



ENDLINE EVALUATION

Women-Led Output-Based Aid (WOBA) Vietnam Water for Women Fund (Australian Department of Foreign Affairs and Trade)

Evaluation Report

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TABLE OF CONTENTS

ACKNOWLEDGEMENT	2
LIST OF FIGURES	5
LIST OF TABLES	5
LIST OF ABBREVIATIONS	5
EXECUTIVE SUMMARY	7
1. WOBA PROJECT DESCRIPTION	12
1.1 WOBA Vietnam.....	12
1.1.1 Program objectives	12
1.1.2. Program’s Theory of Change and Strategies.....	12
1.1.3 Program Key Activities	13
1.1.4 Program Outcomes	14
2.2 Australian Aid (DFAT) support.....	14
2. Endline Evaluation	14
2.1 Purpose.....	14
2.2 Key evaluation questions and scope.....	14
2.3 Evaluation audience and users	16
3. Methodology	16
3.1 Evaluation approach	17
3.2 Methods of data collection	18
3.3 Analysis	21
3.3 Ethical practice.....	22
3.5 Limitations.....	22
4. KEY FINDINGS	23
4.1. Relevance	23
4.2. Efficiency	40
4.3.Effectiveness	50
5.4 Impact	58
4.5. Sustainability.....	66
6 LEARNT LESSONS AND RECOMMENDATIONS	71
6.1 Learnt lessons	71
6.2 Recommendations	72
ANNEX 1. Standard 5: Independent Evaluation Plans	73

ANNEX 2: WOBA Vietnam Theory of Change	74
ANNEX 3: Evaluation criteria, key evaluation questions, data methods and analysis.....	75
ANNEX 5: Endline Evaluation Schedule.....	88
ANNEX 6: DATA COLLECTION TOOLS	94

LIST OF FIGURES

Figure 1. Numbers of Latrines built under WOBA	41
Figure 2. Numbers of Latrines Built under WOBA	41
Figure 3. No barrier to access or use latrines	54
Figure 4. No barrier to access or use clean water	55
Figure 5. Number of latrines built under WOBA.....	59
Figure 6. Number of water connections installed under WOBA	59

LIST OF TABLES

Table 1. Sampling strategy for all stakeholder groups.....	19
Table 2. Sample frame for stakeholder groups.....	20
Table 3. Sample frame of the household survey	21
Table 4. The Interventions/Activities for Each Project Outcomes.....	28
Table 5. Subsidies and incentives paid for the sanitation component for the whole project (based on EMW finance information)	42
Table 6. Subsidies and incentives paid for the water component for the whole project (based on EMW finance information)	42
Table 7. Number of WU's member involved WOBA.....	45
Table 8. Average cost of latrine and family savings used to pay latrine (per verification data).....	53

LIST OF ABBREVIATIONS

CHOBA	Community Hygiene Output-Based Aid (a previous EMW project)
CPC	Commune People's Committee
CWU	Commune Women's Union
DFAT	Department of Foreign Affairs and Trade
DOH	Department of Health
DOLISA	Department of Labor, Invalids and Social Affairs
DONRE	Department of Natural Resources and Energy
DPC	District People's Committee
DPO	Disabled People's Organization
DWU	District Women's Union
EMW	East Meets West
FSM	Fecal Sludge Management
GESI	Gender and Social Inclusion
HH	Household
ISF-UTS	Institute of Sustainable Future – University of Technology Sydney
MARD	Ministry of Agriculture and Rural Development
MOH	Ministry of Health
MOLISA	Ministry of Labor, Invalids and Social Affairs
MONRE	Ministry of Natural Resources and Energy
NCERWASS	National Centre for Rural Water Supply and Sanitation
OBA	Output-Based Aid
PCERWASS	Provincial Centre for Rural Water Supply and Sanitation
PMB	Project Management Board

PPMB	Provincial Project Management Board
PPC	Provincial People's Committee
PWU	Provincial Women's Union
SANOBA	The name of the EMW/WU sanitation enterprise
VBSP	Vietnam Bank for Social Policies
VIHEMA	Vietnam Environmental Health Management Agency
VWU	Vietnam Women's Union
WASHOBA	Water, Sanitation and Hygiene Output-Based Aid
WOBA	Women-led Output Based Aid

EXECUTIVE SUMMARY

WOBA Vietnam

WOBA Vietnam is a project designed and implemented by Thrive/East Meets West (EMW) to address challenges and inequities in Vietnam's rural water, sanitation and hygiene (WASH) sector. It is funded by the Australian Department of Foreign Affairs and Trade (DFAT) through the Water for Women Fund over 4.5 years (June 2018 to December 2022) with a total budget of 5,893,086.43 Australian dollars.

WOBA Vietnam builds on the long history of DFAT's investment in the rural WASH sector in Vietnam, and the strong partnership between the Australian Embassy and EMW over the years. WOBA supports policy advocacy at national and sub-national levels in rural WASH, an area that aligns with DFAT's objectives for economic diplomacy in the sector.

The project has two objectives: (1) To increase access to equitable WASH services for the poor and marginalised (gender and social inclusion) communities in rural Vietnam; (2) To improve gender empowerment and inclusion of women through program implementation and decision making.

Endline Evaluation

The purpose of the Endline Evaluation is to assess the WOBA project using the OECD Development Assistance Committee (DAC) evaluation criteria including Relevance – Effectiveness – Efficiency – Impact - Sustainability. The findings will also be useful for the Water for Women Fund final reporting. The evaluation design also aims to test the assumptions of WOBA Vietnam's theory of change. The theory of change defined for WOBA Vietnam as set out in Annex 2 has been used to define evaluation priority areas of inquiry which in turn links to the key evaluation questions. The priority areas of this Endline Evaluation are:

1. Priority area 1: WASH services implemented using OBA focusing on the water component
2. Priority area 2: GESI approach and outcomes
3. Priority area 3: FSM Pilot
4. Priority area 4: Climate resilient water safety plan (CRWSP) pilot

All five provinces will be selected for the Endline Evaluation. Nghe An, Ha Tinh, Thanh Hoa and Ben Tre are the provinces with results in the water component. Ben Tre also has the FSM component.

Four data collection methods were employed across all areas of inquiry: document review, focus groups discussion, key informant interviews and survey. The data collection methods used in the evaluation for each of the priority areas. Analysis was undertaken for each evaluation priority areas and key evaluation questions and then integrated in the final stage of analysis to answer the key evaluation questions.

Limitations of the evaluation methods

There are several acknowledged limitations to the methods employed and were addressed as follows:

1. Timeline for the Endline Evaluation and data collection and analysis is short with little time for detailed analysis. This was mitigated by sampling strategy.

2. There was no baseline data for the whole project, which limits the comparisons between the baseline and endline to assess changes/impacts under WOBA. This was partially mitigated by asking KII participants to recall the situation at the beginning of the project.
3. Only some indicators (mainly WASH latrine and sanitation outputs) have targets. This makes it difficult to measure effectiveness in terms of activities' achieved targets. To address this issue, the evaluation team collected information by answering the questions: what relevant activity was performed and how the stakeholders evaluated the effectiveness of the activity?
4. Availability of stakeholders: This was mitigated by identifying stakeholders early and schedule consultations appropriate to their schedules. Preparation for field interviewing with the beneficiaries and WU in provinces was prepared well in advance. However, some scheduled meetings with authorities (such as leaders of DPC, CPC, VIHEMA) could not be carried out because they were too busy during the survey time.
5. About 20% of randomly selected HHs in samples couldn't be interviewed because these HHs were working far away from home, were busy at the survey time and some single woman/man households had passed away before the survey was conducted. Therefore, the replaced HHs were chosen from the spare samples or from the remaining HHs in the list if the spare samples were not enough.

KEY FINDINGS

Relevance

In general, WOBA Vietnam is consistent with Vietnam's policies in WASH and partners' and donors' policies. Specifically, WASH is one of the priorities under Vietnam's New Rural Development Program so it is easier to get involvement of all political system and local authorities in WOBA implementation. Three out of five intended outcomes are considered to promote and contribute to equitable WASH services for the poor and socially disadvantaged.

In each of five end of program outcomes (EOPO) as noted in the ToC, the interventions were designed according to the strategies of the project although many strategies are more like project activities. As a result, there are many overlaps in strategies (or activities) and indicators across the 5 Outcomes, and there is no M&E framework linking the strategies/activities to outputs, outcomes or impact. Overall, there is a lack of logic and coherence between the activities and indicators, and are mostly description of the activities rather than measures of outcomes.

The outputs and activities of WOBA are aligned with Vietnamese policies and supports the development strategies in WASH in Vietnam. The policy documents reviewed suggest that the output-based aid approach is considered by the Government of Vietnam (GoV) as a highly effective approach for reaching marginalised groups. WOBA thus has the potential for broadening OBA to phasing-in GoV budget.

Efficiency

The subsidies have been effective in reaching WOBA's targets of poor/near poor and GESI households' latrine uptake and water connections. It helps improve the environmental sanitation in the community. It also helps the community to achieve the target on environment of the New Rural Development Program. Under WOBA, up to September 2022, 20,000 latrines were completed, of which, about 75% for the poor and near poor HHs, 15% for the GESI HHs and the remaining for the non-poor HHs.

In general, the planned activities for each EOPO outcome have been completed on time. With outcome 1, WOBA has made significant efforts to advocate for co-financing agreement at the provincial level and with the local authorities' involvement, and WASH organizations and households. With outcome 2, all selected private and public water suppliers agreed and provided the subsidies for the target HHs, the project supported the WU in generating demand for non-poor households through sales commission. With outcome 3, the targets of water connections¹ and latrines have been achieved by the end of the project. With outcome 4, there are 2,049 WU staff who participated in WOBA, given that the WU is the key delivery partner of WOBA. There are 34 knowledge and learning documents disseminated to the stakeholders for the outcome 5. WOBA costs were 44,114 AUD less than approved budget, mainly due to exchange rate and WU (sub-awardee) activities.

Effectiveness

According to the project ToC and workplans, all activities and interventions relating to 5 EOPOs have been implemented except the activity that "NCERWASS coordinates the WOBA program with the Ministries (MARD & MONRE) and Departments in charge of climate change and environmental risk management". However, it is difficult to evaluate whether all outcomes have been achieved at the end of the project, mainly because of the lack of clear outcome indicators that link to the activities. Only Outcome 3 had clear indicators of built latrines and installed water connections, and part of Outcome 4 had indicators of the number WU staff mobilized and trained. The remaining outcomes did not have targets or indicators. Moreover, there is no baseline data (including quantitative and qualitative data) to evaluate what and how changes were expected or measured as a result of the project interventions. This is quite unfortunate, and although the MTR had suggested a number of recommendations for baseline data collection and log frame development, none of the recommendations were implemented. For outcome 3, the target 20,000 built latrines were achieved for the poor/near poor and GESI, and non poor HHs. The initial target of 7,100 installed water connections was not achieved although this target was revised to 6,943 few months before the project implementation end date., based on the decision of the WU and implementation situation in each province. 6943 water connections were achieved.

The OBA subsidies in WOBA brought the opportunities for many disadvantaged HHs to access the water and sanitation facilities. The subsidies were effective in reaching WOBA's targets of poor/near poor and GESI households' latrine uptake and water connections. It helps improve the environmental sanitation in the community. It also helps the community to achieve the target on environment of the New Rural Development Program. There has been also initial success in integrating the private sector into project implementation through the collaboration with WU at all levels.

Impacts

At the individual and household levels, with the construction of latrine and the provision of water connections, households have used latrines and tap water. At the organizational level, the WU has acquired some skills, changed attitudes towards work, and are generally more serious and careful in their work. The WU's voices are also respected more by the government authorities and other organizations.

¹ The number of installed water connections is a bit lower than the adjusted target.

Sustainability

It appears that the impacts of access to latrines and water connection could be sustained after WOBA, especially, accessibility accessories for PwD and the elderly in the latrine will continue to be introduced to households. The prestige of WU staff will be continued, in terms of the experience and reputation in supporting the vulnerable and disadvantaged groups. The OBA approach which Thrive/EMW has been working on in the last 30 years is considered better than the previous model of giving support to households in advance in the past, often applied by the localities. OBA approach is considered as a form of incentives for households to complete works for their own benefits.

The poor and socially disadvantaged still need the subsidies to build latrines or install the water connections. The Rural Development Program will push the authorities to encourage the different resources to provide latrines for all HHs. However, it is necessary to involve the local authorities to steer the departments and organizations to seek the resources and encourage the HHs to build latrine that is similar to WOBA. Therefore, the communities in the commune/district that the leaders are interested in WASH or when WASH is considered as their priority, HHs can be motivated to taking up WASH services.

With the private enterprises, they consider supporting the connection for disadvantaged households as their social responsibility, but not for their profit. The private water supply units also accept that poor households use a small amount of water and still connect water to these households. For the sanitation component, the continued maintenance of private entities is a major challenge due to the needs of households in accessing and using services provided by this group. Without creating market demand, private sector sanitation suppliers will not be able to connect to the poor and disadvantaged households.

Some local governments are willing to continue to provide subsidies and/or support businesses to continue to deliver WASH services to poor and socially disadvantaged households. Their willingness depends on the situation in each specific province. From the perspective of the WU, some provincial women's unions also wish to pilot the model similar to WOBA in some communes outside the WOBA project.

Learnt lessons

1. To achieve the goal of social inclusion, it is necessary to design the different subsidy levels to ensure all disadvantaged HHs can access to equal WASH services.
2. Communication strategy including different activities with different methods should be designed and conducted from the beginning of the project, in order for it to be effective
3. It is difficult to consider WU – a political organization - as an agent in the market, because they don't recognize that as it is against their organizational mandate
4. The involvement of the local authorities is very important to direct the WU and government agency to involve the project due to Vietnam's political structure
5. OBA approach is one of the models that can be applied for the disadvantaged HHs although subsidy levels need to be carefully designed.
6. The project interventions should be attached with the priorities of the local authorities such as New rural development program or National Target Programs for ethnic minority, to help allocate the resources during the implementation.
7. It is difficult to enhance the women's empowerment through the WU if the interventions only have the WU as delivery partner and the project uses the current political structure only.

8. There are various ways to enhance GESI (particularly for the PwD and the elderly) gaining access to latrine and clean water. It is necessary to introduce the concept and defined principles of GESI to the WU, other partners, and the HHs at the beginning of the project.
9. The targets for outcomes/outputs/interventions and baseline data are very important to serve evaluation and should be developed in a M&E framework in the project design.
10. Digital technology to manage the target beneficiaries should be used from the beginning of the project to help avoid overlapping cases or households that have received similar support from EMW in other projects such as CHOBA 1, CHOBA 2.
11. With FSM, it is necessary to conduct the communication on FSM as soon as possible. But it must last long enough for the communication activities to gain traction. Moreover, the messages on “How often does a septic tank need to be drained of sludge” should be considered carefully to ensure it is suitable with the weather and climate condition in Ben Tre in particular and the Mekong River Delta in general.
12. It is necessary to establish the Safety Water Supply Committee with the involvement of the local authorities and residents to ensure all stakeholders to be able to understand their rights and responsibilities to sustain the water supply system.

Recommendations

To sustain the results and effectiveness of the interventions under WOBA

1. Continue to conduct the communication activities beyond the project. The communication should focus on using latrines properly, using water safely and effectively.
2. Allocate the resources for the operation after the WOBA finished: support a part of water tariff for the poor/near poor and GESI HHs.
3. Update the FSM service price to ensure the equal competition between URENCO and Thien Thanh.
4. Continue the communication activities on FSM based on the materials provided by WOBA. This should be led by the local authorities and WU at all levels in Ben Tre.
5. Continue maintaining the operation of the Safety Water Supply Committee by providing the small budget for the annual activities of this committee.

To scale up the OBA approach and intervention models in WOBA

1. Share the learnt lessons, experience, good practices in WOBA with other PWUs in Vietnam.
2. Develop and test the models applied in WOBA and mobilize different resources for the communes not in WOBA.
3. WU at all levels actively report and propose options to sustain and scale up the models or interventions in WOBA.

1. WOBA PROJECT DESCRIPTION

1.1 WOBA Vietnam

WOBA Vietnam is a project designed and implemented by Thrive/East Meets West (EMW) to address challenges and inequities in Vietnam's rural water, sanitation and hygiene (WASH) sector. It is funded by the Australian Department of Foreign Affairs and Trade (DFAT) through the Water for Women Fund over 4.5 years (June 2018 to December 2022) with a total budget of 5,893,086.43 Australian dollars.

WOBA Vietnam builds on the long history of DFAT's investment in the rural WASH sector in Vietnam, and the strong partnership between the Australian Embassy and EMW over the years. WOBA supports policy advocacy at national and sub-national levels in rural WASH, an area that aligns with DFAT's objectives for economic diplomacy in the sector.

1.1.1 Program objectives

The program has two objectives:

Objective 1: To increase access to equitable WASH services for the poor and marginalised (gender and social inclusion) communities in rural Vietnam.

Objective 2: To improve gender empowerment and inclusion of women through program implementation and decision making.

To address the program's two objectives, and align with the Fund's goal of improved health, gender equality and wellbeing of Asian and Pacific communities through inclusive sustainable WASH, WOBA Vietnam has four implementation components and targets:

- **WATER:** 6,943 poor/GESI² households connected to piped water schemes with connections co-financed through a competitive output-based subsidy fund.
- **SANITATION:** Improved access to hygienic sanitation in rural communities, with latrines constructed by 3,000 poor and GESI households, 15,000 poor households and 2,000 non-poor households; and
- **FECAL SLUDGE MANAGEMENT (FSM):** A FSM pilot in Ben Tre province
- **Climate Resilient Water Safety Plan Pilot** in four provinces
- **COVID-19 response:** Distribute handwashing devices and water tanks and hygiene promotion in project communes.

WOBA Vietnam is implemented in the rural areas of five provinces which have different geographical and socio-economic conditions. These provinces are Hoa Binh, Thanh Hoa, Nghe An, Ha Tinh and Ben Tre.

1.1.2. Program's Theory of Change and Strategies

WOBA Vietnam has three strategies that underpin the program's theory of change:

² WOBA uses the GESI categorization used by Vietnam's Ministry of Labour, Invalids and Social Affairs. While some government categorizations are quite narrow, implementing through government systems is more efficient, and provides a pathway for scale if this targeted GESI support is successful. There are six GESI categories: (i) children under 16 without parental or foster care; (ii) People aged 16-22 currently enrolled in secondary schools, vocational schools, colleges or universities (who also meet criteria (i)); (iii) HIV-positive people from poor households; (iv) poor single parents with custody of children; (v) the elderly; and (vi) people with a disability. WOBA Vietnam specifically target people with disabilities and elderly people.

- 1) Partner with local government, WU, and private sector WASH operators to strengthen coordination mechanisms (at all institutional levels) and private sector capacity in delivering WASH services for poor and GESI households.
- 2) Build capacity of government partners, WU, and private sector WASH operators to implement OBA WASH services for poor and GESI households.
- 3) Leverage partnerships with government partners, WASH authorities, WU, and private water operators to facilitate workshops to mainstream and advocate for gender, disability and socially inclusive approach in WASH delivery in Vietnam.

1.1.3 Program Key Activities

The key activities to implement these strategies include:

- Partner with and deliver training for WOBA's partners to implement project activities through commune and village administrations. The aim is to strengthen governmental capacity to deliver sustainable WASH services for poor and marginalised communities (gender & socially inclusive (GESI) households).
- Advocate and secure co-financing from the PPC to secure subsidy for poor, near poor and GESI households to take up latrine construction and water connections.
- Partner with private sector suppliers to strengthen supply chain for sanitation products and encourage private water enterprise to provide connections to target poor/GESI HH connections. The aim is to strengthen private sector ability to deliver sustainable WASH services, particularly for marginalised communities (poor and poor plus GESI households).
- Partner with DRD to provide training on disability for government partner and WU and private sector (local suppliers) to deliver inclusive WASH to rural households, especially to disability households.
- Build capacity of Vietnam WU to empower them to lead, coordinate, and deliver WASH services, and mobilize community households particularly from marginalized (poor & GESI) households to construct hygienic latrines and connect to clean water.
- Conduct baseline data collection, verification of latrines constructions and water connections, and operational monitoring to ensure gender and social inclusion (GESI) targets are achieved and progressing according to the program's operational plans and targets.
- Partner with NCERWASS to develop and review the climate resilient water safety plan for the selected water supply schemes and provide capacity building for the stakeholders to implement the CRWSP.
- Support the People's Committee in Ben Tre City to develop the cost structure for Faeces Sludge Management (FSM) and partner with WU to implement the communication activities on FSM.
- Partner with social enterprises to distribute handwashing devices and water tanks and the WU to promote handwashing practices as part of WOBA's COVID-19 response.
- Organize and facilitate learning workshops with implementation partners and stakeholders to share insights, exchange knowledge, and advocate gender and inclusive WASH services in Vietnam.

1.1.4 Program Outcomes

According to the ToC (Annex 2), WOBA Vietnam has five expected outcomes to address the program's two objectives. These five end-of-program outcomes (EOPO) were developed to align with the WfW Fund's goal of improved health, gender equality and wellbeing of Asian and Pacific communities through inclusive sustainable WASH and the Fund's four expected outcomes:

1. Strengthened national and sub-national WASH systems with government able to implement and sustain inclusive output-based aid WASH approaches in rural Vietnam – achieved through a government co-financing requirement.
2. Strengthened private sector ability in sanitation and public/private enterprises in water to operate sustainably and reach poor and GESI communities in rural Vietnam; increasing their role in providing high quality WASH services to all.
3. Improved access to and use of equitable WASH services, especially among marginalised community members.
4. Improved gender empowerment and systematic inclusion of women and outcomes in households and communities and institutions.
5. Increased use of evidence and innovation in gender and inclusive WASH in Vietnam; increased contribution from Vietnam to regional and global evidence base.

2.2 Australian Aid (DFAT) support

WOBA Vietnam is funded by the Australian Department of Foreign Affairs and Trade (DFAT) through the Water for Women Fund (the Fund) over 4.5 years (June 2018 to December 2022) with a total budget of 5.7 million Australian dollars.

WOBA Vietnam builds on the long history of DFAT's investment in the rural water sector in Vietnam, and the strong partnership between the Australian Embassy and EMW over the years. WOBA supports policy advocacy at national and sub-national levels in rural water, an area that aligns with DFAT's objectives for economic diplomacy in the sector.

2. Endline Evaluation

2.1 Purpose

The purpose of the Endline Evaluation is to assess the WOBA project using the OECD Development Assistance Committee (DAC) evaluation criteria. The findings will also be used to inform final reporting for Water for Women. The evaluation will address the following objectives:

- Evaluate performance against project objectives and expected outcomes for four implementation components as per the project Theory of Change, and unintended outcomes.
- Assess the role TN/EMW has played in strengthening WASH system and Gender and Social Inclusion in rural communities.
- Assess WASH and Gender and Social Inclusion approaches used to deliver project activities and understand how these can be refined for future programming
- Capture lessons learnt related to implementing the WOBA project that can be applied to TN/EMW's future WASH projects, and for broader sector learning.

2.2 Key evaluation questions and scope

The evaluation will focus on all aspects of the project programming, including sanitation, piped water connection, climate resilient water safety plan pilot, FSM pilot, menstrual health hygiene training, and other WASH related trainings.

As a project funded by the Australian Government, specific requirements of the evaluation are outlined by DFAT, including:

- Draw on monitoring data as well as new data collected through the evaluation, to assess the approach, methodology, outcomes and impacts of the project
- Examine the project components in light of their original intention as well as how they have evolved, and any unintended consequences that have arisen
- Report on cross-cutting themes of gender equality, disability and social inclusion (GEDSI) and provide disaggregated data in regard to gender (men, women), and people living with disability
- Provide evidence-based information that is credible, reliable, and valuable.

The key evaluation questions and sub questions, and evaluation scope are structured within the three focus areas of inquiry to guide the data collection, analysis and reporting, and to address the WOBA's two objectives and in accordance with the OECD DAC evaluation criteria.

Relevance

1. To what extent is the WOBA project consistent with Vietnam's policies in WASH and partners' and donors' policies?
2. Do the key outcomes promote and contribute to equitable WASH services for the poor and socially disadvantaged at the household, business, institutional, and policy level?
3. Are the outputs and indicators of the project consistent with the intended outcomes?
4. How relevant is WOBA to government's policies in reducing inequality in access to WASH access in rural Vietnam?

Efficiency

5. Did the project (in each implementation component) provide good value for money?
6. Were outcomes achieved on time?
7. Were the project components implemented in the most efficient way compared to alternatives?
8. Are the program's governance structure and implementation arrangements appropriate and proportionate to the outcomes sought?
9. Has WOBA Vietnam allocated enough resources and technical expertise to implement appropriate capacity development strategies that are responsive to the needs of different beneficiaries and stakeholders?

Effectiveness

10. To what extent were the outcomes achieved in regard to the four project components?
11. What were the major factors influencing the achievement or non-achievement of the outcomes in each WOBA components?
12. Have the OBA subsidies been effective in reaching the poor and GESI households in both sanitation and water supply? What were the major factors influencing the achievement or non-achievement of GESI outcomes?
13. What were the major factors that did or did not reinforce or produce gender equality and social inclusion in beneficiaries and women members of the WU who participated in WOBA?
14. To what extent has WOBA effectively engaged public and private sector water operators and sanitation suppliers in delivering WASH services for the poor and GESI communities?
15. How has WOBA's FSM pilot contributed to safely managed sanitation in Ben Tre city and considering the drought and saltwater intrusion priorities?

Impact

16. How many people have been affected and to what extent in each WOBA component?
17. As a result of this project, what changes were produced in each project component relative to those intended, and unintentionally, if any?
18. What factors contribute to these and what is likely to undermine sustainability of positive changes?
19. Have individual, community, organizations, private sector businesses in WASH been strengthened as a result of the project outcomes (for each component)?
20. To what extent has WOBA's approach to GEDSI resulted in greater understanding of GEDSI issues and improved GEDSI capacity at the individual, organisational, and policy level?
21. What do people do differently after involvement in WOBA?

Sustainability

22. To what extent will the benefits of each WOBA component continue after the withdrawal of funding?
23. Will households and communities especially poor and socially disadvantaged be self-reliant in taking up WASH services? How and to what extent?
24. Will private sector businesses continue to provide WASH services for especially poor and socially disadvantaged? How and to what extent?
25. Will the government continue to provide subsidies and/or support businesses to continue to deliver WASH services to poor and socially disadvantaged households? How and to what extent?
26. To what extent has WOBA Vietnam's creation and dissemination of knowledge products influenced policy and practice in inclusive WASH in Vietnam and in the sector generally?

Data collection tools and analysis prepared for the Endline Evaluation are linked to the key evaluation questions ensuring depth of inquiry and that all key evaluation questions are responded to. Annex 3 set out the linked between key evaluation questions, data collection tools, data sources and analysis.

2.3 Evaluation audience and users

Given the purpose of the Endline Evaluation is to provide a systematic and objective assessment of WOBA Vietnam's strategies and activities in delivering its two objectives, the users of this Endline Evaluation are Water for Women Fund, Thrive/EMW and DFAT. The secondary users are the Vietnamese government organizations, local NGOs and INGOs operating in Vietnam development sector. The Australian public are also interested in the Endline Evaluation results to ensure relevance, efficiency, effectiveness, impact and sustainability of Australian aid. The Endline Evaluation will provide key learnt lessons and recommendations to Thrive/EMW to design the related projects in the future.

3. Evaluation approach and methods

This section outlines the Endline Evaluation design, inclusive of data collection and analysis, sampling strategy, ethical considerations and evaluation limitations.

Recognising the purpose and priority of the Endline Evaluation is to evaluate the relevance, efficiency, effectiveness, impact and sustainability of WOBA Vietnam, the evaluation design also aims to test the assumptions of WOBA Vietnam's theory of change. The theory of change defined for

WOBA Vietnam as set out in Annex 2 has been used to define evaluation priority areas of inquiry which in turn links to the key evaluation questions. The priority areas of this Endline Evaluation are:

5. Priority area 1: WASH services implemented using OBA focusing on the water component
6. Priority area 2: GESI approach and outcomes
7. Priority area 3: FSM Pilot
8. Priority area 4: Climate resilient water safety plan (CRWSP) pilot

All five provinces will be selected for the Endline Evaluation. Nghe An, Ha Tinh, Thanh Hoa and Ben Tre are the provinces with results in the water component. Ben Tre also has the FSM component.

3.1 Evaluation approach

The Endline Evaluation is designed in accordance with OECD – DAC³ evaluation criteria. These criteria provide an evaluative framework used to determine the merit or worth of an intervention (policy, strategy, programme, project or activity).

