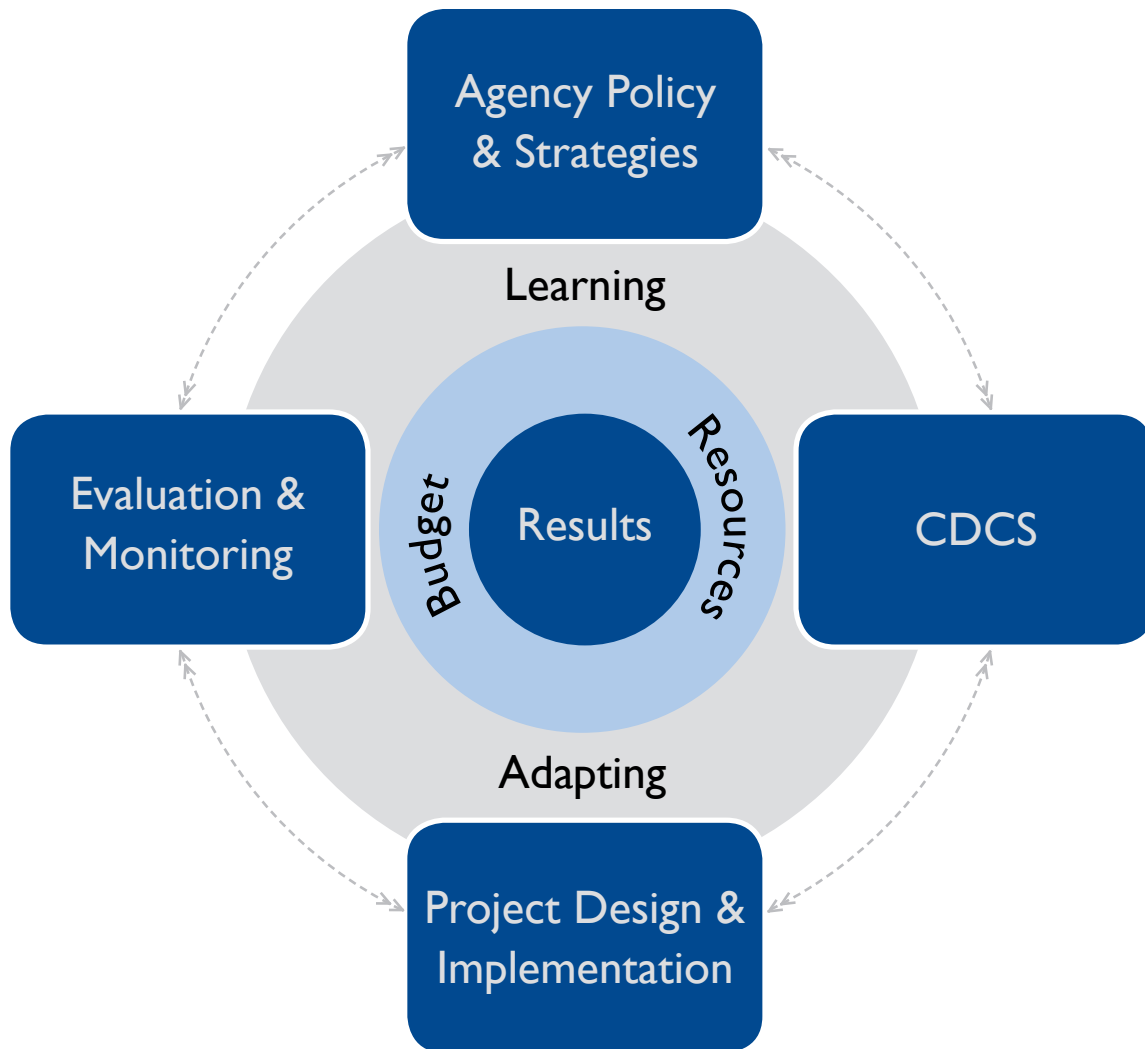
The sections below outline the specific steps to be accomplished at each stage of the Program Cycle.

i. **Agency Policies and Strategies**

The Program Cycle (Figure 3) is grounded in a series of USG and USAID policies and strategies that strive to maximize the results of USG assistance. The Strategy has been crafted to reflect USAID Forward and the USAID Policy Framework 2011-2015 and to align with the Agency's three major strategic Initiatives – FTF, Global Climate Change, and Global Health. As new policies, strategies, and initiatives are developed they should take into account the Strategy and seek guidance of the Water Sector Council, through the Strategy Implementation Group, if required.

⁶The majority (91 percent) of the priority USAID Missions recommended under SO1 and SO2 exhibit a significant level of fragility according to USAID's 2013 Alert Lists worldwide rankings of fragility and risk of instability. Furthermore, 69 percent of these priority Missions are considered conflict-affected according to the same index. Conflict analysis should inform water-related programming in conflict-affected and fragile environments. USAID's Office of Conflict Management and Mitigation (CMM) can assist field officers with questions related to the design, implementation, and monitoring of conflict-sensitive water programs.

Figure 3. USAID Program Cycle



ii. Country Development Cooperation Strategies (CDCS)

The CDCS is a five-year strategic plan that defines the areas in which a Mission will work, what results it will lead to, and the choices that a priority country Mission will make in aligning its water investments with the Strategy. CDCSs are developed in collaboration with country partners and are based on analysis, evidence, and anticipated level of resources. Priority countries under the Strategy should ensure that new CDCS documents fully contemplate the SOs of the Strategy.

If a priority Mission's CDCS does not currently include recognition of water/WASH, it should follow ADS 201.3.7.

iii. **Project Design and Implementation**

Per the Strategy, all Missions are expected to align ongoing and future water activities with the Strategy's two SOs beginning in FY 2014. If a Mission determines it cannot align with the Strategy, it must articulate a clear rationale to the Water Sector Council. Requests for exceptions should not be taken lightly, as Agency-wide strategies should be fully embraced and implemented, where feasible, to have maximum impact on development outcomes. The Agency Notice dated May 7, 2013, describes the "exceptions" process for Missions proposing new programs or activities that are not fully aligned with the Strategy.

iv. **Performance Monitoring**

The Program Cycle considers monitoring and evaluation as mutually reinforcing, but distinct, tools.

