Global Europe Results Framework Indicator Methodology Note

1. Indicator name

GERF 2.38: Number of people with access to improved drinking water source and/or sanitation facility with EU support

2. Technical details

Please use the information provided in OPSYS or the SWD.

Results Dashboard code(s): *65256*.

Unit of measure: *Number of (#)*.

Type of indicator: *Quantitative (not Qualitative) – Numeric (not Percentage); Actual ex-post (not estimated or ex-ante); Cumulative (not annual); Direct (not indirect).*

Level(s) of measurement: *Specific Objective – Outcome; Direct Output; Output.*

Disaggregation(s): Sex (*Female; Male; Intersex*) ; Gender (*Woman/girl; Man/boy; Non-binary; Prefer not to say*); Rural/urban (*Rural; Urban; Other - i.e. peri-urban, isolated*); Mother's education level (*No formal education; Primary; Lower secondary; Upper secondary; Higher education*).

DAC sector code(s): *14010 – Water sector policy and administrative management; 14015 – Water resources conservation (including data collection); 14020 – Water supply and sanitation – large systems; 14021 – Water supply - large systems; 14022 – Sanitation - large systems; 14030 – Basic drinking water supply and basic sanitation; 14031 – Basic drinking water supply; 14032 – Basic sanitation.*

Main associated SDGs: *6.1 By 2030, achieve universal and equitable access to safe and affordable drinking water for all; 6.2 By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations*.

Other associated SDGs: *1.2 multidimensional poverty; 1.4 access to equal rights resources and services; 1.5 resilience to shocks and disasters; 2.1 hunger and access to food; 2.2 malnutrition; 3.2 death of newborns and small children; 3.3 communicable diseases; 3.8 universal health coverage; 5.1 discrimination against women; 6.2 sanitation; 10.3 reduce inequalities of outcome; 11.5 disaster impacts*.

Associated GERF Level 1 indicators: *1.30 Proportion of population using safely managed drinking water services (SDG 6.1.1); 1.31 Proportion of population using safely managed sanitation services (SDG 6.2.1)*.

Associated GERF Level 3 indicators:

3.5 Leverage of EU blending and guarantee operations financed by EU external assistance, measured as: (a) Investment leverage ratio, (b) Total eligible financial institution financing leverage ratio, (c) Private financing leverage ratio

3.10 Amount and share of EU-funded external assistance directed towards supporting social inclusion and human development

3.13 Number and share of EU- external interventions promoting gender equality and

women's empowerment

3.14 Number and share of EU-funded external interventions promoting disability inclusion

3.15 Amount and share of EU-funded external assistance directed towards reducing inequalities

3.16 Amount and share of EU-funded external assistance qualifying as ODA

3. Policy context and rationale

Access to water and sanitation is a human right recognised by the EU. In 2019 the Council adopted the EU Human Right Guidelines on safe drinking water and sanitation.

The Council Conclusions on water (November 2021) recognises the strategic importance of water and calls for the issue to be given increased emphasis in the EU's external action. Affordable access to water, sanitation and hygiene (WASH) is an essential prerequisite for public health and human development. It should be addressed across policies and actions, including gender responsive ones.

Lack of safe water is a major factor in under-nutrition, child mortality, transmissible diseases, gender inequality, lack of access to education and poor economic development. Improved WASH can reduce diseases, help reduce poverty, increase prosperity and support the development of more equitable, peaceful and inclusive societies.

The New Consensus for Development recognises the importance of universal access to safe drinking water, sanitation and hygiene for health and well-being, growth and productivity. Water resources are particularly exposed to environmental degradation, including climate change, threatening agriculture and food security. The EU is committed to securing access to water and supporting sustainable and integrated water resources management (IWRM).

The Council Conclusion on Water Diplomacy (July 2013) highlights the EU substantive commitment to address the root causes of water challenges around the world. This is particularly reflected in its work on development and the environment, the financial aid allocated to water and sanitation, and its health interventions. The Council emphasises that water and sanitation should be taken into account in the development of the overarching post-2015 Agenda, and recalls the June 2013 Council Conclusions on this matter, which highlight the need to address these issues in an integrated way to ensure basic human development and achieve inclusive and sustainable growth.

4. Logframe inclusion

If an intervention generates the result measured by this indicator, then it must be reported in OPSYS. Corporate targets have been set for the indicators used to monitor the Strategic Plan and the Multiannual Financial Framework (see Section 9). Progress towards these targets is reported annually in the Annual Activity Plan (for the Strategic Plan) and the Programme Performance Statements (for the Multiannual Financial Framework). These values are calculated by aggregating the results reported in OPSYS. These reports ultimately contribute to the Annual Management Performance Report submitted by the European Commission to the Council and

Parliament during the annual budgetary discharge procedure. If targets are not met, explanations must be provided. Therefore, it is crucial that all results are recorded in OPSYS.

