

# Concept Note

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## **Sanitation and Hygiene for Communities Vulnerable to Climate Change**

Benin, Cambodia, Ethiopia, India, Kenya, Lao PDR, Madagascar, Malawi, Nepal, Niger, Nigeria, Pakistan, Senegal, Tanzania, Togo, and Uganda | United Nations Office for Project Services (UNOPS)

24 February 2017



**GREEN  
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# Concept Note

## Sanitation and Hygiene for Communities Vulnerable to Climate Change

Concept Note submitted by the Water Supply and Sanitation Collaborative Council to the Green  
Climate Fund

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Please submit the completed form to [fundingproposal@gcfund.org](mailto:fundingproposal@gcfund.org)<sup>1</sup>

A. Project / Programme Information	
A.1. Project / programme title	Sanitation and Hygiene for Communities Vulnerable to Climate Change
A.2. Project or programme	Programme
A.3. Country (ies) / region	<b>Africa:</b> Benin, Ethiopia, Kenya, Madagascar, Malawi, Niger, Nigeria, Senegal, Tanzania, Togo, and Uganda. <b>Asia:</b> Cambodia, India, Lao PDR, Nepal, and Pakistan.
A.4. National designated authority(ies)	<ol style="list-style-type: none"> <li>1. Benin: Ministry of Environment in Charge of Climate Change, Reforestation and the Protection of Natural Resources and Forestry</li> <li>2. Cambodia: Ministry of Environment</li> <li>3. Ethiopia: Ministry of Environment, Forests and Climate Change</li> <li>4. India: Ministry of Environment, Forests and Climate Change</li> <li>5. Kenya: The National Treasury</li> <li>6. Lao PDR: Ministry of Natural Resources and Environment</li> <li>7. Madagascar: Ministry of Environment, Ecology, Sea and Forests</li> <li>8. Malawi: Environmental Affairs Department</li> <li>9. Nepal: International Economic Cooperation Coordination Division, Ministry of Finance</li> <li>10. Niger: National Council of the Environment for Sustainable Development</li> <li>11. Nigeria: Federal Ministry of Environment</li> <li>12. Pakistan: Ministry of Climate Change</li> <li>13. Senegal: Ministry of Environment and Sustainable Development</li> <li>14. Tanzania: The Office of Vice President</li> <li>15. Togo: Directorate of Environment, Ministry of Environment</li> <li>16. Uganda: Ministry of Finance, Planning and Economic Development</li> </ol>
A.5. Accredited entity	This Concept Note was developed by the Water Supply and Sanitation Collaborative Council (WSSCC) for its Global Sanitation Fund (GSF). WSSCC is hosted by the United Nations Office for Project Services (UNOPS). UNOPS's Green Climate Fund accreditation is pending. WSSCC intends to submit a proposal through UNOPS once it is accredited.
A.6. Executing entity / beneficiary	<b>Executing Entity:</b> WSSCC, Global Sanitation Fund (GSF).
A.7. Access modality	Direct <input type="checkbox"/> International <input checked="" type="checkbox"/>
A.8. Project size category (total investment, million USD)	Micro ( $\leq 10$ ) <input type="checkbox"/> Small ( $10 < x \leq 50$ ) <input checked="" type="checkbox"/> Medium ( $50 < x \leq 250$ ) <input type="checkbox"/> Large ( $> 250$ ) <input type="checkbox"/>
A.9. Mitigation / adaptation focus	Mitigation <input type="checkbox"/> Adaptation <input checked="" type="checkbox"/> Cross-cutting <input type="checkbox"/>
A.10. Public or private	public
A.11. Results areas (mark all that apply)	<p><i>Which of the following targeted results areas does the proposed project/programme address?</i></p> <p>Reduced emissions from:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Energy access and power generation (E.g. on-grid, micro-grid or off-grid solar, wind, geothermal, etc.)</li> <li><input type="checkbox"/> Low emission transport (E.g. high-speed rail, rapid bus system, etc.)</li> <li><input type="checkbox"/> Buildings, cities, industries and appliances (E.g. new and retrofitted energy-efficient buildings, energy-efficient equipment for companies and supply chain management, etc.)</li> <li><input type="checkbox"/> Forestry and land use (E.g. forest conservation and management, agroforestry, agricultural irrigation, water treatment and management, etc.)</li> </ul>

<sup>1</sup> Please use the following naming convention for the file name: “[CN]-[Agency short name]-[Date]-[Serial number]” (e.g. CN-ABC-20150101-1).

	<p>Increased resilience of:</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Most vulnerable people and communities (E.g. mitigation of operational risk associated with climate change – diversification of supply sources and supply chain management, relocation of manufacturing facilities and warehouses, etc.)</li> <li><input checked="" type="checkbox"/> Health and well-being, and food and water security (E.g. climate-resilient crops, efficient irrigation systems, etc.)</li> <li><input checked="" type="checkbox"/> Infrastructure and built environment (E.g. sea walls, resilient road networks, etc.)</li> <li><input type="checkbox"/> Ecosystems and ecosystem services (E.g. ecosystem conservation and management, ecotourism, etc.)</li> </ul>
<p>A.12. Project / programme life span</p>	<p>WSSCC has aligned its planning with the Sustainable Development Goals (SDGs). Therefore, the proposed programme life span is 2018- 2030. However, the programme is divided into 3 implementation phases. This Concept Note describes the funding request and activities for the first phase (2018-2020).</p>
<p>A.13. Estimated implementation start and end date</p>	<p>Start: 1 January 2018 End: 31 December 2020</p>

## B. Project/Programme Details

The Fund requires the following preliminary information in order to promptly assess the eligibility of project/programme investment. These requirements may vary depending on the nature of the project/programme.