Indicators

- Operating Units report against indicators in accordance with the Standard Program Structure, as defined by F, available at <http://www.state.gov/documents/organization/141836.pdf>.
- SO1: IR1, IR2, IR3: Measures of success (with numerical targets)
 - Operating Units report against indicators that fall within 3.1.8 and 3.1.6.8 in the F Standard Program Structure (see Section II.A.i for specific indicators).
- SO2: IR1, IR2: Measures of success (see Annex 4 for SO2 Indicators and Targets)
 - Operating Units report against indicators that fall within 4.5 in the F Standard Program Structure (see Section II.A.ii for specific indicators).
- Operating Units may also create and report on custom indicators that are relevant to their programming.
- Although not required, all Operating Units are strongly encouraged to require implementing partners to disaggregate expenditure by technical area such that expenditure is reported separately for 1) water supply; 2) sanitation; 3) hygiene; and 4) agriculture water management.
- Performance Management Plan (PMP): Operating Units should include plans to monitor, analyze, evaluate, and report program progress against any and all DOs that contribute to SO1 in their PMP. (http://pdf.usaid.gov/pdf_docs/pnadw107.pdf)

v. **Evaluation**

The Strategy is built upon the premise that increased focus and strategic direction will deliver improved accountability, knowledge, and, ultimately, sustainable results.

Missions that have water programs should integrate evaluations into the design of projects, when applicable, for the purposes of accountability to stakeholders and learning to improve effectiveness. Evaluation requirements align with the Agency Evaluation Policy, which states that each operating unit is required to conduct at least one performance evaluation of each large project it implements (Guidance is available at ADS 203.3.1). In addition, any activity within a project involving untested hypotheses or demonstrating new approaches that are anticipated to be expanded in scale or scope through USG foreign assistance or other funding sources will, if feasible, undergo an impact evaluation.

Further, the operating principles stated in the Strategy refer to the need to ensure sustainability of WASH investments and services. USAID/Washington is investing in the development of approaches and tools to support evaluations – with special focus on sustainability – in order to improve programming and increase development outcomes. An initial series of these evaluations will be funded by E3/W as part of Strategy implementation in collaboration with priority Missions.

vi. Learning and Adapting

The need for strong integrated and cross-sectoral approaches, strategic partnerships, linking of knowledge arising from research and innovation with experiential knowledge arising from implementation, and strengthening of local and regional capacity are enshrined in the Strategy's Operating Principles.

To support these Principles, it is recommended that Operating Units develop and implement a learning plan around the program cycle, to systematize and make explicit efforts around USAID's Collaborating Learning and Adapting (CLA) Framework. The agenda may include plans for resourcing CLA in contract mechanisms for implementation or research partners, as well as specific plans by the Operating Unit for:

- Stakeholder engagement for coordination, influence, knowledge sharing and peer learning
- A process for identification of key learning questions to be addressed through evaluations as well as special studies, learning networks, advisory groups, and other means
- An approach for monitoring contextual factors and game changers affecting implementation of the Strategy
- Processes around ensuring the analysis, sharing and application of monitoring and evaluation results and experiential knowledge, across partners, donors, and Regional and Pillar Bureaus

III. Principles, Approaches, and Practices of Water Programming

A. SOI: Water for Health

USAID operates on the development hypothesis that WASH improvements have the greatest and most sustainable impact on health when a balance of the following three elements is achieved: 1) expanded access to hardware (e.g., water and sanitation infrastructure and hygiene commodities); 2) required behavior changes for sustained improvements in water and sanitation access/service and hygiene practices; and 3) an improved enabling policy and institutional environment. These three aspects are mutually reinforcing and equally critical to success. SOI work should ideally support interventions within all three areas, but with different levels of effort by different Operating Units as determined by the development context, cost-benefit analysis, USAID comparative advantage, etc.

i. Key Principles to Programming WASH Sustainably and Effectively

- Consider relative cost and impacts of different programmatic approaches in light of available USAID resources, those of other development partners, country context, and programmatic constraints, i.e., between rural and urban interventions, direct service delivery and enabling environment, etc.
- Program with appropriate attention to environmental, financial, governance, social, and technical constraints that affect sustainability
- Consider financial, market-based, and technological interventions that can transform sectors
- Program in accordance with World Health Organization (WHO) Guidelines for Drinking Water Quality and Water Safety Plans

ii. USAID’s Strategic Approach to WASH

- Promote the cost-effective delivery of safe WASH services that produce high-quality, lasting benefits
- Focus on catalytic sector investments rather than WASH service delivery to beneficiaries, one community at a time
- Actively engage with government and other implementing partners in the sector to better achieve WASH impact at scale
- Promote partnerships that leverage the full range of expertise and resources available to the sector and strengthen ownership and sustainability
- Attach the same level of importance to behavior change “software” and the enabling environment for WASH as to hardware
- Aim for more equitable access, explicitly targeting the poorest and most vulnerable
- Promote integration with water and food programming, where strategic to do so

iii. Indicative WASH Activities Consistent with Strategy

WASH improvements are a mutually reinforcing set of results that complement each other and should be targeted together where possible to maximize health benefits. The section below highlights promising practices in each area that can be combined to ensure that all three components of the WASH package are included.

Water

- **Enabling environment:** Develop policy, legal, and regulatory (water resources, quality, and services) frameworks, instruments, and institutions. Establish institutional clarity in the sector with appropriate channels of accountability. Support capacity development and resource mobilization consistent with decentralization. Strengthen financial frameworks. Expand and strengthen approaches to public-private partnerships.
- **Increase access:** At the household and community level, work to increase the ability of people to access safe water on an affordable basis. This may involve appropriate technologies for household water treatment, improved approaches to developing and maintaining water sources, and strengthening governance and financing approaches.
- **Service delivery:** Develop and improve the capacity, performance, and efficiency of a range of service providers, rural and urban. Strengthen ability to access and generate revenues and finance. Strengthen operational, customer service, and financial performance. Improve governance through institutional reform, performance incentives, and improved accountability. Design and implement infrastructure improvements. Train and incentivize service providers.
- **Data collection, monitoring, and decision making:** Support improved sector data generation and collection including water resource and point mapping and reporting on functionality. Support appropriate water quality testing and remediation. Apply sustainability checks and implement adaptive management. Support national, local, and provider capacity, platforms and tools for data collection, monitoring, reporting, and planning.

Sanitation

- **Demand creation:** Create demand for sanitation in rural and urban settings using approaches such as community-based total sanitation (CLTS) (a participatory methodology for mobilizing communities to eliminate open defecation), commercial marketing, and regulation. Sanitation is an area of emphasis in the Strategy, and the Agency aims to prioritize and strengthen this often-neglected area.
- **Supply side:** Support development and availability of a range of low cost, appropriate sanitation options by building the capacity of construction suppliers or masons to design, produce, and market them. Identify barriers in supply chains for sanitation products and services. Pilot and scale up promising approaches and business models for toilets/latrines and fecal sludge management.
- **Enabling environment:** Develop, support, or strengthen policies, standards, and regulations for promotion of sanitation services along the entire sanitation value chain. Develop or strengthen sanitation plans at different scales from national to community levels. Develop or strengthen financing mechanisms to support improved access to sanitation without subsidies (or with targeted subsidies for vulnerable populations). Participate in and support sector coordination through various forums. Develop sanitation media campaigns engaging celebrities to promote systemic cultural change.
- **Data and monitoring:** Ensure definitions of improved sanitation that align with global norms developed by the WHO/UNICEF Joint Monitoring Programme for Water Supply and Sanitation. Support the development and use of host country systems to monitor sector progress.

