GATES FOUNDATION REVEALED:

How we work, and how we partner with ADB

ADB-Gates Foundation Learning Week, Day 2
2nd December 2020
Dr. Roshan Shrestha, Deputy Director
With Gates Foundation WSH Team

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WSH TEAM STRATEGY

WSH VISION

Enable widespread use of safely managed, sustainable sanitation services, contributing to positive health, economic, and gender equality outcomes for the world's poorest.

INITIATIVES

TRANSFORMATIVE TECHNOLOGIES & COMMERCIALIZATION

MEASUREMENT, EVIDENCE & DISSEMINATION FOR SCALE

URBAN SANITATION MARKETS

POLICY & ADVOCACY

Strategy Overview Brief here:
https://www.gatesfoundation.org/What-We-Do/Global-Growth-and-Opportunity/Water-Sanitation-and-Hygiene

WSH STRATEGY OVERVIEW

VISION

Through partnerships, fundamentally transform the sanitation sector to reach **universal use of sustainable sanitation,** contributing to better health, economic, and gender equality outcomes for the world's underserved

THEORY OF CHANGE (MAJOR REQUIREMENTS FOR SANITATION TRANSFORMATION)	FOCUS AREAS (SUCCESS REQUIRES ALL OF THESE & THEY ARE INTERDEPENDENT)	THEORY OF ACTION (OUR BODIES OF WORK)
• Political will to transform sanitation, at highest levels of government	AGENDA SETTING	• Policy definition & uptake • Align donor support & funding for CWIS • Inspire global uptake of evidence & best practices
• Accountable institutions with suitable policies, regulations and frameworks in place	INSTITUTIONAL & REGULATORY FRAMEWORKS	• Identify service & financing mechanisms • Demonstrate and replicate CWIS models
• Cultural and social acceptance & demand for toilet usage and FSM • Women and girls' needs prioritized • Human-centered design	USER ENGAGEMENT	• Gender mainstreaming • Build consumer demand
• Sufficient funding dedicated at all levels • Capability & capacity to provide quality services across the FSM value chain • Means to accurately monitor	CAPACITY TO DELIVER & MONITOR	• Optimize donor CWIS investments • Build capacity for CWIS • Enhance SDG 6.2 Measurement
• Existence of transformative, low cost, off grid sanitation technologies • Sustainable business & service models for utilities & the commercial sector to provide at scale	INNOVATION	• Invent innovative technologies (RT, OP, OI) • Commercialize with private sector • Stimulate early adoption & market development • Define global standards

2025 KEY OUTCOMES

1 SURT AVAILABILITY IN LAUNCH MARKETS
At least 1 SURT* for sale for appropriate wiper/washer/ dry/flush combination in China, India & S. Africa

2 SURT AFFORDABILITY
At least 1 SURT that is commercially available has credible plans towards reaching $.05/person/day

3 OP & MURT GA UNITS OPERATIONAL
X small OP, x large OP and x MURT* global access units in operation

4 GENDER
(TBD)

5 PARTNER CAPACITY & SUSTAINABILITY
Key anchor partners in our focus countries (4 in India, 4 in Senegal/West Africa, 3 in Bangladesh) have high capacity for sanitation service delivery & sustainable operating models

6 FSM SCALE IN FOCUS COUNTRIES
India, at least 500 FSTPs operational & 200 WWTPs co-processing fecal sludge; Bangladesh at least 75 FSTPs operational; Senegal 26. At least half of operational FSTPs operating at 50+% capacity Ain each country

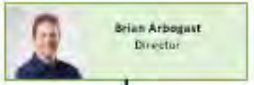
7 DATA GAPS FILLED
Major data gaps are filled, including a) SDG 6.2 indicators b) Domestic financing (India, B'desh & 80% of SSA population for both a & b); c) International funding (6 DFIs) and d) Equity Dashboard (7 countries)

8 MULTI- AND BI-LATERAL FUNDING & MONITORING
WB, AfDB, ADB, AFD meet or exceed their RTE CWIS funding commitments (including adopting monitoring frameworks to demonstrate it);add at least 3 new funders and an incremental $4B

9 POLICY & CWIS PRINCIPLE IMPLEMENTATION
At least 7 countries and 5 Indian states have adopted inclusive sanitation policies* and have begun implementation

10 CWIS CITY ACHIEVEMENT & REPLICATION
7 of 8 CWIS cities achieve their safely managed sanitation targets; 100 cities initiating replication in the three focus countries

WSH ORG CHART



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Orin Hasson
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Italicized: not full time on WSH

Primary position focus is included with title, but does not represent full scope of responsibilities

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GATES FOUNDATION ‘MODUS OPERANDI’: HOW WE WORK IN ASIA AND BEYOND

HOW WE WORK

We are a small team responsible for managing a large number of grants

We have small teams in India and China; we do not have country presence in other countries

We rely on grantees & partners for implementation; we care most about outcomes, not activities/outputs

We do not need any recognition; we do not encourage our partners to use our logo

We are ‘impatient optimists’

We take risks and encourage our partners to consider the same

We believe in innovations, and we support a change from doing ‘business as usual’

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OUR COUNTRIES OF ENGAGEMENT IN ASIA

Focus Countries

- India and Bangladesh
- Deeper engagement with national govt, state govt, and municipalities
- Policy and Advocacy intervention
- Demonstration, Replication, and scaling CWIS
- Capacity Building
- Technologies demonstration