<p>B.1. Project / programme description (including objectives)</p>	<p><b>Background Statement</b></p> <p>Approximately 2.4 billion people lack access to adequate sanitation and do not practice good hygiene behaviours. Of these, nearly 1 billion people practice open defecation. Climate change is expected to further exacerbate the global sanitation and hygiene crisis, and thus render marginalized populations more vulnerable to climate shocks and stresses. Poor sanitation and hygiene are responsible for a significant proportion of the global disease burden. As identified by growing numbers of health statisticians and recognised by the World Health Organisation (WHO), climate change will significantly amplify health risks. The rising severity and frequency of floods, droughts, cyclones, and other extreme weather events threaten the sustainability of sanitation infrastructure and services, rising temperatures will further accelerate the development of deadly pathogens caused by the practice of open defecation and unsafe containment, disposal and treatment of human waste. The consequences are increased health burdens for populations already vulnerable to malnutrition and outbreaks of waterborne illnesses. Climate adaptation without integrating sanitation and hygiene improvements means that the burden of these consequences disproportionately fall on women, girls, the poor, and other vulnerable groups. The World Bank warns that “health shocks” of rising disease prevalence associated with poor sanitation and hygiene will hit the most vulnerable hardest, as regressive health expenditures and lost income generating opportunities threaten to push even more people into poverty and reduce their ability to adapt to climate change. Furthermore, without urgent investment in resilient sanitation and hygiene adaptation, the accumulated costs of climate shocks, rising health and humanitarian expenditure, threaten to further stress public service delivery and those that are least able to access services will be left behind. Fully realising everyone’s right to sanitation and hygiene is therefore a critical, yet neglected, component of successful climate change adaptation, and a vital prerequisite for achieving the Sustainable Development Goals (SDGs).</p> <p><b>WSSCC/GSF’s Framework for Resilient Sanitation and Hygiene</b></p> <p>In response to the global sanitation crisis, WSSCC launched the Global Sanitation Fund (GSF) in 2008. The GSF is a pooled funding mechanism, supported by several governments, that promotes the creation, demonstration, and replication of nationally-owned, results-based delivery models for achieving universal access to safely managed sanitation and hygiene. The objective of GSF-supported programmes is to strengthen four dimensions of sanitation and hygiene resilience, which support wider climate change adaptation efforts:</p> <ol style="list-style-type: none"> <li>1. <b>Resilient sanitation and hygiene behaviour:</b> Building resilient behaviour is especially critical where climate related shocks disrupt sanitation and hygiene practices – especially among the poorest. GSF-supported programmes involve participatory, community-led collective behaviour change approaches (e.g. <a href="#">Community-led Total Sanitation</a>), ensuring that everyone consistently uses improved sanitation facilities and washes their hands with soap at critical times.</li> </ol>
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	<p><b>2. Resilient infrastructure and services:</b> According to the <a href="#">World Health Organization</a>, household-managed sanitation has the most potential for climate resilience, with <a href="#">further studies</a> pointing to future cost-savings for rural households adapting their existing facilities. To ensure sanitation and hygiene facilities are resilient, the GSF supports the marketing of affordable, durable, and accessible technology options by engaging the private sector to strengthen the local sanitation supply chain.</p> <p><b>3. Resilient support systems for the most vulnerable:</b> People most vulnerable to climate change are also those facing the biggest obstacles to accessing sanitation and hygiene services. These include women, girls, those living with disabilities, the elderly, and other excluded groups. The GSF supports programmes to address equality and non-discrimination by strengthening community-based solidarity systems and build the capacity of local governments and NGOs to support vulnerable people access adequate sanitation and hygiene.</p> <p><b>4. Resilient governance systems:</b> Sanitation and hygiene are neglected in most climate adaptation policies and strategies. Likewise, climate risks are often absent from sanitation and hygiene roadmaps. At the national level, the GSF works with WSSCC's National Coordinators to build vibrant sanitation coalitions that can integrate sanitation and hygiene with climate adaptation. At the sub-national level, GSF-supported programmes accelerate grassroots advocacy initiatives and build the capacity of local governments, NGOs, and community groups to promote, implement, and coordinate resilient sanitation and hygiene adaptation.</p> <p>As communities affected by climate change are at additional risk of being unable to access adequate sanitation and hygiene, there are clear links between SDG 13: <i>Take urgent action to combat climate change and its impacts</i>, and SDG 6.2: <i>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</i>.</p> <p>The goal of the proposed programme is to increase access to resilient sanitation and improve hygiene behavior for vulnerable communities in areas affected by climate change.</p> <p>The Programme Objectives are as follows:</p> <ol style="list-style-type: none"> <li>1. Sanitation and hygiene behaviours resulting in sustainable use of safely managed sanitation facilities (i.e. breaking the faecal-oral disease transmission chain, ensuring safe storage and disposal of faecal waste, and separating waste from human contact); and good hygiene practices such as handwashing with soap and water.</li> <li>2. Resilience to climate change of sanitation infrastructure and services, through the availability and use of durable, affordable and appropriate technology options.</li> <li>3. Communities vulnerable to climate change are reached, ensuring that no one is left behind in achieving access to resilient, sustainable sanitation and hygiene.</li> <li>4. Establishment of enabling environments at the national and local levels in each targeted country for sustainable access to sanitation and hygiene, including policies, strategies, organisational capacity, adequate resources and coordination.</li> </ol> <p>It is envisioned that Green Climate Fund support for the programme will come in three phases (2018-2020; 2021-2025; and 2026-2030) aligned with the period of the SDGs. During the first phase, the GSF will scale up its current portfolio of supported programmes from 13 to 16 countries. Subsequent phases will add 1-2 new countries per year, resulting in a portfolio of up to 35 countries by 2030, thus making significant contributions to reaching the SDGs.</p> <p>Anticipated outcomes for the first (3-year) phase of the programme include:</p> <ol style="list-style-type: none"> <li>1. 10 million people living in areas vulnerable to climate change have improved sanitation and hygiene behaviours.</li> <li>2. 10 million people living in areas vulnerable to climate change have access to climate resilient infrastructure and services.</li> <li>3. Enabling environments strengthened in 16 countries, including improved institutional sustainability, policy frameworks, and increased resources.</li> </ol>
<p>B.2. Background information on project/programme sponsor</p>	<p><b>Organizational background</b></p> <p>Founded in 1990 within the United Nations, WSSCC is a membership organization based in Geneva, Switzerland, that supports country-led initiatives, especially in Africa and Asia, to assist countries in achieving access to adequate and equitable sanitation and hygiene for all. The GSF was created by WSSCC in 2008 as a funding mechanism supporting nationally-led sanitation and hygiene interventions. WSSCC is an independent entity hosted by UNOPS.</p> <p><b>Operational experience</b></p> <p>The GSF began grant disbursements to country programmes in 2010. Thus far, it has committed \$112 million to 13 programmes across Africa and Asia, while 3 new country programs (Laos, Niger and Pakistan) are currently in the pipeline. All countries are listed in Section A.3 of this Concept</p>