Hygiene Behavior Change

- **Strategy:** Conduct formative research to learn more about existing hygiene behaviors and identify specific behaviors to target for improvement. Based on this research, design a multifaceted behavior change strategy, e.g. including training, communication, community mobilization, and enabling products and technologies, such as handwashing stations, water treatment products, and latrines.
- **Consistency:** Work with relevant government units to ensure that USAID and sector hygiene messages are correct and consistent and accompanied by skill building and increased access to enabling products and technologies.

B. SO2: Water for Food

i. Key Principles to Programming Agricultural Water Sustainably and More Productively

- Know the watershed, the users, and the competing uses
- Know the quantity and quality of soil and water resources at proposed sites. Utilize site-specific data: basin hydrology, geology, soils, etc.
- Understand how the resource base may change over coming decades (beyond life of project) and use climate and demographic projections
- Select crops/species compatible with current and projected changes in soil and water resources
- Implement Agricultural Water Management (AWM) practices and technologies that will contribute to conserving the resource base
- See Checklist for Agricultural Water Resources Sustainability Assessment in Annex 5

ii. USAID's Strategic Approach to Water for Food Security

- Manage water resources sustainably, that is, in an environmentally and socially responsible manner, with particular attention to equitable access and efficient use to facilitate food security for a growing world population
- Promote water resources management that utilizes a watershed approach, increases water productivity, and facilitates the establishment of governance structures and processes that provide for sustainable use among multiple users and uses
- Promote integration with WASH programming for enhanced nutrition outcomes

iii. Indicative Water for Food Activities Consistent with the Strategy

Potential activities through FTF:

Watershed approach

- Develop institutions that involve stakeholders in allocating water equitably and efficiently
- Manage wetlands, forests, grasslands, and other natural habitats that help provide clean and reliable water supply and potential food sources and livelihoods
- Incorporate water-monitoring practices that gauge water balance, water availability, and water quality
- Promote landscape management planning to reduce risks of flooding, drought, and land degradation
- Support agronomic practices that improve water infiltration into soil and recharge aquifers

Increasing Water Productivity

- Develop and promote water harvesting and small storage systems
- Utilize irrigation technologies that optimize water use efficiency
- Support agronomic practices that achieve greater production with less water use
- Incorporate water-efficient and drought-tolerant crops and varieties
- Enhance natural productivity through ecological reserves and modern fisheries practices

Sustained Availability and Equitable Access

- Map resources: soil and water quality and quantity, capacity, and governance
- Identify competing and complementary uses of water
- Strengthen existing governance structures that include water use
- Promote gender equality in decision making
- Incorporate stakeholder perspectives in planning water infrastructure projects and consider multiple productive and household uses
- Understand, respect, and incorporate cultural considerations around water use and decision making
- Conduct valuation of water resources to support decision making
- Support policy initiatives that use pricing mechanisms to create incentives for more efficient and equitable water use
- Include values for water in cost benefit analysis and impact assessments for FTF projects and programs
- Implement markets or payment mechanisms such as water funds where water users pay for watershed services, where appropriate
- Reduce agricultural runoff and minimize chemical contaminant in runoff
- Promote safe reuse of greywater

IV. Funding Parameters

The USG Context for Water Funding

USG global water sector programming includes a wide range of activities. Water is a cross-cutting issue in the U.S. Foreign Assistance Framework with the overall USG water portfolio embracing a broad spectrum of water sector interventions that are critical to protecting human health and responding to humanitarian crises; promoting broad-based and sustainable economic growth; enhancing environmental and national security; and developing public participatory processes that improve transparency and accountability in providing a resource essential to people's lives and livelihoods. These activities are critical components of a comprehensive strategy to address the world's water challenges in an integrated and sustainable way.

A. SOI: Primary Considerations

i. Legislative Drivers of WASH Funding

There are two main legislative drivers for USAID's water programming. The Water for the Poor Act is the principal driver of USAID engagement in WASH. The Water for the Poor Act authorizes USAID to engage in water resource management, capacity development, access and service improvement, and development and maintenance of infrastructure as needed to increase equitable and sustainable access to water and sanitation in developing countries. Annual appropriations bills provide legal authority for Agencies to spend funds and include directives on amounts of USAID funding to be spent on WASH. The amount specified in the annual appropriation associated with the Water for the Poor Act is commonly called the water earmark, but as noted above, is referred to herein as the water directive. Congressional committee reports provide further detail of congressional intent regarding appropriations. Appropriations bills and committee reports are available at <http://thomas.loc.gov/home/approp/app14.html>.

ii. Building a USAID WASH Budget

Building the Foreign Assistance budget involves eight distinct phases before funds can be obligated: Mission Resource Request (MRR); Bureau Resource Request (BRR); USAID Proposal; Office of Management and Budget (OMB) Submission; Congressional Budget Justification (CBJ); Congressional Appropriations; 653(a) Report; OPs.

Funding for WASH is comprised of three broad types of budget data:

- Direct allocations made under element 3.1.8: *Water Supply, Sanitation, and Hygiene of the Foreign Assistance Framework*
- Direct allocations made under sub-element 3.1.6.8: *Household Level Water, Sanitation, Hygiene, and Environment of the Foreign Assistance Framework*
- Crosscutting attributions from any other part of the Foreign Assistance Framework

However, not all types of data are collected in all phases of budget formulation. While direct allocations of 3.1.8: *Water Supply, Sanitation, and Hygiene* are made in all phases of budget formulation, direct allocations of 3.1.6.8: *Household Level Water, Sanitation, Hygiene, and Environment* and crosscutting attributions from other parts of the framework are not identified until the CBJ phase.

iii. **Programming WASH Activities**

After Congress appropriates funds, the Agency must reconcile the structure of the appropriated funding – along with directives – with the Agency’s operations. This reconciliation results in a 653(a) report to Congress in which the Agency details how it will meet directives and otherwise spend funding, down to the Operating Unit level.

Operating Units are required to meet these allocations, and failure to do so can result in delay or disapproval of OPs. As part of the Strategy roll-out process, the Strategy Implementation Group has developed updated water directive guidance that will be applicable to FY 2014 programming. FY 2014 Directive Guidance for Missions and Operating Units is included in Annex 6.