Reinvented Toilet (RT) and Omni-Processor (OP) Market Lunch Countries

- India and China

Limited Engagement Countries

- Nepal: Policy and Advocacy support for CWIS-FSM policy adoption and capacity building for scaling
- Pakistan : Market Assessment for innovative technologies (RTs and OPs)
- Indonesia: Exploring engagement with IsDB for SANIMAS phase 2; Market Assessment of RTs and OPs

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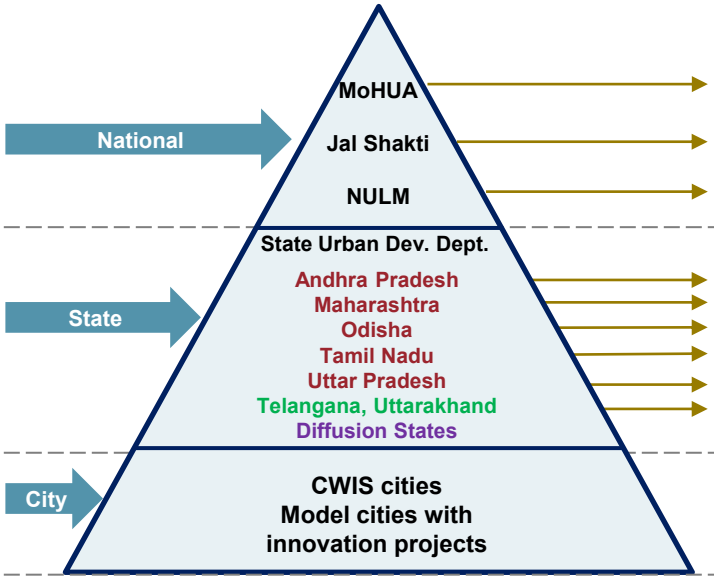
WSH India: Operational structure and engagement with key government, grantee partners and platforms



PMU supports SBM, AMRUT & CPHEEO;
Partners: **WASH-I** & KPMG

PMU @ DDWS for SBM Rural & Rurban FSM;
Partners: WASH-I & KPMG

PMU supports sanitation convergence /community engagement
Partner: **Urban Management Center (UMC)**

TSU by Partner: **Administrative Staff College of India** (ASCI)
TSU by Partner: **CEPT University**
TSU by Partner: Ernst & Young
TSU by Partner: **Indian Institute for Human Settlements** (IIHS)
TSU by Partner: **Center for Science and Environment** (CSE)
Support to non focus states – ASCI (TS) and NIUA (UK)

City wide inclusive sanitation in Narsapur (AP), Warangal (TS), Wai (MH) and Trichy (TN)

Strategic Communications

to create awareness around FSM and drive uptake of FSM practices across the chain

Supported by BBC Media Action

Technical Resource

Design and technical solutions for safe collection & treatment

Supported by **CDD Society**

MULTI STAKEHOLDER ENGAGEMENT PLATFORMS
India Sanitation Coalition (hosted at FICCI)
National FSSM Alliance (supported by **Dasra**)
BMGF WSH Partners' Collaborative Platform (supported by Dasra)
Sanitation Capacity Building Platform (supported by **National Institute of Urban Affairs**)

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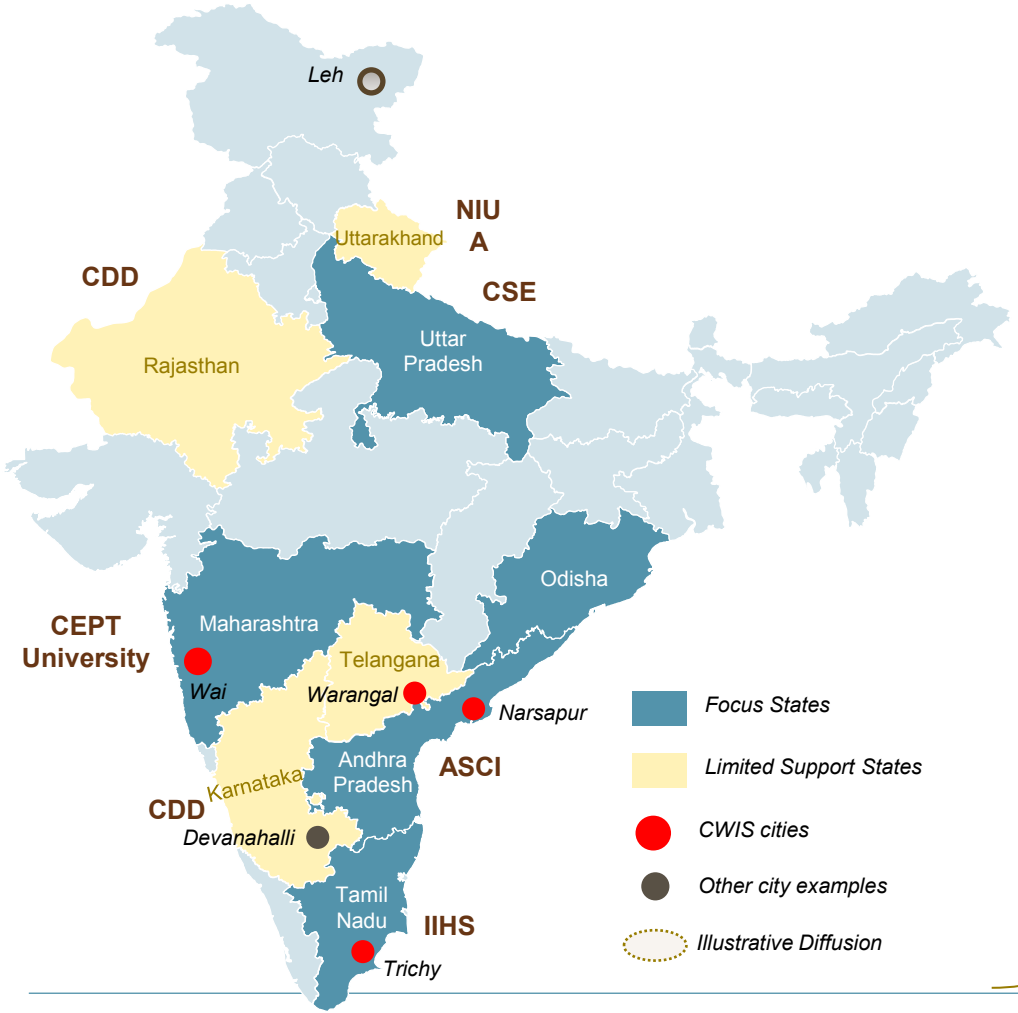
WSH INDIA - PATH TOWARDS SCALE: INSTITUTION BUILDING