	<p>Note. By mid-2016, with GSF support, over 13 million people are living in open-defecation-free (ODF) environments, with more than 18 million having access to handwashing facilities. At the secretariat level, the GSF team consists of 14 staff members, including experts in grants management, financial management, monitoring and evaluation, and learning and documentation.</p> <p><b>Implementation methodology:</b> The GSF focuses its resources on supporting collective behaviour change approaches, most notably through Community-Led Total Sanitation (CLTS), or a variation thereof. CLTS is a proven and internationally-recognized approach to achieving and sustaining ODF communities – a first step towards improved sanitation. Through collective behaviour change, GSF-supported programmes aim to facilitate peoples' own desire to improve their sanitation and hygiene. Other key programme approaches supporting these efforts include supply-side activities (including sanitation marketing) and behaviour change communication. Programmes typically engage in the following activities: community-based collective behaviour change, capacity development; support to WASH sector coordination and collaboration; advocacy and communications; learning, sharing and documentation; and monitoring and evaluation.</p> <p><b>Decentralized delivery:</b> The ability of national sanitation and hygiene programmes supported by GSF to achieve results at scale is closely tied to how programming is aligned with the way governments decentralize or devolve public administration. GSF supported programmes apply a local delivery mechanism that engages households in thousands of villages, while working in close collaboration with local authorities.</p> <p><b>Partners and stakeholders:</b> The role of technical and implementing partners and stakeholders is a key factor for a GSF country programme's success. The diverse network across GSF countries includes households, communities, natural leaders, national coalitions, local governments, community organizations and champions, NGOs, academic institutions and local entrepreneurs. Sanitation is everybody's business. GSF-funded programmes reach out to all sanitation and hygiene stakeholders to encourage them to participate and play their part. Nurturing champions at every level accelerates national, regional and global movements to improve sanitation and hygiene.</p> <p><b>A catalyst for nationwide coverage</b> A common outcome for GSF-supported programmes is contributions to nationwide access to sustainable and equitable sanitation and hygiene. Programmes aim to achieve this by supporting the creation, demonstration, and replication a nationally-owned, results-based model for sustained sanitation and hygiene behaviour change on a large scale.</p> <p><b>Transforming people's lives beyond sanitation</b> The GSF's people-centred approach engages households in thousands of villages, enabling people to make informed decisions about their sanitation and hygiene behaviour that can positively impact their health, education, income, productivity and dignity. Communities drive their own development by making substantial investments in their sanitation solutions. In addition, the local advocates that emerge through community-based processes can use the skills and experience acquired to address other important issues (e.g. health, education, economic development). These mobilized communities can also attract additional funding for sanitation and hygiene from various sources, or serve as a springboard for delivering effective programmes in other areas. Examples include water delivery, bio gas and electrification projects that use GSF-supported programmes as a springboard.</p> <p><b>A model conducive to global sanitation and hygiene investment needs</b> The United Nations system has identified global funds as an important tool to enable member states to achieve their national development targets and the Sustainable Development Goals, including those focused on sanitation and hygiene. As a multi-donor trust fund, the GSF over the next 14 years is aimed at further accelerating access to sanitation for tens of millions of people. It will also put in place effective systems for coordination, implementation and monitoring, mobilizing public and private investment to enable countries to achieve the SDGs.</p>
<p>B.3. Market overview</p>	<p>There are approximately 2.4 billion people without access to adequate sanitation, while nearly a billion people practice open defecation. A significant proportion of these people live in areas affected by climate change. Events such as flooding, drought, desertification and storms exacerbate the problem as household pit latrines become unusable and water for hygiene becomes unavailable. Collective behaviour change approaches are effective in increasing access to sanitation and good hygiene practices. Since 2010, the GSF has promoted behaviour change, along with strengthening enabling environments, by supporting national sanitation and hygiene programmes.</p> <p>There are numerous organizations involved in various aspects of the water, sanitation and hygiene (WASH) sector. The GSF endeavours to work collaboratively with these, including other UN agencies, governments, international and local NGOs, academic institutions and for-profits. However, the GSF is the world's only fund dedicated solely to improving access to sanitation and good hygiene behaviours. In addition to funding, the GSF adds value through serving as a catalyst for change, advocating for increased attention and resources, encouraging collaboration and coordination, and promoting learning and knowledge sharing across countries. WSSCC's status</p>

	<p>within the UN adds value in terms of access and ability to convene.</p> <p>The GSF serves as a catalyst to attract attention and resources to improve access to sanitation and hygiene, including leveraging new funding. This is done by providing grant support for community-based behaviour change and strengthening enabling environments. The GSF's catalytic model has been proven to be successful by attracting additional funds and resources from both local/national and international sources. Of particular note are the experiences of the GSF in Ethiopia, Madagascar, Nigeria and Uganda.</p> <p>A key component of GSF-supported programmes is the development of the sanitation value chain. This includes engaging with entrepreneurs, artisans, and businesses to develop and market affordable, accessible, and climate resilient sanitation and hygiene technologies. Collective behaviour change increases the demand for sanitation and hygiene products and services, thereby generating sustainable markets for durable, affordable, and locally appropriate technology options. Markets for sanitation and hygiene products and services vary from context to context, with supply side activities usually initiating with formative market research.</p>
<p>B.4. Regulation, taxation and insurance</p>	<p>The GSF operates in full cooperation with national governments, and establishes Memoranda of Understanding outlining this cooperation. The GSF exists within the UN and enjoys related tax exemptions. WSSCC is insured according to the policies of UNOPS.</p>
<p>B.5. Implementation arrangements</p>	<p>WSSCC, which is legally and administratively hosted by the United Nations Office for Project Services (UNOPS), operates the Global Sanitation Fund (GSF).</p> <p>The GSF is comprised of the following key structures and actors:</p> <p><i>Global level</i></p> <ul style="list-style-type: none"> <li>- The <b>GSF Secretariat</b>, based in Geneva, is composed of grant management teams, and technical staff supporting monitoring and evaluation, financial management, learning and documentation, and advocacy and communications.</li> <li>- The <b>GSF Advisory Committee</b> provides advice on GSF strategic issues to enhance effectiveness and global impact.</li> </ul> <p><i>Country level</i></p> <ul style="list-style-type: none"> <li>- <b>Central, regional and local governments</b> are the primary owners and endorsers of country programmes. They collaborate closely with the GSF-supported programmes on design, implementation, monitoring and transition, ensuring that programmes are in line with national policies and administrative structures. Moreover, governments work with programmes to enhance capacity and plans for achieving national sanitation and hygiene goals.</li> <li>- <b>Programme Coordinating Mechanisms (PCMs)</b> are nationally-recognized, government-led sanitation and hygiene coordinating bodies within GSF countries. They set the vision and strategy of GSF-supported programmes. PCMs include representatives from government, civil society and international organizations from across the WASH sector and related sectors, and include representatives from Green Climate Fund National Designated Authorities. In addition to leading the development of GSF Country Programme Proposals, PCMs provide strategic guidance to GSF Executing Agencies and ensure that the work supported by the GSF is consistent with national policies and activities of National water, sanitation and hygiene coalitions.</li> <li>- <b>WSSCC National Coordinators</b> are senior WASH sector professionals with a clear sanitation and hygiene focus, experienced and positioned to engage at a national, strategic level. On behalf of WSSCC, they carry out national and local level networking, knowledge management, advocacy and communications activities. They also serve as focal points between the GSF-supported programmes and PCMs. Their work involves facilitating preliminary engagements between the country and the GSF, before the PCM is set up.</li> <li>- <b>Executing Agencies (EAs)</b> are appointed by the GSF and PCM, and contracted by UNOPS. EAs receive grant funds and manage the GSF-supported country programme. A range of EAs have been appointed, representing government entities, international NGOs, United Nations agencies and the private sector. EAs select, supervise, and support sub-Grantees.</li> <li>- <b>Sub-Grantees</b> generally implement the country programme activities within communities, and provide technical services in some cases (e.g. supply side activities). They are comprised of NGOs, government entities, associations and private companies.</li> <li>- <b>Country Programme Monitors (CPMs)</b> are in-country firms contracted by the GSF and reporting directly to the GSF Secretariat. The CPMs serve a key role in the GSF assurance system by conducting regular programmatic and financial verification of GSF-supported country programmes implemented by EAs and sub-Grantees.</li> <li>- <b>Natural Leaders</b> are activists and champions who take the lead during collective behaviour change processes, driving their communities to end open defecation and ensuring that everyone can access adequate sanitation and hygiene. Men, women and young people can all be Natural Leaders.</li> </ul>

- A range of **other actors** support country programmes and as a result, sanitation and hygiene movements. They include community engineers, women's and youth groups, entrepreneurs, religious leaders, technical experts, WASH sector organizations and academics.