Throughout the Strategy’s implementation period, the Strategy Implementation Group will work in consultation with F and BRM on annual directive requirements and with Operating Units on compliance of proposed programming. **As the Strategy calls for a greater amount of selectivity and focus, Operating Units will be required to program in accordance with their country priority designation for SO1.**

B. **SO2: Primary Considerations**

The Strategy also emphasizes the sustainable management of water for agriculture to enhance food security. Missions programming under SO2 will be required to leverage resources in support of more efficient use of water for agriculture. Multiple funding sources can be used to leverage such support, including those from FTF, Global Climate Change Initiative, Biodiversity, and other water- and food-related discretionary programs.

V. Reporting

A. Operational Plans (OPs)

Operating Units are required to specify how planned mechanisms align with the Strategy in their OPs. In the event that planned mechanisms do not align with the Strategy, Operating Units must receive clearance through the exceptions process in Section II.D.iii. Representatives from the Strategy Implementation Group will review and comment on OPs to ensure alignment with the Strategy.

Operating Units are also required to ensure that quantitative data on resource allocations contribute to the appropriate Objectives and Program Areas within the Foreign Assistance Framework for each SO, with various elements and sub-elements that explicitly specify water-related activities or implicitly allow their inclusion.

SO1: 3.1.8 and 3.1.6.8

SO2: 4.5 and 4.8

Operating Units are also required to ensure that attributions and qualitative data are reported through Key Issue narratives. The Key Issues related to the Strategy have been redefined and two SO-linked Key Issues have been established: WASH and Water for Food (WF). Other water-related Key Issues, including Watershed/Water Resources Management (WRM) and Water Productivity (WP) remain, but are not associated with the Strategy.⁷

B. Performance Plan and Reports (PPRs)

Operating Units are required to report on results annually to F through PPRs. Every November-December, Operating Units report both quantitative and qualitative data through the PPR process. Indicator results and out-year targets should reflect those specified in Section II.D.iv.

PPR reporting includes USAID contributions to partnerships. Where USAID is a co-financer to larger projects and initiatives, Operating Units should disaggregate data to report on the USAID share of partnership results as well as total results from the partnership.

PPR reporting also includes enumeration of planned, ongoing, and completed evaluations. All water-related evaluations should be entered in the PPR's Evaluation Registry.

C. Water for the Poor Act Report

The overall strategy for USG-supported water-related activities was articulated in the Water for the Poor Act of 2005. Per the requirements of the Water for Poor Act, USAID reports annually, through the U.S. Department of State, on progress made toward achieving the objectives of the Act.

Data is pulled from the OPs and PPRs of Operating Units to track allocations, attributions, and performance results on water programming within the Agency at large. FY 2014 will mark the first time that Strategy results will be included in the annual report.

⁷ Official Key Issue Guidance will be released by F during the FY 2014 OP process at <http://f.state.sbu>.

VI. Agency Resources

- Water Point
- Suite of training programs available through E3, Global Health, and BFS
- Mechanisms (Water and Development IDIQ, etc.)
- Agency-wide Programming Guidance (<http://programnet.usaid.gov>)
- Water-related programming in conflict-affected or fragile environments:
 - Water and Conflict Toolkit. USAID. February 2014. Available at: <http://www.usaid.gov/what-we-do/working-crises-and-conflict/technical-publications>:
 - How-to Guide to Conflict Sensitivity. Conflict Sensitivity Consortium, February 2012. Available at: http://www.conflictsensitivity.org/sites/default/files/1/6602_HowToGuide_CSF_WEB_3.pdf:
 - Climate Change and Conflict: An Annex to the USAID Climate Resilient Development Guide. United States Agency for International Development. September 2013. Available at: <http://www.usaid.gov/what-we-do/working-crises-and-conflict/technical-publications>

Additional Information

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ANNEX I. Performance Indicators

Table I.1. Intermediate Results and Corresponding FACTS Indicators

| | |
|---|--|
| <p>IRI.1 – Increase first time and improved access to sustainable water supply</p> | <p>3.1.8.1-2: Number of people gaining access to an improved drinking water source⁸ 3.1.8.1-3: Number of people receiving improved service quality from existing improved drinking water sources 3.1.8.1-1: <i>Percent of households using an improved drinking water source</i> 3.1.8.3-1: <i>Number of policies, laws, agreements, regulations, or investment agreements (public or private) that promote access to improved water supply and sanitation</i> 3.1.8.4-1: <i>Public sector expenditures on drinking water and sanitation as a percentage of national budget</i> 3.1.8.5-1: <i>Percent of a drinking water utility’s supply that is non-revenue</i> 3.1.8-3I: <i>Percent of population using an improved drinking water source</i> 3.1.8-33: <i>Percentage of children under five who had diarrhea in the past two weeks</i></p> |
| <p>IRI.2 – Increase first time and improved access to sustainable sanitation</p> | <p>3.1.8.2-2: Number of people gaining access to an improved sanitation facility 3.1.8.2-1: <i>Percent of households using an improved sanitation facility</i> 3.1.8.2-3: <i>Number of improved toilets in institutional settings</i> 3.1.8.3-1: <i>Number of policies, laws, agreements, regulations, or investment agreements (public or private) that promote access to improved water</i> 3.1.8.4-1: <i>Public sector expenditures on drinking water and sanitation as a percentage of national budget</i> 3.1.8-32: <i>Percent of population using an improved sanitation facility</i> 3.1.8-33: <i>Percentage of children under five who had diarrhea in the past two weeks</i> 3.1.6.8-3: <i>Percent of population in target areas practicing open defecation</i> 3.1.6.8-4: <i>Number of communities certified as “open defecation free” (as a result of USG assistance</i></p> <p>Recommended custom – Number of individuals trained to implement improved sanitation methods</p> |
| <p>IRI.3 – Increase adoption of key hygiene behaviors</p> | <p>3.1.6.8-2: <i>Percent of households in target areas practicing correct use of recommended household water treatment technologies</i> 3.1.6.8-4: <i>Number of liters of drinking water disinfected with point-of-use treatment products (as a result of USG assistance)</i></p> <p>Recommended custom – Number of households with soap and water at a hand-washing station commonly used by family members in USG assistance programs⁹</p> |

⁸ Bold indicators denote those that will be used to track the Agency’s progress toward meeting the Strategy’s SOI targets of reaching 10 million people with first time and improved access to sustainable water supply and 6 million people with first time and improved access to sustainable sanitation.

⁹ While 3.1.6.8-1 was dropped as a standard indicator in FY 2014 because it is tracked nationally in both the Demographic and Health and Multiple Indicator Cluster Surveys, Operating Units should continue to use it as a custom indicator if handwashing promotion is part of their WASH programming.