There are two ways of doing this:

1. Include the indicator directly in the logframe (recommended approach);
2. Match the indicator to the closest logframe indicator (only if the indicator was not originally included in the logframe and modification is not possible).

Why? The matching functionality in OPSYS only accommodates reporting current values and does not yet support encoding baselines and targets. This is a significant drawback because targets are a valuable piece of information, especially at the beginning of a Multiannual Financial Framework. Indeed, results take time to materialise as they are the last step in the chain, appearing only after programming, commitments, contracting, and spending have occurred. Targets allow to see what results are expected long before they materialise, which is reassuring to the different stakeholders concerned with accountability. **Therefore, include all corporate indicators directly in the logframe whenever possible, and reserve the matching functionality only for cases when this is not feasible**.

5. Values to report

The following values must be determined in line with the definitions provided in Section 6.

Baseline value: the value measured for the indicator in the baseline year. The baseline value is the value against which progress will be assessed.

Current value:

- **For logframe indicators**: the most recent value for the indicator at the time of reporting. The current value includes the baseline value which is reported separately for logframe indicators in OPSYS.
- **For matched indicators**: the most recent value for the results achieved at the time of reporting since the start of implementation of the intervention. This value is obtained by taking the most recent value for the indicator at the time of reporting and subtracting off the baseline value which is not reported separately for matched indicators in OPSYS.

Current values will be collected at least once a year and reported cumulatively throughout the implementation period.

Final target value: the expected value for the indicator in the target year.

Intermediate target values (milestones). A tool has been developed in OPSYS to generate intermediate targets automatically[1].

[1] This has been done in the context of the Primary Intervention Questionnaire (PIQ) for the EAMR. Three new KPIs provide an overall assessment of ongoing interventions (current performance and future performance) and completed interventions (final performance). Scores will be calculated for all INTPA and NEAR interventions participating in the annual results data collection exercise.

- **For outputs**: the intermediate targets are generated using a linear interpolation between the baseline and target values because it is assumed that outputs materialise sooner and more progressively over implementation (than outcomes).
- **For outcomes**: the expected progression over the course of implementation will vary across interventions. During the creation of a logframe, the expected outcome profile must be selected (OPSYS offers four options[2]) and this selection triggers the generation of intermediate targets for all 30 June and 31 December dates between the baseline and target dates for all output and outcome quantitative indicators. All automatically generated intermediate targets values and dates can be subsequently modified by the Operational Manager or the Implementing Partner with the approval of the Operational Manager.

6. Calculation of values

Specify all assumptions made, list definitions for all technical terms, provide any relevant guidance on (double) counting, and include checklist for quality control.

The value for this indicator is calculated by counting the number of people with access to improved drinking water source and/or sanitation facility with EU support, using the technical definitions and counting guidance provided below. Please double check your calculations using the quality control checklist below.

Technical definitions

The WHO/UNICEF Joint Monitoring Programme (JMP) for Water Supply and Sanitation has proposed new drinking water and sanitation 'ladders' for the sustainable development goals (SDGs). These include different levels of service for water and sanitation. For the purpose of this indicator, we included the levels of safely managed water and basic water.

An ***improved drinking water source*** is defined as one that, by nature of its construction or through active intervention, is protected from outside contamination, in particular from contamination with faecal matter. Improved facilities include piped water into the dwelling, piped water into the yard/plot, a public tap or standpipe, a tube well or borehole, a protected dug well, a protected spring and rainwater collection. This is:

- *Safely managed water* defined as drinking water from an improved source

- *KPI 10* reflects the relevance, efficiency and effectiveness of ongoing interventions. The information on relevance is provided by the Operational Manager's response to a question in a survey. The information on efficiency and effectiveness is provided either by the logframe data, if sufficient data is available, or the response to a question in a survey, if not.
- *KPI 11* reflects expectations regarding the most probable levels of relevance, efficiency, effectiveness and sustainability that can be achieved by ongoing interventions in the future. In this case, all the information is provided by the Operational Manager's responses to questions in a survey.
- *KPI 12* reflects the relevance, efficiency and effectiveness of completed interventions. The information on relevance is provided by the Operational Manager's response to a question in a survey. The information on efficiency and effectiveness is provided by the logframe data if sufficient data is available, or the response to a question in a survey, if not.