**Illustrative Programme Timeline**

Activity	2018				2019	2020
	Q1	Q2	Q3	Q4		
Programme launch in 16 countries with Programme Coordinating Mechanisms (to include GCF NDAs)	█					
Country programme strategy and work planning workshops	█					
Development and adoption of country programme annual work plans	█	█				
Selection of sub-Grantees to serve as community-level implementing partners		█				
Phase 1 programme implementation continuing		█	█	█	█	█
Financial and programmatic oversight and reporting	█	█	█	█	█	█
Mid-point evaluations in each country to inform course corrections and Phase 2 planning					█	
Annual results and progress reporting					█	█
Annual programme review and work planning for following year					█	█
Identify new pipeline countries for expansion					█	█
Outcome Surveys in each country to verify results						█
Finalization of planning for Phase 2						█

C. Financing / Cost Information							
C.1. Description of financial elements of the project / programme		<p>The GSF has gained considerable experience in provision of grant funding to country programmes since 2010. This includes knowledge of the implementation and fund absorption capacities of current country programmes, along with having proven systems for programmatic and financial oversight and reporting. Based on this experience, during the 3 year period covered by this first phase of the proposed programme, the GSF will provide an average of \$1,000,000 per country annually to reach those people living in areas vulnerable to climate change. Grant funding will be provided using existing GSF systems, procedures, protocols and tools. The proposed GSF programme will be co-financed by the Green Climate Fund and existing WSSCC donors, as listed below. Additional funds from the Green Climate Fund, along with other sources of matching funds, will be sought to cover Phases 2 and 3 of the programme.</p>					
C.2. Project financing information		<b>Financial Instrument</b>	<b>Amount</b>	<b>Currency</b>	<b>Tenor</b>	<b>Pricing</b>	
	<b>Total project financing (a) = (b) + (c)</b>		83,150,000	million USD (\$)			
	(b) Requested GCF amount	(i) Senior Loans	.....		<u>Options</u>	( ) years	( ) %
		(ii) Subordinated Loans	.....		<u>Options</u>	( ) years	( ) %
		(iii) Equity	.....		<u>Options</u>		( ) % IRR
		(iv) Guarantees	.....		<u>Options</u>		
		(v) Reimbursable grants *	.....		<u>Options</u>		
		(vi) Grants *	50,000,000		<u>Options</u>		
	* Please provide detailed economic and financial justification in the case of grants.						
		<b>Total Requested (i+ii+iii+iv+v+vi)</b>	50,000,000		<u>Options</u>		
(c) Co-financing		<b>Financial Instrument</b>	<b>Amount</b>	<b>Currency</b>	<b>Name of Institution</b>	<b>Seniority</b>	
	<u>Grant</u>		21,060,000	million USD (\$)	The Netherlands	<u>Options</u>	
	<u>Grant</u>		4,290,000	million USD (\$)	Sweden	<u>Options</u>	
	<u>Grant</u>		7,800,000	million USD (\$)	Switzerland	<u>Options</u>	
	<u>Grant</u>			million USD (\$)	.....	<u>Options</u>	
Lead financing institutions: Governments of the Netherlands, Sweden, and Switzerland.....							
(d) Covenants	Multi- year funding agreements have been established with the Governments of the Netherlands, Sweden and Switzerland.						
(e)	Finalisation and signature of funding agreement.						

Conditions  
precedent to  
disbursement

## D. Expected Performance against Investment Criteria

Please explain the potential of the Project/Programme to achieve the Fund's six investment criteria as listed below.

### D.1. Climate impact potential [Potential to achieve the GCF's objectives and results]

Programme targets are anticipated *direct results* to be achieved by 2020. The exact number of beneficiaries within each country is to be determined during each programme development process. This will depend on several factors, including a detailed assessment of the number of people in administrative areas vulnerable to climate change.

#### Adaptation indicators and targets:

- *A2.1: Number of males and females benefitting from introduced health measures to respond to climate-sensitive diseases*

Target: By 2020, the GSF will achieve 10 million people (disaggregated by sex) living in open-defecation-free environments, which represents 100% of the population in target administrative areas in each supported country programme.

Assumptions: Targets are based on the GSF's present rate of people living in ODF environments per year from ongoing programmes, taking into consideration the expansion of the GSF from 13 to 16 concurrent programmes in 2018.

- *A3.1 and A3.2: Number and value of physical assets constructed and/or made more resilient to climate variability and change*

Target: By 2020, 10 million people will use safely managed sanitation and hygiene services, representing 100% of the population in target administrative areas. This involves improved sanitation facilities at the household level, totaling approximately \$100 million in investments (not including facilities in settings such as schools, health facilities, and other public places – which will also be incorporated into country programme design).

Assumptions: Targets are based on the GSF's present rate of improved latrine construction per year from supported programmes. Numbers of constructed facilities are assuming an average size of 5 persons per household. The value of each constructed improved facility is estimated at \$50, based on averages across GSF-supported programmes. However, as facilities are constructed by households and communities, the estimated value of physical assets is contextual, and will be estimated during the programme development/review stages. The number and estimated value of constructed facilities in public places will be determined during programme design/review stages.

#### Cross-cutting indicators and targets:

- *A5.1 Number of gender-friendly policies, institutions, coordination mechanisms and regulatory frameworks that improve incentives for climate resilience and their effective implementation.*

Target: The GSF will contribute to strengthening of the enabling environment in 16 countries. At both the national and target sub-national levels, this includes development of sector-wide roadmaps to achieve SDG 6.2 (including policies and strategies to address anticipated impacts of climate change), increases in financial commitments to sanitation and hygiene, enhanced capacity, systems, and guidelines to monitor and implement equitable sanitation and hygiene interventions, and strengthened coordination and cooperation of the sanitation and hygiene sub-sector under government leadership. In addition, WSSCC/GSF will integrate sanitation and hygiene into national climate change adaptation strategies.

Assumptions: A key assumption is that there is a level of adequate governance in target areas (i.e. an existing and mandated administration) to enhance political and financial commitments, build capacity, and strengthen coordination.

