ACTION AGAINST HUNGER

GOVERNANCE OF WATER AND SANITATION

AS APPLIED TO HUMANITARIAN AND DEVELOPMENT PROJECTS

MANUAL

GOVERNANCE OF WATER AND SANITATION

AS APPLIED TO HUMANITARIAN AND DEVELOPMENT PROJECTS

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ACF	ACTION CONTRE LA FAIM
ADB	ASIAN DEVELOPMENT BANK
AFD	FRENCH DEVELOPMENT AGENCY
ALNAP	ACTIVE LEARNING NETWORK FOR ACCOUNTABILITY AND PERFORMANCE
CBO	COMMUNITY BASED ORGANISATION
DAC	DEVELOPMENT ASSISTANCE COMMITTEE
DFID	DEPARTMENT FOR INTERNATIONAL DEVELOPMENT
ECHO	EUROPEAN COMMISSION'S HUMANITARIAN AID AND CIVIL PROTECTION DEPARTMENT
GLAAS	GLOBAL ANALYSIS AND ASSESSMENT OF SANITATION AND DRINKING-WATER
GWP	GLOBAL WATER PARTNERSHIP
GWS	GLOBAL WATER SOLIDARITY
HAF	HUMANITARIAN AID FUNDING
IHL	INTERNATIONAL HUMANITARIAN LAW
IWRM	INTEGRATED WATER RESOURCE MANAGEMENT
JMP	JOINT MONITORING PROGRAM
KAP	KNOWLEDGE, ATTITUDES, PRACTICES
MDG	MILLENNIUM DEVELOPMENT GOALS
NGO	NON-GOVERNMENTAL ORGANISATION
OECD	ORGANISATION FOR ECONOMIC COOPERATION AND DEVELOPMENT
SDG	SUSTAINABLE DEVELOPMENT GOAL
SIWI	STOCKHOLM INTERNATIONAL WATER INSTITUTE
SWOT	STRENGTHS, WEAKNESSES, OPPORTUNITIES, THREATS
UN	UNITED NATIONS
UNDP	UNITED NATIONS DEVELOPMENT PROGRAMME
UNESCO	UNITED NATIONS EDUCATIONAL, SCIENTIFIC AND CULTURAL ORGANIZATION
UNICEF	UNITED NATIONS CHILDREN'S FUND
USAID	UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT
WASH	WATER SANITATION AND HYGIENE
WHO	WORLD HEALTH ORGANISATION
WGI	WATER GOVERNANCE INITIATIVE
WIN	WATER INTEGRITY NETWORK

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INTRODUCTION

Providing people with access to essential services such as water and sanitation demands a combination of solutions in the face of a wide range of problems. These include the need to rehabilitate obsolete infrastructure and grow existing networks, the more or less unplanned nature of urban development, population growth, climatic variations, water-borne disasters, the price of water, lack of specific sectoral policies, maintenance challenges, and so on. As well as purely technical solutions, NGOs today increasingly view the governance of water and sanitation as a fundamental condition for establishing lasting access to water, sanitation and hygiene for the people their projects are designed to benefit.

For the UNDP, 'governance comprises the complex mechanism, processes and institutions through which citizens and groups articulate their institutions, mediate their differences, and exercise their legal rights and obligations.'[1] The actors involved are not only local authorities, but include members of civil society and the private sector.

Action contre la Faim is an important actor in the combat for access to Water, Sanitation and Hygiene (WASH) in the developing countries where it works. Since 2006, ACF has been examining the issue of water governance and the right to water through a range of measures that include research, advocacy and communication. Several research projects have been carried out, leading to a master's thesis on the right to water in Mali in 2007[2], a publication and accompanying training DVD on the right to water in emergencies in 2009[3], a PhD thesis on the right to water as a weapon for civil society in South Africa in 2012[4], a further paper on the same topic published by AFD[5], also in 2012, and a master's thesis on water governance in the Philippines in 2013[6].

Since 2013, Action contre la Faim has intensified its work on water and sanitation governance, running a number of studies on its missions (Kenya, South Sudan, Djibouti, Pakistan, ...) and continuing to contribute to the conversation about this issue at the international level. Today, the organisation is a member of a number of bodies engaged with governance, including the UNPD's Global Water Solidarity Platform (as a member of the steering committee) as well as the OECD Water Governance Initiative (WGI)[7] that has led to the development of the 12 Principles of Water Governance[8] adopted by the 34 OECD member states in June 2015.