Diffusion through the PMU @ Central Ministry: by WASH Institute

Anchor Partners:

- **ASCI:** Administrative Staff College of India
- **IIHS:** Indian Institute for Human Settlements
- **CSE:** Center for Science and Environment
- **CDD Society:** Consortium for DEWATS Dissemination Society
- **CEPT University:** Centre for Environmental Planning & Technology

Organizations that support diffusion:

- *WASH Institute – technical assistance provider at national level*
- *Dasra – partner network platform for cross learning*
- *National Institute for Urban Affairs (NIUA): capacity building platform*

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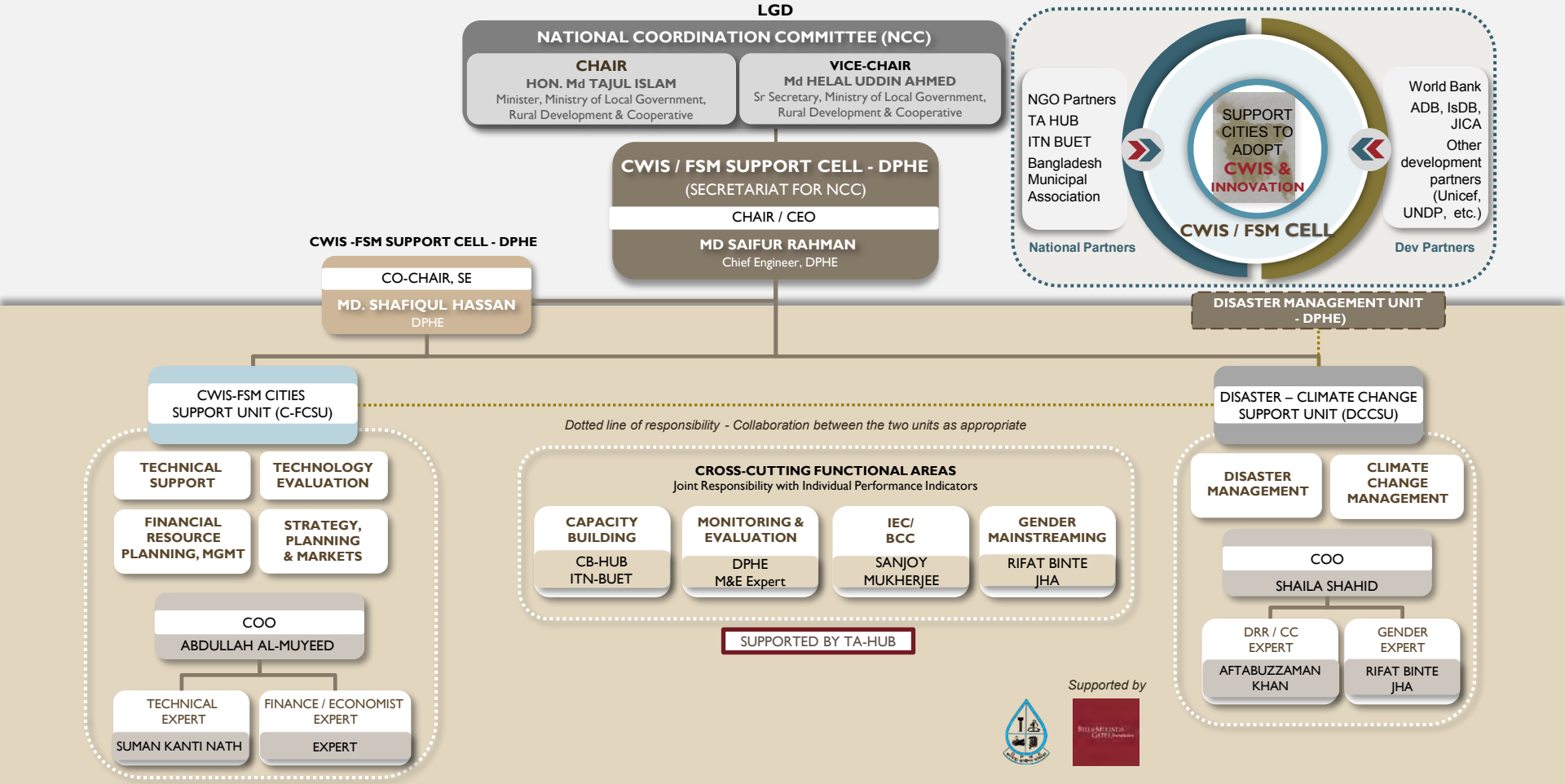
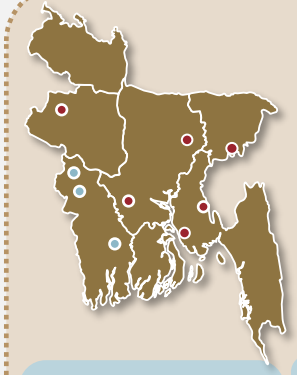
CWIS-FSM SUPPORT CELL | DRIVING SUSTAINABLE INCLUSIVE SANITATION