In addition to using OECD-DAC criteria, the Endline Evaluation also uses a *gender and social inclusion lens* to assess the needs and priorities of the program’s target beneficiaries (poor, near poor & socially disadvantaged groups (GESI)), and evaluate their accessibility to the program, and the impacts of the program on their lives and vulnerabilities. Drawing on the Asian Development Bank’s Tool Kit on Gender Equality⁴, similar to the Mid-term Review, the Endline Evaluation uses the 4 gender dimensions: human capital, economic and social empowerment, voice and rights, and gender capacity building to evaluate positive and negative, intended and unintended changes and factors that contribute to these changes. Gender empowerment for the Women’s Union members is a key component of WOBA and the evaluation focuses on the impacts of WOBA in terms of changed attitudes and values about WASH delivery for marginalised communities, perception of themselves as leaders and change agents in these communities, and factors contributing to these changes.

Use of mixed methods data collection (primary and secondary monitoring data collected from WOBA Vietnam, and relevant research reports) will be used to capture depth and breadth of the evaluation and triangulation of data to strengthen confidence in the findings. Designing questions based on the evaluative framework for different stakeholder groups to elicit information from multiple perspectives will also strengthen the evaluation findings.

Multiple analysis approaches will be used to assess impact and attribution/causal inference and ensure rigour in the evaluation findings. Approaches include use of comparative analysis across stakeholder groups, beneficiary groups, geographical and sampling criteria (see Annex 3), focus on stakeholder perspectives, and situate the findings in relation to the contexts in which WOBA Vietnam operates. Data will be disaggregated by sex, GESI categories to ensure that perspectives of men and women, and of different groups are transparent, and respectively inform evaluation findings.

The Endline Evaluation will be culturally appropriate, ensuring protocols at the various institutional levels, and at the community level are adhered to and opportunity is provided for representatives of the beneficiary groups to participate, particularly women, poor people, people with disability, and other GESI categories.

³ <https://www.oecd.org/dac/evaluation/evaluation-criteria-flyer-2020.pdf>

⁴ Asian Development Bank’s Tool Kit on Gender Equality (2013). Asian Development Bank

3.2 Methods of data collection

Four data collection methods will be employed across all areas of inquiry: document review, focus groups discussion, key informant interviews and survey. The data collection methods used in the evaluation for each of the priority areas include:

Priority area 1: WASH services implemented using OBA

- Detailed review of key project documents provided by TN/EMW including Theory of Change, project design document, baseline and end-line quantitative data on WASH service, WASH subsidy payment report, WASH products verification reports, stakeholders and partners training reports, MHH training reports, project donor reports, available monitoring data, financial health risks of WASH suppliers survey, focus group discussions with WASH suppliers, research reports on WASH access and use, and WOBA mid-term review report.
- Interviews with representatives of the WOBA government partners, NCERWASS, PCERWASS, and private sector suppliers, and EWM WOBA project team
- Analysis of qualitative and quantitative data

Priority area 2: GESI approach and outcomes

- Detailed review of two research reports: GSI outcomes through WOBA in seven mountainous districts; Women's empowerment opportunities and constraints through WOBA: 5 case studies.

Priority area 3: FSM Pilot

- Detailed review of key pilot documents provided by TN/EMW including pilot design document, stakeholders and partners training reports, government committee minutes of meetings and official approval letters, Standards of Operations and FSM Cost Structure reports, test results of the treatment plant's FSM quality, donors' reports.
- Interviews with representatives of the Ben Tre City government representatives, treatment plant operator, private truck operators, WU members involved in the pilot, and EMW FSM pilot project team.
- Field visits and observation of the faecal treatment plant and truck operations
- Analysis of qualitative and quantitative data.

Priority area 4: Climate resilient water safety plan (CRWSP) pilot

- Detailed review of key pilot documents provided by TN/EMW including Theory of Change, pilot design document, stakeholders and partners training reports, water authorities report, 19 completed CRWSP, learning notes, donor's reports.
- Interviews with representatives of the water schemes operators, PCERWASS and NCERWASS, and CCTT representatives, WU members involved in the pilot, and EWM's FSM pilot project team
- Field visits and observation of the CRWSP in application.
- Analysis of qualitative and quantitative data

The data collection methods used in each priority area and implementation component are shown in Annex 3. **Sampling strategy**

Numerous stakeholders have been identified relevant to WOBA Vietnam and for the Endline Evaluation. Table 1 sets out the stakeholder groups and sampling strategy in relation to the four priority areas. The sampling rationale will be based on the evaluation criteria of WOBA in achieving the 5 EOPOs. Different sampling strategies will be employed in relation to different stakeholder groups to capture the stakeholders' perspectives, and to connect the beneficiaries' opinions with WU members involved in these beneficiaries' communities to explore the theory of change under the WOBA.

The sampling frame is intended to enable appropriate comparisons of finding across stakeholder and beneficiary groups to explore in-depth the contexts to explain the project's achievements. The sample frame of all methods of primary data collection is shown in Table 1. The sample frame for the household survey is shown in Table 2.

Table 1. Sampling strategy for all stakeholder groups

Stakeholder group	Sampling strategy	Relevance to evaluation priority area
NWU	The representatives participated in WOBA	1, 2
VIHEMA	The representatives participated in WOBA	1
NCERWASS (CCTT)	The representatives participated in WOBA	1, 4
PCERWASS	All four project provinces where apply the Component 2 (water) and priority 4 The representatives participated in WOBA	1,2,4
CDC	All five project provinces The representatives participated in WOBA	1
PWU	All five project provinces The representatives participated in WOBA	1,2
DWU	Randomly select the district where the WASH services implemented using OBA (component 1 and 2)	1,2
CWU	Randomly select the district where the WASH services implemented using OBA (component 1 and 2)	1,2
District and Commune PMB	Randomly select the district where the WASH services implemented using OBA (component 1 and 2)	1,2
Ben Tre government city	The representatives participated in WOBA	3
Private enterprises	Purposeful sampling	3,4
Beneficiaries	Interviews and focus group discussions: Purposeful sampling Survey: randomly strategy sampling	1,2,3

Table 2. Sample frame for stakeholder groups

	WU	VIHEMA/ CDC	CERWASS	Water Station/ Company	Stakeholders relating to FSM	Leader of PMB (district/ commune levels)	Local authority	Beneficiary		
	KII	KII	KII	KII	KII	KII	KII	FGD	KII	Survey
Central	1		1							
Provincial	5	5	4							
District	3			8	2	2	1			
Commune/ Village	10					3	2			
Households								6	9	305
Total	19	5	5	8	2	5	3	6	9	305

There are 2 KIIs with the EMW project team to get more understanding of the project intervention.

KII= Key Informant Interview (n=54); FGD= Focus Group Discussion (n=6); Survey (n=305)

Table 3. Sample frame of the household survey

No	Location	Total surveyed HHs	Type of subsidies			Type of HHs		
			Latrine	Water connection	Both	Poor/ near poor	GESI	Non poor (SANOMA)
	Ha Tinh							
1	Cam Thach, Cam Xuyen	35	1	14	20	19	10	6
2	Dong Loc, Can Loc	35	0	35	0	25	10	0
	Nghe An							
3	Hoa Son, Long Thanh	30	0	30	0	14	16	0
4	Long Thanh, Yen Thanh	30	0	30	0	18	12	0
	Thanh Hoa							
5	Hoa Loc, Hau Loc	35	17	8	10	17	14	4
6	Nga Tien, Nga Son	35	16	15	4	29	6	0
	Ben Tre							
7	An Qui, Thanh Phu	35	10	14	11	15	9	11
8	Bao Thanh, Ba Tri	35	8	14	13	16	6	13
9	Thanh Ngai, Mo Cay Bac	35	0	35	0	9	2	24
	Total	305	52	195	58	162	85	58

The dataset from the household survey (n=305) will be combined with the dataset from the survey in the GSI study that built latrine under WOBA (n=277). The total combined sample is 586, comprising 400 households with latrine, 118 households with pipe water service and 63 HHs with both latrine and pipe water service. The larger sample of latrines aligns with WOBA's larger target of latrines (20,000 households) compared to targets of water connections (6,943 households).

3.3 Analysis

Analysis will be undertaken for each evaluation priority areas and key evaluation questions and then integrated in the final stage of analysis to answer the key evaluation questions.

Document review will be analysed to understand and assess its contribution to project outcomes, review any available data indicators and what outcomes can be ascertained. The results of the document inform the KII, FGD, and the survey and observation. Annex 5 lists the documents reviewed.

Focus group discussion and semi-structured interviews will be analysed using thematic analysis to generate key themes for each evaluation question. Themes and categories will be elicited from an analysis of the qualitative data using NVivo 12 as a data management and coding tool. All qualitative data will be discussed among the evaluation team until consensus is achieved to ensure that data findings are rigorous. The data will also be triangulated with the documents review and literature reviewed including those in prior EMW studies in WASH. Annex 6 and 7 contains the interview and FGD questions and activities. Annex 6 and 7 contains the questions and activities in the FGD and key informant interviews.

Household survey focusing on water components will be compared to and combined with the available quantitative data analysed in the document review. The combined quantitative data will be analysed by using descriptive statistics and cross tabulation using SPSS. Annex 7 shows the household survey questionnaire.

Comparative analysis of data will be undertaken to identify similarities or differences within and between different stakeholder groups and beneficiary groups across and within provinces. The aim is to generate findings in relation to the effectiveness and impact of WOBA Vietnam but also contributing factors to achieving outcomes, impacts and sustainability. Triangulation of results from each data source will be conducted to ensure rigorous evidence in responding to the key evaluation questions.

3.3 Ethical practice

The evaluation team will carry out the Endline Evaluation to ensure ethical review and approval of the evaluation. The team will adhere to the Principles for ethical research and evaluation in development⁵, and ensure that the ethics principles of human research of merit and integrity, justice, beneficence and respect are applied. The team will also be guided by Australian Evaluation Society guidelines for ethical conduct of evaluations.⁶

All participants provided consent prior to participation in the focus group, survey, and interviews. All recorded materials were transcribed by the consultants, only accessible to the evaluation team, and not used for any other purposes besides the Endline Evaluation. The full list of participants is included in Annex 3. None of their names are mentioned in the presentation and discussion of findings and citation of quotes.

Contact with participants followed Vietnam's regulation of providing official letters to the PPC, PWUs, WOBA's focal points, listing the participants, itinerary of the field visits and the questions that will be asked during the field visits. The team also adhered to the requirement of having the WU and police accompanying the consultant team in travelling to and present at the interviews with households.

3.5 Limitations

There are several limitations to the methods employed which were addressed as follows:

1. Timeline for the Endline Evaluation and data collection and analysis is short with little time for detailed analysis (see Annex 4 for the Evaluation timeline). This is mitigated by sampling strategy which:
 - prioritise stakeholders who have understanding of WOBA and responses to key evaluation questions
 - considers selection of number of beneficiaries and communes based on practicality of travel and logistics within evaluation timeline
 - utilisation of existing monitoring data and research reports and conduct analysis to triangulate findings from multiple sources

⁵

https://acfid.asn.au/sites/site.acfid/files/resource_document/ACFID_RDI%20Principles%20and%20Guidelines%20for%20ethical%20research12-07-2017.pdf

⁶ https://www.aes.asn.au/images/AES_Guidelines_web_v2.pdf?type=file

- household survey data will be collected in only 3 provinces to save time and resources. This is reasonable given that household survey had already been collected in Nghe An and Hoa Binh as part of a study on gender and social inclusion impact. In addition, verification of WASH implemented have already been conducted in all 5 provinces and the verification results are considered in the integrated analysis. The variation in time of survey data collection (1 year apart) is mitigated by combined analysis and comparison of results.
2. There is no baseline data for whole project, which limits the comparisons between the baseline and endline to assess changes/impacts under WOBA. This is partially mitigated by asking KII participants to recall the situation at the beginning of the project.
 3. Only some indicators (mainly WASH latrine and sanitation outputs) have targets. This makes it difficult to measure effectiveness in terms of activities' achieved targets. To address this issue, the evaluation team collects information by answering the questions: what relevant activity was performed and how the stakeholders evaluated the effectiveness of the activity.
 4. Availability of stakeholders: This mitigated by identifying stakeholders early and schedule consultations appropriate to their schedules. Preparation for field interviewing with the beneficiaries and WU in provinces will be prepared well in advance. However, some scheduled meetings with authorities (such as leaders of DPC, CPC, VIHEMA) could not be carried out because they were too busy during the survey time.
 5. About 20% of randomly selected HHs in samples couldn't be interviewed because these HHs were working far away from home, were busy at the survey time and some single woman/man households have passed away before the survey. Therefore, the replaced HHs were chosen from the spare samples or from the remaining HHs in the list if the spare samples were not enough.

4. KEY FINDINGS

4.1. Relevance

1. To what extent is the WOBA project consistent with Vietnam's policies in WASH and partners' and donors' policies?

WOBA Vietnam is consistent with Vietnam's policies in WASH. According to the National Strategy for Rural Water Supply and Sanitation to 2030,⁷ *"despite achieving remarkable results, rural clean water supply and sanitation activities according to Decision No. 104/2000/QĐ-TTg in many regions are still limited, and the effectiveness is not commensurate with the resources invested as well as desires and aspirations of the people. Many areas still do not have clean water and standard sanitation facilities. The number of inefficient works is still high and contains many unsustainable factors. Rural clean water supply and sanitation are facing and will continue to face many challenges: Water sources are depleted, degraded and polluted; clean water quality is not yet safe; unstable water supply system; clean water production and consumption costs are still high, water quality management is still overlooked, and safe water supply is almost not implemented; rural sanitation still faces many challenges."* The Strategy sets

⁷ Draft National Strategy of Rural Supply of Water and Sanitation to 2030, 6 May 2021.

the objectives for 100% of rural households to have hygienic latrines, and 75% of rural population in disadvantaged areas to use clean water with minimum use of 60 liters per person per day, by 2030. Although WOBA started in July 2018, 3 years prior to the release of the National Strategy, the project's goal of providing access to improved sanitation and piped water to poor and GESI households is relevant to the context of WASH in Vietnam and aligns with the National Strategy's objectives.

Output based aid WASH approach is also relevant in terms of Decree 57's post-investment supporting mechanism: *"The State budget provides the post-investment support: when the project's investment items are completed and accepted, 70% of the support budget will be disbursed according to the investment items; After the project is completed, accepted and put into production and business, 30% of the remaining support capital will be disbursed"* (Item 3, Article 15). It means the enterprises invested the WASH works first, then the state will provide the support after the construction is completed and operated.

Strengthening private sector in both sanitation and water supply (PPP model) is mentioned clearly in Decree 117 and the National Strategy of RWSS to 2030. The private sector is encouraged to participate in the domestic water supply. It is said that *"all economic sectors and social communities are encouraged to invest in the development and management of water supply activities"* (Item 6, Article 3), and *"Encouraging and creating conditions for organizations and individuals to actively research and register as investors of investment projects on water supply development"* (Item 4, Article 3), and *"Implement socialization, attract investment resources for rural water supply and sanitation from all economic sectors, especially households - users, the private sectors and enterprises"* (National Strategy, section 3.3.2, p. 14). The Strategy specifically lists ODA capital and NGOs support for clean water supply and rural sanitation in disadvantaged areas. which positions EMW and WOBA as an appropriate intervention and EMW as an actor in the National Strategy.

WOBA's expected outcome of improving access to and use of equitable WASH services for rural marginalized households is relevant to the decision No.117, which mentions water supply for the poor and the extremely difficult areas in Article 3: *"Water supply activity is a type of production and business activity that is controlled by the State to ensure the legitimate rights and benefits of water providers and water users, including consideration of support for water supply for the poor and extremely difficult areas"*. Therefore, the water tariff calculation should be considered to *"ensure for water supply units to maintain, develop and encourage service quality improvement, contributing to saving water use, considering the support for the poor"* (Item 3, Article 51).

Although, the GESI, social inclusion and gender equality are not mentioned directly, but, in the 6th Sustainable Development Goal to 2030 of the Vietnamese government that *"Ensure adequate supply and sustainable management of water resources and sanitation systems for all: By 2030, ensure adequate and equitable access to safe drinking water and living, within the affordability of 95-100% of the people"*⁸. Moreover, the Vietnamese gender equality law always focus on men and women having equal access to resources.⁹

⁸ Decision 681/QĐ-TTg issued by the Prime Minister on 4 June 2019 on issuing a process for implementation of sustainable development goals to the year 2030

⁹ Article 5, Gender Equality Law, 2006.

Among 19 criteria for new rural area development in Vietnam¹⁰, criterion number 17 on clean water and sanitation is a very important one. In particular, a commune that has been achieved the title of new rural must have the percentage of households using clean water above 50% (depending on the specific region) and the rate having hygienic latrines reaching over 70% (depending on the specific region). To support this goal, some localities, such as the Provincial People's Committee, have issued specific support policies for the disadvantaged groups to access clean water and use latrines. For example, Ha Tinh Provincial People's Council issued Resolution 123 in 2019 on supporting poor and near-poor households with 50% of the cost of installing domestic water treatment equipment (maximum VND 2 million/household) or supporting 2 million VND/household for the poor and near-poor households to remove double vault and single latrines to build a septic tank latrine. This program was initially implemented in 2020 and 2021, and extended to 2023.

WOBA's climate change initiative is relevant to the Goal No.13 of the sustainable development goals of the Vietnamese government which is to respond promptly and effectively to climate change and natural disasters, and strengthen resilience and adaptation to climate change-related risks, and respond to natural disasters and other disasters.¹¹ The climate change is also mentioned in task 2 of the Decision No.543 on the Action Plan on Climate Change Response of Agriculture and Rural Development Sector in the Period 2011-2015 and vision to 2050 that saving water in production and living by *"Reviewing the planning, upgrading and constructing saline prevention works, water supply and water drainage works; especially for the Red River Delta, the Mekong River and the coastal area to be protected against sea level rise with the scenario in each phase"* and *"Strengthening rural infrastructure: Ensuring the safety of roads, schools, markets, rural water supply and sanitation works in case of climate disasters."* (Item d and f, Article B).

With the FSM component, the treatment of sludge has also been mentioned by Vietnamese law in some legal documents. According to Article 25 of Decree 80/2014/ND-CP dated August 6, 2014 on drainage and water treatment, classified according to the origin of sludge, there are two types: Sludge from drainage system (drainage network and wastewater treatment plant) and sludge from septic tank; The sludge must be classified for management and selection of appropriate treatment technology, contributing to reducing transportation costs, treatment costs and convenience in management and operation of landfills.

According to the Government's Decree No. 38/2015/ND-CP dated April 24, 2015 on waste and scrap management, regulations on sludge treatment are mentioned as follows:

- The sludge must be stored, collected and transported to a centralized treatment site according to the regulations.
- The treatment and reuse of sludge must be complied with the regulations on management and use of sludge issued by competent state agencies and regulations on environmental protection.

¹⁰ <https://thuvienphapluat.vn/van-ban/Van-hoa-Xa-hoi/Quyet-dinh-1980-QD-TTg-bo-tieu-chi-quoc-gia-xa-nong-thon-moi-2016-2020-325989.aspx>

¹¹ Decision 681/QĐ-TTg issued by the Prime Minister on 4 June 2019 on issuing a process for implementation of sustainable development goals to the year 2030

In addition, the law of Vietnam also stipulates the specific regulations on the suction, transportation and treatment of sludge from septic tanks in Decree 80/2014/ND-CP dated August 6, 2014:

- Sludge from households, administrative agencies, production, business and service establishments must be periodically drained;
- The suction and transportation of sludge from septic tanks must be done by specialized transportation means and equipment to ensure technical requirements and environmental protection;
- The collected and stored septic tank sludge must be transported to locations approved by the competent authority for treatment. It is strictly forbidden to directly discharge septic tank sludge into the drainage system as well as the surrounding environment;
- The treatment of sludge and reuse of septic tank sludge must be complied with regulations on environmental protection;
- Expenses for draining, transporting and treating sludge from septic tanks shall be paid by household owners, administrative agencies, and service production and business establishments under contracts with service providers.

In particular, the means of collecting and transporting sludge must meet the technical requirements, specifically: "The collection and transportation service providers must ensure that they are fully equipped with specialized road/waterway motorized transport vehicles. The tank or trunk has a locking valve. On this truck, it is written that "THE VEHICLE FOR SLUDGE COLLECTION AND TRANSPORTATION", the truck has a closed container to ensure no water leakage and a covered canvas to limit the spread of odors when circulating). Licensed for circulation and certified to ensure technical requirements and environmental protection as prescribed by law."¹²

Thus, Vietnamese law has clearly mentioned the requirement that sludge - including sludge from septic tanks need to be properly collected, transported and treated. However, currently in Vietnam, there is no province/city that has a fully treatment station and provides services specializing in septic sludge transportation and treatment. Similar to the actual needs in Ben Tre in the absence of any sludge treatment plants, an agreement between EMWF and the Ben Tre Project Management Board for civil and industrial construction investment was signed on: "Sponsoring for the implementation of a pilot project to upgrade and renovate the Ben Tre septic tank sludge treatment station project" on October 3, 2019. – FSM Ben Tre project phase 1.

However, similarly to the limited implementation experience in Vietnam, the capacity in operation and maintenance of septic tank sludge treatment plant for Ben Tre URENCO is also limited. The awareness and knowledge on fecal sludge management of the local residents in Ben Tre is limited as well. And there had not been the financial model (tariff) for fecal sludge management service. The objective of the FSM component of the WOBAs project (phase 2) aims to help close this gap. This objective of the FSM component is consistent with the provisions of Vietnamese law as well as the actual demand in Ben Tre province.

¹² Decree 80/2014/ND-CP issued by Vietnamese Prime Minister dated August 6, 2014)

From the above analysis, it can be said that the activities and intended outcomes of WOBA align with the Vietnamese policies on WASH.

There is also an alignment between WOBA Vietnam and Water for Women Fund. The goal of the Water for Women Fund (W4W) is improved health, gender equality and well-being of Asian Pacific communities through inclusive and sustainable WASH. The Fund has four outcomes:

- Outcome 1: Strengthened national and subnational WASH sectors system with greater emphasis on gender, social inclusion, safely managed WASH and water security.
- Outcome 2: Increased equitable, universal access to and use of sustainable WASH services, particularly for marginalised communities and community members.
- Outcome 3: Strengthened gender equality and social inclusion in households, communities and institutions.
- Outcome 4: Strengthened use of new evidence, innovation and practice in sustainable gender and inclusive WASH by other CSOs, national and international WASH sector actors.

According to the project design, WOBA Vietnam aligns very closely with the objectives of the Water for Women Fund. The theory of change including five outcomes in WOBA Vietnam was designed to complement the W4W Fund-level theory of change and end-of-program outcomes. WOBA's end-of-program outcomes include:

- Strengthened national and sub-national WASH systems with government able to implement and sustain inclusive output-based aid WASH approaches in rural Vietnam (Outcome 1 of W4W)
- Strengthened private sector ability to operate sustainably and reach poor and GESI communities in rural Vietnam; increasing their role in providing high quality WASH services to all (Outcome 1 of W4W)
- Improved access to and use of equitable WASH services, especially among marginalised community members (Outcome 2 of W4W)
- Improved gender empowerment and systematic inclusion of women and outcomes in households and communities and institutions (Outcome 3 of W4W)
- Increased use of evidence and innovation in gender and inclusive WASH in Vietnam; increased contribution from Vietnam to regional and global evidence base WOBA Vietnam also supports Australian aid priorities in WASH more broadly, by integrating a strong focus on gender and social inclusion, government systems strengthening, private sector engagement, and innovative approaches in WASH. (Outcome 4 of W4W)

In Vietnam, the Australian Embassy has a long history of investment in the rural water sector, and development staff have strong understanding of government systems and their evolution. This has led to a natural partnership between the Australian Embassy and Thrive Networks over the years.

2. Do the key outcomes promote and contribute to equitable WASH services for the poor and socially disadvantaged at the household, business, institutional, and policy level?

Three out of five intended outcomes are considered to promote and contribute to equitable WASH services for the poor and socially disadvantaged. The outcome 3 on the number of built latrines for the poor/near poor and GESI HHs contribute to equitable WASH services for the poor and socially disadvantaged at the household level. At the business level, outcome 2 also contribute to equitable

WASH services for the poor and socially disadvantaged through the strengthened private sector ability in sanitation and public/private enterprises in water to operate sustainably and reach poor and GESI communities in rural Vietnam and increasing their role in providing high quality WASH services to all. The outcome 1 of the strengthened national and sub-national WASH systems with government able to implement and sustain inclusive output-based aid WASH approaches in rural Vietnam through the WU contribute to equitable WASH services for the poor and socially disadvantaged at institutional and policy level (including the local policies through the co-financing between EMW and local government).

3. Are the outputs and indicators of the project consistent with the intended outcomes?

In each of five program outcomes as noted in the ToC, the interventions were designed according to the strategies of the project although many strategies are more like project activities. As a result, there are many overlaps in strategies (or activities) and indicators across the 5 Outcomes, and there is no M&E framework linking the strategies/activities to outputs, outcomes or impact (see MTR report). Based on the review of various project documents and reports, Table 4 shows the outputs/results for the activities linked to each strategy in the 5 program outcomes in the ToC. Overall, there is a lack logic and coherence between the activities and indicators, and are mostly descriptive of the activities rather than measures of outcomes. The COVID 19 pilot is not included in Table 4 because the evaluation of that intervention was conducted already.

Table 4. Interventions/Activities for Each Program Outcomes

Strategies ¹³	Interventions/Activities	Information/ data sources
Outcome 1: Strengthened national and sub-national WASH systems with government able to implement and sustain inclusive output-based aid WASH approaches in rural Vietnam – achieved through a government co-financing requirement		
1.1. Ensure government partners and VWU have the required skills, capacity and system to implement OBA for poor and GESI HH OBA in sanitation in 5 provinces	<ul style="list-style-type: none"> - Support PPC, WU and government partners to take on OBA implementation and leadership roles at community and provincial level - Annual Report Recommending Implementation Strategy for agencies to strengthen capacity and improve current practices - Organize every 4-month meetings with Project Management Boards (National level, Provincial and District levels) - Organize the annual review and learning workshop at national level to advocate for WOBA lessons learnt and climate resilient WASH 	<ul style="list-style-type: none"> - Number meetings organized but not clear how support at various levels were monitored and measured - Not clear how recommendations for implementation were monitored or measure capacity building or improvement - No meeting minutes of PMB were available - No report of the annual review and workshop was available so difficult to assess how advocacy was conducted or lessons

¹³ The FSM component will be added in the third year of the project, therefore, the activities/interventions relating to FSM weren't mentioned in the project design.