Action contre la Faim is currently increasing its focus on operational governance of water and sanitation within its missions, seeking to increase the consistency, fairness and durability of the provision of governance, primarily via governance studies in the field.

This process sets out to support implementation of the Sustainable Development Goals, specifically Goal 6 (see Box 3), and the OECD Principles on Water Governance, a project that ACF has been part of since 2013 (see Annex 5).

This manual was aimed initially at ACF's operational missions as well as other NGOs in the sector in general, as well as water companies, decision-makers and funders. Its goal is to:

a) provide a practical tool for implementing WASH Governance as part of WASH projects and programmes, based on concrete examples from the field;

b) encourage other NGOs in the sector as well as water companies and partner institutions to incorporate and implement a governance element in their projects and programmes, based on the OECD principles;

c) encourage other technical sectors beyond the WASH sector, and especially the ACF sectors, to explore the concept of governance as it impacts their fields of expertise and projects.

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1 - UNDP (2001), Good Governance and Sustainable Human Development: A UNDP policy document. UNDP, New York

2 - La nouvelle politique de l'eau au Mali. Rénover le droit de l'eau pour garantir le droit à l'eau ? [New water policy in Mali. Renewing the right to water in order to guarantee the right to water?], Julie Aubriot, Paris I, 2007

3 - The Human Right to Water and Sanitation in Emergency Situations, GWC, 2009

4 - Usages militants du droit à l'eau en Afrique du Sud: du projet Gcin'Amanzi à l'affaire Mazibuko [Militant uses of the right to water In South Africa: from the Gcin'Amanzi project to the Mazibuko affair], Julie Aubriot, ENPC/CNRS, 2012

5 - Accès à l'eau et usages militants du droit [Access to water and militant uses of the right], Collection Focales, 10, Julie Aubriot, 2012

6 - Accès à l'eau et usages militants du droit [Access to water and militant uses of the right], Collection Focales, 10, Julie Aubriot, 2012

7 - OECD Water Governance Initiative: http://www.oecd.org/gov/regional-policy/water-governance-initiative.htm, consulted 10/08/2015

8 - OECD (2015), OECD Principles on Water Governance, Paris, http://www.oecd.org/gov/regional-policy/OECD-Principles-on-Water-Governance-brochure.pdf

1

DEFINITION OF
WATER GOVERNANCE

Jovana Dodos © ACF - Senegal, 2015

Capacity

Data & information

Policy coherence

Financing

Appropriate scales within basin systems

EFFECTIVENESS

EFFICIENCY

Regulatory Frameworks

WATER GOVERNANCE

Clear roles & responsibilities

Innovative governance

TRUST & ENGAGEMENT

Monitoring & Evaluation

Integrity & Transparency

Trade-offs across users, rural and urban areas, and generations

Stakeholder engagement

OVERVIEW OF THE OECD PRINCIPLES ON WATER GOVERNANCE

Source: OECD (2015), WGI (2015), Principles on Water Governance, Paris

1. SOME BACKGROUND ON WATER[9] GOVERNANCE

In today's world, 1.8 billion people drink a faecally contaminated water and 2.4 billon people have no access to basic sanitation[10]. Lack of water, sanitation and hygiene is a real threat to public health and economic development in developing countries. Although the United Nations says that access to water has improved in recent years[11], the indicators used in the past to assess progress fail to account for the water's safety or price accessibility. Nor do they reflect aspects such as the equity and durability of the provision. The United Nations General Assembly adopted a resolution on 28 of July 2010 recognising access to water as a basic human right[12] (see Box 1) with the goal of extending the concept of access to give it a broader scope, beyond simply the existence of infrastructure. The hope was that this would push member states to incorporate properly funded sectoral strategies for the sector into their constitutions, followed by legislation and implementation. There is no shortage of voices pointing out that the obstacles to universal provision are above all political. As Catarina de Albuquerque, the UN Special Rapporteur on the right to safe drinking water and sanitation, said in 2012: 'we do not face a problem of water availability, the problem is one of power. There is a lack of political will at present. That's the truth'[13]. Nor can any one actor alone solve the problem of access to water. Similarly, access to sanitation requires cooperation so that each actor in the sector is able to contribute to improving the overall situation. This highlights the importance of governance mechanisms, designed to oversee a system of harmonious coordination.

The decentralisation process that took place in many countries served to transfer responsibilities for water issues to lower tiers of government. This promotes better coordination at local and national levels. Finally, economic and democratic crises and the growth of the media have encouraged citizens to demand greater transparency, responsibility, accountability and inclusivity from their governments.