GOAL: To support the Government of Bangladesh in achieving **SDG 6.2** – access to adequate and equitable sanitation and hygiene for all; including **scaling City-wide Inclusive Sanitation (CWIS)** facilitating private sector participation by enhancing coordination between the private and public sector players, improving fecal sludge management and paying special attention to the needs of women and girls and those vulnerable



2021

CWIS REPLICATION INTIIATED IN ADDITIONAL

5 PAURASHAVAS & 1 CITY CORPORATION

POLICY, ADVOCACY & COMMUNICATION

- Engage GOB through CWIS/FSM Cell at DPHE for scaling CWIS
- Strengthen partnerships with Municipal Association & FSM Network for National & local advocacy and awareness
- Support in implementation of CWIS-FSM National Action Plan

FINANCING FOR CWIS and FSM

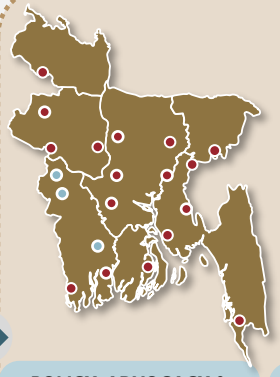
- Support integration of CWIS in all IFIs (ADB, WB, IsDB and JICA) projects and replication of CWIS initiated in the cities.
- Integration of RTs and OPs in their investment

CAPACITY BUILDING

- Enhance knowledge around CWIS & FSM to officials from DPHE, LGIs & private sector through customized training, peer to peer learning & exposure visits

MEASUREMENT, EVIDENCE & DISSEMINATION

- Track progress in 4 CWIS cities (Khulna; Khustia, Jhendaidah, & Faridpur) & develop guidelines / best practices
- Develop National level CWIS monitoring framework with credible indicators disaggregated by gender & socio-economic status and establish IMIS



2022

CWIS REPLICATION INTIIATED IN ADDITIONAL

15 PAURASHAVAS & 2 CITY CORPORATIONS

POLICY, ADVOCACY & COMMUNICATION

- Support in implement the national level communication strategy
- Continue support in implementation of IRF as per National Action Plan

FINANCING FOR CWIS and FSM

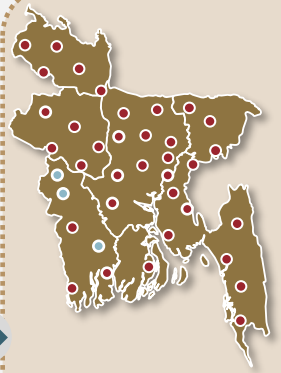
- Continue replication of CWIS in IFIs projects and increasing infrastructures for FSM
- New investment for CWIS aligned projects approved that also includes investment for RT and OPs

CAPACITY BUILDING

- Continued Capacity Building of key officials from govt, LGIs and private sectors
- Produce knowledge products as per field experiences, integration into the cap building program and communication campaign

MEASUREMENT, EVIDENCE & DISSEMINATION

- Established National Level IMIS and track the progress
- Continuously develop knowledge products for sharing and learnings



2023 - 2025

END OF 2025

50+ CITIES

(ALL ADB, WB, ISDB CITIES) TO REPLICATE & MAINSTREAM CWIS

POLICY, ADVOCACY & COMMUNICATION

- Institutionalized policy, regulation at all level and govt and LGIs to continue its implementation

CAPACITY BUILDING

- Continued Capacity Building & awareness raising through the established system

FINANCING FOR CWIS and FSM

- Continue replication of CWIS in IFIs projects and increasing infrastructures for FSM
- New investment for CWIS aligned projects approved
- Increased demand for RT and OPs

MEASUREMENT, EVIDENCE & DISSEMINATION

- Capture learnings and impact from the towns
- Track the approval of NAP and its implementation

REVOLUTION IN BANGLADESH'S WSH SITUATION THROUGH CWIS INTEGRATION

ADB RELATIONSHIP: WSH TEAM, GRANTEES, PARTNERS & EXPERTS

WSH TEAM

ROSHAN SHRESTHA
ADB – BMGF Relationship Manager; & Non-India Focal Point

DANIELLE PEDI
LEAD Urban Sanitation Finance

SAKSHI GUDWANI
BMGF India Focal Point

GRANTEES & PARTNERS

INDIA

CAPACITY BUILDING
National Institute of Urban Affairs

WASH Institute
Water, Sanitation and Hygiene Institute
National TA support

ANDRAPRADESH
TELANGANA
Administrative Staff College of India

TAMILNADU
iihs
INDIAN INSTITUTE FOR HUMAN SETTLEMENTS

UTTAR PRADESH

Resource partner

MAHARASTRA
CEPT UNIVERSITY

BANGLADESH & SOUTH ASIA

TA HUB - DHAKA
DevCon
Leading Today for Tomorrow

TA HUB PARTNER
(KATHMANDU)