Strategies ¹³	Interventions/Activities	Information/ data sources
		learnt were actually shared and to what extent
1.2. Secure government commitment and commitment from water managers to phase in budget support for poor, near poor and GESI HH OBA subsidies in sanitation and water in 4 provinces	<ul style="list-style-type: none"> - Support Central WU and Provincial WU to take on leadership and facilitation roles to ensure government commitment for co-financing in water and sanitation to support poor and GESI households - Ensure the co-financing disbursement is implemented in accordance with MOU and approved implementation plan - Water enterprises/providers are mobilized to participate in WOBA - Annual Report Recommending Implementation Strategy for agencies to strengthen capacity and improve current practices 	<ul style="list-style-type: none"> - MOUs between EMW and PPC/PCERWASS/Water Enterprises - Calculations of co-financing disbursement were checked although no audits were conducted - Number of water enterprises were set each year in the work plan - As per 1.1
1.3. Build capacity for WU to manage collection of GESI-related data in collaboration with DOLISA	<ul style="list-style-type: none"> - Provide TOT trainings to WU members on WASH, baseline data collection and GESI at national, provincial and local levels - Develop handbook/guidance for local WU member to conduct GESI data collection and GESI monitoring at local level - TOT trainings on data management & monitoring for WU officials at provincial, district and commune level - Printing handbooks/guidance and promotion materials for SANOBA implementation - Support the baseline enumeration and provide on the job training - Final clean dataset of poor and GESI access to WASH from all project communes - Training for Preventive Medicine Centers - health (CDC) workers to verify completed latrines built by the poor and GESI households using Akvo Flow. The latrines are mobilized by the Women's Union based on baseline lists provided by DOLISA and commune governments. 	<ul style="list-style-type: none"> - Training Reports, although GESI training was conducted only in 2022 - Final clean dataset of poor and GESI access to WASH prepared by the WU - Verification conducted by the CDC, with approximately 10% re-verified by EMW
1.4. Engage Ben Tre city PC to pilot an output-based FSM incentive scheme in	There was no activity/intervention for piloting an output-based FSM incentive scheme in this strategy. The FSM pilot was in FSM Cost	See below

Strategies ¹³	Interventions/Activities	Information/ data sources
peri-urban and rural areas ^a	structure and SOP for approval by Ben Tre City Government focusing on the urban area.	
1.5. Provincial government oversees competitive OBA fund, selection process and implementation for water connections	<ul style="list-style-type: none"> - Work with the Project Management board and NCERWASS to develop appropriate procedure and guidance on selection criteria and implementation process; - Disseminate the bidding package for OBA subsidy and inform all water operators to apply for pro-poor subsidy fund; - Selection of eligible investor through bidding process by a panel of PMB representative, EMW, NCERWASS and WU member following: (i) review of feasibility assessment, engineering designs and cost estimates; (ii) sustainability assessment of the water sources and scheme functionality and (iii) review the proposed OBA subsidy per connection for the poor and GESI households. 	<ul style="list-style-type: none"> - MOUs/Agreement - Target number of water suppliers in the workplan for each year - Documents submitted by water suppliers and signed approval by NCERWASS
1.6. NCERWASS will provide technical support and oversight of the scheme collection	<ul style="list-style-type: none"> - Provide 04 trainings to PCERWASS and water operators to improve O&M capacity, including climate resilient water safety planning - Support NCERWASS to finalize the CRWSPs 	<ul style="list-style-type: none"> - Training reports - Completed CRWSPs
1.7. NCERWASS will coordinate the WOBA program with Ministries (MARD and MONRE) and Departments in charge of climate change and environment risk management	<p>There was no activity/intervention, although the relationship between MARD, MONRE and NCERWASS could be implicit within the governance structure.</p> <p>Instead, a pilot of climate resilient WSP was implemented. The activities for the CRWSP were:</p> <ul style="list-style-type: none"> - Support PCERWASS and private water operators to develop Climate Resilient Water safety plans for 19 water schemes in WOBA project - CCTT (NCERWASS) provide WSP trainings and technical advice <p>Organize meetings with WU members and local stakeholders to implement the climate resilient water safety plans for the water schemes</p>	<p>For CRWSP:</p> <ul style="list-style-type: none"> - Training workshops report for 2 water schemes in the first year of the CRWSP pilot. However, it is not clear the type of training, advice and support provided by CCTT. 19 climate resilient WSPs were approved by NCERWASS. - Number of meetings were organised although no report of the training or follow up were available

Strategies ¹³	Interventions/Activities	Information/ data sources
1.8. Conduct policy advocacy to increase government uptake of OBA and a GESI-focus in WASH in water and sanitation	<ul style="list-style-type: none"> - Support Central WU and Provincial WU to take on leadership and facilitation roles to strengthen government buy in for OBA and GESI-focus in WASH - Annual Report Recommending Implementation Strategy for agencies to strengthen capacity and improve current practices 	See 1.1
Outcome 2: Strengthened private sector ability in sanitation and public/private enterprises in water to operate sustainably and reach poor and GESI communities in rural Vietnam; increasing their role in providing high quality WASH services to all		
2.1. Establish partnerships between the WU, EMW and WASH sanitation companies in Vietnam seeking to expand improved products and services into rural markets to improve consumer choice. This is called SANOBA. The WU receive sales commission for demand generation, market strengthening and coordination role	<ul style="list-style-type: none"> - Conduct market research on sample basis (supply chain, demand, WU capacity ...) - Meetings at national and provincial levels to facilitate cooperation between private suppliers and WU's members - MOU signing with WASH companies; PWUs with WASH companies - Trainings on technical hygienic latrines and promotion events for WASH products for local masons, local promoters and WU - Supply chain enumeration to identify masons, construction contractors, factories, private suppliers of water and sanitation products in project communes - Conduct the customer satisfaction surveys in the water component - Conduct TOT training to introduce WASH products, sales skills for some potential communes 	<ul style="list-style-type: none"> - No report of market research was available - No meetings minutes or other forms of documentation was available - Contracts between the WU and construction materials providers, although many suppliers on the list of 118 suppliers provided claimed that they did not have a partnership with the WU - Targets set for latrine for the non-poor (SANOBA) households - No documentation of enumeration or sales reports for the SANOBA suppliers. - Report on the results of CSS <ul style="list-style-type: none"> - No report on training for the local masons,

Strategies ¹³	Interventions/Activities	Information/ data sources
		<p>promoters and WU.</p> <ul style="list-style-type: none"> - Sales skills training for the WU was conducted in October 2022, the last month of the WOBA and therefore no report was prepared
<p>2.2. Support water scheme owner to develop a set of bidding documents for a competitive pro-poor subsidy that will be disbursed on an output-based by number of household connections</p>	<ul style="list-style-type: none"> - Support private water enterprises to develop the capacity profile, feasibility assessment (Economic technical report), engineer design and cost estimation to connect the poor and GESI households to existing water schemes - Final bidding packages from both PCERWASS and private water enterprises being reviewed and approved for competitive OBA subsidy fund 	<ul style="list-style-type: none"> - No documentation of the types of support was available - Bidding package from PCERWASS reviewed and approved
<p>2.3. Monitor and support the selected water scheme managers during their poor/GESI connection sales</p>	<ul style="list-style-type: none"> - Provide trainings to WU members and water operators to improve capacity for mobilizing and supporting the poor and GESI households - WU members conduct household mobilization, provide financial supports - Provide training for PMB and WU members to supervise and verify the construction of household water connections and Customer Satisfaction surveys; - Independent audit once per year 	<ul style="list-style-type: none"> - Number of training workshops although it is not clear how improved capacity was measured - Targets of water connections - CSS results - Audit report
<p>2.4. Identify capacity weakness among the water managers and design training/experience exchange program</p>	<p>Provide trainings to water operators to improve capacity based on results of CSS</p>	<p>The first set of CSS results was prepared in March 2022. The results was high with about 90% of customers satisfied with water supply. As the CSS focused only on water quantity and water quality rather than customer service, it's difficult to know what capacity development is required. In August/Sep 2022, a general training</p>

Strategies ¹³	Interventions/Activities	Information/ data sources
		session on customer service was provided to the WU and some water suppliers
<p>2.5. Build PWU capacity as stewards of the private sector in sanitation and government capacity in water through:</p> <ul style="list-style-type: none"> - Overseeing service quality using rigorous customer satisfaction surveys - A quality assurance database for private providers 	<ul style="list-style-type: none"> - Support WU to conduct customer satisfaction surveys for water connections - EMW analyze the CSS data to provide recommendations to water operators to improve their service quality - Women's Union members become members of the climate resilient water safety plan committees to engage the water users and community 	<p>See 2.4 above See 2.4 above No documentation of CRWSP committee. There were meetings organised with the WU about the CRWSP although no follow up or measures for water users engagement and community engagement in the CRWSP.</p>
<p>3. Improved access to and use of equitable WASH services, especially among marginalised community members</p>		
<p>3.1 Introduce higher rebates for GESI HHs in sanitation</p>	<p>The strategy is about setting rebates, however the rebates are set at the beginning of the project. The following activities were listed for this strategy and relate to latrine completion rather than rebate</p> <ul style="list-style-type: none"> - WU mobilize poor + GESI, poor and non-poor to build hygienic latrines - EMW conduct verification trips to verify 15% of completed latrines (no revisit) - CDC - health workers conduct verification trips to verify 20% - 30% of completed latrines with handwashing stations 	<ul style="list-style-type: none"> - Targets for latrines with set rebates for each beneficiary group - Verification data and results report - Rebates audit each year -
<p>3.2 Introduce higher performance based incentives for mobilizing GESI HHs in water</p>	<p>The strategy is about setting incentives, however these are set at the beginning of the project. The following activities were listed for this strategy and relate to water connections completion rather than incentives .</p> <ul style="list-style-type: none"> - WU members carry out communication campaign to mobilize households to connect to piped water schemes - PCERWASS conduct verification trips to verify 35% of household connections 	<ul style="list-style-type: none"> - Targets for water connections with set incentives for each stakeholder group - Verification data and results report - Rebates audit each year

Strategies ¹³	Interventions/Activities	Information/ data sources
	<ul style="list-style-type: none"> - EMW conduct verification trips to verify 15% of household connections (5% is re-verification) 	
<p>3.3 Program adjustments developed to explicitly support GESI HH (in particular, PWD and the elderly)</p>	<ul style="list-style-type: none"> - Support WU to develop Project GESI Action Plan, support WU in promotion of gender equality and social inclusion in WASH service delivery at local level - Workshop /Training on GESI in WASH service delivery with WU - Annual Report Recommending Implementation Strategy for agencies to strengthen capacity and improve current practices 	<ul style="list-style-type: none"> - No GESI Action Plan was sighted - GESI training workshop was delivered in Year 4 with mixed results. - See 1.1 above
<p>3.4 Expand proven OBA approach in some remote/mountainous districts</p>	<ul style="list-style-type: none"> - Support the WU to tailor the WOBA intervention in some remote mountainous districts - Work with private suppliers to provide appropriate and affordable WASH products/service for these areas - Annual Report on lessons learnt, recommendation for improvement and good practices for remote/mountainous areas 	<ul style="list-style-type: none"> - Not clear what support was provided and what intervention was implemented. It seems that targets and rebates were set universally across all areas of WOBA - Not clear what specific WASH products/services were provided in these areas or how were they monitored - Annual report was not available, nor were any documentation of lessons learnt or recommendations.
<p>3.5 Provide OBA subsidies for GESI and poor HHs to connect to water schemes – co-financed by the scheme manager</p>	<ul style="list-style-type: none"> - Sign the co-financing agreement with selected enterprises to support GESI and poor households. - Mobilize and disburse the OBA subsidies for water connections for poor & GESI households 	<ul style="list-style-type: none"> - Approval letter containing agreed co-financing amounts for connecting water - List of completed connections, rebates, and verified results

Strategies ¹³	Interventions/Activities	Information/ data sources
3.6 Work with PCERWASS and water managers to conduct HH mapping in the scheme service area to identify target poor and GESI HHs	<ul style="list-style-type: none"> - Produce the baseline maps with household ID for poor and GESI households who are not connected 	<ul style="list-style-type: none"> - List of households without water connections
3.7 Encourage private operation in water to offer pro-GESI policies in addition to the subsidy	Not clear how or what mechanism was used to encourage private sector water schemes	
3.7 Partner with VIHEMA, WU and provincial DOLISA to mainstream disability and GESI inclusive approaches in sanitation	<ul style="list-style-type: none"> - Develop the promotion materials, guidelines of the technical construction of hygienic latrine for people with disability - Trainings for local masons, commune PMBs, WU members, health workers on technique of hygienic latrines, and build the demonstration toilets for people with disabilities at commune health stations - WU members conduct household mobilization, provide financial supports and connect the GESI households with suppliers who provide appropriate and affordable latrines - Health workers conduct latrine verification and certify the completed latrines for poor and GESI households who receive the OBA rebates 	<ul style="list-style-type: none"> - Guidebook for building accessible latrine - Training reports - Targets set for HHs in poor + GESI and GESI groups. However, it is not clear how the mobilisation was different to other beneficiary group. - Verification data and report, although not clear how this is different to verification of other beneficiary groups
3.8 Partner with organizations specialized in gender and social inclusion, including UTS-ISF	<ul style="list-style-type: none"> - Partner with organizations specialized in gender and social inclusion 	No GESI organisation was involved in OWBA. A gender consultant was hired to deliver GESI training in Year 4 and review some training content
3.9 Use Akvo software to use for verification of latrine and water connections and CSS	3.10 Is not a strategy	
4 Improved gender empowerment and systematic inclusion of women and outcomes in households and communities and institutions		
4.1 Continue formal partnership with		MOU between VWU and EMW

Strategies ¹³	Interventions/Activities	Information/ data sources
VWU built up 7+ years		
4.2 Train and engage VWU volunteers to serve as demand generators for new sanitation products and water connections; to strengthen sanitation supply chains and play a market coordinator and quality assurance role in sanitation	<ul style="list-style-type: none"> - Trained WU members - WU volunteers act as demand generators/sale agents in sanitation 	Training report, although the report has mixed results.
4.3 Facilitate region cross-learning and capacity building between VWU with change agents in Cambodia and Laos	<ul style="list-style-type: none"> - Establish regional knowledge hub for Women change agents - key implementing partners in 3 countries - Organize learning exchange visits/study tours 2 times for project timeline - Document lessons learnt and share at the learning events 	None of these activities were implemented
4.4 Provide structured opportunities for women's empowerment and initiative, through VWU Innovation Fund	<ul style="list-style-type: none"> - Establish the Innovation or Challenge Fund with the award of \$ 15,000 to carry out innovation or ideas to solve such challenge - Support, monitor and evaluate the pilot results - Organize the contest to select the innovative proposal for rewarding 	<p>The Innovation Fund activity was completed and \$15000 was awarded to one woman</p> <p>No follow up or evaluation of the winner's proposal was conducted</p>
4.5 VWU members deliver targeted, tailored messages to women in households	<ul style="list-style-type: none"> - Set up the savings groups, mutual support groups, loans to support women access to sanitation and water - Introduce the demonstration models, WASH products to women groups (models, costs, suppliers, masons etc..). 	<ul style="list-style-type: none"> - No documentation of these groups was available - No financial management plan was sighted

Strategies ¹³	Interventions/Activities	Information/ data sources
<p>proven to increase their decision-making role in WASH-related purchases.</p>	<ul style="list-style-type: none"> - Support women to make their family financial management plan so that they can save money to build latrines or connect to clean water 	<ul style="list-style-type: none"> - A question on “who made the decision to build latrine” was asked in the verification survey, however since no baseline was conducted, not clear how increased or changed decision making role is monitored or assessed.
<p>4.6 Target communities receive information from WU members to increase their access to WASH services and awareness about menstrual health and hygiene (MHH)</p>	<ul style="list-style-type: none"> - WU conducts # group meetings to introduce WASH products/services (suitable products for each locality), MHH and OBA rebates to female members in target households 	<ul style="list-style-type: none"> - EMW attended some of the group meetings however not sure how these trainings could be assessed in terms of their contribution to increased access or effectiveness of MHH training
<p>5 Increased use of evidence and innovation in gender and inclusive WASH in Vietnam; increased contribution from Vietnam to regional and global evidence base</p>		
<p>5.1 Facilitate structured, collaborative peer-learning between change agents in government, private sector and community organizations to extract and document best practices for supporting GESI population in WASH</p>	<p>Set up a list of emails from the project partners to share the documents and K&L learning</p>	<p>K&L products dissemination table</p>

Strategies ¹³	Interventions/Activities	Information/ data sources
5.2 Implement adaptive learning and rapid feedback strategies to test and refine innovative approaches to promoting climate resilient, gender and social inclusive WASH	No activities/intervention	
5.3 Conduct target research on GESI in WASH in Vietnam, in partnership with organizations specialized in gender and social inclusion, including UTS-ISF. Contribute to global, regional and in country evidence base on GESI in WASH and participate in sector dialogue	- Two studies on GESI impact in mountainous areas and women's empowerment in 5 provinces were conducted by the MERL team	Research reports, policy review, and case summaries were developed and disseminated. See 5.1

^a FSM is one of four components in WOBA. The overall goal of FSM is to support to build the overall management system of septic tank sludge in the area of Ben Tre city. The specific purposes of FSM component include:

- Strengthen the capacity and provide the technical assistance on O&M of faecal sludge treatment station to the operator - Ben Tre URENCO
- Strengthen the capacity for WUs of Ben Tre city and communes/wards of Ben Tre city through the trainings to implement the communication and encouragement activities for raising the community's awareness on faecal sludge
- Raise public awareness, create demand for sludge, connect customers in need with licensed service units, including private entities

- Support Ben Tre City's PC to develop a suitable financial model for effective and comprehensive management of septic tank sludge services and develop support policies for poor/vulnerable households in the area.
- Support private entities that have been licensed to participate in the project and are allowed to discharge septic tank's sludge into the treatment station
- Document the project activities to develop the SOP for FSM for the whole city, including the service supply chain: septic tank - collection - transport - treatment of sludge.

There are some outputs to meet the purposes of the FSM component, including: (1) Organize one training course for Ben Tre city's WU and stakeholders and four training courses for the WU to implement the communication on FSM; (2) Organize 160 communication meetings in 14 communes/wards in Ben Tre city; (3) Organize five study tours for staff and residents in Ben Tre integrated in 5 training courses; (4) Develop the communication training such as handbook for promoters, the glass bottle with logo of project information, using social media such as facebook, zalo; (5) Support to develop the O&M manual on sludge treatment station and hand it over to the operator; (6) Guide to develop the tariff for FSM services applied in Ben Tre city; and (7) Collaborate to develop one SOP on FSM for Ben Tre city and share it to the stakeholders.

4. How relevant is WOBA to government’s policies in reducing inequality in access to WASH access in rural Vietnam?

Decision No.117¹⁴ provides the regulations of clean water production, supplying and consumption. In this document, the PPP model is mentioned suggesting that the state encourages the private sector to participate in the domestic water supply. It is said that *“all economic sectors and social communities are encouraged to invest in the development and management of water supply activities”* (Item 6, Article 3), and *“Encouraging and creating conditions for organizations and individuals to actively research and register as investors of investment projects on water supply development”* (Item 4, Article 3). It also mentions the partnership among the Ministries to issue the specific guidance to implement: *“The Ministry of Planning and Investment shall coordinate with the Ministry of Finance, the Ministry of Construction, the Ministry of Agriculture and Rural Development and concerned ministries and sectors in providing guidance on specific incentive mechanisms for water supply projects encourage the enterprises to produce and use domestic specialized materials and equipment”* (Item 3, Article 30). In this decision, the water supply for the poor and the extremely difficult areas is also mentioned twice. The first time it is mentioned in the Article 3 that: *“Water supply activity is a type of production and business activity that is controlled by the State to ensure the legitimate rights and benefits of water providers and water users, including consideration of support for water supply for the poor and extremely difficult areas”*. The another one is mentioned in the water tariff calculation *“Clean water tariff must be ensured for water supply units to maintain, develop and encourage service quality improvement, contributing to saving water use, considering the support for the poor”* (Item 3, Article 51).

The outputs and activities of WOBA are aligned with Vietnamese policies and WOBA supports the development strategies in WASH in Vietnam. The policy documents reviewed suggest that the output-based aid approach is considered by the GoV as a highly effective approach for reaching marginalised groups. WOBA thus has the potential for broaden OBA to phasing-in GoV budget.

Since 2015, the GoV has embraced a new policy to encourage private sector engagement and investment in rural water and sanitation. WOBA develops the partnership network among the private suppliers and the WUs. That helps strengthen the private suppliers’ capacity to access to the WASH market, especially to the marginalised household group, the people with disability, the poor, the elderly, etc. This contributes to the government’s goal of enhancing social inclusion for the marginalised group to ensure the equal access to WASH services.

4.2. Efficiency

5. Did the project (in each implementation component) provide good value for money?

WASH

The subsidies have been effective in reaching WOBA’s targets of poor/near poor and GESI households’ latrine uptake and water connections. It helps improve the environmental sanitation in the community. It also helps the community to achieve the target on environment of the New Rural Development Program. Under WOBA, up to September 2022, 20,000 latrines have been built. Out of which, about 75% for the poor and near poor HHs, 15% for the GESI HHs and the remaining for the non-poor HHs. The below figure shows the results of latrine completion by the province.

¹⁴ Decree No.117 /2007/ND-CP on clean water production, supply and consumption

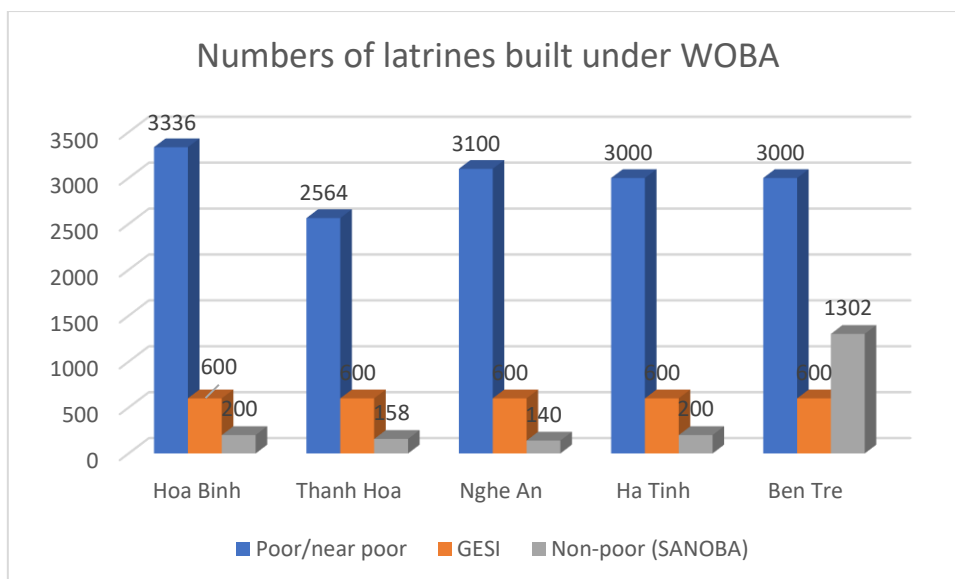


Figure 1. Numbers of Latrines built under WOBA

Most of the provinces have met the target of latrines for the poor and near-poor as well as GESI. Only the target of SANOBA HHs were switched between provinces, in which, most of the northern provinces did not achieve the set target and had to transfer the assigned quantity to Ben Tre for implementation.

The number of water connections made did not achieve the original target (6,943 versus 7,100 water connections). This adjusted target was informed to the donors in late August 2022. Of the four provinces implementing the water supply component, only Ha Tinh failed to meet the target, the rest all met the set target.

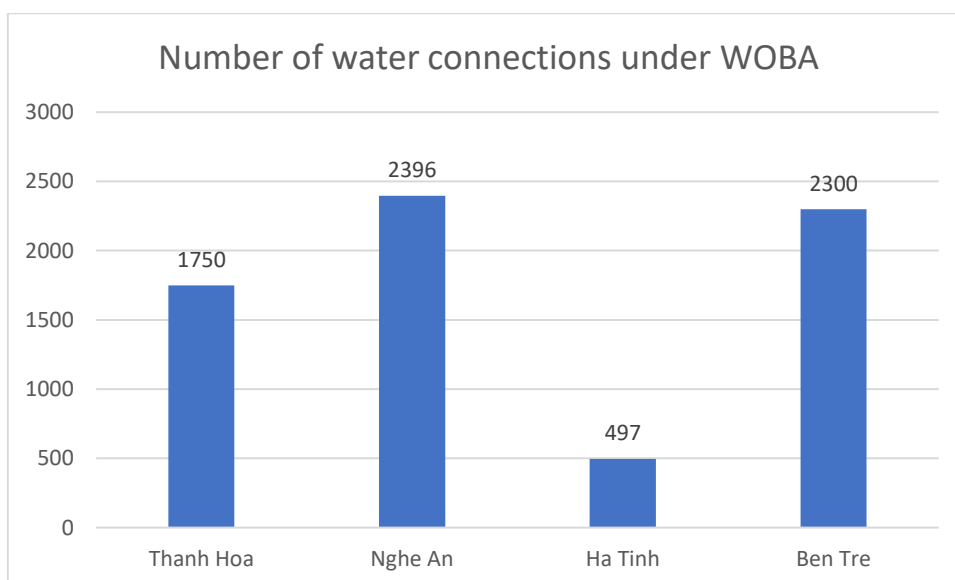


Figure 2. Numbers of Latrines Built under WOBA

According to the data from MTR, each built latrine under WOBA takes about 31 AUD for the performance incentives for the partners (WU and VIHEMA/CDC), and about 30 AUD subsidy for the target HH. It means that it takes 61 AUD to build a latrine. This is equal to less one tenth of the actual costs of a latrine.

Table 5. Subsidies and incentives paid for the sanitation component for the whole project (based on Thrive/EMW financial information)

	AUD
Performance incentives to WU - sanitation	428,936
Performance incentives to VIHEMA -sanitation	48,195
Total incentives - sanitation	477,131
Total subsidy for Households - sanitation	636,835

For water connections, it takes 71 AUD for the subsidy to HH to connect water and 13 AUD for the partners' incentives (WU and PCERWASS) for each connection completed. The cost paid from WOBA budget is 84 AUD, which approximately is half of the actual costs of water connection. This cost excludes the subsidy that the water scheme pays (average 63 AUD per connection), and the out-of-pocket costs that some HHs have to pay (on average 43 AUD).

Table 6. Subsidies and incentives paid for the water component for the whole project (based on EMW finance information)

	AUD
Performance incentives to WU - water	47,362
Performance incentives to NCERWASS/PCERWASS - water	61,168
Total incentives - water	108,530
Total subsidy for Households - water	575,133

In addition, the project's "3-layer" monitoring process potentially reduce the risks of cases listed but not building latrine or not installing water connections on the list. Furthermore, the construction is supervised to ensure technical standards were adhered to.

"There are things that will be damaged, there are things that will fade away, no longer be. As for their results, they are in the field, so exactly their official, I don't know which corner they are located in, but their cadres are extremely close and profound to reality. The officials of the province and commune are the ones who can be trustful. Visiting 100 families, all 100 HHs are correct, no one is incorrect. How many times do people believe they have to come, so I admire the people at the community the most. So, we stop at the level of support only, we still have to let people have more activities." (CDC staff, Thanh Hoa)

The project is also considered by the WU as effective use of funding for them to meet the WASH targets set.

It looks good too, really good. At the beginning, I also said that the NGO projects participation is one of the many works of WU that are currently being implemented, but it is the catalyst to spice up the activities of the association, normally. In addition, the sanitation segment can be livelihood support or rural development, flower road construction, etc., normally without a project, they still have to do and implement this work very well according to the original plan.

years and when having this, it's a catalyst that motivates employees to work, it's also exciting to have to make them do better. (WU staff, Hoa Binh)

With the water supply component, in terms of contribution of the people and the benefits brought to them, the economic efficiency is clearly shown. *"People spend little initial cost but bring many benefits to them. They can buy goods at a cheap price as a discounted item, but not with bad quality, but with very good quality". (CWU staff, Ha Tinh)*

With the CRWSP component, activities are mainly focused on completing the WSP that the units had already had, and then adding the contents relating to climate change. In addition, the project also supports the construction of a Safe Water Supply Board with a diverse range of members including representatives of the people and local authorities and organizations participating in the protection and monitoring of water supply. This is considered a highlight of the project. However, these activities have not yet demonstrated economic efficiency at the time of the assessment, although the water utilities consider that the project interventions are necessary in the current context of the water utilities. Water providers need the participation of the government and people to increase the efficiency of water supply services as well as in the context of the need to adapt to climate change today.

With FSM component, at current time, interventions from the project focused on supporting the development of tariff for sludge collection and treatment and communication activities to the community. This activity is considered necessary to help the two sludge suction and treatment units to have customers, bringing economic efficiency. However, these interventions were not economically evident at the time of the assessment when the number of customers each unit served was still limited. Thien Thanh company (private sector FSM truck) cannot yet apply the unit price for sludge suction and treatment supported by the FSM pilot because they will not be profitable. Their unit price was more expensive than the allowable unit price because they have to pay the cost of dumping and treating sludge while URENCO Ben Tre (state-owned truck) don't charge for this.

"Because the city withdraws, there is no processing fee. I withdraw some processing money, so if I downgrade to the city, I won't have any profit." (FSM service provider)

6. Were outcomes achieved on time?

In general, the planned activities for each outcome have been completed on time.

With outcome 1, WOBA has made significant efforts to advocate for co-financing agreement at the provincial level. The OBA approach aims to contribute to an expenditure framework that matches government priorities in WASH with available resources, which provides TN/EMWF the opportunity to co-finance activities with the PPCs. The OBA mechanism is an implementation approach that contributes to sector financing by having clearly defined target outputs, transparent incentive and subsidy schemes, and wide stakeholder engagement.

TN/EMWF worked with each PPC to determine the appropriate rebate amount and allocation, that match the province's capacity to co-finance and their target number of poor/GESI households. Baseline remuneration allows for identification and agreement of targeted households and expected results. The pay-for-results orients partnerships towards an agreed result which is verifiable.

TN/EMWF supports Central WU and Provincial WU to take on leadership and facilitation roles to ensure government commitment for co-financing to support poor and GESI households in light of competing national and sub-national priorities, and low priority of financial support to WASH projects. By Oct 2022, all five provinces approved the co-financing delivered by the WU, except for 436 households in Thanh Hoa that did not receive co-financing due to the change of latrine targets

between some project provinces, and arrangement of co-financing of provinces receiving additional target not planned and therefore no allocated resources.

TN/EMWF established partnerships with WASH companies in Vietnam and with WU to create market of WASH services for rural areas. Payment of sales commission to WU and private sector companies allow for these actors to be incentivised to enable market mechanism. OBA agreed targets create the mechanisms for private sector sanitation suppliers to get involved and provide appropriately priced products and services, therefore leveraging government subsidies with available resources. In reality, OBA has not been a sufficient incentive to mobilise the private sector. Much more work is needed to understand appropriate levers in the marketisation of rural WASH. The interventions to mobilise the private sector have been adopted and changed compared to the initial design from providing the substructures of the latrines or full latrines to providing the auxiliary accessories in the toilet such as handrails for the PwD and the elderly. However, it has been still limited in some provinces such as Ha Tinh and Nghe An.

The project also supported to establish the Water Safety Committee with the involvement of local authorities, organizations and the representatives of local residents for the each water scheme. These Committees also organized the regular meetings and participated in the trainings provided by the WOBA.