All these changes mean that governance is an indispensable factor in the implementation of a quality WASH project.

2. DEFINITION OF WATER GOVERNANCE

Water governance systems 'determine who gets what water, when and how, and decide who has the right to water and related services'[14]. 'It encompasses political, institutional and administrative rules, practices and processes (formal and informal) through which decisions are taken and implemented, stakeholders articulate their interests and have their concerns considered, and decision-makers are held accountable in the management of water resources and the delivery of water services'[15]. Sanitation governance 'refers to the rules, roles and relations that make sanitation systems work (or not)[16]. Governance systems thus comprise governments, local authorities, the private sector, civil society and other stakeholders in the project area.

One good analogy for governance is to think of it as a board game: there are the actors (stakeholders), rules (laws and regulations), objectives, a situation where the means and restrictions are symbolised by the board, and where different actors have different strategies. There are as many forms of governance as there are different players in a game. It is not possible to identify a single and universally optimal form of governance, only strategies for the game that may prove to be more successful than others.

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9 - «Water» shall be read as «Water and sanitation» all full the manual
10 - WHO and UNICEF (2015), Joint Monitoring Programme (JMP) for Water Supply and Sanitation
11 - Joint Monitoring Program UNICEF - WHO
12 - Resolution of the United Nations General Assembly, 28 July 2010, 64/292 on 'The human right to water and sanitation.'
13 - Dossier 29 - L'eau, en finir avec la spirale de l'échec [Water: ending the spiral of failure], Altermondes 29, March 2012
14 - UNESCO (2015), United Nations World Water Development Report 2: Water, a shared responsibility
15 - OECD (2015), Stakeholder Engagement for Inclusive Water Governance
16 - Water Governance Facility (2015), Issue Sheet Sanitation governance

Governance is not an end in itself; it provides the tools to reach a final objective, that of guaranteeing peoples' right and access to water and sanitation. There is no unique governance model that will suit all contexts or countries, but the principles of governance are universal, similar to the principles of law, and they apply everywhere.

FIGURE 1: THE LAW, GOVERNANCE, THE OPERATOR AND THE USER

1 - PRINCIPLES RELATING TO HUMAN RIGHTS

Non-discrimination and equality; transparency and access to information; participation; accountability obligation; sustainability.

2 - LEGAL PRINCIPLES FOR WATER

Available continuously and in sufficient quantity; physical accessibility; safe access (water quality and safety when using installations); economic accessibility; acceptability; dignity and privacy.

3 - PRINCIPLE OF GOVERNANCE

Social, economic, political, environmental dimension

Politician

Legislation & Policies

Budget & Planning

Service operator (delegatee, NGO, private or public operator, municipal service, etc.)

Deployment

Maintenance

Pricing

Information

Accountability

Citizen, user, client, beneficiary

Participation

Payment

Source: Dr. Jean Lapègue, ACF

BOX 1: PRINCIPLES OF THE RIGHT TO WATER

In 2002, the UN Committee on Economic, Social and Cultural Rights adopted General Comment 15. It stated that the International Covenant on Economic, Social and Cultural Rights implicitly recognises the right to water and sanitation via the right to an adequate standard of living (Article 11) and the right to health (Article 12)[17].

'The human right to water entitles everyone to sufficient, safe, acceptable, physically accessible and affordable water for personal and domestic uses. An adequate amount of safe water is necessary to prevent death from dehydration, to reduce the risk of water-related disease and to provide for consumption, cooking, personal and domestic hygienic requirements'[18].

Then, on 28 of July 2010, the UN General Assembly recognised the right to drinking water and sanitation as fundamental human right: resolution 64/292.

'Recognizes the right to safe and clean drinking water and sanitation as a human right that is essential for the full enjoyment of life and all human rights'[19].

17 - UN Human Rights Office of the High Commissioner (2014), Indicators on the Rights to Water and Sanitation, Geneva
18 - CESCR (2002), General Comment No. 15
19 - United Nations General Assembly resolution; 28 of July 2010, n°64/292 on the « Human Right to Water and Sanitation »

The principles of the right to water recognised by the UN General Assembly are:

1 availability in sufficient quantity, without interruption;

2 physical accessibility;

3 security of access (water quality and safety in use of the installations);

4 economic accessibility;

5 acceptability, dignity and privacy.