ANNEX 2. Priority Country Lists

Table 2.1. SO1: Water for Health Priority Countries

| Region | Tier 1 | Tier 2 | Tier 3 Strategic Priority |
|----------------------------------|--|---|---|
| Africa | Ethiopia Kenya Liberia South Sudan Nigeria | DRC Ghana Malawi Mali Mozambique | Rwanda Senegal Tanzania Uganda Zambia |
| Asia/ Middle East | Indonesia | Bangladesh India Nepal Philippines Cambodia | West Bank/Gaza Jordan Lebanon Yemen |
| Afghanistan & Pakistan | | | Afghanistan Pakistan |
| Latin America & the Caribbean | | Haiti | |

Table 2.2. SO2: Water for Food Priority Countries

| Region | Water for Food Prioritization |
|----------------------------------|---|
| Africa | Ethiopia Ghana Kenya Liberia Malawi Mali |
| Asia/ Middle East | Mozambique Rwanda Senegal Tanzania Uganda Zambia |
| Latin America & the Caribbean | Bangladesh Cambodia Nepal Tajikistan |
| | Guatemala Haiti Honduras |

ANNEX 3. Frequently Asked Questions (FAQ)

1. **How were the priority countries selected? What methodology was utilized and who within the Agency provided input and/or clearance?**

The Strategic Objective 1 (SO1) priority countries were identified through an analysis that took into account: 1) the country's need and vulnerability as evidenced by the proportion of the population without access to improved water supply, sanitation, and hygiene (WASH) services and key health indicators; and 2) the host country's opportunity and potential to achieve significant impact (a qualitative analysis by water specialists familiar with the Missions' programs). The Strategy Implementation Working Group agreed upon an initial list that was then circulated within the Regional and Pillar Bureaus. Ultimately, the Water Sector Council (composed of Senior Management/Deputy Assistant Administrators from relevant bureaus) reviewed and approved the draft list. The countries on the list represent a diverse spectrum of the current level of development in the sector, as well as potential opportunity to make significant headway. It is recognized that the Strategy will be applicable to each in a distinct way.

The SO2 countries were selected by assessing Feed the Future (FTF) country prioritization and the extent to which FTF priority countries have significant water issues (large scale irrigation schemes, significant arid/semi-arid zones, increasing variability of rainfall).

2. **When will the list of priority countries be finalized?**

Currently, Kenya, Ethiopia, Indonesia, South Sudan, Nigeria, and Liberia have committed to Tier I status. Note that the list is not meant to be fixed for the life of the Strategy. Based on regular assessment and discussion with Missions, countries may shift between tiers based on country contexts and Mission and Agency priorities.

3. **If an SO1 priority country is also a SO2/FTF country, what does this mean for its work in relation to both SO1 and SO2?**

Designation as a SO1 priority country does not preclude a Mission from focusing on SO2. The Strategy envisions increased integration and holistic attention to the various uses of water, as appropriate to the country and Mission priorities. The SO1 country priority ranking process and the three tiers specified help us prioritize work on water for health and specifically to help direct earmarked funds in a more concentrated manner. There is no directive or earmark for SO2/water for food, but we anticipate that SO2 efforts will focus on agricultural resilience and productivity elements that would primarily be funded with food security funding or climate adaptation funding.

4. **The criteria for Tier I countries notes that there should be pre-existing conditions which include an “opportunity which would enable additional USAID resources and focused programming to result in WASH development impacts at national scale.” Does this imply that Tier I countries are intended to work throughout the country, as opposed to within select geographies?**

No country will have sufficient resources to support direct field activities (i.e., service delivery investments, infrastructure construction) across the entire country. However, it is expected that Tier I countries will identify specific geographies or “zones of influence” that are of strategic significance and

have potential for significant impact. It is also expected that the primary means of achieving impact at the national scale will be through improved policies that promote a national enabling environment and/or improved sustainability (in terms of service delivery, environmental management, or climate resilience). It is expected that Tier I countries will combine direct investments in infrastructure with complementary enabling environment efforts to have broader impact outside the targeted geographies receiving direct field support. We would also expect Mission participation in country-led donor coordination exercises related to water and sanitation programming.

5. The criteria for priority countries note that, “countries should expect that WASH earmark funding will increase.” What does this mean in practice? Does increased earmark also imply increased discretionary funds?

Based on Mission feedback and consultations with the Office of Budget and Resource Management (BRM) and the Regional Bureaus, priority countries will no longer be expected to program at specific dollar thresholds. Given the current budget climate, an increased water earmark does not imply increased discretionary funding. Recognizing programming constraints across the Agency, the Strategy Implementation Working Group will work individually with each country to determine their potential and interest in taking on additional water earmark. This may be a step-wise process for some countries depending on their programming cycle and the degree of flexibility they have given current directives. Through the 653(a) process, representatives from all relevant bureaus will participate in discussions and decisions for allocating water earmark allocations across priority countries.

6. The criteria for priority countries notes that, “water/WASH must be explicit in the results framework” of the Country Development Cooperation Strategy (CDCS). If a country has previously finalized its CDCS without explicit inclusion of Water/WASH, what process has been identified for amendments?

If a priority Mission’s CDCS does not currently include recognition of water/WASH, we have identified the following process, through ADS 201.3.7 (Changes to the CDCS), to ensure that the Mission’s intent is documented for existing and incoming staff, auditors, other personnel, and new partners. If changes are needed to the development hypothesis or the Results Framework, the Mission should capture those changes within its own documentation. We anticipate that changes related to water/WASH will be made at this level. If substantive changes at the Development Objective (DO) or Goal level are made, Missions are required to prepare and submit a short justification memorandum to Washington for Regional Bureau approval and Bureau for Policy, Planning, and Learning (PPL) and BRM clearance. If the substantive changes at the DO or Goal level have significant resource implications, the Mission must also submit an updated “program resources and priorities” section, including updated budget scenarios, in addition to a short justification.

7. What resources (technical, financial, etc.) will be available to Missions?

The Agency is developing several support mechanisms and resources to help Missions to program in alignment with the Strategy. Specifically, all countries will have access to the following Washington-funded resources, among others:

- Water and Development Strategy Implementation Field Guide
- Webinars on operationalizing the Strategy
- Opportunity to buy-in to the soon-to-be-awarded Water and Development IDIQ, which has a ceiling of \$1 billion and can apply to SO1, SO2, and WRM

- Opportunity to buy into the flagship Environmental Health Activity, WASHplus, through FY 2015
- Water Point, the Agency's new central repository for water-related information (under development)
- Technical Assistance (TA) from Washington for water program design and implementation efforts

Priority countries will also have access to:

- Strategy-related briefing by USAID Global Water Coordinator Chris Holmes and Washington technical staff
- Country assessments and sustainability analyses provided through USAID support (Tier I countries only)
- Significant TA from Washington for water program design and implementation efforts, including TA for impact evaluation design with possible co-funding

8. If a Mission has recently designed or begun implementation on a program prior to Strategy release, what are the expectations in terms of program modification to be in alignment with the Strategy?