Outcome 2

With the water components, all selected private and public water suppliers agreed and provided the subsidies for the target HHs. The Pilot the Climate Resilient Water Safety Planning (CRWSP) pivots WOBA toward sustainability of water operations, through partnership with national and sub-national government to help GESI populations access climate resilient WASH services. The water supply services have been reached the poor and GESI HHs in rural Vietnam and have been increasing their role in providing high quality water supply services to all. However, due to limited number of water schemes in the project areas, “water services cannot yet be combined with sanitation services in the same area as originally expected” (WOBA Project staff)

With the sanitation components, the project supported the WU in generating demand for non-poor households through sales commission. However, only two out of five provinces have been achieved the targets. The participation of private sanitation providers such as suppliers of toilet construction materials, auxiliary equipment in toilets or construction of complete toilets is still limited. Even in some project areas in Ha Tinh and Hoa Binh provinces, the Women's Union staff do not even receive commissions from the project, but they make many efforts by all means to achieve the target because of the political responsibility given by their superiors rather than for economic benefits for the WU staff.

Outcome 3

The targets of water connections and latrines have been achieved by the end of the project. In some provinces such as Ben Tre, after the mid-term review, it seems that the set targets are difficult to achieve and the project also requested the Ben Tre Provincial Women's Union to adjust the targets. However, with the commitment of Ben Tre CPC and provincial WU, in the later stage of the project, this province has also made breakthroughs to achieve the target of toilets, even supporting other provinces on the number of latrines for non-poor households (SANOBA) when these provinces are unable to implement this model.

Outcome 4

According to the project M&E data, there are 2,049 WU staff who participated in WOBA. The number WU staff for each province is presented in the below table.

Table 7. Number of WU's member involved WOBA

Number of WU's member involved WOBA							Total
WU level	TW	Hoa Binh	Thanh Hoa	Nghe An	Ha Tinh	Ben Tre	
Central	7						7
Province		5	5	5	7	5	27
District		9	19	11	4	0	43
Commune		33	128	72	67	66	366
Village		367	344	251	359	285	1606
Total	7	414	496	339	437	356	2049

As mentioned in the Mid-term review, at the institution level, according to the project partners, it is practical to enhance the women's role through WOBA because the WU is the key implementor in the project. The logic provided is that since the WU's mandate is to serve women, the WU's activities prioritise women. Moreover, these partners consider women to be in charge of housework tasks relating to WASH in the family and responsible for taking care of health issues in the family. There is an inherent match between the role of the WU in delivering messages about WASH benefits for women. In this way, these participants presuppose the traditional role of women within the domestic boundary and the role of the WU as an enhancer of that traditional role. They felt that the WU is appropriate to mobilise households because they already have embedded networks within the community, and have developed communication and propaganda skills due to their WU work.

One of the drivers for the WU's participation in WOBA is their responsibility for their community, which stems from the WU's mandate. With that role, they have to take directions from the Party, the PPC, and the WU at higher level. Their sense of obligation to carry out the task assigned by the supervisor is strong although many felt weary with the pressure of achieving target. As said by WU interviewees in Thanh Hoa,

"I participate in the project because the superiors assign my tasks."

"I participate in the project because of my political responsibility to provide benefits for the people as well as to contribute to achieving the criteria of 90.2% hygienic latrine by 2020 and 92.5% by 2021."

In their opinion, the project is an opportunity for them to help their community members improve the quality of living condition as well as to let their own locality reach the destination of the New Rural Development Program with environment criterium No.17¹⁵ soon.

¹⁵ Objective: to meet the requirements of criterion No. 17 in the set of national criteria for new rural program ensure adequate supply of clean and hygienic domestic water for the population, schools, health stations, offices and public service areas; fulfill the requirements of protecting and improving the ecological environment in the commune. By 2015 35% of communes will meet the standard and by 2020 80% of communes will meet the standard

Source: <https://thuvienphapluat.vn/van-ban/Van-hoa-Xa-hoi/Decision-No-800-QD-TTq-approving-the-national-target-program-on-building-109978.aspx>

Outcome 5

There have been 34 knowledge and learning documents disseminated to the stakeholders. However, according to project staff, most of the emails they sent documents did not receive any response, even only a few replied "received", the rest "keep silent".

According to the results of discussions with partners about whether they received these learning products, the partners all replied "yes, the project sends very often", and they said they read it, but currently "don't remember" about what" or "too many things can't be seen". According to an official of the Provincial Women's Union: "All documents are forwarded to leaders or professional staff for viewing. Those documents are understandable, but it's been a long time, so I can't remember exactly what the content is."

7. Were the project components implemented in the most efficient way compared to alternatives?

In general, applying the OBA model and provide the subsidies to the target HHs and incentives to WU staff is considered as an efficient way because, the WU and local authorities made many efforts to mobilise the different sources to build latrines. Without the involvement of PC and WU, it would take more money to achieve the target although it can cause the burden for CWU staff and village WU staff.

For the FSM pilot, the proposed unit price seems to focus on the benefits of the people more than the cost-benefit problem that participating units were concerned with. From the perspective of both participating FSM entities, it can't be considered as the most efficient way when the private unit has to change the price to ensure the fair competition between Thien Thanh, private sector firm and URENCO, a state owned firm.

That's right. In fact, in the city and the cadastral science team calculates that price, they can only work as a charity for the local people, but they can't. Now you do business, you spend money, the State imposes such a price, you can withdraw your pocket money to cover your losses. Only the State, I can't do it... No, it's the same price in your place, according to your price. The price the city offers like that, the state can do it, but you can't do it. Eight hundred per unit, how much does it cost for petrol and wear cost. (Staff of Thien Thanh)

8. Are the program's governance structure and implementation arrangements appropriate and proportionate to the outcomes sought?

The governance structure of WOBA is assessed as appropriate and strict by the project partners to ensure the transparency and cross- monitoring among the parties. It contributes to the achievement of outcome 3, ensuring the project's latrines are properly supported by the target households.

I think it's reasonable because with the same grant source, you can accept it once, you can't get it again while other households don't accept it. That, that is its strict rationality, so that it does not appear to be duplicated. A second one is that from its process it has cross-supervision among the parties. There is the mutual supervision between the Women's Union and East Meets West, so if both sides share and supervise each other, the process is so tight. Then the third one is the involvement of the third party, CDC, for the sanitation component. Since CDC is the one who does the appraisal, the CDC also have a copy of it, so there is the third objective. The Women's Union is the one who propagates and advocates for the implementation, the CDC is the one who does the written appraisal. If there is a connection with this 3rd party, then that is fair and transparent. (Staff of Ben Tre PWU)

However, this governance structure is not proportionate to the outcome 4 – increasing women’s empowerment, especially the power to make decisions and direct implementation activities.

In sanitation, the PPC is the main agency in governing the implementation activities of WOBA. It governs operation by directing the PWU and the CDC. The PPC established a Provincial Project Management Board to coordinate the implementation of WOBA. The WU plays an important role from the national to village levels in cooperating with other partners. The PPC operates in accordance with its political structure, which is a hierarchical structure of governance from the provincial, to district, commune, and village. At the village level, the CPC has authority over the head of village and the village Party cell. VIHEMA is responsible for technical assistance at the national level and has developed technical guidelines for latrines for persons with disabilities.

This governance structure of implementation differs to that in the WOBA project design, which states that the WU establishes a project management board (PMB) at each level (provincial, district and commune level), comprising key departments (PC, WU, DOLISA, DARD, DONRE) who are involved in the implementation. In this design, the head of PMB is the vice chairman of PC, the WU is the deputy head of PMB. In practice, the WU carry out WOBA implementation activities under the direction of the PC at all levels. Other departments only play the role of supporting or getting information from the project implementation. VIHEAMA and CDC act as independent agencies external to the WOBA governance structure.

In the water component, PCERWASS coordinates the water operators and its own water scheme in WOBA. And only PWU cooperates with the PCERWASS while the involvement of DWU, CWU and WU at village level in water component is limited when the water operators directly cooperate with the CPC or head of villages but not the WU. NCERWASS’s role is cooperation with PCERWASS in evaluating whether water enterprises are qualified to participate in WOBA. There is no clear relation between the DWU, CWU with the water enterprises, which is different to the sanitation enterprises who cooperate with the WU.

WOBA’s operational structure leverages vertical relationship of government to steer and direct activities, and horizontal relationships among departments for co-ordinating stakeholders to carry out activities. This partnership structure is not newly established by WOBA, rather following established structure and networks from EMW’s previous projects (CHOBA 1 and CHOBA 2), and more importantly follows the government political structure which must be adhered to for any projects in Vietnam.

Although they (heads of PPMB, vice chairmen of PPC) are busy and can’t participate in the meeting, PWU always have a minutes after each meeting, have a plan and a resolution to report it to the heads of PPMB even though people are very busy. Our reports to him will focus on the problems or issues raised by the various parties. And everything must be directed by him. Although the WU is the deputy head of PPMU, but she can't stand up and direct. She can't issue a directive to the People's Committees of the communes. (Staff of PWU Hoa Binh)

Mostly, they get information through the WU and we are deputy head, but in fact, we have been doing all the work of the head. The head only get general information on the side of the paper and the WU keep all kinds of data, you know. That's the policy, but what I need to ask for advice from the head, he just gives the direction, all the remaining is conducted by of the WU. (DWU staff, Thanh Hoa)

WOBA leverages the government structure in which the WU is subordinated to the PC in both the Project Management Board (PMU) and in government structure. The CWU advises the CPC in the decision making and does not have any right to make the final decision. As mentioned in MRT

report, WU interviewees said that they participated in the project because of their political responsibility as a member of the WU, and with that, they accepted that they have to be directed by the Communist Party, PC and their superiors. Any decision they make must be approved by the PPC. The WU can only carry out activities if the PC has issued an Official Letter to direct the assignment of roles and responsibilities of the WU. Even at the district or commune level, the WU's activities must be approved by the district/commune People's Committee. This structure applies for any activities of departments and agencies.

It is clear that the WU members, as individuals and in the institutional level, did not have leadership role in WOBA due to the structure of the WU within the political governance, which WOBA leverages rather than intends to transform. Although the WU in sanitation component have gained some sense of self improvement as a result of their mobilisation activities in WOBA, and the WU has increased their reputation in Vietnam in WASH services, WOBA maintains the WU's traditional role of a socio-political propaganda arm of the government. Alongside the perception of the WU as skilled and legitimate people to protecting the rights and interests of women, and WASH is a women's issue bounded within the domestic domain, it is hard for the WU to be empowered as women leader with decision making and autonomy in the workplace. In WOBA's result, 2,047 WU staff were mobilised and trained under WOBA, and 403 WU staff were in PMBs at different levels. The high number reflects the various levels of the government and WU in which the women hold their positions and responsibility which is already established, rather than intended outcome 4 of increasing women's empowerment.

9. Has WOBA Vietnam allocated enough resources and technical expertise to implement appropriate capacity development strategies that are responsive to the needs of different beneficiaries and stakeholders?

The OBA approach is applied in WOBA for both the target HHs – the disadvantaged HHs and the WU staff who are the volunteers to mobilize HHs to build latrines. According to the WU staff, the incentives from WOBA is much less than their time and efforts (even the cost for phone and petrol) to mobilize each HHs to build latrines with the small subsidies compared to the real value of the full latrines. However, one of the advantages for WOBA implementation is that building latrines and using clean water is one of the priorities of local authorities under the Rural Development Program. Therefore, the WU under the direction of the authorities is responsible for encouraging HHs to build latrines. All interviewed WU staff said that they participated in WOBA because of their responsibility assigned by the local governments, rather than for their own benefits such as incentives or power.

As mentioned in the MTR report, according to the partners including the NCERWASS, VIHEMA, PCERWASS and CDC, the support from the project including financial and technical support has been adequate for them to implement the activities that they agreed with EMW. However, some seemed to be unaware of the OBA process as a market-based approach, and that the intention of OBA institutionalisation is for the government to engage with the private sector systematically during WOBA and post WOBA. They considered the participation of private suppliers in WOBA as a factor of "market" rather than important actors in the market. Although the project partners rated that the information has been provided promptly and sufficiently, they seemed to be referring to information about targets rather than other broader outcomes of WOBA such as institutionalising OBA and private sector strengthening as a modality of WASH delivery or gender empowerment. After the mid-term review, the issue of market-based approach was more interested in and mentioned by the Women's Union - and in essence in project design, WU is considered as an agent to enhance the WASH market for the household in the rural area. However, the WU staff don't agree with that.

Similarly, the target beneficiaries also thought that the subsidies they received are "rewards" from the state or WU. In addition, the information provided to households after they completed the

latrine or water connection was still limited to promote hygienic practices using latrine and maintaining the latrine, or using water efficiently.

According to WU staff, the EMW conducted some trainings relating to baseline data identifying, models of latrines. The participants highly appreciated the trainings.

The training contents were very interesting. It provided knowledge, then they organized activities to practice, role-playing to grasp the knowledge provided. (Staff of Hoa Binh CDC)

The trainings on gender equality and menstrual hygiene are very useful but too late – at the final stage of the project (about quarter 2 in 2022). At that time, most of the target HHs had been completed latrines. Visiting the households of WU staff after HHs completed the latrines were also limited, so communication on these topics to the households of the promoters were not carried out. The Women's Union staff said that this training should have been conducted earlier so that they could carry out communication during the process of mobilizing households to build latrines at the beginning of the project.

The interviewees and participants in FGD highly appreciated the content of the training courses they attended. They consider the training courses as being able to share and discuss enthusiastically and gain more technical knowledge and soft skills in *mobilization* and communication.

This is shared from the WU staff at higher level such as the district, provincial or central WU, then I come back and share it with the women in my commune and they are also interested and love to listen. And they say that if this training is organized again, the WU must invite them – the farmers to go, and let their husbands come and listen to it. (CWU staff, Hoa Binh)

However, there are also opinions that some of the training contents under WOBA program should be implemented earlier and learned lessons for the implementation of the next phase if the project continues, such as the training on the menstrual hygiene program for women.

Then if the project continues next phase, the training should be conducted earlier. Because about gender as well as gender equality in everything we have discussed, and the benefit is not only men or women alone. (DWU staff, Hoa Binh)

The training course should have rich training methods, sharing, building/handling situations that will help participants remember for a long time and make them not sleepy. And the menstrual hygiene training program should be expanded to more target group, parents should participate more so that they can take care of their children.

Because in the past, the women who participated in some trainings said that they were so sleepy that they didn't want to join. If there are discussion and exchange opinions like Q-A, the women will surely respond and enjoy it more. Or the type of discussion, integrating the content in cooking competition. (CWU staff, Hoa Binh)

This menstrual hygiene training to tell me the truth, it aims to wake up the parents so that people can take care of their children at that teenager age. It involves a lot of things. Therefore, training should be given to parents and children. (DWU staff, Hoa Binh)

(Case study in Hoa Binh province – Gender Study Report)

Some other activities, such as the instructions on the assessment of toilets, had some changes during the implementation process, making it difficult for the staff to verify the latrine or water connection completion.

Should have given us the words or an email to guide. Actually, it suddenly changed, install it through this, go through that, and then use it... We are not robots, we have to read, understand how to ask people. Here's a shot, it's clear that there are questions in the program that are sure to be in the program, even for you, there are still some questions answered straightly that were not able to synthesized. (Staff of CDC, Thanh Hoa)

With CRWSP, the project provided detailed and methodical construction instructions. The outline of CRWSP is considered to be clearer and more reasonable than the water safety plan developed by the water providers before. (Staff of Ben Tre PCERWASS)

With FSM in Ben Tre city, the Ben Tre City's PC recognized the EMW's methodical investment, from the construction of the sludge treatment plant in the previous stage, to the commercial operation stage, and includes the information and mobilization stage for local people to use the service.

I think EMW's support is good, in terms of investment. The support helps to complete the whole project, at each stage from the beginning to the commercial operation stage then the communication with the WU branches and local residents. (FGD with Ben Tre City's PC)

However, in the WOBA project, the FSM component only includes tariff structure and communication activities, excluding the technical training.

Only training women for professional training, in general, I use my technical staff to do it, but mainly for communication training. (Staff of Ben Tre city' PC)

I didn't receive any support from the project. I once thought the project will support the loan interest from the commercial banks but there was not anything. Because I accepted doing that, I must bear... (Thien Thanh private unit)

There were 160 communication sessions organized by the project. However, the impact and effectiveness of these are still limited due to the short implementation time and the small scale.

We conducted five training sessions to improve the capacity of our partners and 160 communication sessions like a communication campaign. Making videos, Facebook, articles, radio posts, we did a lot, but it's only during the period from February to March (2022) that we conducted training. The communication activities only work from April to July (2022). Communication time is too little. And communication to change awareness, change community behavior is not only 3 months but everyone understands for people to do right. 160 sessions are not enough for nearly 40,000 households in Ben Tre to fully understand the project. Because if the number of households is counted, only representatives of about 3000 households can attend the group meetings. So that's just the first step for us to find out how our communication ability is, and whether our communication methods are really effective, so that we can evaluate if we continue to do so in the next period, then what part do we focus on, what is the most effective method of communication. (EMW project team)

4.3. Effectiveness

10. To what extent were the outcomes achieved in regard to the four project components?

According to the project ToC, all activities and interventions of all five outcomes have been implemented except the activity that "NCERWASS coordinates the WOBA program with the Ministries (MARD & MONRE) and Departments in charge of climate change and environmental risk management".

However, it is difficult to evaluate whether all outcomes have been achieved at the end of the project, mainly because of the lack of clear outcome indicators that link to the activities. Only Outcome 3 had clear indicators of built latrines and installed water connections, and part of Outcome 4 had indicators of the number WU staff mobilized and trained. The remaining outcomes

don't have targets or indicators. Moreover, there is no baseline data (including quantitative and qualitative data) to evaluate what and how changes were expected or measured as a result of the project interventions. This is quite unfortunate, and although the MTR had suggested a number of recommendations for baseline data collection and log frame development, none of the recommendations were implemented.

With the outcome 3, the number of built latrines under WOBA has been achieved the target of 20,000 latrines for the poor/near poor and GESI HHs. The initial target of 7,100 installed water connections has not been achieved. But, at the end of the project, there were only 6,943 water connections have been installed, it is less than the adjusted target a bit.

The adjustment of the expected numbers of latrines and water connections was taken place after the mid-term review, based on the actual implementation situation in each province.

There is no initial target, that is, at the beginning, for Ha Tinh province, 1000 water connections were allocated, then through each stage, based on our survey and then COVID 19, the number of water connection had to drop to 750. Then the survey didn't afford to pay, so had to pay 250 back... (Staff of PCERWASS, Ha Tinh)

With the target 1500 Women's Union (WU) volunteers mobilised and trained as demand generators, market builders, and WASH business operators, there is a list of 2,049 WU staff have been mobilised under the WOBA, but there is not sufficient evidence to show whether all of them have been trained as demand generators, market builders, and WASH business operators or not. Moreover, there are also a number of WU staff who have been replaced during the project duration due to the changes in local election in 2020 and 2021. There is no evidence to say that all of those replaced WU staff have been trained.

With the CRWSP component, there are 19 CRWSPs for 19 water schemes approved by the CCTT (PCERWASS). 17 out of 19 CRWSPs above have been approved by the local authorities, only two remaining ones (in Ha Tinh) haven't been approved yet. The approved CRWSPs by the local authorities are considered as a basis to implement the CRWSPs at the next steps. Similarly, some activities relating to the building capacity, establishing the Water Supply Committees for each water supply scheme have been completed. However, there was not any set target relating to the number of CRWSPs that must be developed or approved by which kind of authorities or the number of trainings or water supply committees that must be completed. Therefore, it is difficult to say if the targets have been achieved or not.

In the FSM component, there was not any target or indicator at the beginning of WOBA either. Only documents including the agreement between Ben Tre government and EMWF in 2021 (more than 2 years since the WOBA starts) mentioned the specific targets and indicators for the activities (not for the objectives and outputs), such as the number of training courses, communication meetings, tour visits to the fecal sludge treatment plant, a SOP, a manual, a tariff structure, etc. By the end of the project, all activities have been completed as per the workplan. However, two documents of SOP on FSM and a tariff structure have not been approved by the local government yet at the conclusion of WOBA. This is a limitation toward the goal of FSM component to support develop the overall management system of septic tank sludge in the area of Ben Tre city, especially focusing on the rural and peri-urban areas and vulnerable HHs.

11. What were the major factors influencing the achievement or non-achievement of the outcomes in each WOBA components?

There are some factors influencing the achievement of the outcomes of WOBA.

Firstly, the WOBA project has mobilized the participation of the government, which includes the WU. The government is willing to participate because the project outcome relating to the number of latrines and water connections being implemented is in indicator 17 of the New Rural Development program that all rural areas are implementing. With the interest and participation of the government, the local authorities direct the Women's Union to participate and achieve its goals – this is also why WOBA partners often focus more on outcome 3 than on other project outcomes. With the direction of the People's Committees at all levels, the Women's Union must participate in the project's activities without any other choice but to deliver their political mission. So even if there are no incentives to pay the WU members, WU still has to carry out these activities mandated by the government.

Secondly, it is recognized by households that the project is providing subsidy for the target HHs. Most of HHs are aware that they should use hygienic latrines. However, due to their economic condition, their motivation is not big enough to build latrines. Many households often want to build latrines in combination with house construction to ensure reasonable and synchronous design between the houses and the latrines. The construction of latrines before building a house did not appeal to households who want to build latrine in their houses. The subsidy from the WOBA is considered as a motivation for households to decide to build a house with a latrine in the house earlier than what they could in reality receive the support.

Due to WOBA, the latrine construction and water instalment have been conducted faster. Surely that they will build their own latrines but who doesn't know when, they have to wait until having better economic condition. For example, they have to do it anyway but someone says, if they are doing it right now, they can get a few extra kilos of cement if they do it at the right time. They will try to do it themselves to get it, that's what I like the most about this project. (CDC staff, Thanh Hoa)

For households who build latrines outside the house, this is also considered as one of the motivations for households that do not have latrines but are planning to build latrines do it earlier than expected to be able to take advantage of the subsidy from the project.

Similarly, with the water component, the reduction (about 60%) of or free water connection is also an opportunity to help disadvantaged households to have the opportunity to use clean water.

In the CRWSP component, the target of providing free connections or subsidy for water connections to the disadvantaged HHs has not been mentioned. So, it can be said that the CRWSP component can support to sustain the water supply for the disadvantaged HHs during the project duration but not aiming to increase the equity of accessing to qualified water supply system for all.

Thirdly, the purposeful selection of project sites with a high rate of unhygienic latrines is also one of the factors that makes the target of built latrines easy to achieve. However, this choice inadvertently makes households without latrines in other communes with a high proportion of latrines have less opportunity to access resources as motivation for building latrines.

Fourthly, the project's strict monitoring mechanism and the management of target households by software and separate codes make the construction of toilets and clean water connections more transparent, such as the identification of a household having received support to build latrines or not (including from CHOBA 1 and CHOBA 2) and whether the households in the list are not overlapped.

Lastly, the connection between the WASH enterprises and the customers is mainly developed by the WU and local authorities' guarantee. Through this third party, the enterprises can access their customers easier, and the customers can trust the enterprises more. Involvement of the WU and local authorities is the social capital required for business relationship to be established between the

suppliers and customers. This level of social capital and its effect on business relationship and understanding the customer vary between provinces, with a stronger relationship in Ben Tre than in Nghe An localities. Such involvement of the WU and local authorities can be an enabling factor for operators in WOBA to connect with households. It also highlights an emerging market with externalities that could impede the creation and effective operation of the market. Further, the private sector would need to continue engaging with the WU and local authorities and paying them incentives similar to WOBA, which means additional ongoing costs of running their business.

There are a number of factors influencing non-achievement of the project outcomes. Firstly, the subsidy is not enough for the extremely poor to build latrines. As mentioned above, the total subsidy is much smaller than the average cost of building latrines (equal to 5 - 10%) (see table 8 below). So, the HHs who want to build latrine must have enough their own savings to do that. While these HHs are often difficult in expenditure for daily food, so most of extremely poor don't have savings to do that.

Table 8. Average cost of latrine and family savings used to pay latrine (per verification data)

	Average cost of building latrine (million VND)	Average family savings used to pay latrine (million VND)	Total subsidy for poor/near poor (million VND)	Total subsidy for GESI (million VND)
Ben Tre	12	10	0.9	1.2
Ha Tinh	25	23	1.15	1.5
Hoa Binh	13	10	0.8	1.5
Nghe An	33	30	0.8	1.5
Thanh Hoa	32	32	1.32	1.8

The second factor is relating to the coverage of water pipeline. For the water company, there is no government investment or project investment under WOBA to help the water operator to extend their service network, and the subsidy amounts are not sufficient to support families who live far away from the pipeline to afford the higher cost of connecting. The very low tap water consumption, limited awareness on protecting the water pipeline, the water supply facilities, or water resources are other factors that make the water supply scheme hesitant in continuing to supply water to target beneficiaries.

The poor and the near poor often live in remote areas, when the water supply network has not reached the area. Usually they live far away, there are houses 300-400m away that we can't invest in to install the pipeline there. So, they are not allowed to participate in. (Staff of water operator, Thanh Hoa)

For the sanitation company, according to the sanitation company interviewee, one of the main implementation issues is that the WU has not disseminated adequate information about the composite of latrine substructure and its quality. For example, many WU staff don't know the durability and longevity of latrine substructure provided by the sanitation provider. With the FSM component, the WU is used to conduct the communication activities including the integrated meetings in the community. But the cooperation between WU and the FSM providers is limited. So, the information disseminated is not as correct and sufficient as expected.

The cooperation between those two FSM services providers and the Women's Union is not really good. Although the project let them take the initiative, even though I kept shouting "Hey sister, let's do this, let's do that", I also told the two organizations, but it's almost their voluntariness and the way they do it which is not really together, not really effective in this

part. That is also the reason why there were problems with the propaganda work, their awareness, the information brought to them, the City Women's Union provided information that it is not really correct. I mean it's incomplete. If the coordination is not complete, it will be difficult for the WU staff to communicate. (EMW project team)

As shared by the EMW project team, the Ben Tre local authority hasn't mentioned the subsidy policy for the disadvantaged HHs to access the FSM services because there is no related regulation in Vietnamese legislation. Moreover, many houses of the disadvantaged HHs are located in the small alleys. Therefore, the trucks can't access the properties to suck the sludge from the septic tank of these HHs.

12. Have the OBA subsidies been effective in reaching the poor and GESI households in both sanitation and water supply? What were the major factors influencing the achievement or non-achievement of GESI outcomes?

The OBA subsidies in WOBA brought the opportunities for many disadvantaged HHs to access the water and sanitation facilities. The subsidies have been effective in reaching WOBA's targets of poor/near poor and GESI households' latrine uptake and water connections. It helps improve the environmental sanitation in the community. It also helps the community to achieve the target on environment of the New Rural Development Program.

According to the survey, 71.1% HHs who received the subsidy for built latrine/water connection/or both don't encounter any problem to access and use clean water. Similarly, 79% don't encounter any difficulties with the current sanitation facility. 31.1% of surveyed HHs said that their problems with your sanitation facility have been positively changed since they joined WOBA, 38.1% said that they saved time spent on collecting since joining WOBA and 23.2% said that they positively changed the way that they make water safer to drink since joining WOBA or in the last 3-5 years if not part of WOBA.

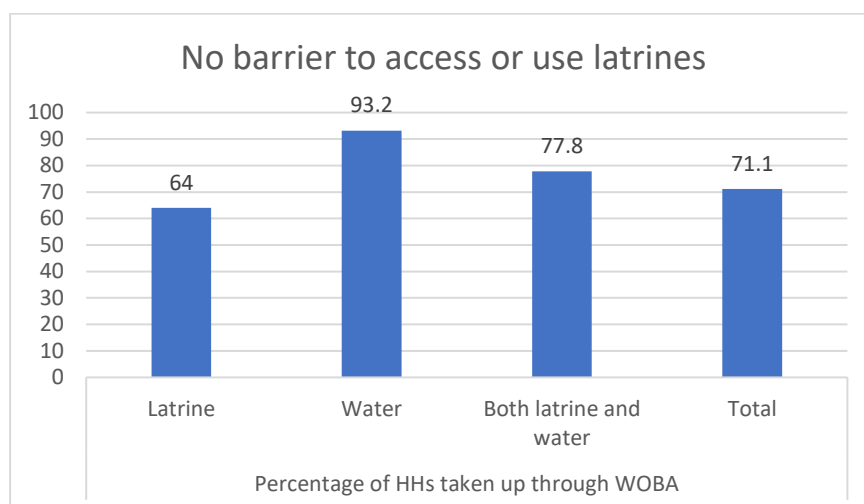


Figure 3. No barrier to access or use latrines

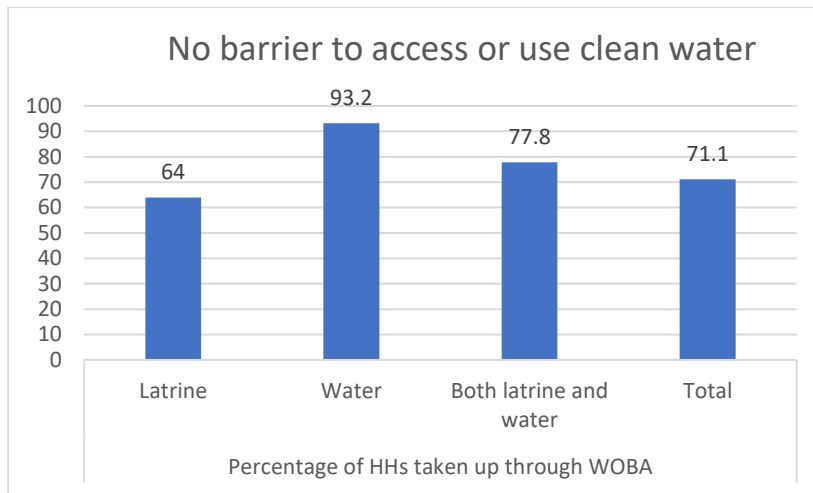


Figure 4. No barrier to access or use clean water

However, as mentioned above, the extremely poor has been still challenged to access and use latrines and water with the subsidy from WOBA due to their difficult economic condition. Moreover, during the implementation period of WOBA, there are additional poor/near poor HHs every year, but the HHs had to be in the list set in the beginning of the project.