DPHE – CWIS FSM CELL

CAPACITY BUILDING PARTNERS
ENPHO — NEPAL
ITN-BUET — BANGLADESH

NGOs
Practical ACTION
SNV
IWMI International Water Management Institute
UPM
WaterAid

UN AGENCIES

World Health Organization
UN-HABITAT FOR A BETTER URBAN FUTURE
unicef

SENIOR EXPERTS

NEELIMA THOTA

DORAI NARAYANA

DAVE ROBBINS

MARKET ENTRY:
TRANSFORMATIVE TECHNOLOGIES

TRANSFORMATIVE TECHNOLOGIES: 3 SUB-PORTFOLIOS

REINVENTED TOILET

Single-unit (SURT)

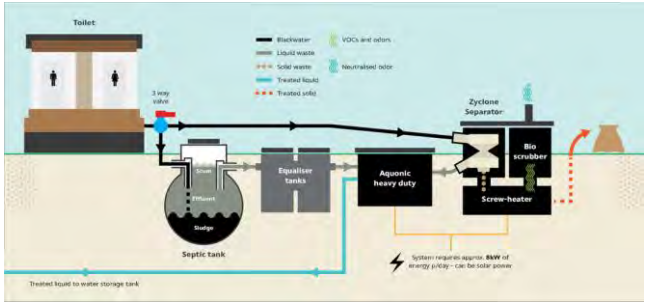
Multi-unit (MURT)

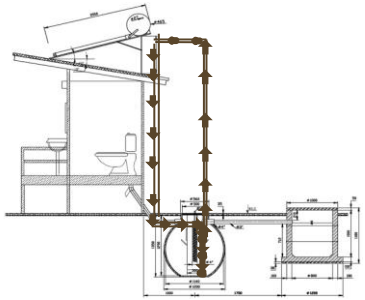
OMNI INGESTOR

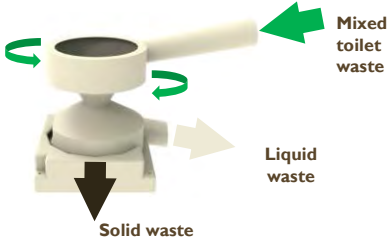
OMNI PROCESSOR

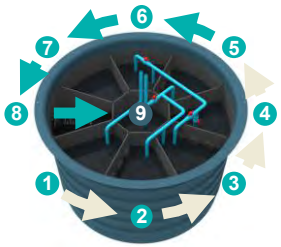
Household scale *Multi-unit scale* *Pumping and processing*

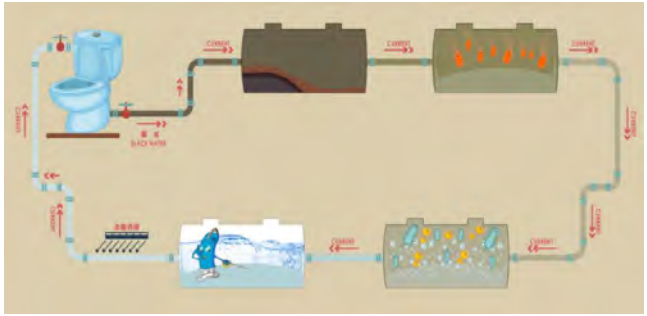
TECHNOLOGY DEVELOPMENT AND MARKET ENTRY IN ASIA

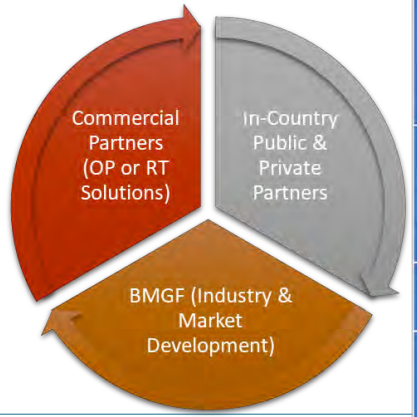












Technology Category	Commercial Supplier	Product Status
Omni Processor	CRRC (China)	Ready for market
	Ankur (India)	Ready for market
	Sedron (USA)	Ready for market
	Biomass (USA)	Ready for market
	Kalyani (India)	Technology licensed
Multi-Unit Reinvented Toilet	Clear (China)	Ready for market
	SCG (Thailand)	Ready for market (liquid)
	EnvironLoo (South Africa)	Technology licensed
	Eram (India)	Technology licensed
Single-Unit Reinvented Toilet	Huatie (China)	Technology licensed
	Rossi (South Africa)	Technology licensed
Peripheral Technology	Firmenich (malodor blocker)	Ready for market
	EOOS (urine trap FE)	Ready for market
	Envirosystem (EnviVac air flush FE)	Ready for market
	Laufen/Roca (water saving interface)	Ready for market

SHIFTING TOWARDS CITYWIDE INCLUSIVE SANITATION (CWIS):

WHAT WE ARE LEARNING SO FAR

THE FUTURE: CITY WIDE INCLUSIVE SANITATION

We aim to achieve the following outcomes for sustainable changes in sanitation management:

EVERYONE BENEFITS from safe services and public investment equitably, with a focus on reaching the poorest

GENDER & SOCIAL EQUITY are designed into planning, management, monitoring

Human waste is **SAFELY MANAGED ALONG THE SANITATION CHAIN**, starting with containment

Authorities operate with a **CLEAR, INCLUSIVE MANDATE, PERFORMANCE TARGETS**, resources, and accountability

Authorities deploy **RANGE OF HARDWARE, FUNDING & BUSINESS MODELS** to meet goals

Comprehensive long-term planning **FOSTERS INNOVATION, PRO-POOR FINANCING**; informed by analysis of needs, resources

POLITICAL WILL & accountability incentivizes improvements in capacity, leadership, outcomes

GATES FOUNDATION CWIS FRAMEWORK: Promoting a Public Service Approach

CORE CWIS OUTCOMES

EQUITY

Services reflect fairness in distribution and prioritization of service quality, prices, deployment of public finance/ subsidies

SAFETY

Services safeguard customers, workers and communities from safety and health risks by reaching *everyone* with safe sanitation

SUSTAINABILITY

Services are reliably and continually delivered based on effective management of human, financial and natural resources

CORE CWIS FUNCTIONS

RESPONSIBILITY

Authority(s) execute a clear public mandate to ensure safe, equitable and sustainable, sanitation services for all

ACCOUNTABILITY

Authority's(ies') performance against mandate is monitored and managed with data, transparency, and incentives

RESOURCE PLANNING & MANAGEMENT

Resources–human, financial, natural, assets–are effectively managed to support execution of mandate across time/space

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BUILDING BLOCKS FOR CWIS AT SCALE

CITY WIDE INCLUSIVE SANITATION (CWIS)

AT SCALE

PLATFORMS FOR REPLICATION; INSTITUTIONAL, POLICY & REGULATORY ENVIRONMENT

USM 1
DEMONSTRATE & REPLICATE CWIS MODELS

Demonstrate, in archetype locations, building systems for inclusive, equitable and sustainable sanitation services

USM 2
INFLUENCE URBAN SANITATION FINANCING

Support a shift in financing and operational priorities towards scaled adoption of CWIS and innovation that reaches the poor.

USM 3
DEVELOP MARKETS FOR INNOVATIVE SANITATION TECH

Create market for transformative sanitation technologies by adoption of standards and demonstration of inclusive service and busine[illegible]models

USM 4
BUILD CAPACITY FOR FSM/CWIS IMPLEMENTATION

Develop knowledge and expertise on FSM/CWIS amongst sanitation professionals, policymakers and other stakeholders

PAC
DEVELOP & STRENGTHEN SANITATION POLICY ENVIRONMENT

Develop and disseminate ASPG and support implementation in 'early adopter' countries. Strengthen regional platforms

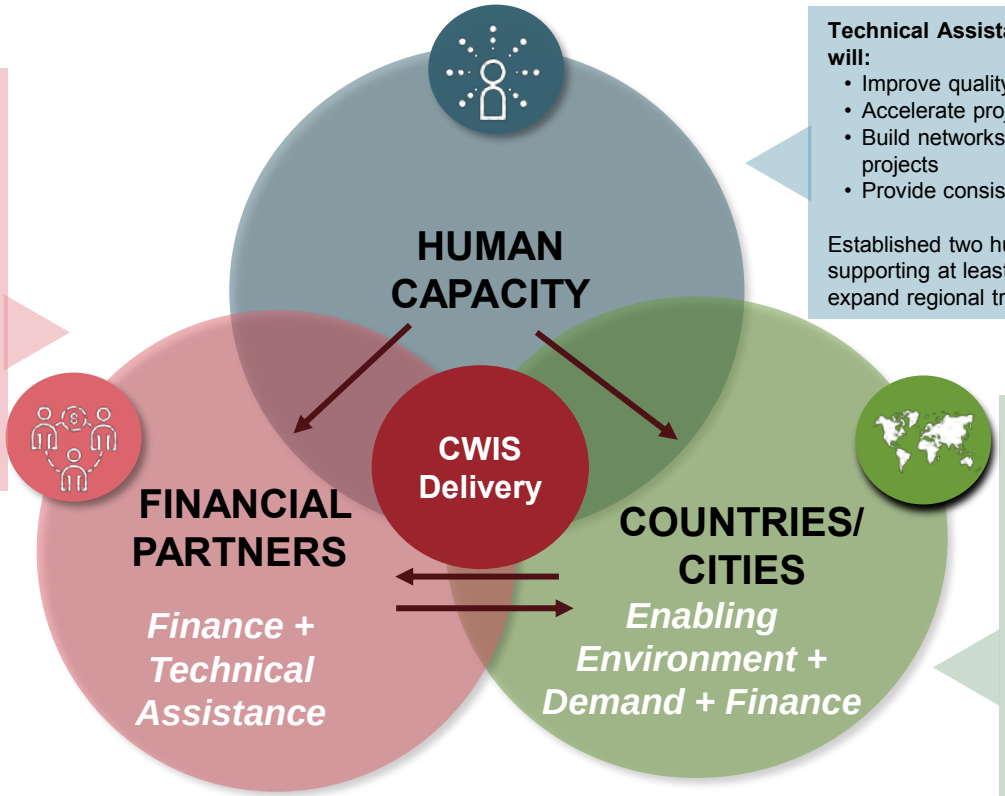
MEASURMENT, EVALUATION AND DISSEMINATION, FOR SCALE (MEDS) CROSS-SUPPORT

WHAT WILL IT TAKE TO SCALE CWIS: OUR STRATEGY

Direct engagement with key DFIs in order to:

- Secure funding commitments and alignment with CWIS principles (including $2.5B announced at RTE)
- Influence shifts in internal processes & incentives and provide enhanced skills & capacity for operational staff
- Align on key metrics, tools, knowledge sharing, and co-financing opportunities

Goal: Priority donors double funding for CWIS by 2025 with improved quality of implementation



Technical Assistance Hubs & related capacity investments will:

- Improve quality of project preparation and implementation
- Accelerate project cycle timelines & remove pain points
- Build networks of qualified and experienced firms to bid on projects
- Provide consistent metrics and knowledge sharing

Established two hubs to serve SSA and South Asia, initially supporting at least 3 projects while developing regional expertise; expand regional training & peer-exchange networs

'Follow the money' to influence demand at scale:

- CWIS embraced by all levels of government as a viable, long-term solution for urban sanitation service delivery
- Appropriate institutional frameworks, policies and domestic funding allocated for sustainability
- Scale achieved through networks & advocacy platforms
- Direct investment in 8 cities and 3 focus countries to demonstrate what good looks like

Goal: CWIS replication in at least 10 countries by 2025

*Alongside other investments in long-term CWIS/NSS capacity building for key actors in the sector

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WHAT WE ARE LEARNING SO FAR FROM COUNTRY WORK

COUNTRY ENGAGEMENT

- Policy change does not drive change alone, the systems, budgets and human resources need to be in place
- Financing and infrastructure require a commensurate focus on service delivery systems
- Few countries have the institutional and regulatory framework (IRF) to incentivize provision of inclusive sustainable services
- Capacity gaps at all levels are real and pervasive; progress will be difficult without addressing this – and capacity development takes time
- Investments in national-level 'systems' or 'soft' infrastructure is needed for projects results to sustain and scale: e-governance, integrated MIS systems, IRF and capacity building of implementers
- Utility and municipal governance change management takes time – human resource capacity & internal structure and financing are huge endeavors that can be very difficult
- Political economy matters: not just about technical capacity, but also incentives, systems, data/evidence and ADVOCACY to 'change hearts and minds'

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CWIS CITY PORTFOLIO

ASIA

INDIA

BANGLADESH

AFRICA

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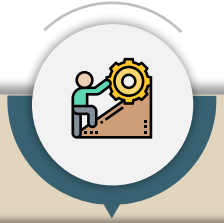
WHAT WE'RE LEARNING SO FAR: CWIS CITIES



FUNCTIONS

- **Urban Sanitation Mandates** are sewer-limited, unclear, or decoupled from performance expectations and finance
- Municipalities are rarely financed or incentivized to improve service levels or coverage; may not have sufficient autonomy to hire, generate revenue to organize inclusive public sector service
- Municipal governance reform may determine limits and opportunities for sanitation system-strengthening
- **Performance Accountability** systems, generally, do not exist for municipalities, are not applied to NSS for utilities, are not backed by measurement systems when applied
- Civic engagement needs to be built into institutions to support behavior change, comm engagement, and reinforce transparency
- **Financing** decisions and outcomes still political, opaque, unaligned, inequitable; decision process transparency and clarity requires clear mandates and performance data
- **State/National Systems** that clarify mandates, establish accountability systems, and tie finance to policy priorities, are required if city-level project gains are to be sustained or replicated

OUTCOMES

- On-site upgrading does not scale or reach the poor with behavior change and marketing alone. Subsidies are required for safe, inclusive containment & connections
- Services do not reach LICs without meaningful and enforced incentives; different private sector engagement approaches are required to reach LICs
- Formalizing emptying services does not guarantee safe emptying jobs. Inappropriate/missing PPE gear, manual emptying, manual trash, broken/poorly designed mechanized equipment prevail if workers' labor rights are not actively protected
- Integrated NSS/SS planning, service coordination, finances can improve efficiency and accountability
- Measurement & monitoring approaches are unharmonized, but often expensive project-based monitoring fills data gaps in lieu of investing in monitoring systems for improved governance
- Private sector finance is available if gov't actively structures demand and addresses payment risk; this is required at all stages of 'value chain'

INNOVATIONS

- City/Utility IMIS can improve city services; requires training, software integration, time. Success greater if integrated into national accountability/planning requirements (NWASCO/Lusaka, DPHE/Jhenaidah)
- Decanting stations for fecal sludge/septage reduce travel, costs, infrastructure redundancies; ease private sector engagement, safety (Trichy/Lusaka)
- City-scale revenue using "payment commitment" devices like levies, property taxes, bundled tariffs are necessary for inclusive services, but insufficient for on-site upgrades or services; strengthens municipal incentives but difficult to tie to performance (Wai, Lusaka, Khulna)
- Hardware is costly for dense, unplanned, highwater areas, SS or NSS; no escaping long term gov't investment (Kampala, Warangal, Khulna, Dakar)
- Revenue from reuse possible but no breakeven opex outside orchestrated projects (all cities)
- Gender training req'd across city/utility departments; gender mainstreaming in all service engagements (Khulna, Warangal, Trichy)