Missions are in various stages of the program cycle and not all need to or are able to make immediate or substantive changes to their programs. In addition, many Missions have undertaken new project design efforts in recent months with the Strategy in mind. Rather than mandating imminent, significant changes to existing programs, the Strategy and related resources are meant to serve as a guide towards more focused, strategic, and impactful water programs. TA will be made available for Missions that would like to modify existing programs to ensure stronger alignment with core elements of the strategy (e.g., increased focus on gender dimensions in the sector, heightened investments in sanitation, integration of sustainability elements, etc.).

9. What additional reporting requirements will be put in place for priority countries? How has Washington considered the Agency-wide streamlining of reporting and planning as part of this effort?

Washington has strongly considered streamlining of reporting and planning for priority countries under both SO1 and SO2. All priority countries will be expected to report planned programming via Operational Plans (OPs) and annual results via Performance Plan and Reports (PPRs) as in the past. For SO1 priority countries, Washington will review WASH programming as part of existing Mission portfolio review processes. Similarly, Washington will review SO2 water for food programming as part of existing FTF portfolio review processes.

10. How has the Agency defined “sustainability” or “sustainable” in terms of the Strategy? What are the expectations of Missions in terms of “sustainable water programs”?

The Agency is collaborating with other donors, research institutions, and PPL to develop a shared understanding of sustainability in the context of WASH services and water resources. A working paper has been developed that will be distilled into brief field guidance specific to WASH. The paper and guidance will be supplemented with additional information on Water Point. Guidance on definitions, ways to program for effectively sustained service, indicators, monitoring options, tools available in the sector, and relevant applications will be provided.

11. In light of the Strategy, are changes in the water earmark guidance expected in the near term?

The Congressional Directive for Water originally emanated from the Senator Paul Simon Water for the Poor Act. The Strategy Implementation Group has finalized guidance for the directive that clarifies how water directive funds should be programmed with an eye towards more consistent application of the directive across the Agency's water investments. The updated Operating Unit Guidance for the FY 2014 Water Directive is included in Annex 6.

12. The Strategy notes that, "USAID will highlight scaling up and strengthening its sanitation programs as a special area of focus in the Strategy." What are the expectations of the Missions in terms of programming in sanitation?

Due to low access statistics, most priority countries should include sanitation as a key element of their water, health, and nutrition activities. This means an increased emphasis and investment in sanitation in new or existing activities, especially if the Agency is to meet its 5-year target of reaching 6 million people with first-time access to sustainable sanitation services. Strategic investments are encouraged, including at-scale national or sub-national sanitation interventions to develop a strong enabling environment for sanitation improvement. Missions should seek to utilize communal approaches such as Community-led Total Sanitation (CLTS) and Sanitation Marketing (SanMark) rather than traditional house-by-house or community-by-community interventions, avoiding direct household subsidies for sanitation hardware.

13. The Strategy acknowledges the importance of monitoring and evaluation. What are the expectations of Mission's in regard to monitoring and evaluating their water programs?

Missions that have water programs should integrate evaluations into the design of projects, when applicable, for the purposes of accountability to stakeholders and learning to improve effectiveness. Evaluation requirements align with ADS 203, which states that each operating unit is required to conduct at least one performance evaluation of each large project it implements. In addition, any activity within a project involving untested hypotheses or demonstrating new approaches anticipated to be expanded in scale or scope through U.S. Government foreign assistance or other funding sources will, if feasible, undergo an impact evaluation. ADS 203 also outlines the requirements for performance monitoring of projects and programs.

14. What role will partnerships have in the implementation of the Water and Development Strategy?

The Strategy emphasizes increasing partnerships to attain the targets of the two SOs. One of the eight operational principles is to leverage "solution holders" and partner strategically. The Strategy encourages coordination with non-governmental organizations, civil society, the private sector, local and national governments, and international donors. It supports a more concerted effort to encourage strategic relationships with bilateral and multilateral donors and to leverage support through multilateral development banks and credit authority mechanisms. The Strategy explains that, "partnerships will help develop innovative approaches to financing and should focus on promoting market-based models of service delivery." Finally, programs will be more sustainable when partnering with local organizations.

ANNEX 4. SO2 Indicators and Targets

The four standard indicators in Table 4.1 are congruent with SO2, the development goals of Feed the Future (FTF), and two critically important USAID program areas: Building resilience to recurrent crisis¹⁰ and adaptation to climate change.¹¹

The most important step in selecting Agriculture Water Management (AWM) strategies that will directly contribute to meeting SO2 is the completion of a water resource sustainability assessment (WRSA) (4.5.2-41). See Annex 5 for Checklist for Agricultural WRSA.

Indicator 4.5.1-28 is the only indicator specific to IR2.2. It reports on the land area under improved or new irrigation and drainage services. Indicators 4.5.2-2 and 4.5.2-34 are applicable to both IR2.1 and IR2.2.

Indicator 4.5.2-34 is disaggregated by the type of risk-reducing practice. For example, practices and actions will aim to improve water quality, supply, and efficient use under anticipated climate variability and change. Since this indicator is also disaggregated by sex, the data can provide an idea of who key stakeholders are, as well as what they do within a given context.

Indicator 4.5.2-2 is disaggregated by specific technology or practice; allowing for the assessment of individual contributions of irrigation, water management, and soil-related practices. However, this indicator allows double counting, therefore the target for this indicator was derived by using the largest contributor (in terms of land area) among the three.

The algorithm below can be used to determine the number of people whose lives are improved as a result of more sustainable and productive use of water in agriculture. Solution of the algorithm requires data from the FTF Monitoring System (FTFMS) and household surveys taken in the FTF Zones of Influence (ZOI). Because new and continuing area under improved practices may be double counted, this algorithm is designed to target the minimum area under improvement:

$$B = A \frac{N}{N+C} \frac{HH}{F}$$

Where:

B = Number of beneficiaries from improved AWM for a specific fiscal year (people)

A = Area of largest contributor to measured practices/technologies [soil management, irrigation, water management] (hectares)

N = Amount of new land under improved technologies/practices (hectares)

C = Amount of land where use of improved technologies/practices is continuing (hectares)¹²

F = Average farm size in the ZOI (hectares/household)

HH = Average household size for the ZOI (people/households)

¹⁰ USAID Building Resilience to Recurrent Crisis: USAID Policy and Program Guidance, Dec. 2012. Available at: <http://www.usaid.gov/news-information/press-releases/usaid-launches-policy-and-program-guidance-building-resilience-0>.