[2] a. *steady progress*: The outcomes are achieved continuously throughout implementation; b. *accelerating progress*: The outcomes are achieved towards the end of implementation; c. *no progress until end*: The outcomes are mostly achieved at the end of implementation; d. *none of the above*.

which is located on the premises and available when needed, free of faecal and priority chemical contamination. Drinking water is defined as water for ingestion, basic personal and domestic hygiene and cooking. It excludes water for clothes washing, an activity that frequently happens at the water source, water point, in rivers or streams.

- *Basic water* defined as a drinking water from an improved source with a total collection time of no more than 30 minutes for a roundtrip, including queuing[3].

➢ The results are based on the number of water points built or rehabilitated multiplied by the number of beneficiaries per water point

Improved sanitation facilities are defined as toilets used by only one household meeting certain design standards that prevent human contact with faeces. These include flush / pour flush toilets or latrines connected to a sewer, septic tank or pit, ventilated improved pit latrines, pit latrines with a slab or platform of any material which covers the pit entirely, except for the drop hole, and composting toilets/latrines. This is:

- *Safely managed sanitation* defined as a basic sanitation facility which is not shared with other households and where excreta is safely disposed onsite or transported or treated off-site.
- *Basic sanitation* defined as a sanitation facility not shared with other households.
- Shared or public-use sanitation facilities are NOT considered to be improved. Also, flush or pour-flush to elsewhere, pit latrines without slabs or open pits, bucket latrines, hanging latrines or open defecation are not considered to be improved sanitation.

➢ The results are based on the number of sanitation facilities constructed, rehabilitated or improved - in view of eliminating open defecation in communities – multiplied by the number of beneficiaries per facility.

Only access related to fully constructed, rehabilitated or improved facilities which are operational at the time of reporting should be included. Temporary access related to emergency or humanitarian interventions are excluded.

Counting guidance

1. If only household data is available, the number of people can be computed by using the average composition of the household. Such data should be retrieved from – in order of preference – intervention surveys, surveys realised in the same area of the intervention, department/regional statistics, and ultimately national statistics. If these sources are not available, use the data on the following website: https://population.un.org/Household/index.html#/countries/840. Round the output of the calculation to the nearest whole number. Record the calculations in the calculation method field to facilitate quality control.
2. The Gender Action Plan III (GAP III) requires the reporting of gender-diasaggregated values if possible and sex-disaggregated values if not. Use intervention data to provide the disaggregation.
3. Double-counting is not allowed: a person can be counted only once in the same reporting period. This means that if the same person benefits from one or more forms of support over one or more years in the same reporting period, from the

same intervention or different interventions, this person should be counted only once. Pay particular attention to possible overlaps between household access and public access. To avoid the double counting of people over time, two approaches are possible. If it is possible to reliably estimate the number of people supported in the first year, and the number of new people supported in the following years (i.e. not yet supported during the reporting period in question), these numbers can be added up without the risk of double counting. However, if this information is not available, the maximum result of the reporting period should be used instead. Record the calculations in the calculation method field to facilitate quality control of the values reported. Report the geographic location of the people in the comment field to facilitate quality control of double counting.

4. However, there are exceptions to the double-counting rule: people counted under GERF 2.38 can also be counted under the following GERF indicators if the relevant conditions are met:

- GERF 2.20 *Number of migrants, refugees, and internally displaced people or individuals from host communities protected or assisted with EU support*;
- GERF 2.39 *Number of people directly benefiting from EU supported interventions that aim to reduce social and economic inequality*.

Quality control checklist

1. Has the indicator been included directly in the logframe? Reserve the OPSYS matching functionality only for cases when this is not feasible.
2. If the indicator has been included directly in the logframe, does the current value *include* the baseline value? If the indicator has been matched to a logframe indicator, does the current value *exclude* the baseline value?
3. Have connections to public buildings such as schools and community centres been excluded from the facilities taken into account?
4. Have public toilets been excluded from the sanitation facilities taken into account? Note however that shared-use facilities can be included.
5. Are the facilities permanent? Temporary facilities, which are often linked to humanitarian or emergency interventions, should be excluded.
6. Does the GERF value count people? If only the number of households is available, then convert to the number of people using average household size.
7. Is the GERF value an absolute value? Percentages must be converted to absolute values.
8. Is the GERF value a whole number? The number of people cannot be a decimal number.
9. Have gender (or sex) disaggregated values been reported? Gender (or sex) disaggregation is mandatory.
10. Have people been counted only once, even if they benefited from both water and sanitation?
11. Does the intervention focus on migration? If so, this result should also be reported under GERF 2.20 *Number of migrants, refugees, and internally displaced people or individuals from host communities protected or assisted with EU support*, if all conditions are verified. Double counting with GERF 2.20 is allowed.
12. Does the intervention focus on inequalities? If so, this result should also be reported under GERF 2.39 *Number of people directly benefiting from EU*

supported interventions that aim to reduce social and economic inequality, if all conditions are verified. Double counting with GERF 2.39 is allowed.