- *A7.1a: Use by vulnerable households, including number of female beneficiaries, of Fund-supported/development tools, instruments, strategies, and activities to respond to climate change variability.*

	<p>Target: 100% of women, girls, and those in vulnerable situations will live in ODF environments and be able to access safely managed sanitation and hygiene services both inside and outside the home by 2020. Moreover, 80% of women, girls, the elderly, and people living with disabilities that are living in ODF environments will indicate satisfaction with appropriate sanitation and hygiene service levels inside and outside the home.</p> <p>Assumptions: GSF-supported interventions target entire administrative areas and communities, meaning that everyone must be able to access and use improved sanitation and hygiene facilities. Precise numbers of female and vulnerable beneficiaries (such as the elderly, people living with disabilities, and the poor) are typically determined over the course of implementation, as preliminary data is often lacking at the programme design phase.</p> <ul style="list-style-type: none"> <li>• <i>A7.1b: Use by public sector services of Fund-supported/development tools, instruments, strategies, and activities to respond to climate change variability.</i> The GSF-supported delivery model will be replicated to other geographic areas in 16 supported countries starting in 2018, and 10-19 additional countries by 2030, depending on resources and full country assessments in new countries.</li> </ul> <p>Assumption: There is an assumption that there are other actors in focus countries that have available financial resources and capacity to successfully replicate the GSF-supported model.</p>
<p>D.2. Paradigm shift potential <i>[Potential to catalyze impact beyond a one-off project or programme investment]</i></p>	<p><b>Innovation:</b> GSF-supported programmes pioneer innovative approaches for resilient sanitation and hygiene behaviours, systems, and services. This has most prominently involved developing, testing, and scaling-up innovative methodologies for accelerating and sustaining collective behaviour change at scale. Several GSF-supported programmes have further pioneered approaches for engaging small business and community artisans in developing dynamic sanitation markets, and for using <a href="#">‘institutional triggering’</a> to make sanitation and hygiene a political priority. The GSF Learning and Documentation Unit is currently investing in in-depth studies to explore innovations on the frontiers of sanitation and hygiene promotion. See ‘Potential for Knowledge and Sharing’ sub-section on how the GSF supports the dissemination of innovations from supported programmes.</p> <p><b>Potential for scaling-up and replication:</b> The ultimate objective of GSF-supported programmes, as captured within the GSF Theory of Change and Results Framework, is the scale-up of the supported delivery model in line with national roadmaps to achieve sanitation and hygiene targets. The GSF thus aims to serve a catalytic financing mechanism by facilitating the creation, demonstration, and replication of nationally-owned, results-based delivery models for sustained sanitation and hygiene behaviour change at scale. The GSF’s Theory of Change envisions this catalytic process taking place into three, evolving phases: ‘Programme design’, ‘Demonstration of results at scale’, and ‘Transition to national coverage’. Although each phase is conceptually distinct, they are all geared towards the eventual replication of the delivery model by other actors (government or non-governmental) towards universal coverage.</p> <ul style="list-style-type: none"> <li>• <b>Design:</b> From the outset, GSF financing is intended to serve as a means for diverse stakeholders to come together and discuss how to create a context-specific, replicable model for transforming their country’s sanitation and hygiene situation. Instilling strong national ownership through this collaborative process is crucial. Consequently, a requirement for GSF funding is the existence – or creation – of a nationally-recognized, typically government-led coordinating body for sanitation and hygiene, which forms the PCM. This body leads the development of the Country Programme Proposal (CPP) for the GSF-supported programme.</li> <li>• <b>Demonstration:</b> in the demonstration phase, the vision outlined in the CPP is tested and improved, with the objective of showing the viability of the delivery model to achieve results at a national scale. Specifically, GSF-supported programmes demonstrate that it is possible to transform sanitation and hygiene for millions of people through sustainable collective behaviour change, in a relatively short timeframe and at a relatively low cost, compared to infrastructure-driven models or projects that operate at a small scale. GSF-supported programmes typically target strategic administrative units in their entirety, with the aim of transforming them into replicable models for other parts of the country.</li> <li>• <b>Transition to national coverage:</b> once the viability of the delivery model has been demonstrated, the results of the programme are used as the basis for replicating the now refined delivery model. This is geared at further supporting the achievement national strategies or roadmap for reaching national sanitation coverage. During this phase, the effectiveness of the delivery model is re-evaluated to develop a costed roadmap as the basis for scale-up while results-based advocacy is used to mobilize resources from national governments and other partners. The GSF provides supplementary financial support to ensure the sustainability of results, and to further strengthen the enabling environment.</li> </ul>

	<p><b>Potential for knowledge and sharing:</b> The GSF and its supported programmes are actively involved in knowledge and sharing at both the programme and institutional levels.</p> <ul style="list-style-type: none"> <li>• <i>Programme-level learning and sharing:</i> an analysis of current learning and programming practices in all 13 current GSF country programmes has highlighted a range of systematic and adaptive learning processes. For example, in Cambodia, the <a href="#">CRSHIP programme</a> includes a learning grant, managed by WaterAid, to extract lessons learned from the field in real time, and synthesize them into learning products for practitioners. Through PCMs, Executing Agencies and sub-Grantees are also able to disseminate knowledge through regular coordination meetings or events, such as the <a href="#">National CLTS Conference in Nigeria</a> and <a href="#">Kenya Water Week</a>.</li> <li>• <i>Documentation:</i> The GSF has strengthened its documentation of innovative approaches, lessons learned, and knowledge generated by supported programmes through 5 product streams: ‘GSF In Focus’ Case Studies, guidelines for practitioners, reflection papers, research reports, and the quarterly GSF learning bulletin. See the <a href="#">GSF website</a> for publications.</li> <li>• <i>Peer-to-peer learning:</i> The GSF has recently expanded the use of peer-to-peer learning exchanges between supported programmes, which involves the use of skilled practitioners from one programme using hands-on coaching to provide technical support for practitioners in another programme. See examples from <a href="#">East Africa</a> and <a href="#">Nigeria</a>.</li> <li>• <i>Participation in global learning processes:</i> the GSF facilitates practitioners from supported programmes to bring their knowledge to the global stage. This includes participation in international learning conferences and workshops, such as <a href="#">Africa Water Week</a> and the bi-annual <a href="#">GSF Learning Event</a>, and being involved in sector-wide discussions on <a href="#">the Community of Practice</a> on Sanitation and Hygiene in Developing Countries.</li> </ul> <p><b>Contribution to the creation of an enabling environment/regulatory framework and policies:</b> A key results area of GSF supported programmes are contributions to the creation of an enabling environment for achieving national sanitation and hygiene targets, including contributions to regulatory frameworks and policies. GSF’s Theory of Change measures how supported programmes increase levels of political commitment and financial resources to the sanitation sector, technical and regulatory capacity, and coordination amongst sector partners.</p>
<p>D.3. Sustainable development potential [Potential to provide wider development co-benefits]</p>	<p>Improving sanitation and hygiene has multiple, demonstrated co-benefits beyond preventing mortality and morbidity from diarrhea and acute respiratory infections – especially amongst children. A <a href="#">recent UN Water Report</a> highlights how achieving universal access and use of sanitation and hygiene is critical for achieving 13 out of 16 Sustainable Development Goals – including target 13.1 (Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters...)</p> <ul style="list-style-type: none"> <li>• <b>Economic co-benefits:</b> According to the World Bank’s <a href="#">Water and Sanitation Programme</a>, improved sanitation has a rate of return of more than five times for each dollar invested, with an estimated \$260 billion dollars is lost every year from rising health costs, productivity losses, and forgone revenue from tourism and higher land values. The economic costs of inadequate sanitation and hygiene are available for the majority of GSF-supported countries in <a href="#">Africa</a>, <a href="#">South Asia</a>, and <a href="#">East Asia</a>.</li> </ul> <p>GSF-supported programmes generate economic co-benefits by engaging the private sector to develop dynamic sanitation markets. Programmes support artisans, local entrepreneurs, and small businesses to market sanitation and hygiene products and services, generating revenue along the entire sanitation value chain (latrine construction, pit emptying, waste transport, and recycling and reuse). Several supported programmes engage micro-finance institutions to support households to increase the durability of their latrines. Depending on the market context, sanitation supply-side are often conducted informally as a supplementary income generating opportunities and not always performed as full-time jobs. However, constructing and marketing sanitation and hygiene products and services provides critical sources of additional income that can provide a buffer to climate shocks.</p> <ul style="list-style-type: none"> <li>• <b>Nutritional co-benefits:</b> According to the <a href="#">FAO</a>, climate change directly affects the nutrition and food security of millions of people, undermining current efforts to address undernutrition and hitting the poorest the hardest, especially women and children. <a href="#">Mounting evidence links improved sanitation and hygiene with better nutritional outcomes</a>, which includes preventing child mortality, stunting, and health complications later in life. This is because unsafe sanitation and hygiene leads to increased prevalence of diarrhea, intestinal worms, and environmental enteric enteropathy, which disrupts the absorption of nutrients. While robust evidence is not yet available for GSF-supported programmes,</li> </ul>