¹¹ USAID Climate Change and Development Strategy: Clean Resilient Growth. Available at: <http://www.usaid.gov/content/global-climate-change/usaid-global-climate-change-and-development-strategy>

¹² New indicates that, as a result of USG assistance, a farmer or other beneficiary first applied the technology or practice during the current reporting year. Similarly, *continuing* indicates that land area reported in previous year as a result of USG assistance is continuing to apply technology/practice in the current reporting year. FTF Indicators Guide, Sept. 2013, page 35.

Table 4.1. SO2 Indicators and Targets

| INDICATOR | TARGET ¹³ | NOTES |
|--|--|--|
| 4.5.2-41 – Number of water resources sustainability assessments (WRSA) undertaken | Completion of 20 WRSAs by FY 2018 | Desirable to see all projects completing a WRSA as part of an Initial Environmental Examination |
| 4.5.1-28 – Hectares (ha) under new or improved/ rehabilitated irrigation and drainage services as a result of USG assistance | 250,000 ha by FY 2018 (50,000 ha annually) | |
| 4.5.2-2 – Number of ha under improved technologies or management practices as a result of USG assistance | 1,000,000 ha by FY 2018 (200,000 ha annually) | Using the algorithm in text, this translates into 2,000,000 people benefiting from improved Agricultural Water Management (AWM) (400,000 people annually) |
| 4.5.2-34 – Number of stakeholders implementing risk-reducing practices/ actions to improve resilience to climate change as a result of USG assistance | 125,000 stakeholders by FY 2018 | Since indicator is disaggregated by practice/action, this means 125,000 stakeholders benefiting from endeavors that improve water quality, supply, and efficiency of use |

¹³ Targets determined using FTFMS data for FY 2013 (actuals) and FY 2014-16 (targets).

ANNEX 5. Checklist for Agricultural Water Resources Sustainability Assessment (WRSA)

The most important step in selecting contextually appropriate agricultural water management (AWM) strategies that will directly contribute to meeting SO2 is the completion of a water resource sustainability assessment (WRSA) (4.5.2-41). A WRSA helps Operating Units prioritize investments and fosters a broader approach to integrated water resources management. The following checklist for a WRSA promotes building in sustainability from the start and should be used throughout a project lifecycle to determine progress towards desired results and outcomes.

Table 5.1. Checklist for Agricultural Water Resources Sustainability Assessment (WRSA)

| Scale: Field to Basin | Planning: Inventory, Identification, and Preparation | Planning: Design and Appraisal | Implementation: Performance Assessment/ Monitoring | Completion and Evaluation |
|--------------------------------------|---|---|--|---|
| Natural Resource Availability | <p>Water</p> <ul style="list-style-type: none"> Water resource availability and accessibility at point of use Depth to water table (m) and aquifer productivity (L s⁻¹) Surface water: flow rate, seasonality <p>Climate</p> <ul style="list-style-type: none"> Annual and seasonal precipitation (mm) Maximum/minimum air temperature Arid, semi-arid, or humid Projected changes in precipitation (amount/ timing) and temperature <p>Landscape</p> <ul style="list-style-type: none"> Highly erodible and/or hilly? Biodiversity, tree/forest cover Area in cash/staple crops <p>Soils</p> <ul style="list-style-type: none"> Water-holding capacity (sand, loam, clay) Fertility | <p>Determine if resource will be sustainable over time (project and post-project)</p> <ul style="list-style-type: none"> Calculate project resource needs How will project affect resource base in terms of quality and quantity? Assess how changes in demography and competing uses will affect quality and quantity of water resources available for project How will climate variability and change affect resources for project? For example: Will minimum temperatures exceed optimum for rice flowering? Will maximum temperatures exceed optimum for maize germination? Will maximum temperatures and changes in cover, etc., adversely affect evapotranspiration? Will rainfall patterns shift, resulting in | <ul style="list-style-type: none"> Assess how project is affecting resource quality and quantity Modify changes in resource availability and use projections as needed | <ul style="list-style-type: none"> Resource base sustained |

| | | | | |
|--|--|--|---|---|
| | | more flood or drought events, or changes in the timing of seasons? | | |
| Technologies and Practices | <p>Current Technologies/ Practices</p> <ul style="list-style-type: none"> Animal (including wildlife), crop, and soil Capture/store/lift/apply water for agriculture <p>Inputs</p> <ul style="list-style-type: none"> Type/amount/frequency Roads, communications, etc. Weather and climate information/forecasts | <ul style="list-style-type: none"> Are local/traditional agricultural systems, practices, and technologies resilient to climate variability and change and market perturbations? For example: Are erosion control measures capable of more intense/frequent rainfall? Are farming systems comprised of diverse components? What are best-fit AWM technologies/ practices given context (including different roles of men and women?) Can current systems/ technologies/ practices in use by stakeholders be modified to conform to best-fit AWM? Are farmers able to access usable climate information and weather forecasts to inform their decision making? | <ul style="list-style-type: none"> Best-fit AWM technologies and practices in use by women and men | <ul style="list-style-type: none"> Efficient and/ or productive use of water resources by women and men |
| Socio-cultural and market environment | <p>Stakeholders</p> <ul style="list-style-type: none"> Competing uses/users Gendered division of agricultural resource management between men and women <p>Market</p> <ul style="list-style-type: none"> Type/distance Supply chains for operation & maintenance (O&M) Access by sex of user/ stakeholder | <ul style="list-style-type: none"> Stakeholder (sex-disaggregated) input into decisions on water use and management and competing demands within context that affect access to water | <ul style="list-style-type: none"> Monitor how project is perceived by stakeholders (sex-disaggregated) on user needs and demand | <ul style="list-style-type: none"> Satisfaction among stakeholders (men and women) with respect to project participation |

| | | | | |
|---|--|---|--|--|
| Infrastructure and Governance | <p>Legal and Customary Systems</p> <ul style="list-style-type: none"> • Security of access to and control over water and land (sex-disaggregated) • Water users associations, advisory services • Roles, effectiveness of government policies and institutions • Roles, effectiveness of private sector service providers <p>Financial</p> <ul style="list-style-type: none"> • Tariff structure • Cost recovery (incentives?) | <ul style="list-style-type: none"> • Mechanisms for equitable security of access to water resources • Emphasis on women's participation and decision-making in groups | <ul style="list-style-type: none"> • Monitor changes in regulatory environment • Assess participation of women in groups based on active role, not simply attendance | <ul style="list-style-type: none"> • Equitable security of access to water resources • Women have equitable decision-making roles in management of water resources |
| Capacity Development/Enhancement | <p>AWM & NRM Compliance</p> <ul style="list-style-type: none"> • Participatory needs assessment (sex disaggregated) • Knowledge, awareness, practice of AWM and Natural Resource Management (NRM) • Awareness of projected climate change impacts that could affect water availability, agricultural production, and market access | <ul style="list-style-type: none"> • Training designed and methods identified to meet specific needs of women and men | <ul style="list-style-type: none"> • Monitor change in AWM and NRM competence in men and women (users/stakeholders) | <ul style="list-style-type: none"> • Knowledge, awareness, and practice of AWM/ NRM/climate change adaptation by men and women |

ANNEX 6. Operating Unit Guidance for the FY 2014 Water Directive

FY 2014 Appropriations Act language states, “Of the funds appropriated by this Act, not less than \$365,000,000 shall be made available for water and sanitation supply projects pursuant to the Senator Paul Simon Water for the Poor Act of 2005 [Public Law 109–121].”