WHAT WE ARE LEARNING SO FAR WITH DFI INVESTMENTS

DFI INVESTMENTS and PARTNERSHIPS

Country Engagement & Modus Operandi

- Upstream work (awareness, capacity building, client demand creation, knowledge) is crucial but not sufficient; clear links needed between policy/enabling environment strengthening and projects – country enabling environment is key
- We can't change everything – aim to FOCUS on what we care about most: '% poor with safely managed services'
- Our optimism can get the better of us; must openly discuss/agree on realistic timelines, especially for systems change goals
- It helps to structure teams and focal points at sub-regional level & prioritize countries of focus: Gates team is small, we can work more efficiently if we focus on shared geographies & comparative advantages

Systems Change

- Measurement and data matters: If we can't measure it, we can't manage it (accelerating SDG 6 will require creativity)
- We must work from within to change the sector: Build trust and internal allies; support demonstration of practical 'islands of success' and examples of what works; support you – the experts – to lead and shape the CWIS agenda
- Change management is all about PEOPLE! We will continue to focus on shifting internal incentives and process, training/exposure to new ways of working, identifying & nurturing champions at all levels (but especially POs)
- We understand that development banks have constraints – project cycle, procurement, etc. – and we are looking for the best ways to support you BOTH to work within the constraints, AND change what can be change

Collaboration for Scale

- We look for opportunities to leverage through collaboration: cross-bank learning retreat on sidelines of Sanitation Dialogue 2021; opportunities for co-finance at country level
- We want to use our investments and partnership to incent collaboration between banks & UN Agencies (UNICEF, UN-Habitat)

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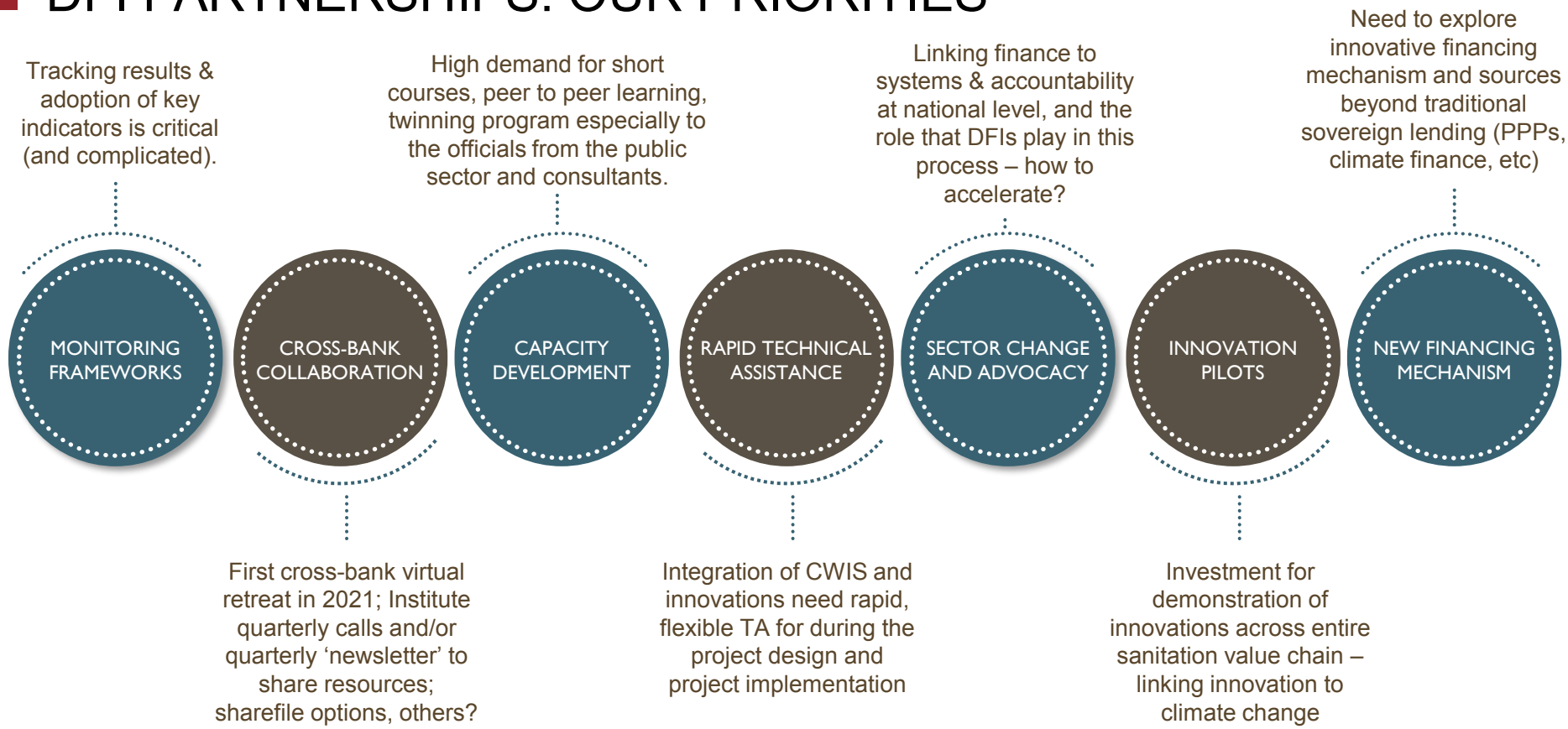
DFI PARTNERSHIPS: OUR PRIORITIES



THANK YOU!