	<p>randomized controlled studies are planned to investigate the linkage between sanitation and hygiene and nutritional outcomes in order to contribute to sector learning.</p> <ul style="list-style-type: none"> <li>• <b>Climate mitigation co-benefits:</b> a number of GSF-supported programmes, including those in Kenya and Nepal, are promoting the use of biogas at the household and institutional level (e.g. schools) to provide green energy in rural areas. Biogas units convert human and animal waste into clean burning energy, and prevent the emission of harmful methane (CH<sub>4</sub>) gasses. Based on one <a href="#">World Bank study in Nepal</a>, total estimated reductions in CO<sub>2</sub>eq are an assumed 1.5 tonnes of CO<sub>2</sub>eq per household biogas unit per year. In addition, cooking with biogas instead of wood contributes to the preservation of forests (carbon sinks) and prevents deadly air pollution. The GSF intends to invest further in biogas technology development and marketing in selected countries, with the aim of piloting and scaling-up successful approaches with future GCF support.</li> <li>• <b>Gender-sensitive development impact:</b> The <a href="#">UN Framework Convention on Climate Change (UNFCCC)</a> notes that “women [and girls] commonly face higher risks and greater burdens from the impacts of climate change in situations of poverty”. As one <a href="#">WSSCC report</a> underscores, improving sanitation and hygiene is one of the most powerful ways to improve the status of women through increased educational attainment rates and safety and security inside and outside the home.</li> </ul> <p>With sufficient resources, by 2030, GSF support could result in over 25 million women and girls, including those vulnerable to climate change, living in ODF environments and having access to improved sanitation facilities. Additionally, schools will have adequate numbers of gender-separated improved facilities and handwashing stations with soap, and women and girls living in ODF environments indicating satisfaction with sanitation and hygiene service levels inside and outside the home. Empowering women is also a critical aspect for improving sanitation and hygiene outcomes and for enhancing community resilience to climate change. Through participatory, community-led approaches GSF-supported programmes will promote women as ‘Natural Leaders’ – passionate individuals that emerge from the empowering collective behavior change processes - to transform the sanitation and hygiene situations of their communities (such as these <a href="#">women in Nigeria</a>).</p>
<p>D.4. Needs of recipient <i>[Vulnerability to climate change and financing needs of the recipients]</i></p>	<p>Selection of new target countries to receive GSF support is subject to a series of criteria, with pipeline programmes approved by the WSSCC Steering Committee. Examples of criteria are:</p> <ul style="list-style-type: none"> <li>• Inverse Human Development Index (HDI)</li> <li>• Population without improved sanitation (millions)</li> <li>• Population without improved sanitation (%)</li> <li>• Percentage of population practicing open defecation</li> <li>• Deaths of children under five years of age due to diarrheal diseases</li> <li>• Multi-dimensional poverty index</li> </ul> <p>Factors relating to climate change risks will become a part of GSF’s country selection criteria. Most countries with existing or future GSF-supported programmes are already vulnerable to the impacts of climate change. Several leading vulnerability indexes (<a href="#">German Watch</a>, <a href="#">Maplecroft</a>, <a href="#">Wheeler</a>) observe that most countries with GSF-supported programmes are at significant risk. GSF-supported programmes have already been effected by flooding and rising water tables (Malawi, Uganda, and Cambodia), increased run-off in (Nepal) drought (Ethiopia, Tanzania, and Kenya), and increasing intensity and frequency of cyclones/tropical storms (Madagascar).</p> <p>The selection of target administrative areas is made by the PCM during the development of Country Programme Proposals. Criteria for target administrative areas depends on the priorities of host governments, but largely includes factors such as poverty levels, percentage of sanitation coverage, levels of current and historical donor support, considerations surrounding vulnerability and marginalization. As GSF-supported programmes intervene in areas which are among the poorest and hardest to reach, they are often already the most at-risk. Future considerations of intervention areas (with NDA involvement in PCMs) will consider climate risks and vulnerabilities, contingent on any nationally recognized criteria if available. Note that the <a href="#">OECD</a> observes that granular-level projections are prohibitive, noting that that “the level of confidence in climate change projections decreases as their potential utility for adaptation decision-making increases”.</p>
<p>D.5. Country ownership <i>[Beneficiary country ownership of project or programme and capacity to implement the proposed activities]</i></p>	<p>Country-ownership is at the heart of how the GSF operates. All supported programmes are fully developed, led, and owned by national (and state) governments. The formation of a government-led Programme Coordinating Mechanism (PCM) is a requirement for GSF funding. The PCM is usually the nationally recognized coordinating body for the sanitation and hygiene sector, or a sub-committee thereof, led by national governments and with participation from international and national NGOs, civil society organizations, UN agencies, and the private sector. The PCM is sets the vision for the GSF-supported programme, and leads in the development of the Country Programme Proposal. The programme design phase is especially</p>