Background

The purpose of this directive is to increase sustainable access to safe drinking water and sanitation and improve hygiene. The USAID Water and Development Strategy focuses Agency water programming on the overarching goal of saving lives and advancing development. To do so, the first Strategic Objective (SO1) of the Strategy seeks to improve health outcomes through the provision of sustainable water supply, sanitation, and hygiene (WASH). Water directive funds associated with the Water for Poor Act are intended to support SO1.

General Requirements

Beginning in FY 2014, eligible activities under the directive should be linked to the achievement of the three intermediate results (IRs) included under SO1:

- IR1.1 – Increase first time and improved access to sustainable water supply
- IR1.2 – Increase first time and improved access to sustainable sanitation
- IR1.3 – Increase adoption of key hygiene behaviors

Eligible activities must demonstrate impact through objectively verifiable indicators linked to these results. To the extent possible, the use of common FACTS indicators is encouraged. For those interventions that do not lend themselves to the standardized FACTS indicators, activity managers may also develop customized indicators to track progress. IRs and corresponding FACTS indicators are noted in Table 6.1.

Table 6.1. Intermediate Results and Corresponding FACTS Indicators

| | |
|---|--|
| <p>IR1.1 – Increase first time and improved access to sustainable water supply</p> | <p>3.1.8.1-2: Number of people gaining access to an improved drinking water source¹⁴</p> <p>3.1.8.1-3: Number of people receiving improved service quality from existing improved drinking water sources</p> <p>3.1.8.1-1: <i>Percent of households using an improved drinking water source</i></p> <p>3.1.8.3-1: <i>Number of policies, laws, agreements, regulations, or investment agreements (public or private) that promote access to improved water supply and sanitation</i></p> <p>3.1.8.4-1: <i>Public sector expenditures on drinking water and sanitation as a percentage of national budget</i></p> <p>3.1.8.5-1: <i>Percent of a drinking water utility’s supply that is non-revenue</i></p> <p>3.1.8-31: <i>Percent of population using an improved drinking water source</i></p> <p>3.1.8-33: <i>Percentage of children under five who had diarrhea in the past two weeks</i></p> |
|---|--|

¹⁴ Bold indicators denote those that will be used to track the Agency’s progress toward meeting the Strategy’s SO1 targets of reaching 10 million people with first time and improved access to sustainable water supply and 6 million people with first time and improved access to sustainable sanitation.

| | |
|---|---|
| <p>IRI.2 – Increase first time and improved access to sustainable sanitation</p> | <p>3.1.8.2-2: Number of people gaining access to an improved sanitation facility 3.1.8.2-1: <i>Percent of households using an improved sanitation facility</i> 3.1.8.2-3: <i>Number of improved toilets in institutional settings</i> 3.1.8.3-1: <i>Number of policies, laws, agreements, regulations, or investment agreements (public or private) that promote access to improved water</i> 3.1.8.4-1: <i>Public sector expenditures on drinking water and sanitation as a percentage of national budget</i> 3.1.8-32: <i>Percent of population using an improved sanitation facility</i> 3.1.8-33: <i>Percentage of children under five who had diarrhea in the past two weeks</i> 3.1.6.8-3: <i>Percent of population in target areas practicing open defecation</i> 3.1.6.8-4: <i>Number of communities certified as “open defecation free” (as a result of USG assistance)</i></p> <p>Recommended custom – Number of individuals trained to implement improved sanitation methods</p> |
| <p>IRI.3 – Increase adoption of key hygiene behaviors</p> | <p>3.1.6.8-2: <i>Percent of households in target areas practicing correct use of recommended household water treatment technologies</i> 3.1.6.8-4: <i>Number of liters of drinking water disinfected with point-of-use treatment products (as a result of USG assistance)</i></p> <p>Recommended custom – Number of households with soap and water at a hand-washing station commonly used by family members in USG assistance programs¹⁵</p> |

Eligible Activities

To achieve the abovementioned intermediate results, USAID operates on the development hypothesis that sustainable WASH programs have the greatest impact on health when a balance of the following three elements is achieved: 1) access to hardware is expanded (e.g., water and sanitation infrastructure and hygiene commodities); 2) behavior change related to WASH practices is improved; and 3) enabling policy and institutional environments are enhanced. Directive attributable work should ideally support interventions within all three areas, but with different levels of effort by different Operating Units as determined by the development context, cost-benefit analysis, and USAID comparative advantage.

Activities that contribute to the sustainable availability and climate resilience of drinking water supply sources are encouraged under the water directive. Activities in non-directive sectors are appropriately attributed to the directive if they show a demonstrable means of achieving SOI results.

¹⁵ While 3.1.6.8-1 was dropped as a standard indicator in FY 2014 because it is tracked nationally in both the Demographic and Health and Multiple Indicator Cluster Surveys, Operating Units should continue to use it as a custom indicator if handwashing promotion is part of their WASH programming.

Operating Plans

Missions and Operating Units are required to specify how planned and/or ongoing mechanisms meet their FY 2014 653(a) directive allocation in the annual Operational Plan (OP).

Missions and Operating Units should ensure that quantitative data on water directive resource allocations contribute to the appropriate Objectives and Program Areas within the Foreign Assistance Framework. For water directive-funded activities these include:

- 3.1.8: *Investing in People Objective/Health Area, Water Supply and Sanitation Element, all sub-elements*
- 3.1.8.6: *Investing in People Objective/Health Area, Maternal and Child Health Element, Household Level Water, Sanitation, and Hygiene sub-element*

Multiple programs (e.g., global climate change, democracy and governance, education, food security, and discretionary programs) may also be attributed to the directive. However, attributions will only be accepted insofar as they meet the requirements and eligibility conditions specified above. Further, attributions should be made to the WASH Key Issue to track the IRs under SOI of the Strategy. Partial water directive attributions may also be made under the Water Productivity (WP) and Water Resources Management (WRM) Key Issues. However, such attributions must also show a demonstrable link to WASH-related results, as specified in the requirements and eligibility conditions above.



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