13. Has any other double counting been avoided? People should be counted only once, except for the cases mentioned above.
14. Have all calculations been recorded in the calculation method field? Has all relevant information, including the geographic location of results, been reported in the comment field?

7. Examples of calculations

Example 1

Angola: intervention aimed at training operators for water supply systems in rural areas

- Number of water supply points rehabilitated by the intervention in four rural communities: 38
- Number of people living in each community with a walking time of less than 30 minutes: 2 800; 1 150; 1 870; 2 360

➢ Total number of people with access to an improved drinking water source = 2 800 + 1 150 + 1 870 + 2 360 = 8 180

Example 2

Ethiopia: community-led water sanitation and hygiene interventions

- Total number of latrines built in private households: 19 108
- Total number of roadside latrines built for visitors or community members in the area: 362
- The average household in the intervention area is composed of six people, so the number of beneficiaries is: 19 108 x 6 = 114 648
- The annual average number of visitors for roadside latrines is 6 280. However, these beneficiaries are not included in the count as roadside latrines are not considered to be a facility that improves access to sanitation.

➢ Total number of people with access to an improved sanitation facility = 114 648

8. Data sources and issues

Please use the data source categories specified in OPSYS.

EU intervention monitoring and reporting systems: *Progress and final reports for the EU-funded intervention; ROM reviews; EU-funded feasibility or appraisal reports*.

International organisation data portals and reports: *WHO/UNICEF Joint Monitoring Programme, Global data on drinking water, sanitation and hygiene (WASH).*

Include any issues relating to the availability and quality of the data.

9. Reporting process & Corporate reporting

The data collected on this indicator will be reported in OPSYS by the Implementing Partner. The values encoded in OPSYS will be verified, possibly modified and ultimately validated by the Operational Manager. Once a year the results reported will be frozen for corporate reporting. The methodological services in HQ that are responsible for GERF corporate reporting will perform quality control on the frozen data

and aggregate as needed to meet the different corporate reporting requirements.

This indicator is used for corporate reporting in the following contexts:

- *NDICI via the Annual Report*
- *NDICI via the Programme Statements*
- *INTPA Strategic Plan via the Annual Activity Report*
  - *NEAR Strategic Plan via the Annual Activity Report*
  - *FPI Strategic Plan*

This indicator has been included in the following other Results Measurement Frameworks:

- *EFSD+*
- *GAP III*
  - *IPA III*
- *TEI-MORE*

10. Other uses

GERF 2.38 can be found in the following thematic results chains:

- Climate Change and environment
- Food and Nutrition Security and sustainable Agriculture
- Human Rights
- Resilience, Conflict sensitivity and Peace
- Sustainable cities
- Water

GERF 2.38 can be found in the following groups of EU predefined indicators available in OPSYS, along with other related indicators:

- Human Rights
- Nutrition
- Resilience, Conflict sensitivity and Peace
- Sustainable Aquatic and Agri-food Systems
- Sustainable cities
- Water

For more information, see: Predefined indicators for design and monitoring of EU-funded interventions | Capacity4dev (europa.eu)

External bodies using the same or similar indicator:

- World Bank Group Corporate Scorecards: People provided with access to an improved water source
- African Development Bank Results Measurement Framework: People with new or improved access to water and sanitation (sex disaggregation)
- Asian Development Bank Transitional Results Framework: Households with new or improved water supply (number), Households with new or improved sanitation
- Dutch Ministry of Foreign Affairs: People reached with sustainable improved water sources; People reached with sustainable improved sanitation.

11. Other issues
The scope of this indicator is limited to access. However, other important aspects, such as use, safety/security of access, affordability, social/cultural acceptability, sustainability (including maintenance), should be considered carefully at intervention design and monitored at intervention level. Another important aspect to consider and monitor at intervention level relates to whether there is sufficient water for consumption, e.g. monitoring this aspect taking account of the recommendations from the Sphere Handbook, Ch.2, pg. 63 (250 people per tap based on a flow of 7.5 litres/minute; 500 people per handpump based on a flow of 16.6 l/m; 400 people per single-user open well based on a flow of 12.5 l/m). At higher results levels, it may be useful to also monitor the density of facilities (e.g. number of water points per 1 000 population or number of sanitation facilities per 1 000 population) at intervention level.