	<p>critical for consolidating country ownership. During this phase, GSF financing is intended to serve as a means for diverse stakeholders to come together and discuss how to create a context-specific, replicable model for transforming their country's sanitation and hygiene situation, and to ensure that the work supported by the GSF enhances national policies, strategies, and roadmaps. The GSF will ensure that Green Climate Fund National Designated Authorities (NDAs) are members of each PCM (which is already the case in several countries).</p> <p>Each programme's Executing Agency (EA) – which receives GSF funding and is responsible for the overall programme management. Depending on the country context, the EA can be a government entity, a national or international NGO, or a private sector entity. The PCM, together with the GSF secretariat, select the EAs based on context-specific criteria, such as potential for results delivery, programmatic and fiduciary risks, government regulations. All potential EAs which are not required to be government entities must undergo a competitive bidding process, under UNOPS procurement procedure. A full elaboration on each Executing Agency, and their roles, can be found in the <a href="#">GSF 2015 Progress Report</a>.</p>
<p>D.6. Effectiveness and efficiency <i>[Economic and financial soundness and effectiveness of the proposed activities]</i></p>	<p><b>Financial adequacy and appropriateness:</b> The GSF has demonstrated its viability to absorb significantly more financing to achieve 50 million people living in ODF environments and using safely managed sanitation services, and to catalyze increased investment to reach national sanitation and hygiene targets, by 2030. Proposed GCF support, anticipated to take place over three phases, is based on existing rates of results delivery, and requisite funding requirements for scale-up, to meet GSF's long-term vision for the Sustainable Development Goals.</p> <p><b>Efficiency and effectiveness:</b> The GSF recently commissioned a <a href="#">Value for Money (VFM) analysis</a> of its supported programmes in order to gauge the economy, efficiency, and cost-effectiveness. While there is no available benchmarking criteria or data to support a robust analysis, and with cost categories/drivers are largely determined by country context, GSF-supported programmes were found to have favorable VFM in comparison to other similar sanitation and hygiene interventions.</p> <p><b>Leveraged co-financing:</b> the GCF will contribute to a pooled fund, adding to commitments from the governments of the Netherlands, Switzerland, Norway, Finland, Sweden, and Australia. GCF support will be complemented with co-financing from other donors.</p> <p>Given the historical difficulty of leveraging up-front financing at the country level for sanitation and hygiene programmes experienced by the wider sector, as outlined in GSF's Theory of Change (found in the <a href="#">GSF 2015 Progress Report</a>), the objective of GSF-supported programmes is to first demonstrate the viability of the delivery model, and thereafter catalyze investment from government and other sector partners in replicating the model towards national coverage. This has been achieved in Nigeria, Madagascar, and Uganda. An estimated \$10 million USD will be leveraged from governments in the form of co-financing for mature programme expansion, complemented by supplementary GSF financing as part of programme transition strategies. Additional leveraged funds are expected from other development partners and donor agencies. It is important to note that GSF-supported programmes also leverage significant funds from households, communities, and local institutions for construction costs and staff time.</p>

**E. Brief Rationale for GCF Involvement and Exit Strategy**

**Rationale for GCF involvement**

Climate change is expected to further exacerbate the global sanitation and hygiene crisis, and thus render marginalized populations more vulnerable to climate shocks and stresses. Poor sanitation and hygiene are responsible for a significant proportion of the global disease burden. As identified by growing numbers of health statisticians and recognised by the World Health Organisation (WHO), climate change will significantly amplify health risks. The rising severity and frequency of floods, droughts, cyclones, and other extreme weather events threaten the sustainability of sanitation infrastructure and services, rising temperatures will further accelerate the development of deadly pathogens caused by the practice of open defecation and unsafe containment, disposal and treatment of human waste. The consequences are increased health burdens for populations already vulnerable to malnutrition and outbreaks of waterborne illnesses. Climate adaptation without integrating sanitation and hygiene improvements means that the burden of these consequences disproportionately falls on women, girls, the poor, and other vulnerable groups. The World Bank warns that "health shocks" of rising disease prevalence associated with poor sanitation and hygiene will hit the most vulnerable the hardest, as regressive health expenditures and lost income generating opportunities threaten to push even more people into poverty and reduce their ability to adapt to climate change. Furthermore, without urgent investment in resilient sanitation and hygiene adaptation, the accumulated costs of climate shocks, rising health and humanitarian expenditure, threaten to further stress public service delivery and those that are least able to access services will be left behind. Fully realising everyone's right to sanitation and hygiene is therefore a critical, yet neglected, component of successful climate change adaptation, and a vital prerequisite for achieving the Sustainable Development Goals (SDGs).

Green Climate Fund involvement with the GSF is a strategic investment in a critically neglected component of climate change adaptation. Despite its importance for promoting resilient lives and livelihoods in an era of climate change, according to the [OECD data](#), only 4% of total bilateral aid, and only 5% and 6% of finance from the World Bank and regional development banks

respectively, are allocated towards the water, sanitation, and hygiene sector. Moreover, basic sanitation (and hygiene) only receives 7% of funding for the entire WASH sector. The GCF is therefore in a position to add significant added value to address this funding gap, and through the GSF, trigger a paradigm shift in both the climate change and WASH sectors on a neglected component of resilient adaptation.

In providing support to the GSF, the Green Climate Fund will not be financing a pilot phase programme, but rather will be investing in a proven approach for designing, demonstrating, and transitioning country-owned programmes to rapidly achieve results at significant scale. With 13 programmes already operational and achieving results, and with monitoring, financial, compliance, and results verification systems already in place, the GSF is able to rapidly absorb GCF financing and deliver results against the GCF's results framework in a short period of time. Moreover, GCF support will allow the GSF to launch upcoming programmes in 3 countries vulnerable to climate change – Pakistan, Lao PDR, and Niger – and expand to additional countries at a rate of 1-2 per year. Finally, GCF support for the GSF – over the course of three funding cycles – will be integrated within a long-term strategic investment plan aligned with the Sustainable Development Goals and complementing a pooled fund of bilateral commitments from the Netherlands, Sweden, and Switzerland.

GCF involvement in supporting the GSF is an opportunity to catalyse the cross-integration of strategies, policies, and regulatory frameworks. The close involvement of NDAs within PCM structures will be a vehicle for integrating climate change issues within national sanitation and hygiene roadmaps. Furthermore, strengthened NDA involvement within national coordinating bodies for the sanitation and hygiene sector will serve as a strategic entry-point for ensuring that sanitation and hygiene is incorporated within frameworks for climate change adaptation.

### **Sustainability and exit strategy**

The GSF aims to catalyse the replication of the supported delivery model towards nation-wide coverage, and in general accelerate increased investment in sanitation and hygiene. The GSF Theory of Change envisions that as the 'demonstration (implementation) phase' matures, the results of the programme are used *securing the high-level support needed for realizing the nation-wide vision articulated during the initial programme design phase. This 'transition' phase aims to generate a level of 'unstoppable momentum' within a country, and sets-up the conditions for phasing out of GSF financing.*

During the transition phase, the results of the demonstration phase should be used to re-evaluate the effectiveness of the delivery model. For example, the division of roles and responsibilities of government bodies, NGOs, and communities themselves may shift considerably from what was originally outlined in the Country Programme Proposal. Alternatively, achieving scale may involve re-conceptualizing the function of key actors. The EA, for example, may shift from being a 'hands-on' facilitator to assuming a more specialized advisory role, providing on-demand technical support to SGs or other EA-type organizations, including national government. In each case, lessons learned over the course of the demonstration phase should directly feed into scale-up strategies developed between the PCM, EA, SGs, and GSF.

The ideal advocacy window for securing scale-up commitments opens during the second half of the demonstration phase when programme results accelerate. As representatives of the wider sector, leadership by the PCM and the WSSCC National Coordinator is essential. Through their strategic position in the overarching national sector coordinating body, the results of the programme are used as the basis for replicating the (re-evaluated) delivery model to achieve their national sanitation strategy or roadmap. This evidence-based advocacy aims to further catalyse a nationally-owned process. It is therefore critical that commitments for scaling-up GSF programmes are backed by new government funding, which in its turn is used to trigger funding from other sources, including key international development partners active in the country such as the World Bank, regional development banks, international NGOs and bilateral development partners.