I think it can't be all poor and difficult households to be able to build latrines because at the end of this year, there are some new poor/near poor HHs every year. But basically, in the initial survey or annually survey, we also have to know how many new poor/near poor there are, then this number could not be completely solved to build latrine for 100% HHs but about 60-70% only. (PWU staff, Hoa Binh)

There are some factors to achieve the GESI outcomes. Firstly, it is the awareness of HHs when they see the other disadvantaged HHs also build latrines or use clean water then they decide to build latrine or use clean water for their own household.

The first one is that for poor, near-poor households, this benefit will affect other households with other conditions but they have conservative ideas, one is that they will also have to do it because they see those households doing. (CPMB, Ha Tinh)

It is the perception of the people, the perception that from the impact of that project, they have had many households change their behavior. Talking about clean water, is that in addition to the target of the WOBA project, it also spreads to other households. Those average households think that if they use rain water or river water, it is also clean water. But after the impact of the project, for example, the household here is supported by the project, the next household is someone who is not eligible but they did not use clean water before, then they enter clean water. And the same goes for households that build toilets. In addition to the households supported by the project, for those households that, like the SANOMA model, there is a spill-over, to the surrounding households. People's awareness has been raised and many households have changed their behavior. (PWU staff of Ben Tre)

The increasingly serious environmental pollution is also a reason for households to use tap water when their existing water sources are polluted.

They are the ones who get the most benefit because in the past, when the first clean water was available in commune, many households were subjectively saying that the traditional well water was very good. They do not understand that as the environment is more and more polluted, the use of groundwater is increasingly unsafe; Secondly, during the implementation of the project in commune, it took about ten years before the project started, so the people did

not register anymore, they did not trust the tap water so much. When it started to have it, it was installed, at first, the commune supported each household 900 thousand and the rest were households who contributed 2 million. (CPMB, Ha Tinh province)

New rural construction programs in some localities also provide additional support for households to build latrines. Moreover, in localities where many households build new houses, they can easily combine it with the construction of toilets.

I think it will be achieved but not as it is now, the roadmap will also be done slowly, and eventually it will reach the destination, but it won't be this fast. For example, I said that maybe in 2019, we reached the new rural destination, with 500 more stimulus and positive propaganda, and when mass organizations get involved, people make a lot of houses, especially like Nga Tien commune, built a lot of new houses. Sometimes it is said that the house is near poor, but why is it that other people's houses are bigger than our own, that's the reason. People want to do, propagated and mobilized, people build houses, toilets, of course. (PWU staff, Thanh Hoa)

With the FSM component, it is a big challenge to mobilize the people to participate in sucking fecal sludge every 3-5 years. At the current price of the service, it is much cheaper than the price of the informal services. When there is a problem of clogged toilets, even though the cost is high, the households still have to accept to do it. But when it is not clogged, it is more difficult to mobilize them to get suction service periodically, especially at the current price of sludge suction, which is still high.

The price offered is lower than before, so in general, people from the past to now just wait for their latrine to have any problems before sucking, but this price is cheaper than outside service. The price is high, sometimes 2 - 3 million per time, but the people must accept it. The price I offer is very cheap, but to mobilize people on a periodic suction, there is nothing to worry about clogged toilet. For example, if I communicate for once every 3 years, every 5 years, the price will also make people uncomfortable, and if you suck when the toilet is clogged, the price is very cheap. (FGD with Ben Tre city's PC)

13. What were the major factors that did or did not reinforce or produce gender equality and social exclusion in beneficiaries and women members of the WU who participated in WOBA?

According to the project partners, it is practical to enhance the women's role through WOBA because the WU is the key implementor in the project. The logic provided is that since the WU's mandate is to serve women, the WU's activities prioritise women. Moreover, these partners consider women to be in charge of housework tasks relating to WASH in the family and responsible for taking care of health issues in the family. There is an inherent match between the role of the WU in delivering messages about WASH benefits for women. In this way, these participants presuppose the traditional role of women within the domestic boundary and the role of the WU as an enhancer of that traditional role.

Overall, there is no clear evidence to suggest that WOBA has helped to increase capacity of WASH stakeholders and their organisations to consult with women and men to respond to women's priorities.

Women's participation in the project is not sufficient or demonstrable evidence that their decision-making at the family, community and institutional levels have changed. But participating in the project makes women more confident, women's voices are more respected and build the trust between the WU and other project partners.

Q: What about the Women's Union, do you see any changes in the Women's Union?

A: As for women, after 4 years, they worked with the Women's Union but a little less, 4 years have different things than before. I work with women and find that there is more mutual trust and closer attachment. The information shared with each other is also transparent, maybe sometimes it is not timely, but it is very transparent, also sharing information with each other. In forums with the Women's Union, the center has also raised its position with provincial departments, for example. Since I work, I often have a meeting with the province every 3 months, so I can attend this, thereby my position has also changed more positively through connecting with women. That is, the importance of women has also been greatly enhanced.

Q: How do you see the voice of women in meetings with other provincial departments and agencies now compared to the time before the WOBA?

A: More reliably, the women's recommendations are almost unanimously approved by the province.

(PCERWASS staff, Ben Tre)

14. To what extent has WOBA effectively engaged public and private sector water operators and sanitation suppliers in delivering WASH services for the poor and GESI communities?

In addition to the co-finance that PPC agreed combining with the subsidy from EMW to provide financial support for households to build latrines, in some localities, the provincial government (PPC Ha Tinh), the district government (Lac Son, Hoa Binh province) actively participates in supporting disadvantaged HHs. The establishment of Project Management Boards at all levels decided by the government has shown a certain interest of the government in the project's activities.

That's right, when implementing the project, we are available from the decision No. 123 as the project steering committee including the Vice Chairman of the Provincial People's Committee, the Vice Chairwoman of Provincial Women's Union, members from DOLISA because it is related to GESI, Department of Finance and VBSP specializing in supporting the poor/near-poor households and the CDC preventive medicine center. When deploying to the district, it is also done in the same way, basically, there must be a Vice Chairman of the District People's Committee to participate. In the last 3 districts summarizing, it is shared that Lac Son district supported nearly 60 million for project households under WOBA to build latrines. (PWU staff, Hoa Binh)

In addition, there has been initial success in integrating the private sector into project implementation through the collaboration with WU at all levels.

For the project of East Meets West, it still has a certain success, most clearly in Ben Tre. Because the project really helped them connect with private contractors and private contractors, they met the expectations that both sides wanted and the second thing was because of the different psychological characteristics of being familiar to using by people in different regions. (EMW project team)

The project brings the benefits to not only the target group - the disadvantaged HHs, but also the private sectors.

The first benefit is to increase the number of customers using water for the unit and the second is to bring the disadvantaged people in the area that the project aims to measure is access to clean, hygienic water to ensure health. for the community that is the greatest benefit. Not to mention the benefit brings revenue, in fact, the customer in the WOBA project is not our priority customer because it is not the customer that brings us revenue. (Staff of Water operators, Thanh Hoa)

Even for the FSM component, mobilizing the private sector to participate in FSM service provision was initiated by the government from the beginning.

At first, the leaders from the Provincial People's Committee knew to meet the requirement from EMW of using a private unit, then they asked me to do it. This model is known by provincial leaders, first coming here is to delete the fish bridge for more than 20 years, if you open this one, you can do it, the other guy, he's good at this... The PPC also gives priority to me. (Staff of private unit, Ben Tre)

15. How has WOBA's FSM pilot contributed to safely managed sanitation in Ben Tre city and considering the drought and saltwater intrusion priorities?

In the FGD with Ben Tre city's PC, some said that the FSM contributed to safely managed sanitation in Ben Tre.

Firstly, Ben Tre city has a station to treat sludge meeting safety and hygiene standards, instead of the previous unmanaged sludge treatment (actually no treatment because there is no treatment station). The sludge suction units can be dumped in landfills and vacant lots. But so far, having a sludge treatment station is the basis for the city to issue sanctions that require the sludge suction units to dump and treat in the right place.

As before, the septic tank suction system of this tank, the people who sucked the sludge, the unlicensed service providers secretly poured it out and couldn't manage it. Since the city has got this treatment station, it has been changed. (FGD with Ben Tre city's PC)

Secondly, the people of Ben Tre themselves are informed about the need to periodically vacuum septic toilets to avoid suctioning only when they are clogged, causing environmental pollution for their families as well as the community. It also makes it possible for unlicensed service providers to profit from their emergency when their latrines are blocked.

In the past, people in Ben Tre built septic tanks, so most of their people did not require suction periodically until they had problems with their latrines. Since this project, we understand that it is necessary to empty the latrines periodically, then now we have communicated to other that.

There is no evidence to say that it is relating to the drought and saltwater intrusion priorities. Flood-related toilet congestion occurred in a few numbers of latrines built under the subsidy of WOBA in low areas. However, these latrines are mainly located in remote areas and are outside the service provided by the septic tank sludge suction service providers.

5.4 Impact

16. How many people have been affected and to what extent in each WOBA component?

In total, WOBA completed 20,000 latrines for the poor/near poor, GESI HHs and non-poor HHs (SANOBA).

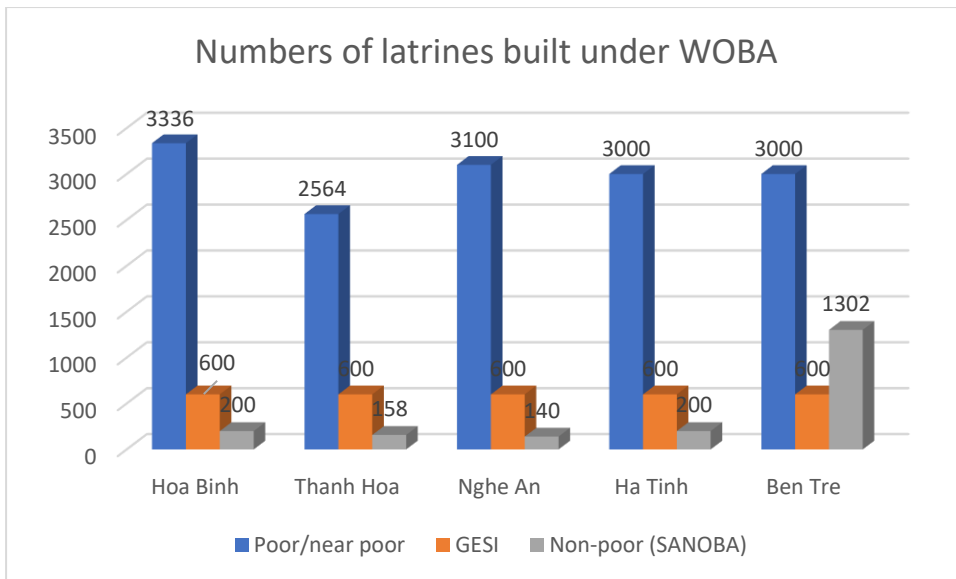


Figure 5. Number of latrines built under WOBA

The SANOBA HHs focus more in Ben Tre province. Other four province couldn't mobilize the non-poor HHs to build latrine with the SANOBA model, so the initial targets were transferred to Ben Tre.

In the water component, WOBA completed 6,943 HHs water connection u.

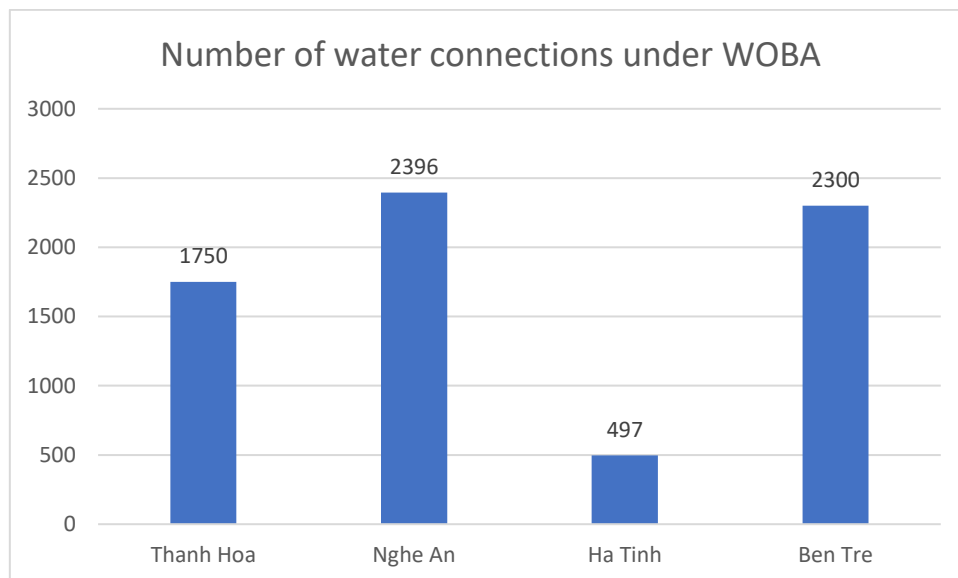


Figure 6. Number of water connections installed under WOBA

Communication activities in FSM have attracted a large number of participants. The below table shows the number of participants for each communication activities including different communication material developed by the project: handbook, video, glass bottle sample.

The beneficiaries in the FSM component are 25 WU staff and staff of service units and about 3,200 local residents through the communication activities. However, this number is still limited if it is compared to the whole population of Ben Tre city (more than 124,000 people or equivalent to 32,000 HHs)¹⁶.

¹⁶ [https://vi.wikipedia.org/wiki/B%E1%BA%BFn_Tre_\(th%C3%A0nh_ph%E1%BB%91\)](https://vi.wikipedia.org/wiki/B%E1%BA%BFn_Tre_(th%C3%A0nh_ph%E1%BB%91))

Participants in the communication activities:

- 25 members attended: Provincial and City Women's Unions, City People's Committees, 14 chairmen of commune/ward Women's Unions, 2 service units and 4 EMW officers
- EMWF conducted 5 training courses to build capacity for Women's Union members concerning the social marketing and awareness raising to create consumption demand and connect customers with licensed service providers. The training courses had 122 trainees, of which 108 were women (about 88.5%).
- EMWF and Ben Tre city government jointly organized 5 study tours to the treatment plant for 122 trainees (108 members of WUs)
- The WU of Ben Tre city conducted 160 group meetings to raise awareness and connect customers with the service providers in 14 communes/wards. The group meetings consisted of 3,236 people (2,413 women);
- The WU held 04 propaganda broadcast programs on the radio system of Ben Tre city;

Communication material:

- 1 handbook sample: 122 handbook copies were delivered to commune/ward WU members (100) and 22 stakeholders
- 1 video
- 1 glass bottle sample (3458 people received glass bottles including commune/ward WUs (100 bottles) and 3236 people attended in 160 group meetings)
- The project information booklets were delivered to 3236 participants

After the pilot supply and demand connection after 3 months, 7 households order pumping fecal sludge service through WUs members to connect to trucks of the project

With the CRWSP components, the direct beneficiaries are the staff from PCERWASS and from 19 water supply operators. Besides, there are also nearly 7,000 disadvantaged HHs considered as the indirect beneficiaries who got the water connections under the WOBA.

17. As a result of this project, what changes were produced in each project component relative to those intended, and unintentionally, if any?

At the individual and household levels, with the construction of latrine and the provision of water connections, households have used latrines and tap water, although few individuals still use both old and new facilities in parallel. For example, in Ben Tre, some elderly people in the household during the day still use the fish bridge (cau ca) even though there is a latrine near the house. Many households still use well water, rainwater besides using tap water to save money. Besides, the group of masons also formed the habit of advising households when building latrines, as in Ben Tre, when it comes to septic latrines, it must be "3 bottom coated compartments" emphasizing the difference compared to the latrines built before WOBA.

At the organizational level, the Women's Union has certain changes in skills, attitudes towards work, and is more serious and careful in their work. Women's voices are also respected more by the government authorities and other organizations.

The change I see from grassroot level, even if we conduct the survey, we can see that the WU staff also changes in using computers, their technology skills in the typing part are definitely improved that I can confirm, the second is when verifying the latrines or water connections, they use the smart phone, that's the part of the information that women also know more. That is different and the way of looking at the project approach has also changed a lot. Specifically, the stage of propaganda, or the stage of holding households or whatever, they are not as careless as they used to be, but they are very detailed and have pictures to prove that they can't lie to each other. That is the element in their activities is also different and the work of propaganda for women from that connection to the communes it forms a relationship, so it

has specific things to propagate to the households when they visit households. The flyers they can forget but they still have the pictures on the mobile device and it's also a creativity in their work. It's basic but there's a lot of good stuff. (WU staff, Hoa Binh)

However, as noted earlier, the WU's decision-making power in the political system has not shown a change because WU is still in the political system, they cannot change their mission in that system. There is also no evidence that the WOBA project has contributed to more women participating in the leadership structure including the PC, People's Council and Communist Party.

WOBA also helps to change the perception of government leaders, about providing support for the disadvantaged groups so that they can access WASH services through the OBA model.

"Therefore, after the WOBA project, in addition to the impact of this project, there are also impacts of other projects, so the direction of the Provincial Party Committee and the Provincial People's Committee in supporting and creating conditions for social inclusion is very concerned, creating conditions for the disadvantaged households to access clean water. (WU staff, Ben Tre)"

WOBA also has some unexpected changes or impacts. WOBA has contributed significantly to new rural construction and has been recognized by the authorities at all levels. Criterion on clean water and sanitation No. 17 in the set of criteria for New rural development is one of the difficult criteria to achieve, in which, households that do not have hygienic latrines or have not used clean water (in areas where clean water services are provided) are mostly economically disadvantaged households. The WOBA project was implemented at the right time because the localities were in need of support for disadvantaged HHs to build latrine and water connection. This contributes significantly to the government's positive assessment of the meaning and purpose of the project - targeting disadvantaged groups.

The criteria for identifying GESI households from the outset resulted in an unexpected large number. After that, the provinces had to narrow the target GESI beneficiaries, which led to complaints from the community, causing comparisons and complaints in the residential community (as in Thanh Hoa).

But why is it that in the process of implementing the project, the GESI work they do is so fast compared to the poor and near-poor groups. Well, that's also a problem when we made statistics and when conducted field visit, these households are extremely rich, having two-story or three-story houses is normal. So, we also discussed with some partners, when we work, we check that this GESI group should be reviewed or not to make it consistent with the spirit of the project that no one is left behind, and for those who can't reach without those resources, we should not reach the households that they are able to reach easily. (Staff of EMW project team)

With the FSM component, a significant change was the perception of a group of officials and people (involved in the pilot) about the need to treat septic tank sludge as well as having a licensed services provider for suction and treatment the sludge at the prescribed price. This is the result of the communication activities. However, these communication activities need to be continued to create changes on a wider scale with more beneficiaries.

One of the expected changes of the project is to create a market for providing FSM services with the participation different providers, including the private entities as Thien Thanh. However, the reality is that the dumping and treatment of sludge by Thien Thanh (the private truck involved in the pilot) actually relies on Ben Tre URENCO in several ways. Firstly, if URENCO says that the capacity of the sludge treatment plant can only meet the treatment needs of URENCO, Thien Thanh may not have the opportunity to dump the sludge and not be able to operate. In addition, Thien Thanh company

must increase the service price (more than VND 300,000) compared to the prescribed price to pay for URENCO to treat this sludge, while URENCO does not have to pay this fee. This reduces fair competition on prices between these two units in the long-term future of serving customers if there is no change in the price structure accordingly. This structural issue counter the objective of FSM pilot in advocating for a FSM cost structure and involving private sector supplier in FSM service provision.

With the CRWSP component, one positive change made under WOBA is to enhance the relationship between the water supply operators and the local authorities and community. With the establishment of Safety Water Supply Committees, it created an opportunity to exchange the information on the right and responsibility on protecting the water supply system, which was often considered as the responsibility of water operators only.

18. What factors contribute to these and what is likely to undermine sustainability of positive changes?

With their political mission in the political system, WU staff are enthusiastic, energetic and responsible people. This is clearly reflected in the project, when there is a clear direction from the government and funding support from the project. After the project ends, the supporting resources will no longer be available, so it is a challenge to continue operating the group of women officials to mobilise households to use toilets and clean water safely and effectively.

Normally, everyone is like that. If you don't have pressure, you won't be able to do anything if you don't have pressure, you can't do anything like if you don't have an inspection team, people don't do good work, that's a common sentiment. It's not the same with achievements, so when they get a job, they have the survey and the data, then the WU staff joined in with that enthusiasm, it must be said that it's dynamic, you see. They feel no pressure at all but it's normal. And if a WU staff who sits in one place and then runs into the house from the sun or rain, they call it pressure. (WU staff, Hoa Binh)

Identifying households with difficulty in accessing WASH services, especially clean water, requires the involvement of local authorities and service providers. The PCERWASS is unable to undertake this work alone.

If GESI, disadvantaged and disabled households in the locality, call for support, we are ready, but we don't do it by ourselves, go through and search for these households to do it themselves. It's not right, we don't have enough time and resources to do that. Local authorities can propose a list, our staff here will be able to go and confirm whether those households are really difficult or not. (PCERWASS staff, Ben Tre)

With the FSM operation, if the small vehicle to enter the small alley is not licensed, the sludge suction service will hardly be effective in reaching everyone. Currently, in terms of price, Thien Thanh unit encounters more disadvantages than URENCO. Therefore, if Thien Thanh unit is licensed to use this type of vehicle for the purpose of suctioning sludge from the septic tank, it can help maintain a customer balance between Thien Thanh and URENCO.

In general, running on the street is not afraid of being caught (by the authorities) anymore. But when there is no licence, my car is not in accordance with the regulations, who allows the tank to be mounted. Car 35 carries nothing without a tank, if I put the tank on it, I'm wrong. Mount the tank, I don't carry anything on it, it's just for transshipment only. But when something goes wrong, it blames me. (Staff of Thien Thanh unit, Ben Tre)

The SANOMA model is difficult to maintain after WOBA. Firstly, WU staff is not pressured about the target, so if it is difficult and not feasible, they will not do it. Secondly, the payment of commissions from the project to WU staff to make the connection between the private unit and the household is

no longer available, and will be difficult to find an alternative source to pay for this. It should be noted that the WU did not receive commission anyway under WOBA for this work.

It's a bit difficult because my target in the project was not achieved, the second is like I just said about Tan A Dai Thanh tank, the manufacturer commits to a certain number of years in using, maybe the end of a life cycle, but people don't trust, people build houses and make septic tanks because it's much more convenient and less expensive. (DWU staff, Thanh Hoa)

Regarding the CRSWP, due to limited budget, it is very difficult to invest in related items to achieve the expected results due to the large investment. In addition, after the end of the project, without the support (even if small) from the water provider unit for the Safe Water Supply Board built in the WOBA project, it would be difficult to maintain. It may be easier for private water providers to arrange this source of funds, but for water operators under PCERWASS, this funding source is quite difficult.

19. Have individual, community, organizations, private sector businesses in WASH been strengthened as a result of the project outcomes (for each component)?

Through access to sanitation and clean water, households gained awareness and habit of using toilets and clean water. Very few households have finished building a latrine without using it or not using it regularly. Households also begin to get used to the OBA model, only receiving subsidies after their construction is completed.

WOBA's involvement of all departments in the community to find the support for households to build sanitation shows the efforts and ability of the community to find resources, not only from the outside resources but from within the community.

The WU's reputation and voice have been strengthened very clearly in the WOBA project. Although leadership and decision making are not clearly represented in this project, their voice and prestige of women can be seen as a foundation to increase the proportion of women in government leadership structure of government authorities and communist party committees at all levels in the future.

Then we still have a voice, without it, we would never be able to do it for the GESI households, we have to analyze that it is very difficult for the locality to do this, then that is also WU staff's success. (CWU staff, Ha Tinh)

Yes, People's Committee is the final decision maker, of course the WU never decides that part, it's as simple as telling a story at first, just like in a family, it's a district. Just like in a family, the WU is a small department in a public agency, the people's committee have rights to make decisions. (WU staff, Hoa Binh)

With the private sector businesses, there is a difference among the components. With the sanitation component, the link between the sanitary facilities suppliers and the WU has been established but it is difficult to maintain due to the low demand of the households. For groups of masons, some are mastered in the technique of building hygienic latrines that can create a ripple effect in the community. With the clean water component, the relationship between the water operators and the local government and the community is improved, and the staff of the private water providers themselves have also received training and guidance on this connection to ensure the operate the water plant more efficiently. However, investing in all the items like in CRWSP will be difficult for private entities, because they cannot invest all at once while their resources are still limited. In the FSM component, the engagement of Thien Thanh in communication activities has not been active. It is because of their limited human resources and their limited awareness on marketing activities to advertise their services to the potential customers.

20. To what extent has WOBA's approach to GEDSI resulted in greater understanding of GEDSI issues and improved GEDSI capacity at the individual, organisational, and policy level?

As mentioned in the GSI study report, although many survey respondents (disadvantaged HHs) are aware of the idea of social inclusion in WASH, the practices of social inclusion in relation to WASH seems limited. In most of the survey area, there are no initiatives to enhance social inclusion in relation to WASH. So, although some respondents feel that the vulnerable groups need to be encouraged and supported in WASH and other aspects, they do not know how to participate in which movements or which activities.

I'm interested in but I don't know how to participate. For an example, there is a woman whose husband died of illness last, she had 4 children, so some women discussed with each other that if anyone had a lot or a little, let's donate to her so that she can bring up her children, and her children could go to school. I have never heard anything about support the PWD. Last year, the authorities called the support of 30,000 VND per capita for the disadvantaged HHs to overcome Covid 19 pandemic, and I also agreed to join. (Household, Hoa Binh)

Through the training of local masons under WOBA about the latrines for the PWD, and the activities to encourage to build latrines for PWD, the community started to be interested in and had some knowledge about the latrines for the PWD. However, there are some challenges for the design of the latrine for PWD to be applied in practice. For example, information and best practices have been shared for WASH workers and HHs members with disability; but there are very few HHs which applied them to build their latrine. Building the new normal latrine is considered as the big effort of disadvantaged HHs from the fact that they didn't have hygienic latrine before. It is difficult for them to follow the design of the latrine for the PWD. The cost of a latrine for the PWD is much higher than a normal one.

Similarly, the design of latrine (such as bidet, bathroom floor tiles, handrails, for the old people have not yet applied when the HHs with elderly members built their latrines.

Honestly, how difficult these HHs (having PWDs) are. They are using the temporary and unhygienic latrines, their wish of having a new normal one has been still luxury, so it is difficult for them to build a full latrine with higher cost for one or two PWDs in family who can use it. They are still living in the seriously degraded houses due to not having money. So, they don't think it's really necessary to build a latrine. (Head of village, Nghe An)

Access to the concepts related to GEDSI has helped staff from different organizations have a certain understanding of this field, although it is still very limited. In particular, they understand the needs of disadvantaged groups to access and use WASH services.

But with me being exposed to the WOBA project from the beginning to the end of the project, I see that it brings many benefits to the poor and near-poor and help us to understand gender equality and issues for the poor. All people, whether the poor or people with disability, all groups of people have needs, I also have the right to use the best products, in the past only the PwD in the better off households could use them. Now that the Woba project, everyone can use it. (DWU staff, Thanh Hoa)

Although their knowledge is limited, it is the basis for them to advise households to implement accessible latrine;

I am interested in items for people with disabilities, items during project implementation, I can advise other households, there are cases where they are not the target beneficiaries in the project, need to do those items, I can advise them. (CPMB staff, Ha Tinh)

Although the issues related to GEDSI have not been specifically pointed out in legal documents, the stakeholders believe that this is the basis for them to advise the leadership later to create conditions for this group to have full and equitable access to WASH services.