Several GSF-supported programmes that have reached maturity during the demonstration phase have initiated their transition to national scale by leveraging external resources to reach even more people. For example, USAID is funding the replication of the GSF delivery model in Uganda and Madagascar towards national coverage – including a focus on collective behaviour change at scale anchored within national coordinating bodies for the entire sanitation sector. Similarly, in Nigeria, the results of the GSF-supported programme attracted additional funding to the EA from the UK Department for International Development with the aim of achieving ODF status for all of Cross River State. As GSF-supported programmes transition, the PCM plays a strategic role in making sure that external resources are fully aligned with national sector roadmaps and strategies.

Depending on the evaluation of results, and what role the GSF programme plays in the national sanitation strategy, the transition to national coverage can cover three components. First and foremost, it involves replicating the results delivery model to reach more people, with the ultimate goal of achieving nation-wide coverage as envisioned during the design phase. Second, it incorporates interventions to sustain existing results, such as supply side activities to promote more advanced and technically sustainable infrastructure, other aspects of hygiene promotion, or addressing behavioural issues surrounding 'slippage'. These post-ODF interventions, which are already initiated during the demonstration phase, require extensive creativity, flexible programming, and robust learning & documentation systems to effectively capture best practices and cost outputs. Finally, transition investing in the enabling environment and enhancing strategies, policies and frameworks for achieving national sanitation and hygiene targets (section D.2). It is important to emphasize that while this may include a degree of capacity building, it must involve new government funding to ensure institutionalized support. For example, the GSF and the Government of Uganda are each providing matching funds as part of a transition strategy developed by the Ministry of Health. Under this arrangement, the GSF is supporting sustainability activities and strengthening the enabling environment, including the development of a roadmap for universal ODF coverage under the national coordinating body, while government funding is directed towards expanding the programme to new, hard to reach areas.

In sum, the transition phase uses programme results as an advocacy tool by demonstrating that achieving nation-wide coverage as envisioned in national sanitation strategies or roadmaps, is possible. Lessons learned from the programme should inform how the

programme delivery model can transition towards this national scale, with the PCM and WSSCC National Coordinator taking the lead to secure additional government support to realize this vision.

## F. Risk Analysis

Within its full programme proposal, the GSF will provide an assessment and plan for managing environmental and social safeguard risks and impacts including those related to: labour and working conditions, resource efficiency and pollution prevention, community health and safety and security, land acquisition and involuntary resettlement, biodiversity conservation, indigenous peoples, and cultural heritage. In addition, the GSF faces risks in areas such as resource availability, sustainability of behaviour change, achieving universal access, establishing enabling environments, and identifying and dissemination best and promising practices.

Following are examples of identified current risks and mitigation measures.

Examples of current risks	Mitigation measures
Lack of funding delays expansion of existing programmes into new geographic areas or prevents full scale-up within covered districts.	<ul style="list-style-type: none"> <li>➤ Maintain close communication and collaborative relationships with in-country partners to allow for adequate planning and flexibility</li> <li>➤ Work with stakeholders to identify other sources of financial support, including local and international</li> </ul>
Lack of sufficient available funding does not allow the GSF to expand into new countries.	<ul style="list-style-type: none"> <li>➤ Prioritize continuation of existing programmes before expansion into new countries</li> <li>➤ Explore non-financial means to support new countries, such as inclusion in learning activities</li> </ul>
GSF-supported programmes fail to reach people living in vulnerable situations, including those vulnerable to climate change.	<ul style="list-style-type: none"> <li>➤ Within programme design, prioritise reaching the most vulnerable</li> <li>➤ Work with local partners and ensure country ownership so that the most vulnerable are identified and included</li> <li>➤ Work with Programme Coordinating Mechanisms and other stakeholder groups to define geographic areas most vulnerable to climate change</li> </ul>
Enabling environments are not achieved, including provision of additional local resources, and establishment of institutional capacity and conducive political will to achieve universal access.	<ul style="list-style-type: none"> <li>➤ Maintain strong and effective Programme Coordination Mechanisms</li> <li>➤ Establish effective partnerships with a range of local actors, including them in programme planning, implementation and oversight</li> <li>➤ Provide opportunities for technical support and capacity building</li> <li>➤ Inform and involve local and national government representatives</li> </ul>

## G. Multi-Stakeholder Engagement

**Existing engagement:** In several GSF-supported programmes, GCF National Designated Authorities (NDAs) are already part of PCMs and have been actively involved in the development of Country Programme Proposals and aligning GSF-supported programmes within national strategies and frameworks.

**Proposal phase:** In all 16 countries, the GSF will engage the NDAs in formal dialogues on how the country can best use GCF support to advance the GSF-supported programme towards reaching national targets, and complement national climate adaptation goals. These initial discussions will be an entry-point for further cross-integration of WASH and climate adaptation policies, frameworks and strategies. Letters of support from each NDA will be submitted to the GCF along with the proposal submission.

**Programme development/review phase:** intensive multi-stakeholder engagement is a core component in the 'design phase' of all GSF-supported programmes, and forms part of ensuring strong country ownership. Prior to GSF financing, the country requires a functional PCMs, which are nationally-recognized, typically government-led coordinating bodies for sanitation and hygiene. They set the vision and strategy for GSF engagement in the country, and are responsible for leading the development of the Country Programme Proposal. PCMs include representatives from government (e.g. Ministries of Water, Environment, Health, Education, and Gender), representatives from national NGOs and civil society organizations, UN Agencies (e.g. UNICEF and WHO), representatives from the private sector. Where possible, PCMs are sub-sections of existing national WASH sector coordination mechanisms. During programme implementation, PCMs also provide strategic guidance to Executing Agencies and ensure that the work supported by the GSF is consistent with national policies and activities of National WASH Coalitions. With GCF involvement, NDAs will be invited to become active members in each PCM, or where they are already members, encouraged to enhance their participation in steering supported programmes to align with national climate adaptation strategies.

## H. Status of Project/Programme

- 1) A pre-feasibility study is expected to be completed at this stage. Please provide the report in section J. Such a study can be conducted as part of the full proposal development process.
- 2) Please indicate whether a feasibility study and/or environmental and social impact assessment has been conducted for the proposed project/programme: Yes  No   
(If 'Yes', please provide them in section J.)

These can be conducted within the proposal development process.

- 3) Will the proposed project/programme be developed as an extension of a previous project (e.g. subsequent phase), or based on a previous project/programme (e.g. scale up or replication)? Yes  No   
(If yes, please provide an evaluation report of the previous project in section J, if available.)

### I. Remarks

WSSCC intends to apply for Green Climate Funds through its hosting agency UNOPS. Although UNOPS is currently in the process of becoming accredited with the GCF. The proposed programme will cover the 13 current countries where the GSF provides support, along with 3 new countries where the GSF is already working with stakeholders to develop activities supporting national sanitation and hygiene programmes.

### J. Supporting Documents for Concept Note

- Map indicating the location of the project/programme
- Financial Model
- Pre-feasibility Study
- Feasibility Study (if applicable)
- Environmental and Social Impact Assessment (if applicable)
- Evaluation Report (if applicable)

**Map indicating location of proposed countries to be included in the GSF programme**