In WOBA, the design of latrines for PwD and the elderly are available, but project staff EMW acknowledges that WOBA project is not really interested in whether they can be accessed the newly built latrines. There is no accurate data collection and tracking.

For example, the toilet has been built, but it is not certain that the GESI people in that household can access it. Or is it a clean water facility, but it is not certain that the GESI people can access it, for example, there are people who can't even control themselves in terms of behavior, will people have access to use clean water or not. Well, this is definitely in the project but I think its proportion is not much because my GESI group is 6 groups and has a lot of categories. In terms of trying to let them gradually reach them, I'm sure you all understand. (EMW project team)

In the study of women's empowerment through WOBA, the findings suggest that the project hasn't made significant changes in gender equality or women's empowerment at individual, household and institutional levels. The WU staff believe that the work in WOBA they are doing is their responsibility of the tasks assigned by their superiors and their passion for the community activities. The project provides a small allowance only to encourage WU staff in mobilizing, but the activities in the project do not aim to create job opportunities, to increase income or receive financial allowances for WU staff.

If the allowances for WU staff are bigger, the womens are more excited, in short, when we work, we do not think about these allowances, what we think we should do for the poor near-poor households. We are already happy when these households get benefits. So, when we receive the support amount of VND 30,000, we also feel that it is normal to have an extra money, we don't think that we are doing it for earning money. (WU staff in Thanh Hoa)

"More confident" is one of the benefits brought by the WOBA project to WU staff. Although, this is not a direct benefit to increase decision-making - leadership of women, it is an important initial factor for WU staff to dare to frankly propose ideas to their superiors at higher level and be able to increase their voice and prestige in the political system and authorities. From the enhanced reputation and voice, WU staff are also assigned additional tasks and responsibilities, as well as the position of WU staff in the community is also enhanced.

The biggest barrier for a woman is from her husband and family when she wants to take on the leadership role. In a focus group discussion with the WU staff and leaders at the village level, when mentioning to the women in leadership positions, the participants expressed their appreciation of such husbands as "excellent" and "rare". Because, women were still considered the main responsible for housework.

Women take most of tasks on housework. Women can't join the community meetings, parties and events as much as men. Men can sometimes participate these events late at night while women have to go home early to take care of their children. Women (if they are village heads) cannot travel at night. (FGD in Thanh Hoa)

According to the survey with the WU staff in this study, 67.5% of WU staff in the survey spend 1-4 hours per day for housework. And there is only 18.3% said that the time for their housework

decreased and 22% said it increased. 47.6% said it kept unchanged. These results confirm that housework is still a constrain for women like the WU in participating in social work.

Moreover, the functions and tasks of the WU are mainly propaganda, mobilization and consultation under the direction of the Communist Party Committee and the respective authorities. In fact, the WOBA project also contributed to positive changes in community's attitudes about the role of WU staff. Women do a lot of social work and they are recognized by their families and communities for their achievements. Even they themselves feel that they have changed. However, the decisions of the Women's Union must be approved by the local government/party committee. Therefore, the fact that the WU are not on the list of the Executive Committee of the Communist Party is also a barrier in their proposals and voices.

If I'm not in the executive committee, I don't have chances to give the opinions on an issue from the beginning, but I only can propose them later, and the executive committee meeting is the highest one. So that I will find a lot of voices, I can raise them and make decisions in that executive committee meeting when I am a member of the executive committee. So, it is much better when I am in the executive committee. (WU staff, Thanh Hoa)

In summary, WOBA could be considered as contributing to the potential opportunities to enhance the women's empowerment. However, the project activities do not have any specific aim or links to making changes in empowerment for women at all individual, family, community and institutional levels.

21. What do people do differently after involvement in WOBA?

At household level, people continue using the latrines and water connections. However, their knowledge of using and maintaining the latrines properly is limited. In the community, due to the awareness of using latrines, so they encourage the HHs in community to build latrines. The OBA approach will be applied for the other programs of the government. The involvement of the authorities to build latrines for HHs using OBA approach – however, it is not only from WOBA but also from the new rural development program.

The WU staff are using the knowledge and experience on encouraging HHs to build latrine. However, without the subsidy for WU staff, it is difficult for WUs to encourage GESI HHs using the specific models of latrines such as latrines for PwD, for the elderly.

Water supply enterprises/providers use the CRWSP with the resource allocation from the government, but it is difficult for water providers to apply all in CRWSP at the same time although they think it is necessary. The private providers are interested in delivering the services for the disadvantaged HHs and they have the plan to do that. However, the public water providers can't do that because there is no budget for this in their tariff structure which is decided by the Provincial People's Council.

The staff and local residents who joined in the communication activities under WOBA are interested in the licensed FSM services providers, Ben Tre URENCO and Thien Thanh. Others can't know or access to this service if the communication activities are discontinued to provide the information on FSM to other local residents.

4.5. Sustainability

22. To what extent will the benefits of each WOBA component continue after the withdrawal of funding?

The benefits from the subsidies of latrines and water connection will be continued after the project. Especially, accessibility accessories for PwD and the elderly in the latrine will continue to be introduced to households. Some provinces already have ideas and plans to implement.

I think it will still continue to install the accessibility accessories for PwD and the elderly in the latrines because when I visited households, people say that without those accessories, it is very difficult to walk, it has to be on a cane when moving, stand up. It's very hard to sit down, once they have this, they stand up and don't need anyone help. They also shared the truth and I also said there was only this one, but I didn't think of it because I didn't know about it before, so I think the other models will be also replicated but maybe with another generation, now it's not suitable for the conditions of local residents. (PWU staff, Hoa Binh)

The prestige of WU staff will be continued. Especially the experience and reputation of WU on supporting the vulnerable and disadvantaged groups will be enhanced.

Then we have a "five No, three Clean" from the Central Women's Union, then we continue to do it. Particularly at the district level, we have our own project, which is the new rural development program with environmental sanitation, the forms we are applying, we will definitely continue to do better propaganda work for people to understand the effects of using clean water and sanitation facilities. (DWU staff, Thanh Hoa)

The OBA approach is considered better than the previous model of giving support to households in advance in the past, often applied by the localities. OBA approach is considered as a form of incentives for households to complete works for their own benefits.

That's good, because I don't say it is a support, I say it is a reward that will be paid later on, there are some programs that also take it that way because when it is said about the support, people will think in this way. It will be better, they will reward you if you finish this project like that. (CWU staff, Ha Tinh)

The updated CRWSP will be kept and implemented if the sufficient resources can be allocated in the future.

Continuing to apply CRWSP, I said that I will apply it on a large scale... the climate resilient safe water supply in which step 4 or 5 is not necessarily such a rigid water supply, there will also be objective conditions to change. I'm sure there will be adjustments, not rigidities, will apply but flexibly and with adjustment. (PCERWASS staff, Ben Tre)

The Water committee including the involvement of local authorities and local residents will continue to operate after the WOBA. However, it is necessary to allocate the budget (even small) to encourage the participate of the members in the committee.

With the FSM component, the staff at commune and village levels have a certain knowledge on FSM, however, the information provided to the local residents are not sufficient and clear about the advantages and disadvantages of each service provider. In the near future, URENCO will continue to apply the approve tariff for FSM services, and the local residents can choose two different service providers for FSM.

23. Will households and communities especially poor and socially disadvantaged be self-reliant in taking up WASH services? How and to what extent?

Even though the subsidies are small, the poor and socially disadvantaged still need the subsidies to build latrines or install the water connections. The Rural Development Program will push the authorities to encourage the different resources to provide latrines for all HHs. However, it is necessary to get involvement of the local authorities to steer the departments and organizations to seek the resources and encourage the HHs to build latrine that is similar to WOBA. Therefore, the

communities in the commune/district that the leaders are interested in WASH or WASH is considered as their priority, the HHs can be confident in taking up WASH services.

The poor or not poor all have the need to aim for a better life, in my opinion, one of the criteria is having clean water, they have the need to use clean water. Many areas are in demand, including poor households. (Staff of Water Scheme, Ha Tinh)

Every situation is difficult, no two situations are the same. It's also a poor household, but with the payment of 2.1 million Vietnamese dong for the water connection, they can still connect, people can still connect without support. But, there are household only with 200 to 300 hundreds Vietnamese dong but they still can't do it, if I support them to stimulate their demand, maybe they will. (DWU staff, Thanh Hoa)

The lack of synchronization between water supply and sanitation facilities is also the reason why households are afraid to build or upgrade the latrines. The type of latrine that households today usually build is a septic tank latrine, which needs water to flush. But if there is not enough water all year to flush the latrine, it becomes more difficult for household to build a latrine or not. Moreover, with a full water supply services can provide enough water for domestic activities of family members, so it is convenient to install the suitable accessories in the latrine at the time of building latrines.

24. Will private sector businesses continue to provide WASH services for especially poor and socially disadvantaged? How and to what extent?

With the private water supply units, they consider supporting the connection for disadvantaged households as their social responsibility, so the connection for these households in the area where the water pipeline has been installed already. However, the pipeline expansion is only intended to serve the poor and social disadvantaged HHs is unfeasible for the private water supply providers. Moreover, the private water supply unit also accepts that poor households use a small amount of water, because they also determine that they connect water to these households not for their economic profit.

All respondents from four water supply businesses involved in WOBA¹⁷ indicated that they were financially viable for the next 1-5 years, and that they would continue to deliver water services to the poor and socially disadvantaged. From these water service businesses perspective, it could be that the poor and vulnerable HHs are just a fraction of their clientele and there are other commercial clients to which they can negotiate better tariff to compensate the revenue shortage, in this case the business goes with the market economy mechanism and follow its principles.

Another encouraging sight to business is that their O&M and business management capability have been improved thanks to technical assistances from Governments and NGOs. From the local Government perspective, the poor and vulnerable HHs are their objects of care, and politically the poor and vulnerable HHs are entitles to take priority in all local socio-economic development program and planning. This dilemma would suggest an improvement of Government regulatory implementation that support the poor (and poor and vulnerable HHs) in general and in WASH in particular, support rural water service businesses in servicing poor and vulnerable HHs (as a small portion market).

For the sanitation component, the continued maintenance of private entities is a major challenge due to the needs of households in accessing and using services provided by this group. Without creating market demand, this group will not be able to connect to the poor and disadvantaged households.

¹⁷ The study of financial health of private sector sanitation businesses in rural Viet Nam under WOBA

Of the 13 respondents who are private sector sanitation businesses involved in WOBA¹⁸ indicated “not sure” when asked about their financial viability, 2 said they were financially viable for the next 1-5 years, and 4 said they were financially viable for the next 6-10 years. 11 said they would continue to deliver sanitation services to the poor and socially disadvantaged. Of the 2 who said they would not, one was ‘not sure’ of their financial viability status, and the other was financially viable for 1-5 years.

Respondents referred to some finance-related support they expect from the governments such as depressing inflation, regulate the material price, support in interest rate to loan, tax reduction, etc. From the sanitation supplier businesses perspective, it could be that the poor and vulnerable HHs are just a fraction of their clientele and the business goes with the market economy mechanism and follow its principles. From the local Government perspective, the poor and vulnerable HHs are their objects of care, and politically the poor and vulnerable HHs are entitled to take priority in all local socio-economic development program and planning.

This dilemma would suggest an improvement of Government regulatory implementation that support the poor (and poor and vulnerable HHs) in general and in WASH in particular, support sanitation supplier businesses in servicing poor and vulnerable HHs (as a small portion market) as well as enhancement of Government role in harmonizing the intervention to support poor and vulnerable HHs and the way of support that do not distort the market.

With the FSM component, providing services to poor and socially disadvantaged households becomes even more difficult. The first reason is the large costs that poor households have to spend to remove sludge is also a big obstacle for them. Secondly, the location of disadvantaged households is often located in alleys, deep alleys, which cannot be accessed by tank trucks to remove for these households.

25. Will the government continue to provide subsidies and/or support businesses to continue to deliver WASH services to poor and socially disadvantaged households? How and to what extent?

The KII suggests that the government is willing to continue to provide subsidies and/or support businesses to continue to deliver WASH services to poor and socially disadvantaged households depends on each specific province. In Ha Tinh, the Provincial People's Council issued the decision that all poor and near-poor households who abandoned dry latrines and built septic tanks would be supported 2 million Vietnamese dong until the end of 2023. But in other provinces, it is very difficult because their state budget is limited and WASH is not their priority of the current time.

For the province, is not only through this successful project, but this is just one of the projects that contribute to the implementation of the 17.6 criterion on new rural development program, we also hope that the province is not only interested in this project. To this criterion, the success of this project creates more conditions for women's unions to participate in new rural construction activities such as clean water, sanitation, livelihoods, flower roads. In the women's start-up section, there are also but the source of the 839 project is at least 20 million, but that project is very large by the central government, there are provinces that give a few hundred million while Hoa Binh has only a few tens of millions. I also hope they make it increase, that's also our recommendation. (PWU staff, Hoa Binh)

From the perspective of the Women's Union, some provincial women's unions also wish to pilot the self-implementation of a model similar to WOBA in some communes outside the WOBA project to assess how the implementation is - especially the mobilization of resources to perform. Based on this pilot result, WU will develop a plan to spread the results to other areas.

¹⁸ The study of financial health of private sector sanitation businesses in rural Viet Nam under WOBA

Then I think “small rain lays great dust”, now we just let it spread to one or two communes to do a pilot first to see its effectiveness. Then, for those communes such as one commune in Giong Trom, one commune in Ba Tri. I chose the neighboring commune of the commune to do this project. Women in the province will take advantage of the resources of the association, or the departments, especially for the Department of Natural Resources and Environment, for the Department of Natural Resources and Environment, it is the program to build a new rural area, criteria No. 17 for those communes that do not yet have a new rural development program, the commune can take advantage of that resource to invite propagandists, collaborators and women's union officials at all levels to check for them because their skills (PWU, DWU) has been strengthened under WOBA already they will follow that method and will take advantage of the opportunities and resources to spread slowly. (PWU staff, Ben Tre)

For the water supply component, the private water supply units will continue to participate in supporting the water connection for poor and near-poor households according to the list provided by the Commune People's Committee then the water supply operators will verify again. As for the water supply units of NCERWASS, they do not have a plan and no allocated budget to support free connection for this group of Households after the project ends.

As for support, I'm the branch manager, so I don't have the right to decide the supports, this depends on the PCERWASS. We only can support the labor, for example, to install the water meter and the pipeline after the water meter to the house for the disadvantaged HHs. (Staff of water operator, Thanh Hoa)

The expansion of the water supply pipe network is also in the plans of the units, but this expansion serves the production and business purposes of the water supply units rather than to support the poor or the social disadvantaged HHs.

Since 2003, there has been a plan to expand the water connection and increase the capacity of water plants to increase coverage to areas where there is no water. There are many places where there is no water, but which places are suitable for the financial capacity of the center, the whole province, in 87 communes and central towns are currently supplying water in the area. Meanwhile, the center will balance and develop a plan to expand water supply. Where the capacity has not been reached but people are using it less, the water is below capacity, below the flow rate, the capacity of that plant will be increased depending on the resources of the center. And the water supply network also has to be opened up to any areas for people who are lacking water, are unhygienic, the center will open there according to the PCERWASS's resources. The PCERWASS annually expands the pipeline to 15 to 20 km in the communes. We do this every year. (Staff of PCERWASS, Ben Tre)

26. To what extent has WOBA Vietnam's creation and dissemination of knowledge products influenced policy and practice in inclusive WASH in Vietnam and in the sector generally?

In total, there are 34 WOBA's products including study and evaluation reports, learning notes, summary/policy briefs having been disseminated to the project partners. Learning notes have been delivered to local stakeholders but there is no monitoring to ensure that they have received and used them.

The project team sent the K&L products via emails of the project partners. However, only one or two partners replied that they got it, the remaining of partners never replied to any emails. With the project team, in case, there is no automatically announcement from emails system that “sending email is failed”, it means that the K&L products have been sent to emails of the partners

successfully. By this way, it is very difficult to control how the K&L products used and disseminated to the other local partners such as the PWU or CWU.

Perhaps, the reports or results of the study only sent to the PWU only, but not to us. (DWU staff, Thanh Hoa)

From WU's point of view, if in the study and assessment it is clearly mentioned which communes or districts have problems, they will send information and remind that commune/district. Otherwise they are not really interested in.

In general, through the results of the assessment or study, when East Meets West also sent to the CWUs in case the name of that commune mentioned in the report. However, in those reports, the assessment did not say which commune, but in those reports, they don't mention to specific communes, so we don't send them to CWU or DWU. (PWU staff, Ben Tre)

So, it's difficult to say that the knowledge products influenced policy and practice in inclusive WASH in Vietnam and in the sector generally or not.

6 LEARNT LESSONS AND RECOMMENDATIONS

6.1 Learnt lessons

13. To achieve the goal of social inclusion, it is necessary to design the different subsidy levels to ensure all disadvantaged HHs can access to equal WASH services.
14. Communication strategy including different activities with different methods should be designed and conducted from the beginning of the project.
15. It is difficult to consider WU – a political organization as an agent in the market, because they don't recognize that.
16. The involvement of the local authorities is very important to direct the WU and government agency to involve the project.
17. OBA approach is one of the models that can be applied for the disadvantaged HHs although subsidy levels need to be carefully designed
18. The project interventions should be attached with the priorities of the local authorities such as New rural development program or National Target Programs for ethnic minority. It helps to allocate the resources during the implementation.
19. It is difficult to enhance the women's empowerment through the WU if the interventions use the current political structure only.
20. There are various ways to enhance GESI (particularly for the PwD and the elderly) to support them to access and use latrine and clean water. It is necessary to introduce them to HHs at the beginning of the project. It is also important to explain WOBA's concept of GESI and defined principles of GESI to the WU, other implementing partners and EMW implementation staff and HHs.
21. The targets for outcomes/outputs/interventions and baseline data are very important to serve evaluation and should be developed in a M&E framework in the project design.
22. Digital technology should be used to manage the target beneficiaries from the beginning of the project. This can help avoid overlapping cases or households that have received similar support from EMW in other projects such as CHOBA 1, CHOBA 2.
23. With FSM, it is necessary to conduct the communication on FSM as soon as possible and to have adequate time for these activities for them to be effective. Moreover, the messages on "How often does a septic tank need to be drained of sludge" should be considered carefully to ensure it is suitable with the weather and climate condition in Ben Tre in particular and the Mekong River Delta in general.

24. It is necessary to establish the Safety Water Supply Committee with the involvement of the local authorities and residents to ensure all stakeholders to be able to understand their rights and responsibilities to sustain the water supply system.

6.2 Recommendations

To sustain the results and effectiveness of the interventions under WOBA

1. Continue to conduct the communication activities beyond the project. The communication should focus on using latrines properly, using water safely and effectively.
2. Allocate the resources for the operation after the WOBA finished: support a part of water tariff for the poor/near poor and GESI HHs.
3. Update the FSM service price to ensure the equal competition between URENCO and Thien Thanh.
4. Continue the communication activities on FSM based on the materials provided by WOBA. This should be led by the local authorities and WU at all levels in Ben Tre.
5. Continue maintaining the operation of the Safety Water Supply Committee by providing the small budget for the annual activities of this committee.

To scale up the OBA approach and intervention models in WOBA

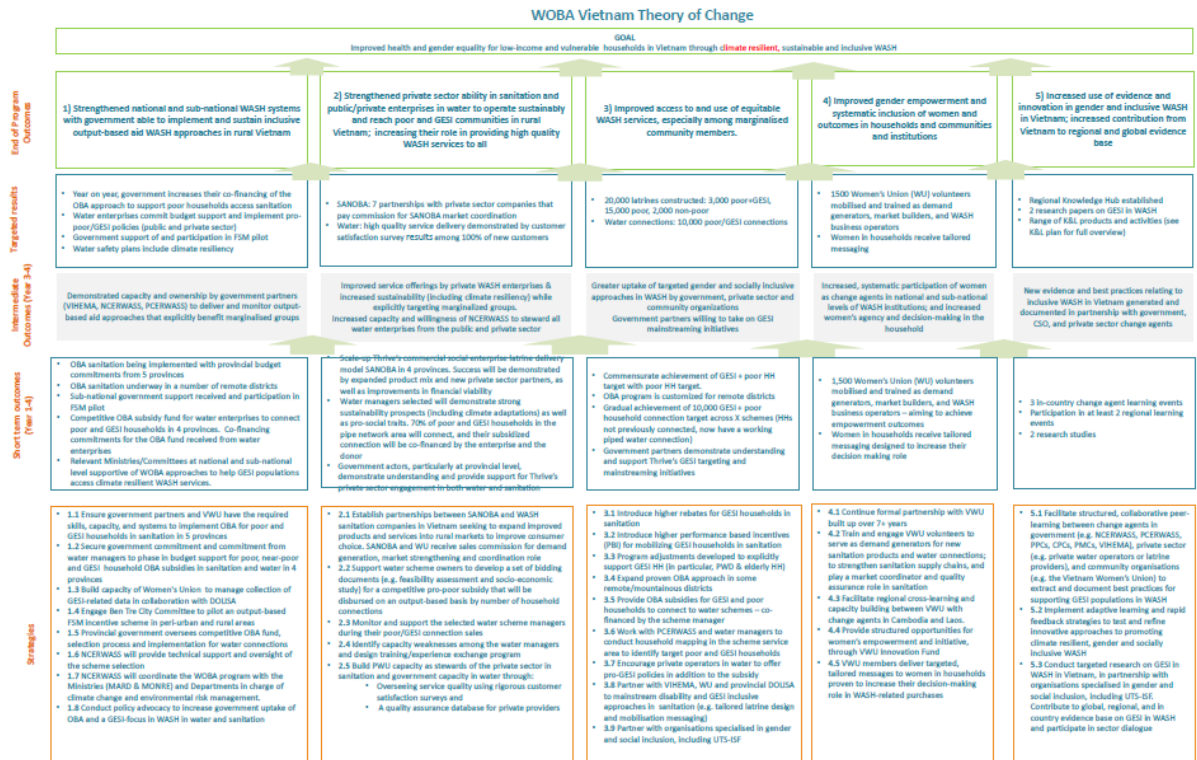
1. Share the learnt lessons, experience, good practices in WOBA with other PWUs in Vietnam.
2. Develop and test the models applied in WOBA and mobilize the different resources for the communes not in WOBA.
3. WU at all levels actively report and propose the option to sustain and scale up the models or interventions in WOBA.

ANNEX 1. Standard 5: Independent Evaluation Plans¹⁹

No.	Element
1	The evaluation plan is based on a collaborative approach
2	The primary intended users of the evaluation are clearly identified and their evaluation needs are described
3	The purpose and/or objectives of the evaluation are stated
4	A summary is provided to orient the reader to the overall evaluation design
5	Limitations or constraints on the evaluation are described (e.g. time frame; resources; available data; political sensitivities)
6	The Key Evaluation Questions are supplemented by detailed descriptions and/or sub questions
7	It is clear which questions are considered to be of higher priority and are expected to provide the most important information
8	There is sufficient flexibility to be able to address important unexpected issues as they emerge
9	The methods to collect data are described for each question (or related questions)
10	The proposed data collection methods are appropriate for the questions posed
11	Triangulation of data collection methods is proposed to strengthen the confidence in the findings
12	The sampling strategy is clear and appropriate for the evaluation questions posed
13	The plan describes how data will be processed and analysed
14	The plan identifies ethical issues and how they will be addressed
15	The process for making judgments is clear
16	Approaches to enhance the utilization of findings are outlined (if this has been requested in the terms of reference)
17	The evaluation plan provides guidance on scheduling. The final schedule (if attached) reflects adequate time to answer the posed evaluation questions
18	The allocation of evaluation tasks to team members is clearly described (i.e. data collection, processing and reporting)
19	The plan for publication of the final evaluation report is documented

¹⁹ DAFT Standard 5: Independent Evaluation Plan

ANNEX 2: WOBA Vietnam Theory of Change



ANNEX 3: Evaluation criteria, key evaluation questions, data methods and analysis

<p><i>There are five end of program outcomes (EOPOs):</i></p> <ol style="list-style-type: none"> 1. Strengthened national and sub-national WASH systems with government able to implement and sustain inclusive output-based aid WASH approaches in rural Vietnam – achieved through a government co-financing requirement. 2. Strengthened private sector ability in sanitation and public/private enterprises in water to operate sustainably and reach poor and GESI communities in rural Vietnam; increasing their role in providing high quality WASH services to all. 3. Improved access to and use of equitable WASH services, especially among marginalised community members. 4. Improved gender empowerment and systematic inclusion of women and outcomes in households and communities and institutions. 5. Increased use of evidence and innovation in gender and inclusive WASH in Vietnam; increased contribution from Vietnam to regional and global evidence base. 	<p><i>There are 4 main implementation components:</i></p> <ol style="list-style-type: none"> 1. Water 2. Sanitation 3. FSM 4. CRWSP <p>Raising awareness about MHH was added in Year 4 and is not considered a key implementation component and therefore not a priority area in this Endline Evaluation</p>
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Evaluation Criteria	Key evaluation questions	Program Outcomes	Implementation Component	Data collection method	Data analysis
Relevance	1. To what extent is the WOBA project consistent with Vietnam’s policies in WASH and partners’ and donors’ policies?	1	1,2,3,4	Document review Interviews with PWUs, PMBs, CERWASS and EMW program team	Qualitative content analysis
	2. Do the key outcomes promote and contribute to equitable WASH services for the poor and socially disadvantaged at the household, business, institutional, and policy level?	3	1,2	Document review Interviews with PWUs, PMBs	Qualitative content analysis
	3. Are the outputs and indicators of the project consistent with the intended outcomes?	1,2,3,4,5	1,2,3,4	Document review Interviews with PMBs and EMW program team	Qualitative content analysis

Evaluation Criteria	Key evaluation questions	Program Outcomes	Implementation Component	Data collection method	Data analysis
	4. How relevant is WOBA to government's policies in reducing inequality in access to WASH access in rural Vietnam?	3	1,2	Document review Interviews with WU, PMBs	Qualitative content analysis
Efficiency	5. Did the project (in each implementation component) provide good value for money?	2,3	1,2,3,4	Document review Interviews with EMW program team and PWUs	Qualitative content analysis Comparative analysis Quantitative analysis
	6. Were outcomes achieved on time?	1,2,3,4,5	1,2,3,4	Document review Interviews with EMW program team and PWUs	Qualitative content analysis Comparative analysis Quantitative analysis
	7. Were the project components implemented in the most efficient way compared to alternatives?	1,2,3,4,5	1,2,3,4	Document review Interviews with EMW program team and PWUs	Qualitative content analysis Comparative analysis Quantitative analysis
	8. Are the program's governance structure and implementation arrangements appropriate and proportionate to the outcomes sought?	1,2	1,2,3,4	Document review Interviews with EMW program team and PWUs and PMBs	Qualitative content analysis Comparative analysis Quantitative analysis
	9. Has WOBA Vietnam allocated enough resources and technical expertise to implement appropriate capacity development strategies	1,2,3,4,5	1,2,3,4	Document review Interviews with EMW program team and PWUs, DWUs, CWUs, CDC,	Qualitative content analysis Comparative analysis

Evaluation Criteria	Key evaluation questions	Program Outcomes	Implementation Component	Data collection method	Data analysis
	that are responsive to the needs of different beneficiaries and stakeholders?			PCERWASS, Ben Tre government city	Quantitative analysis
Effectiveness	10.To what extent were the outcomes achieved in regard to the project components?	1,2,3,4,5	1,2,3,4	Document review Interviews with EMW program team and PWUs, PCERWASS Household Survey	Qualitative content analysis Comparative analysis Quantitative analysis
	11.What were the major factors influencing the achievement or non-achievement of the outcomes in each WOBA components?	1,2,3,4,5	1,2,3,4	Document review Interviews with EMW program team and PWUs, PCERWASS, Ben Tre government city	Qualitative content analysis Quantitative analysis
	12. Have the OBA subsidies been effective in reaching the poor and GESI households in both sanitation and water supply? What were the major factors influencing the achievement or non-achievement of GESI outcomes?	2,3	1,2	Document review Interviews with EMW program team and PWUs, PCERWASS, Ben Tre government city, District and Commune PMBs, DWU, CWU, beneficiaries Focus group discussion with beneficiaries Household Survey	Thematic analysis Descriptive statistics Comparative analysis Quantitative data analysis Qualitative content analysis
	13. What were the major factors that did or did not reinforce or produce gender equality and social exclusion in beneficiaries and women members of the WU who participated in WOBA?	4	1,2	Document review Interviews with PWUs, District and Commune PMBs, DWU, CWU, beneficiaries Focus group discussion with beneficiaries	Thematic analysis Descriptive statistics Comparative analysis Quantitative data analysis Qualitative content analysis

Evaluation Criteria	Key evaluation questions	Program Outcomes	Implementation Component	Data collection method	Data analysis
	14. To what extent has WOBA effectively engaged public and private sector water operators and sanitation suppliers in delivering WASH services for the poor and GESI communities?	1,2	1,2,3,4	Document review Interviews with EMW program team and PWUs, PCERWASS, Ben Tre government city, District and Commune PMBs, DWU, CWU, private sector operators	Quantitative data analysis Qualitative content analysis
	15. How has WOBA's FSM pilot contributed to safely managed sanitation in Ben Tre city and considering the drought and saltwater intrusion priorities?	1	4	Document review Interviews with EMW program team, Ben Tre government city	Quantitative data analysis Qualitative content analysis
Impact	16. How many people have been affected and to what extent in each WOBA component?	3	1,2,3,4	Document review Interviews with PWUs, EMW program team, District and Commune PMBs, DWU, CWU, beneficiaries Focus group discussion with beneficiaries Household Survey	Quantitative data analysis Qualitative content analysis
	17. As a result of this project, what changes were produced in each project component relative to those intended, and unintentionally, if any?	3	1,2,3,4	Document review Interviews with PWUs, EMW program team, NCERWASS, PCERWASS, Ben Tre government city, District and Commune PMBs, DWU, CWU,	Quantitative data analysis Qualitative content analysis Descriptive statistics Comparative analysis

Evaluation Criteria	Key evaluation questions	Program Outcomes	Implementation Component	Data collection method	Data analysis
				private sector operators, sanitation suppliers Focus group discussion with beneficiaries Household Survey	
	18. What factors contribute to these and what is likely to undermine sustainability of positive changes?	3	1,2,3,4	Document review Interviews with PWUs, EMW program team, District and Commune PMBs, DWU, CWU, beneficiaries	Comparative analysis Quantitative data analysis Qualitative content analysis
	19. Have individual, community, organizations, private sector businesses in WASH been strengthened as a result of the project outcomes (for each component)?	1,2,3,4	1,2,3,4	Document review Interviews with PWUs, EMW program team, District and Commune PMBs, DWU, CWU, beneficiaries, Water Supply operators, FSM operators, sanitation suppliers Focus group discussion with beneficiaries Survey with beneficiaries	Thematic analysis Descriptive statistics Comparative analysis Quantitative data analysis Qualitative content analysis
	20. To what extent has WOBA's approach to GEDSI resulted in greater understanding of GEDSI issues and improved GEDSI capacity at the individual, organisational, and policy level?	1,2,3,4	1,2	Document review Interviews with PWUs, EMW program team, District and Commune PMBs, DWU, CWU, beneficiaries, Water Supply operators, FSM	Thematic analysis Descriptive statistics Comparative analysis Quantitative data analysis

Evaluation Criteria	Key evaluation questions	Program Outcomes	Implementation Component	Data collection method	Data analysis
				operators, sanitation suppliers Focus group discussion with beneficiaries Survey with beneficiaries	Qualitative content analysis
	21. What do the government, the WU, and the community do differently after involvement in WOBA?	1,2,3,4	1,2,3,4	Document review Interviews with PWUs, EMW program team, District and Commune PMBs, DWU, CWU, beneficiaries Focus group discussion with beneficiaries Survey with beneficiaries	Thematic analysis Descriptive statistics Comparative analysis Quantitative data analysis Qualitative content analysis
Sustainability	22. To what extent will the benefits of each WOBA component continue after the withdrawal of funding?	1,2,3,4	1,2,3,4	Interviews with PWUs, EMW program team, District and Commune PMBs, DWU, CWU, beneficiaries, Water Supply operators, FSM operators, sanitation suppliers Focus group discussion with beneficiaries Survey with beneficiaries	Thematic analysis Descriptive statistics Comparative analysis Quantitative data analysis Qualitative content analysis
	23. Will households and communities especially poor and socially disadvantaged be self-reliant in taking up WASH services? How and to what extent?	3	1,2	Interviews with PWUs, EMW program team, District and Commune PMBs, DWU, CWU, beneficiaries	Quantitative data analysis Qualitative content analysis

Evaluation Criteria	Key evaluation questions	Program Outcomes	Implementation Component	Data collection method	Data analysis
				Focus group discussion with beneficiaries Survey with beneficiaries	
	24. Will private sector businesses continue to provide WASH services for especially poor and socially disadvantaged? How and to what extent?	2	1,2,3	Document review Interviews with PWUs, EMW program team, private enterprises	Qualitative content analysis
	25. Will the government continue to provide subsidies and/or support businesses to continue to deliver WASH services to poor and socially disadvantaged households? How and to what extent?	1	1,2,3	Document review Interviews with PWUs, PMBs	Qualitative content analysis
	26. To what extent has WOBA Vietnam's creation and dissemination of knowledge products influenced policy and practice in inclusive WASH in Vietnam and in the sector generally?	5	1,2,3,4	Document review Interview with EMW program team, WU, PMBs, N/PCERWASS, Water operators, Ben Tre government city, FSM operators, sanitation suppliers	Qualitative content analysis

1. List of participants in FGDs

- **Cam Thach commune – Cam Xuyen District – Ha Tinh province**

Time: 8:00 – 9:30 AM 28/10/2022

No	Full name	Year of Birth	Sex	HH's Economic Condition
1.	Trần Thị Nam -	1998	Female	Poor
2.	Nguyễn Thị Quý	1965	Female	Poor
3.	Cao Thị Luận	1971	Female	Poor
4.	Đinh Thị Định	1990	Female	Near poor
5.	Nguyễn Thị Lý	1988	Female	Near poor
6.	Nguyễn Thị Hiền	1982	Female	Near poor
7.	Nguyễn Thị Hương	1976	Female	Near poor
8.	Lê Đình Phần	1944	Female	Poor

- **Hoa Son commune – Do Luong District – Nghe An province**

Time: 8:00 – 9:30 AM 01/11/2022

No	Full name	Year of Birth	Sex	HH's Economic Condition
1.	Nguyễn Thị Tình	1982	Female	Near poor
2.	Hoàng Thị Ly	1962	Female	Near poor
3.	Hoàng Thị Năm	1968	Female	Poor
4.	Nguyễn Thị Xuân	1970	Female	Poor
5.	Võ Thị Phương	1970	Female	GESI
6.	Nguyễn Đình Tuất	1956	Male	Near poor
7.	Đặng Thị Nguyệt	1971	Female	GESI
8.	Thái Đình Bảy	1956	Female	Poor + GESI

- **Nga Tien commune – Nga Son District – Thanh Hoa province**

Time: 1:30-3:PM 04/11/2022

No	Full name	Year of Birth	Sex	HH's Economic Condition
1.	Vũ Ngọc Nhân	1953	Male	Poor
2.	Trương Thị Thọ		Female	Near poor
3.	Phạm Thị Tấn	1932	Female	Near poor
4.	Nguyễn Thị Ngát	1950	Female	Poor
5.	Nguyễn Thị Hiếu	1970	Female	Poor
6.	Hoành Thị Thanh	1977	Female	Near poor
7.	Trần Thị Liên	1960	Female	Near poor

- **Yen Mo commune – Tan Lac District – Hoa Binh Province**

Time: 8:15-9:45 AM 09/11/2022

No	Full name	Year of Birth	Sex	HH's Economic Condition
1.	Bùi Thị Quyển	1994	Female	Near Poor

2.	Cao Thị Din	1979	Female	Better - Off
3.	Bùi Thị Quyền	1965	Female	Near Poor
4.	Bùi Thị Mút	1982	Female	Near Poor
5.	Bùi Thị Cẩn	1963	Female	Near Poor
6.	Bùi Thị Liễu	1970	Female	Near Poor
7.	Bùi Thị Bường	1992	Female	Poor
8.	Bùi Văn Trọt	1980	Female	Poor

○ **Bao Thanh commune – Ba Tri District – Ben Tre province**

Time: 8:30 – 10:00 AM 15/11/2022

No	Full name	Year of Birth	Sex	HH's Economic Condition
1.	Cao Thị Huệ	1964	Female	Poor
2.	Nguyễn Thị Ba	1952	Female	Poor
3.	Trần Vũ Linh	1988	Female	Near Poor
4.	Hồ Thị Kim Ngân	1988	Female	Near Poor
5.	Huỳnh Thị Găng	1973	Female	Near Poor

○ **Ward 6, Ben Tre city, Ben Tre Province**

	Full name	Year of Birth	Sex	Address
1	Bui Thi Thanh Yen	1956	Female	Group 14, Binh Khoi Residential Group
2	Nguyen Thi Mot	1960	Female	Group 14, Binh Khoi Residential Group
3	Le Thi Hanh	1978	Female	Group 14, Binh Khoi Residential Group
4	Nguyen Thi Tuyet Nhung	1992	Female	Group 14, Binh Khoi Residential Group
5	Le Van Dut	1969	Male	335 A, Binh Khoi Residential Group
6	Nguyen Ngoc Thach	1997	Male	17A, Binh Khoi Residential Group
7	Duong Hoang An	1992	Male	Binh Thang Residential Group

2. List of participants in KIIs

STT	Full name	Position	Year of Birth	Sex	Organization	Province
1.	Nguyễn Thị An Hà	Staff in charge	1992	Female	Ha Tinh PCERWASS	Ha Tinh
2.	Lê Thái Bảo	Head of Bac Cam Xuyen Water Treatment Plant	1993	Male	Bac Cam Xuyen Water Treatment Plant	Ha Tinh
3.	Hoàng Văn Sơn	Vice president		Male	CDC	Ha Tinh
4.	Từ Thị Thanh Hằng	Deputy head of Environment and Health Department	1983	Female	CDC	Ha Tinh
5.	Trần Văn Sơn	Vice Chairman of Commune People's Committee, Head of Commune PMU	1977	Male	Cam Xuyen commune- Cam Thạnh district	Ha Tinh
6.	Nguyễn Thị Thuỷ	Chairwoman of the Commune Women's Union	1988	Female	Cam Xuyen commune- Cam Thạnh district	Ha Tinh
7.	Tăng Thị Linh Chi	Vice Chairwoman of the Commune Women's Union		Female	Province WU	Ha Tinh
8.	Phạm Thị Thu Hương	Head of family and social affairs department		Female	Province WU	Ha Tinh
9.	Lưu Văn Linh	Staff	1990	Male	PCERWASS	Ha Tinh
10.	Trần Ngọc Giang	Staff		Female	PCERWASS	Ha Tinh
11.	Từ Hữu Hạnh	Head	1987	Male	Loc Ha water supply station	Ha Tinh
12.	Nguyễn Thị Ánh	Staff	1986	Female	Loc Ha water supply station	Ha Tinh
13.	Nguyễn Đức Quân	Mason	1992	Male	Tung Loc commune – Can Loc District	Ha Tinh
14.	Phan Thị Xuân	Chairman of the Commune Women's Union		Female	Dong Loc Town, Can Loc District	Ha Tinh
15.	Nguyễn Tiến Dũng	Vice Chairmain of District Can Lộc – head of management WOBA project	1970	Male	Can Loc district	Ha Tinh
16.	Nguyễn Thị Yên	WU Can Loc district		Female	Can Lộc District	Ha Tinh
17.	Lê Kim Chung	Staff	1981	Female	PWU	Nghe An
18.	Nguyễn Thị Hiền	Staff		Female	CDC	Nghe An
19.	Nguyễn Xuân Linh	Head of Planning Department		Male	PCERWASS	Nghe An
20.	Nguyễn Thị Huệ	Chairwoman of CWU	1988	Female	Do Luong District – Hoa Sơn Commune	Nghe An

STT	Full name	Position	Year of Birth	Sex	Organization	Province
21	Thái Thị Nhung	Household	1968	Female	Do Luong commune – Hoa Son district	Nghe An
22	Cao Hữu Mỹ	Deputy Director	1987	Male	Hoa Son Water Treatment Plant	Nghe An
23	Phạm Văn Lợi	Head		Male	Long Thanh Water Treatment Plant	Nghe An
24	Ms Ngoan (daughter-in-law of Mrs Doan Thi Que, GESI HH)	GESI		Female	Long Thanh commune, Yen Thanh District	Nghe An
25	Nguyễn Danh Phương	Head of Environment and Health Department		Male	CDC	Thanh Hoa
26	Lê Văn Nghĩa	Deputy Director	1983	Male	PCERWASS	Thanh Hoa
27	Lê Hồng Đăng	Staff	1988	Male	PCERWASS	Thanh Hoa
28	Trịnh Thị Yến	Vice Chairwoman of PWU		Female	PWU	Thanh Hoa
29	Nguyễn Thị Hồng Nhung	Staff		Female	PWU	Thanh Hoa
30	Mai Văn Hiếu	Head	1989	Male	Minh Loc Water Treatment Plant – Hau Loc district	Thanh Hoa
31	Trịnh Thị Yến	Vice Chairwoman of DWU	1984	Female	Nga Son DWU	Thanh Hoa
32	Mai Trọng Toán	Head	1987	Male	Water Treatment Plant of 9 communes in Nga Sơn district	Thanh Hoa
33	Nghiêm Thị Tâm	Chair WU commune	1969	Female	Nga Tien commune- Nga Son district	Thanh Hoa
34	Trần Quốc Hoàn	Staff	1979	Male	PWU	Hoa Binh
35	Lê Thị Hồng Nhung	Office of CDC	1993	Female	CDC	Hoa Binh
36	Lê Chí Huyền	Head of District Project Management Board		Male	Tan Lac DPC	Hoa Binh
37	Bùi Thị Minh Hồng	Chairwoman of DWU		Female	Tan Lac DWU	Hoa Binh
38	Bùi Thị Thiết	Staff		Female	Tan Lac DWU	Hoa Binh
39	Bùi Căn Cư	GESI HH	1978	Male	Gia Mo – Tan Lac	Hoa Binh
40	Bùi Thị Dùng	GESI HH	1950	Female	Gia Mo – Tan Lac	Hoa Binh
41	Bùi Thị Thao	Chairwoman of CWU	1982	Female	Gia Mo commune– Tan Lac District	Hoa Binh

STT	Full name	Position	Year of Birth	Sex	Organization	Province
42	Nguyen Thi Phuong Nhung	National WU		Female	National WU	Hà Nội
43	Nguyễn Thị Xuân	Deputy Director	1983	Female	CCTT-NCERWASS	Hà Nội
44	Trần Ngọc Diệp	Staff		Female	WU Province	Ben Tre
45	Bùi Hoàng Phương	Vice Chairman		Male	Ben Tre city's PC	Ben Tre
46	Bùi Tuấn Phương	Deputy Head		Male	Urban Management Department, Ben Tre city	Ben Tre
47	Nguyễn Tấn Chinh	Staff		Male	Urban Management Department, Ben Tre city	Ben Tre
48	Nguyễn Thị Trúc Giang	Chairwoman		Female	Ben Tre city's WU	Ben Tre
49	Nguyễn Hiếu Nhân	Staff		Male	Ben Tre URENCO	Ben Tre
50	Trần Việt Bảo	Staff		Male	Ben Tre city's PC	Ben Tre
51	Phan Văn Rầm Em	Director		Male	Thiên Thanh Private unit - FSM	Ben Tre
52	Nguyễn Hiếu Nhân	Staff		Male	Ben Tre URENCO - FSM	Ben Tre
53	Lê Thị Lự	Chairman of the Commune People's Committee	1984	Female	Thanh Ngai – Mo Cay Bac	Ben Tre
54	Lê Thị Hồng Cúc	Chairwoman WU commune	1982	Female	Thanh Ngai – Mo Cay Bac	Ben Tre
55	Lê Thi Phép	GESI HH		Female	Thanh Ngai – Mo Cay Bac	Ben Tre
56	Phạm Thị Kim Hoa (the mother of Trương Bé Cần)	GESI HH	1962	Female	Thanh Ngai – Mo Cay Bac	Ben Tre
57	Nguyễn Huy Quyền	Staff		Male	Kenh Lap Water Treatment Plant	Ben Tre
58	Đặng Thị Hạnh	Vice President		Female	Kenh Lap Water Treatment Plant	Ben Tre
59	Trần Quang Dũng	Technical staff		Male	Kenh Lap Water Treatment Plant	Ben Tre
60	Vũ Đình Trác	Head of Technical Department		Male	PCERWASS	Ben Tre
61	Nguyễn Thị Trúc Phương	Technical staff		Female	PCERWASS	Ben Tre
62	Lê Hoàng Phong	Head		Male	Thạnh Phú Treatment Plant	Ben Tre
63	Đặng Thị Diễm Châu	Chairman of Fatherland's Front	1983	Female	Bảo Thạnh – Ba Tri	Ben Tre
64	Nguyễn Thị Thu Giang	Chairwoman	1987	Female	Bảo Thạnh CWU – Ba Tri	Ben Tre

STT	Full name	Position	Year of Birth	Sex	Organization	Province
65	Nguyễn Thị Lan Phương	Chairwoman of WU in #6 ward		Female	Ward 6 – Ben tre city	Ben Tre
66	Hồ Thị Bền	GESI HH	1983	Female	An Qui – Thạnh PHÚ	Ben Tre
67	Phạm Hồng Lạc	Head of CPMB	1979	Male	An Qui – Thạnh PHÚ	Ben Tre
68	Đặng Thị Thuỳ	Chaiwoman	1983	Female	An Qui CWU – Thạnh Phú	Ben Tre
69	Huỳnh Văn Thương	Mason	1977	Male	Mỹ An – Thạnh Phú	Ben Tre
70	Thân Thị Thuỷ	Staff	1982	Female	Thạnh Phú DWU	Ben Tre
71	Nguyễn Thị Xuân	GESI HH	1960	Female	An Qui – Thạnh Phú	Ben Tre
72	Bùi Thị Hương	Staff		Female	EMWF	Hà Nội
73	Trần Thị Thuý Hà	Country Manager		Female	EMWF	Danang
74	Nguyễn Đình Lê Dũng	Staff		Male	EMWF	Danang
75	Phạm Thị Tuyết	Staff		Female	EMWF	Hà Nội

ANNEX 5: Endline Evaluation Schedule

Time	Location	Interviewees	Activities
Ha Tinh province			
October 27, 2022 (In Ha Tinh city, Ha Tinh province)			
9:00-11:30	Women's Union of Ha Tinh province	The officer(s) in charge of WOBA	Discuss about the results of the project implementation, the impacts of the project
11:30-13:30	Lunch break and move		
13:30-15:00	Provincial Center for Disease Control	The officer(s) in charge of WOBA	Discuss about the results of the project implementation, the impacts of the project
15:15 – 17:00	PCERWASS Ha Tinh	The officer(s) in charge of WOBA	Discuss about the results of the project implementation, the impacts of the project
October 28, 2022 (in Cam Xuyen district, Ha Tinh province)			
8:00 - 17:00	At the hamlets of Cam Thach commune, Cam Xuyen district	35 beneficiary households according to the provided list	Interview by questionnaire at households
8:00 - 10:00	At the People's Committee of Cam Thach Commune, Cam Xuyen District	8 beneficiary households according to the provided list	Focus group discussion
10:00-11:30	At the People's Committee of Cam Thach Commune, Cam Xuyen District	Chairwoman of Commune Women's Union + Head of Commune Project Management Board	Discuss about the results of the project implementation, the impacts of the project
13:30-16h:0	North Cam Xuyen water supply station	The head of the station and staff in charge of WOBA	Discuss about the results of the implementation of the Climate Resilience Water Supply Plan Discuss about the connection and water supply for poor/near-poor and GESI households in the WOBA Site visit
October 29, 2022 (in Can Loc district, Ha Tinh province)			
8:00-17:00	At the hamlets of Dong Loc town, Can Loc district	35 beneficiary households according to the provided list	Interview by questionnaire at households
8:00-9:30	People 's Committee of Dong Loc Town	Chairwoman of the Town's Women's Union	Discuss about the results of the project implementation, the impacts of the project
9:45-11:30	Loc Ha water supply station	The head of the station and staff in charge of WOBA	Discuss about the results of the implementation of the Climate Resilience Water Supply Plan Discuss about the connection and supply of water to poor and near-poor households, GESI in the WOBA project Site visit
12:00-13:30	Lunch and travel		
14:00-16:00	Can Loc District People's Committee	Head of District Project Management Unit District WU staff in charge of WOBA project	Discuss about the results of the project implementation, the impacts of the project

Time	Location	Interviewees	Activities
Nghe An province			
October 31, 2022 in Vinh city, Nghe An province			
9:00-11:30	Women's Union of Nghe An province	The head of the station and staff in charge of WOBA	Discuss about the results of the project implementation, the impacts of the project
11:30-13:30	Lunch break and travel		
13:30-15:00	Provincial Center for Disease Control	The head of the station and staff in charge of WOBA	Discuss about the results of the project implementation, the impacts of the project
13:30 – 17:00	PCERWASS Nghe An	The head of the station and staff in charge of WOBA	Discuss about the results of the project implementation, the impacts of the project
November 1, 2022 in Do Luong district			
8:00-17:00	At the hamlets of Hoa Son commune, Do Luong district	30 beneficiary households according to the list	Interview by questionnaire at household
8:00 - 10:00	At the People's Committee of Hoa Son commune, Do Luong district	Focus group discussion of 8 beneficiary households according to the provided list	Changes since being supported with clean water connection
10:00-11:30	At the People's Committee of Hoa Son commune, Do Luong district	Chairman of the Commune Women's Union	Discuss about the results of the project implementation
8:00-11:30	Hoa Son Water Plant	The officer(s) in charge of WOBA	Discuss about the results of the implementation of the Climate Resilience Water Supply Plan Discuss about connections and water supply for poor and near-poor households, GESI in the WOBA project Site Visit
11:30-13:30	Lunch break and travel		
14:00-16:00	At households in Hoa Son commune	Visit 2 beneficiary households according to the provided list	Changes since being supported with water connection Observing household water and sanitation facilities
November 2, 2022 in Long Thanh commune, Yen Thanh district			
8:00 - 5:00	At the hamlets of Long Thanh commune, Yen Thanh district	30 beneficiary households according to the provided list	Interview by questionnaire at household
8:00 - 10:00	At the People's Committee of Long Thanh Commune, Yen Thanh District	Leader of Commune People's Committee + Chairman of Commune Women's Union	Discuss about the results of the project implementation, the impacts of the project
8:00-11:30	Long Thanh Water Treatment Plant	Officer(s) in charge of Long Thanh Water Treatment Plant	Discuss about the results of the implementation of the Climate Resilience Water Supply Plan Discuss about connection and water supply for poor and near-poor households, GESI in the WOBA project Site Visit

Time	Location	Interviewees	Activities
11:30-13:30	Lunch break and move		
14:00-16:00	Households in Long Thanh commune	Visit 1-2 beneficiary households according to the provided list	Changes since being supported with water connection Observe households' water and sanitation facilities
Thanh Hoa province			
On November 3, 2022 in Thanh Hoa city and Hoa Loc commune, Hau Loc district			
8:00-9:30	Thanh Hoa Provincial Women's Union	The officer(s) in charge of WOBA	Discuss about the results of the project implementation, effectiveness and impact of the project
9:45-11:15	Center for Disease Control of Thanh Hoa Province	The officer(s) in charge of WOBA	Discuss about the results of the project implementation, effectiveness and impact of the project
9:45-11:15	PCERWASS Thanh Hoa	The officer(s) in charge of WOBA	Discuss about the results of the project implementation, effectiveness and impact of the project
8:00 - 5:00	In the villages of Hoa Loc commune, Hau Loc district, Thanh Hoa	35 beneficiary households according to the provided list	Interview by questionnaire at household
14:00-16:30	Waterworks 7 in Hau Loc commune	Station manager Officer directly involved in the WOBA project	Discuss about the results of the implementation of the Climate Resilience Water Supply Plan Discuss about connecting and water supply for poor and near-poor households, GESI in the WOBA project Site Visit
November 4, 2022 in Nga Son district			
8:00 - 5:00	At the hamlets of Nga Tien, Nga Son district	35 beneficiary households according to the provided list	Interview by questionnaire at household
8:00-9:30	People's Committee of Nga Son District	Head of district project management unit Nga Son district WU officer in charge of WOBA project	Discuss about the results of the project implementation, effectiveness and impact of the project
10:00-11:30	People's Committee of Nga Tien Commune	Head of Commune Project Management Board (commune leader) + Chairman of Commune Women's Union	Discuss about the results of the project implementation, effectiveness and impact of the project
13:30-15:30	People's Committee of Nga Tien Commune	Focus group discussion of 8 beneficiary households according to the provided list	Changes since being supported for water connection/toilet construction
15:30-17:00	Clean water supply plant for 9 communes of Nga Son district	Station manager Officer directly involved in the WOBA project	Discuss about the results of the implementation of the Climate Resilience Water Supply Plan Discuss about connecting and water supply for poor and near-poor households, GESI in the WOBA project Site Visit

Time	Location	Interviewees	Activities
Hoa Binh province			
November 8, 2022 in Hoa Binh city and Tan Lac district			
8:00 - 10:00	Hoa Binh Provincial Women's Union	The officer(s) in charge of WOBA	Discuss about the results of the project implementation, effectiveness and impact of the project
10:00- 11:30	Hoa Binh Provincial Center for Disease Control	The officer(s) in charge of WOBA	Discuss about the results of the project implementation, effectiveness and impact of the project
14:00- 16:00	People's Committee of Tan Lac District	Head of District PMU + WU staff participating in WOBA project	Discuss about the results of the project implementation, effectiveness and impact of the project
November 9, 2022 in Gia Mo commune, Tan Lac district			
8:00 - 10:00	Gia Mo Commune People's Committee	Focus group discussion of 8 beneficiary households according to the provided list	Changes since being supported to build toilets
10:00- 11:30	Gia Mo Commune People's Committee	Chairwoman of Commune Women's Union +Head of Commune Project Management Board	Discuss about the results of the project implementation, effectiveness and impact of the project
13:30- 16:00	In 2 households	Visit 2 beneficiary households according to the provided list	Changes since being supported to build latrines Visiting household's water supply and sanitation facilities
Ben Tre province			
On November 14, 2022 in Ben Tre city and Thanh Ngai commune, Mo Cay Bac district			
8:30-9:30	Women's Union of Ben Tre Province	The officer(s) in charge of WOBA	Discuss about the results of the project implementation, effectiveness and impact of the project
9:30- 11:30	People's Committee of Ben Tre City	Leaders of the City People's Committee, officials in charge of activities with the WOBA project in faeces sludge management	Discuss about the results of the project implementation, effectiveness and impact of the project
13:30- 14:30	Thien Thanh Company (Sludge suction and transportation unit in Ben Tre city)	The official(s) in charge of WOBA	Discuss about the operation of the sludge transport system, the advantages and disadvantages
15:00- 17:00	Ben Tre Urban Construction Joint Stock Company	Leaders and officials in charge of WOBA	Discuss about the operation of sludge treatment, advantages and disadvantages
8:00- 5:00	In the villages of Thanh Ngai commune, Mo Cay Bac district	35 beneficiary households according to the provided list	Interview by questionnaire at household
8:30-9:30	People's Committee of Thanh Ngai Commune	Head of Commune Project Management Board + Chairman of Commune Women's Union	Discuss about the results of the project implementation, effectiveness and impact of the project
13:30- 16:30	2 households	Exchange with 2 beneficiary households according to the provided list	Changes since being supported to build toilets
November 15, 2022 in Bao Thanh commune (Ba Tri district) and Ben Tre city			
8:00 - 5:00	At the hamlets of Bao Thanh commune, Ba Tri district	35 beneficiary households according to the provided list	Interview by questionnaire at household

Time	Location	Interviewees	Activities
8:00 - 10:00	People's Committee of Bao Thanh Commune	Focus group discussion with 8 beneficiary households according to the provided list	Changes since being supported to build toilets
10:00- 11:30	People's Committee of Bao Thanh Commune	Chairman of the Commune Women's Union	Discuss about the results of the project implementation, effectiveness and impact of the project
8:30- 11:00	Kenh Lap Water Treatment Plant	The leader of the water treatment plant The officer(s) in charge of WOBA	Discuss about the results of the implementation of the Climate Resilience Water Supply Plan Discuss about connecting and water supply for poor and near-poor households, GESI in the WOBA project Site Visit
14:00- 15:30	Ben Tre City	Focus group discussion with 8 households who have participated in introduction training FSM organized by the WOBA project	Awareness, attitude and willingness to pay for sludge suction service
15:30 - 17:00	Ben Tre City	A ward's WU staff once organized a training FSM by the WOBA project 1 hamlet of the women's association in the neighborhood once held an introduction training FSM by the WOBA project	Results of propaganda, mobilizing people to participate FSM services
November 16, 2022 in An Quy commune, Thanh Phu district			
8:00 - 5:00	At the hamlets of An Qui commune, Thanh Phu district	35 beneficiary households according to the provided list	Interview by questionnaire at household
8:00- 10:30	Thanh Phu District Women's Union	The officer(s) in charge of WOBA	Discuss about the results of the project implementation, effectiveness and impact of the project
8:30- 10:30	People's Committee of An Qui commune	Head of Commune PMU + Chairman of Commune Women's Union	Discuss about the results of the project implementation, effectiveness and impact of the project
8:00- 11:30	Thanh Phu Water Treatment Plant	The officer(s) in charge of WOBA	Discuss about the results of the implementation of the Climate Resilience Water Supply Plan Discuss about connections and water supply for poor and near-poor households, GESI in the WOBA project Site Visit
14:00- 16:30	At 2 households	Visit 2 beneficiary households according to the provided list	Discuss about the changes since being supported by WOBA Visiting household's water and sanitation facilities
Central Level			
November 11, 2022 in Hanoi			
8:00 - 10:00	Central Vietnam Women's Union (or online)	The officer(s) in charge of WOBA	Discussion about project implementation results, project effectiveness and impacts Experiences and orientations for implementing projects similar to WOBA and in WASH for the rural areas

Time	Location	Interviewees	Activities
14:00-16:00	Center for Consulting and Technology Transfer of Sanitation and Hygiene	The officer(s) in charge of WOBA	Discussion about project implementation results, project effectiveness and impacts Experiences and orientations for implementing projects similar to WOBA and in the field of WASH for rural areas
East Meets West (EMWF)			
November 25, 2022			
9:00-11:00	Online	Officers in charge of WASH in the project	Discuss about the project implementation results, effectiveness, impacts, sustainability and learnt lessons from WOBA
14:00-16:00	Online	Officers in charge of FSM in the project	Discuss about the project implementation results, effectiveness, impacts, sustainability and learnt lessons from WOBA

ANNEX 6: DATA COLLECTION TOOLS

1. The survey

Q1 Name of enumerator

Q2 Enumerator's contact number

Q3 Commune of household surveyed

Q4 Village of household surveyed

Q5 Name of head of household

Q6 Phone number of head of household

Q7 Date of survey

INTRODUCTION

East Meets West Foundation would like to invite you to participate in a survey about gender and social inclusion in WASH in Vietnam's rural mountainous areas. Your opinion is valued and appreciated. The survey will help us to understand the barriers that poor and vulnerable communities in rural and mountainous areas face in relation to WASH services, the impacts for gender and social inclusion through the project WOBA's provision of WASH services, and what can be done in the future to address these communities' needs inclusively.

Information you supply on the survey will be kept completely confidential. Your real name will not be used in any disseminated report. Please answer the questions based on your personal experiences. There are no right or wrong answers. Mark only **ONE** response per question unless you are instructed to do otherwise.

PART 1. WATER ACCESS AND USE

Q8 In this section, we want to ask you some questions about your current water source.

What is the MAIN source of water for your household's basic consumption (drinking, cooking, bathing, handwashing, cleaning etc)?

- Piped water connected to my house (1)
- Piped water connected to a tap outside my house but in my yard or plot (2)
- Piped water from my neighbour's water supply (3)
- Tube well or borehole (4)
- Public tap (5)
- Protected dug well (6)
- Unprotected dug well (7)
- Protected spring (8)
- Unprotected spring (9)
- Stored rainwater (10)
- Water kiosk or refill station (11)
- Water delivered from truck or cart (12)
- Bottled water (13)
- Surface water (e.g., from river, stream, lake, canal or irrigation channel (14)
- Other (specify) (15) _____

Q9 Where is that MAIN water source for your household's basic consumption collected from?

- In my own dwelling/house (1)
 - In own yard/plot (2)
 - Elsewhere (Specify) (3) _____
-

Q10 Is water always available from your MAIN water source?

- Yes, water is always available (1)
- Yes, water is available most of the time (2)
- No, water is available some of the time (3)
- No, water is rarely available (4)
- Don't know (5)

Q11 What was the reason your household are unable to access sufficient quantities of water when needed? **Select ALL that apply**

- Water is not available from source (1)
- Water is too expensive (2)
- Source is not accessible (3)
- Other (specify) (4) _____
- Don't know (5)

Q12 Has your household **access** to water for daily consumption changed in the last 3-5 years ?

- Yes. We can access more sources (1)
- No. We access less sources (2)
- No. We access the same sources (4)
- Not sure (3)

Q13 Has your household's **access** to water for livelihood (agriculture, fishing) improved in the last 3-5 years?

- Yes. We can access more sources (1)
- No. We access less sources (2)
- No. We access the same sources (5)
- Not applicable. We don't use water for livelihood (3)
- Not sure (4)

Q14 Who **USUALLY** goes to fetch water for your household's basic consumption (drinking, cooking and bathing)?

- Woman (mother/grandmother) (1)
- Man father/grandfather (2)
- Girl/Daughter (3)
- Boy/Son (4)
- Other (specify) (5) _____

Q15 Has it always been the same person who go and collect water?

- Yes (1)
- No (2)

Q16 What is the reason for different persons who go and collect water?

Q17 How long does it take to go there, get water, and come back? (Write your answer in minutes)

Q64 How many times per day your family go and get water?

Q18 Has your household saved time spent on collecting since joining WOBA (or in the last 3-5 years if not part of WOBA)?

- Yes (1)
- No (2)
- Not sure (3)

Q19 Is the **quality** of water supplied from your main source acceptable?

- Rarely acceptable (about 10% of the time) (1)
- Occasionally acceptable (30% of the time) (2)
- Sometimes acceptable (50% of the time) (3)
- Frequently acceptable (70% of the time) (4)
- Usually acceptable (90% of the time) (5)

Q20 What is the reason for the quality of water supplied from your main source not acceptable?

- Unacceptable taste (1)
- Unacceptable colour (2)
- Unacceptable smell (3)
- Water contains materials (4)
- Other (specify) (5)
- Don't know (6)

Q21 What do you usually do to make the water safer to drink? **Select ALL that apply.**

- Boil (1)
- Add bleach / chlorine (2)
- Strain it through a cloth (3)
- Use simple water filter (ceramic, sand, composite, reverse osmosis, etc.) (4)
- Use water purifier (5)
- Solar disinfection (6)
- Let it stand and settle (7)
- Other (specify) (8) _____
- Don't know (9)
- No treatment (10)

Q22 Has your household changed the way that you make water safer to drink since joining WOBA or in the last 3-5 years if not part of WOBA?

- Yes (1)
- No (2)
- Not sure (3)

Q23 Please describe what it is that you do differently and why.

Q25 What are some of the barriers you currently encounter in accessing or using water? **Select ALL that apply.**

- Inability to operate water equipment (1)
- Risk of physical injury due to physical construction of WASH facilities (2)
- Inability to get to the water source because of lack of transport (3)
- Inability to carry and transport water from water source to home (4)
- Water resources become scarcer due to the climate change (5)
- Other (specify) (6) _____
- No barrier (7)

Q26 What do you need to improve your household's current water access, storage and use?

PART 2. SANITATION FACILITY ACCESS AND USE

In this section, we want to ask you some questions about your current sanitation facility.

Q27 What kind of toilet facility do members of your household use?

- Flush/pour flush to piped sewer system (1)
- Flush/pour flush to septic tank (2)
- Flush/pour flush to pit latrine (3)
- Flush/pour flush to open drain (4)
- Flush/pour flush to don't know where (5)
- Single vault (pit) latrine with slab (6)
- Single vault (pit) latrine without slab (Open pit) (7)
- Double vault latrine with slab (composting toilet) (8)
- Double vault (pit) latrine without slab (9)
- No facility/Bush or field (10)
- Other (Specify) (11) _____

Q28 Where is this toilet facility located?

- In own dwelling/house (1)
- In own yard/plot/garden (2)

Q29 Do you share this toilet facility with others who are not members of your household?

- Yes (1)
- No (2)

Q30 Is everyone in the household able to access and use the toilet at all times of the day and night?

- Yes (1)
- No (2)
- Don't know (3)

Q34 Which problems do your household encounter with the current sanitation facility? **Select ALL that apply.**

- Lack of privacy (1)
- Difficult to access due to location of the toilet (2)
- Difficult to use due to physical design of the toilet (3)
- Lack of menstrual health management facility (4)
- Overflow or not flush during heavy rain periods (5)
- Toilet is not always available to all household members (6)
- Toilet is not always safe for all household members to use (7)
- Other (specify) (8) _____
- No problem encountered (9)

Q32 Have problems with your sanitation facility changed since you joined WOBA (or in the last 3-5 years if not part of WOBA)

- Yes (1)
- No (2)
- Not sure (3)

Q33 Please describe the change.

Q35 What do you need to improve your household's current sanitation facility?

Q36 What is the MAIN reason your household has not improved your current sanitation facility?

- Lack of financial resources (1)
- Not a priority (2)
- Other (specify) (3) _____
- Not sure (4)
- No need to improve (5)

Q37 PART 3. ACCESS TO INFORMATION ABOUT WASH

In this section, we want to ask you questions about the training or information that you receive about WASH.

Have you attended any training/promotional event or received information about water, sanitation and hygiene?

- Yes. I attended training/promotional event (1)
- Yes. I received information (2)
- Yes. I attended both training/promotional event and received information (3)
- No. I have not attended training/promotion event or received information (4)
- Can't remember (5)

Q38 Who provided the training/promotional event or information?

- Women's Union (1)
- Head of village (2)
- School (3)
- Health centre (4)
- Media (TV, radio, loudspeaker etc) (5)
- Internet and social media (Facebook etc) (6)
- Other (Specify) (7) _____

Q39 Generally, what is your experience of the materials provided in the training/promotional events or information received?

	Never (1)	Sometimes (2)	Always (3)
I was able to read and understand the content (1)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I was able to hear the presenter and understand what he/she said (2)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The content was useful for my understanding about WASH (3)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q40 Generally, what is your experience of the training/promotional events that you attended?

	Never (1)	Sometimes (2)	Always (3)
WASH and benefits were clearly explained to the audience (1)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I felt encouraged to engage in finding out more about what WASH was being promoted after attending the event (2)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The presenter was motivated to promote WASH for persons with disabilities (3)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I felt safe to ask questions and share my views (4)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q41 Have there been training/promotional events about WASH that you were invited but did not attend?

- Yes (1)
- No (2)
- Not sure (3)

Q42 What is the MAIN reason for you not attending training/promotional event on WASH?

- I had to attend a prior appointment (1)
- Lack of time (2)
- Events are held too far (3)
- Lack of transport or mobility to get to the events (4)
- COVID-19 travel restrictions down (5)
- Not interested in WASH (6)
- Materials and delivery of the information are not accessible (7)
- WASH is not a priority for me (8)
- Other (specify) (9) _____

PART 4. ACTIVITIES IN THE FAMILY AND COMMUNITY

In this section, we want to ask you some questions about the activities in your family and in the community.

Q43 Who has the MAIN responsibility for the following matters in your household?

	Man (grandfather/father) (1)	Woman (grandmother/mother) (2)	Both man and woman (3)	Boy (Son) (4)	Girl (Daughter) (5)	Whole Family (6)	Not relevant for my household (7)
Making decision on financial matters (loan, savings, allocation of financial resources between family members) (1)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Making decision about the family dwelling (2)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Education of children (3)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Making decision on education and training needs of parents/adults (4)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Taking care of domestic or household chores (eg cooking, cleaning, washing) (5)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Taking care of household members (eg care for sick, elderly or disabled members, children) (6)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Making decision on allocation of non-financial resources in the household (eg food, clothes) (7)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Earning income to support family (8)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Click to write Statement 9 Allocation of work duties between family members (eg stock feed for animals, going to the field) (9)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Water, sanitation and hygiene matters (including purchases of latrine, water connection) (10)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Attendance and participation in community discussion or consultation (11)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other domestic or family matters (specify) (12)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other non-domestic or outside the family matters (13)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q44 Has the responsibility for these matters in your household changed since joining WOBA or in the last 3-5 years if not part of WOBA?

- Yes (1)
- No (2)
- Not sure (3)

Q45 Please describe the change in responsibility and reason for the change? Please answer for each of the areas where you felt there has been a change.

Q46 Have you ever done the following community activities?

	Never (1)	Sometimes (2)	Always (3)
Attend public planning or community consultation on WASH (1)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Hold a position in public administration office where you can make decision (2)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Working with Disabled People Organisations or other organisations on disability issues (3)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Make decision or making impact on final decision on issues relating to persons with disability in WASH (4)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Make decision or making impact on final decision about issues relating to poor and vulnerable people in WASH (5)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Make decision or making impact on final decision about issues relating to women in WASH (6)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Attend training or receive information on designing and implementing WASH for PWD (7)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Attend training or receive information about livelihood in rural communities (8)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Attend training or receive information about political processes or policies in WASH (9)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Attend training or receive information about financial management (10)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Attend training or receive information about leadership (11)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Member or attend community based organisations (formal or informal) that support/advocate for the rights of women and socially disadvantaged people (ethnic minorities, persons with disability, persons with HIV, etc.) (12)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Member or attend a water user group or water committee (13)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Attend training or receive information about climate change and adaptation (14)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

PART 5. BACKGROUND INFORMATION

In this last section, we want to find out some background information about you and your household.

Q53 Which of the following did your household take up through WOBA ?

- Latrine (1)
- Water connection (2)
- Latrine and water connection (3)
- Registered to participate in WOBA but not taken up anything (4)
- Did not participate in WOBA (5)

Q54 What is your sex?

- Male (1)
- Female (2)
- Prefer not to say (3)

Q55 What is your age?

Q65 Which of the following best describes you and your household?

- Kinh (Viet) (1)
 - Tay (2)
 - Thai (3)
 - Muong (4)
 - Other ethnic group (specify) (5) _____
 - Prefer not to say (6)
-

Q66 Which group is your household?

- Currently on government lists of poor and near poor (1)
- Previously on government list of poor and near poor (2)
- Never on government list of poor and near poor (3)

Q67 Does any member of your household belong to one of the following groups? **Select ALL that apply.**

- Elderly (>75 years old) (1)
 - Person with disability (2)
 - HIV positive from poor household (3)
 - Child under 16 without parental or foster care (4)
 - People aged 16-22 attending school, college or university without parental or foster care (5)
 - Single parent (6)
 - Female as head of household (7)
 - No members in these groups (8)
-

Q68 How many members live in your household?

Q69 How many females live in your household ?

Q60 How many persons with disabilities live in your household ?

Q61 How many people over 75 live in your household?

Q62 What is the highest level of education in your household?

- Primary school (1)
 - Secondary school (2)
 - Upper secondary school (3)
 - Technical/Professional college (4)
 - University (5)
 - Did not attend school (6)
-

Q63 What is your household's MAIN source of income in Vietnamese Dong?

Q64 What is your household's monthly income in Vietnamese Dong?

2. Interview Schedule and FGD guidelines

Interview Schedule – Women’s Union Staff

Part 1. Context of WOBA

1. What WASH policies (national/local/WU) are operating in your commune/district/province?
2. How are WASH needs of the poor and socially disadvantaged families addressed through WOBA? In what ways?
3. How relevant is WOBA to government’s policies in reducing inequality in access to WASH access in rural Vietnam? Eg. Poverty reduction program; New rural development program; NTP of socio-economic development for the Ethnic minority areas

Part 2. Process of WOBA

4. What human resources are mobilized from WU at all levels to implement water and latrine components of WOBA? from the private sector? from the authorities? from CDC? Do the various parties work well together efficiently? What ways can that process be improved, if any, for more efficient implementation?
5. What financial resources relating to latrine completion/water connection that WU organization had to invest (eg for coordination, monitoring, management, reporting etc)?
6. What financial resources did the WU receive from WOBA for mobilization, for verification etc? Do you think these resources were allocated sufficiently to enable you to do your work in WOBA efficiently?
7. What technological resources did you receive from WOBA? Do you think these resources were allocated sufficiently to enable you to do your work in WOBA efficiently?
8. What training and information resources did you receive from WOBA? Do you think these resources were allocated sufficiently to enable you to do your work in WOBA efficiently?
9. How do financial resources invested in WOBA compare to other WASH projects in terms of value for money?
10. How well did the latrine component of WOBA work (from raising awareness to mobilization to working with masons and suppliers to verification and subsidies payment)? Was there any part of this process that did not work well?
11. How well did the water component of WOBA work (from raising awareness to mobilization to working with masons and suppliers to verification and subsidies payment)? Was there any part of this process that did not work well?

Part 3. Results of WOBA and driving factors

WASH services

12. What are the changes you have observed as a result of latrine built at the household level (eg behaviour, attitude)? Are these changes what you expected from WOBA? Why and why not? Are there any changes that you did not expect from WOBA?
13. What are the changes (eg behaviour, attitudes) you have observed as a result of water connections at the household level? Are these changes what you expected from WOBA? Why and why not? Are there any changes that you did not expect from WOBA?
14. What were the driving forces that emerged during WOBA that supported the achievement of WASH targets, and the changes you observed?
15. What were the restraining forces that emerged during WOBA that hindered the achievement of WASH targets, and the changes you observed?

GEDSI

16. What are the changes you have observed in terms of gender equality and social inclusion (eg disability inclusion) as a result of WOBA at the household level, at the community level? Are these changes what you expected from WOBA? Why and why not? Are there any changes that you did not expect from WOBA?
17. What were the driving forces that emerged during WOBA that supported your observed change in gender and social inclusion?
18. What were the restraining forces that emerged during WOBA that limited change in gender and social inclusion?

OBA, inclusive approach, LNOB

19. Do you think the WOBA subsidies scheme is effective in reaching the poor and GESI households in both sanitation and water supply? Why and why not?
20. Do you think the WU's engagement with private sector suppliers have been effective in providing access to poor and GESI HHs? Why and why not?
21. Could all the disadvantaged HHs in the project area access to WASH services? If not, which ones couldn't build latrines or connect water system? Why not? What is the main reason – from which side (HHs, service suppliers, policy, governance)?
22. In what ways can WOBA be implemented differently to ensure everyone that is disadvantaged (ie poor and GESI) can access WASH services?

Women's empowerment

23. What do you think is the most significant change for you (personally and professionally) as a result of this project (eg economic, WASH skills and knowledge, social, cultural, voice, attitudes)? What part of WOBA contribute to that change?
24. What do you think is the most significant change for women as a result of this project (eg economic, WASH skills and knowledge, social, cultural, voice, attitudes). What part of WOBA contribute to that change?
25. As a WU, in what ways if any did the WOBA empower you to undertake your role in the community better?

Knowledge and learning

26. Have you received any report, learning notes which are the results of evaluation, training assessment, research studies conducted through WOBA? If yes, which reports and who did you receive them from?
27. Have you used any of the reports/learning notes in your work or the work of the CDC? If yes, please describe how you have used them in a practical sense.
28. Would you like to have received some of these knowledge products, and if yes, on what topics?
29. Have the WU proposed any regulations, policies or implementation methods to the government based on what you have learnt/observed from WOBA? If yes, how? If no, why?

Part 4. Impact and sustainability of WOBA outcomes

30. In what ways has your community benefit from WOBA? Are these benefits likely to sustain when WOBA finishes? Why and why not?
31. In what ways has your WU unit/organization benefit from WOBA? Are these benefits likely to sustain when WOBA finishes? Why and why not?

32. Are there any significant changes you have observed at the WASH sector level as a result of WOBA? Prompt:
- Continued participation of private sectors to supply WASH service to the disadvantaged groups
 - Application of the knowledge/skill and position/prestige of WU's staff got from WOBA
 - Continued participation of government to finance the disadvantaged HHs to access and use equitable WASH services
 - GEDSI indicators incorporated in planning and monitoring WASH services, and in organisation engaging in WASH
33. How will further latrine and water connections be funded after WOBA finishes? Are you aware of any plans for particular households?
34. After WOBA, will the WU continue to mobilize HHs to build latrines or connect to piped water

Interview Schedule – PCERWASS and water operators

1. What are the local policies relating to guiding the water supply for the poor and disadvantaged HHs?
2. Do you think CRWSP is relevant to the government and your organization's policies? How?
3. Have you implemented the CRWSP? Why or why not? If not, what to push it to be implemented?
4. Have you applied any content of CRWSP? Why/why not?
5. How many have HH connections under WOBA been completed? Have you achieved your target under WOBA?
6. If yes, which factors contribute to that achieved target?
7. If not, what are the challenges?
8. Do you think that WOBA address the demand on WASH of all the poor HHs/GESI? Why/why not?
9. At the current time, have all the poor households been able to access to tap water?
10. How efficient do you assess the OBA process and the verification process (the collaboration among water suppliers, WU and EWM) to provide the HHs connections to the poor/GESI HHs? Are there adequate resources to make this process efficient?
11. Have you received training, documents/materials under WOBA? If yes, how useful are these training/information for your work in WOBA?
12. What are some of the changes you observe for your organization/business and for the households as a result of water connections through WOBA? Can you give some examples? Did you expect these changes? Were there any unexpected changes? Why?
13. Have all HHs who connected to water under WOBA used and paid for tap water use? If not, what are the reasons?
14. Which factors help/constrain to achieve these above changes? (Prompt: subsidies, WU's participation, support provided by EMW team)
15. What benefits does your business/unit get from providing water connections for poor and GESI HHs and the CRWSP (such as customer, increased skills etc)
16. Do you continue to provide the water connections for poor and GESI HHs and applied the after WOBA finish? Why/Why
17. not? If yes, what is your strategy/plan to do that? Do you intend to mobilize the similar resources from WOBA to do that (connection fees, expand the pipeline network, ...)?
18. What are the changes (eg behaviour, attitudes) you have observed as a result of water connections at the household level? Are these changes what you expected from WOBA? Why and why not? Are there any changes that you did not expect from WOBA?

19. How will further latrine be funded after WOBA finishes? Are you aware of any plans for disadvantaged households?
20. What are the changes you have observed in terms of gender equality and social inclusion (eg disability inclusion) as a result of WOBA at the household level, at the community level?
21. Have GEDSI indicators been incorporated in your business's planning and monitoring WASH services as a result of WOBA? In other organisations? If yes, will that continue after WOBA? If not, do will there be?
22. Do you think households and communities especially poor and socially disadvantaged will take up WASH services by themselves after WOBA finishes)? How and to what extent?
23. Do you think PCERWASS and water operators will actively push this (e.g propose the subsidy price for the disadvantaged HH, pay the water connection fee,...)?
24. Do you think that, without the subsidy similar to WOBA, the disadvantaged HHs can connect to piped water system?
25. Will you continue to work on the CRWSP or implement the one that you developed under WOBA?
26. Have you been shared the report with commendations, learning notes which are the results of evaluation, assessment, studies such as the recommendations in the training reports on CRWSP, the customers' satisfactory of water users, etc under WOBA? From whom? IF yes, have you used these reports? How?
27. Have you or your organization proposed any regulations, policies or implementation methods to the government based on the evidence, from your own experience in WOBA or from the reports shared from EMW under WOBA? If yes, how? If no, why?

Interview Schedule – CDC staff

1. Please describe your role in WOBA.
2. What human resources from CDC (eg how many people, what level are they etc) are involved in verification process? Do they work the WU, private sector suppliers, local government, village heads – how do they work with them?
3. Did you or other CDC members receive any training for the verification in WOBA? If yes, describe the training.
4. What financial resources was contributed from CDC in WOBA to undertake the verification of latrines? What financial resources did you or CDC receive from WOBA?
5. Do you think these resources (financial and human) were sufficient to do the verification efficiently?
6. Can you describe the process of CDC verification (eg you receive the list of built latrine, who selects the HHS to be verified, how do you conduct the verification, what do you do with the verification results etc)
7. What do you think is the purpose of verification in the WOBA project? Do you think this process was implemented efficiently for this purpose? Why, why not? If not, is there a more efficient way to do the verification?
8. Thinking about the verification process, do you think verification is an effective way to implement an output-based model for WASH. Why, why not?
9. Do you think verification was implemented effectively? Why and why not? A
10. What are some of the factors that helped the quality of the verification results (eg willingness of HHS, use of Akvo etc)? Which factors hindered the verification quality (eg use of technology, lack of access to HH etc)?
11. Have you observed any sanitation-related change within the CDC as a result of WOBA (eg. Improved knowledge and skills in sanitation verification, etc)? Was the change what you expected? What are some of the factors that contribute to this change?
12. Have you observed any change (relating to hygiene behavioral and attitude) for families (that received WAOBA latrines), and at the community level, and at the government level? What are some of the factors that contribute to these changes?
13. Have you observed any change relating to GEDSI (gender, disability, marginalized HHS) among your colleagues, in the community, the WU, or other government agencies that work with you in WOBA? Were the changes what you expected? What are some of the factors that contribute to the changes?
14. Do you think CDC's verification role in WOBA has had an impact on the wider sanitation sector in Vietnam? How and why? (e.g., contribute to planning and monitoring of WASH at government level, improve quality control and standards of sanitation in Vietnam etc.).
15. Have you received any report, learning notes which are the results of evaluation, training assessment, research studies conducted through WOBA? If yes, which reports and who did you receive them from?
16. Have you used any of the reports/learning notes in your work or the work of the CDC? If yes, please describe how you have used them in a practical sense.
17. Would you like to have received some of these knowledge products, and if yes, on what topics?
18. After WOBA, will the CDC continue to carry out verification for newly built latrines, or join projects with similar role that CDC has in WOBA, or start new methods of quality control in sanitation etc in Vietnam? Why and why not?
19. Have you proposed any regulations, policies or implementation methods to the government based on what you have learnt/observed from WOBA? If yes, how? If no, why?

Interview schedule for households

WASH access and use

Water use

1. What are the sources of water that your household use for basic consumption (drinking, cooking, bathing, handwashing, cleaning ect.)? Where is that water collected from?
2. Evaluate the current water sources that your household are using? (quantity, quality, water supply time, time to fetching water, treat water...)
3. Compare your current water consumption to your water consumption in 4 years ago (quantity, quality, water supply time, time to fetching water, treat water...)? What have been made those changes (if any)? How do you feel about those changes?
4. Since joining WOBA, has there been any significant positive and negative change in relation to your household access and use of water? Do you think these changes happens to the male or female members in your family more, why? How have these changes impacted other aspects of your life?
5. For HHs using tap water: Do you intend to continue using tap water in the future, why? For HHs not using tap water: Do you intend to improve your water facilities or change your current water sources in the future? How and why/why not?

Sanitation facilities

6. What types of sanitation facilities do your household use? Inside the house, outside the house? Did you build this latrine through WOBA? Compare the current latrine with the latrine (if any) 4 years ago? How do you satisfy with your current latrines? Is there any barrier that prevent your family members (focus more on the HHs having the member with disability) to using latrine whole day and night?
7. If you build the latrine through WOBA, what made your family decide to build it? Who was the decision maker to build latrine at that time?
8. Do you think that your household use latrine properly? Have you met any problem with your current latrine (smelly, fly, unhygienic, stuck, slippery, falling down in the latrine,...)?
9. According to you, what (the feasible ways in this current context) should HHs/community/government do for the HHs without hygienic latrines to build the latrines?
10. Do you intend to improve your sanitation facilities in the future? How and why/why not?

Access information

11. Have you attended any training/promotional event or received information about water, sanitation and hygiene? If not, why not? If yes, these training/promotional events for all or which HHs in your village? In these events, are there more male or female participants? Why? Which ones seemed to be more proactive (raising question, giving opinion,...) in these events?
12. Can you remember who provided the training/promotional event or information on WASH? Do you feel the information on WASH that you got are useful? How and why?
13. Have the HHs without hygienic latrines in your community been encouraged to build the new latrines? By whom and how?
14. Have you got any information, consultation or encouragement to build latrine or connect the water system? By whom and how?

Activities in family and community

15. Do you see that there is any change in house chores, labor division in your family for the last 4 years? If yes, how? Do you think these changes came from the new improved water/sanitation facility in your family? Why and how?
16. Do you see that there is any change in the women's participation in community activities (in your family and your community) for the last 4 years? If yes, how?
17. Do you feel the women (in your family and your community) have changed in making decision for the last for year? How and Why? Is there any relation between this change and the improved WASH?

Topics for Focus Group Discussion with WASH beneficiaries

1. Introduction
 - Name, age, career, number of HHs members, economic condition
 - Which types of subsidy each participant get from WOBA
2. Understanding of WOBA
 - How do you feel in general about WOBA (or the project coordinated by the WU to support the disadvantages to build latrine)?
 - Do you understand of the reason the WOBA only provide a small value of latrine/water connection? Are these subsidies reasonable and suitable for all HHs who can take up latrine/water connection? Why and how?
 - The reason that you decide to take up latrine/water connection under WOBA?
3. The impact of WOBA
 - Are there any changes in understanding of hygiene, habit of using new latrine, hand washing, using tap water of yourself and your family members? your HHs, your community who take up latrines/water connection under WOBA? How these changes benefit to you and your family?
 - The positive impacts of WOBA bring to your family and your community?
 - The negative impacts of WOBA bring to your family and your community?
 - Do you see that there is any change in the women's participation in community activities and making decisions in your family and your community? How and why?
 - Do you think that the disadvantaged group (such as the PWD, the elderly) have their own demand on access to water and latrine? How can help them to access the WASH services? How the private suppliers to provide the WASH services to this group?
4. The sustainability of WOBA
 - Do you continue to use new built latrine/water connection, do you think that there is any HHs who take up latrines/water connections won't continue use them in the future, especially after the project closes? Why/why not?
 - Do you think that without subsidies like WOBA, will the poor people and disadvantaged group buy latrine and connect to water system? Why?