The principles of human rights in the broader sense (not simply as they impact WASH) are: non-discrimination and fairness; access to information and transparency; participation; obligation of accountability; sustainability.

3. DIMENSIONS OF WATER GOVERNANCE

UNESCO considers that there are four dimensions to governance[20]:

▶ **social**, which focuses on equity of access to and use of water resources;

▶ **economic**, which highlights efficiency in water allocation and use, as well as best value access to water and sanitation;

▶ **political**, which focuses on providing stakeholders and citizens with equal rights and opportunities to take part in various decision-making processes;

▶ **environmental**, which emphasizes sustainable use of water and related ecosystem services to enable lasting access to water and sanitation for all.

FIGURE 2: DIMENSIONS OF WATER GOVERNANCE
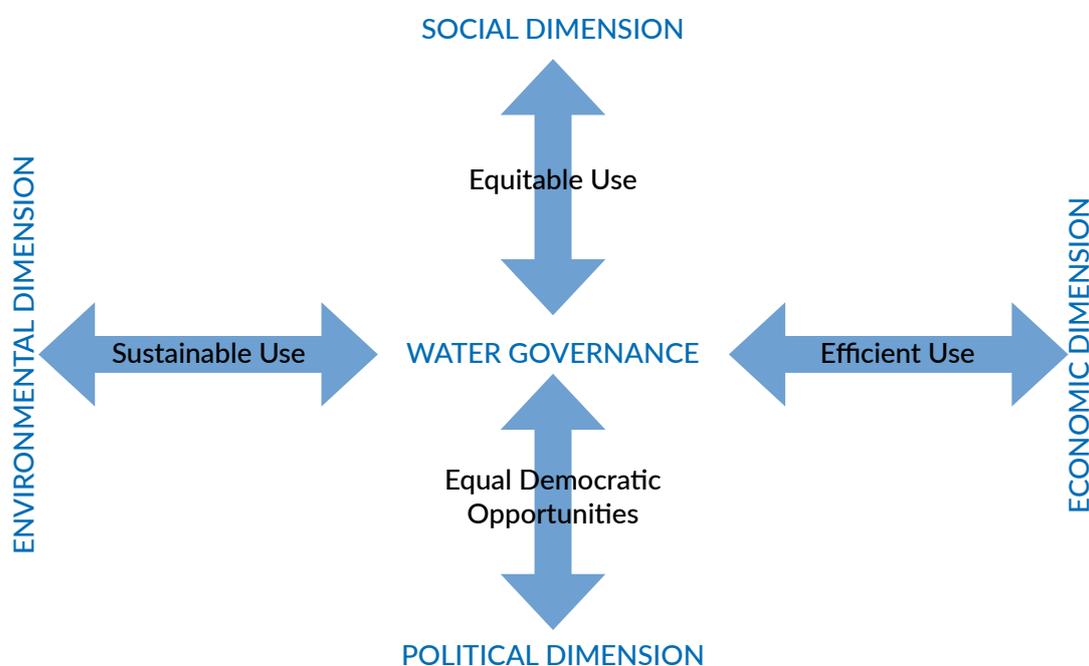
Source: World Water Development Report, UNESCO, 2006

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20 - World Water Development Report, UNESCO, 2006

Coordination is a large component of governance. As Chapter III will show, many actors are involved in the water and sanitation sector (ministries, local councils, water companies, NGOs, etc.), which contributes to fragmented decision-making and implementation. This means that coordination between actors, decisions and policies is critical. Governance of water and sanitation is also something that occurs at several levels, and again coordination is required between the various tiers. This means that implementing governance activities in a project starts with a simultaneous study of the structures and powers in place (institutional, political and social frameworks, etc.) and the processes for decision-making, implementing and informing (management methods, inter-actor interactions, etc.).

Sound governance therefore relies on constructive cooperation between the various sectors and actors, and it aims at securing services that are both efficient and sustainable, with resources used efficiently and power exercised responsibly.

SIWI and the UNDP suggest using the following general principles for sound governance of water and sanitation: **transparency** (information and decision-making process), **policy and sectoral coherence** in water and sanitation, fairness, **accountability** and **responsibility** (applies to all actors), **inclusiveness** and **participation** (by various stakeholders including highly marginalised groups), **effectiveness** and **efficiency** of services, **sustainability** and **responsiveness** (of institutions)[21].

Despite the existence of these principles, governance still has to be adapted to the local context, since it is influenced by numerous contingencies concerning the actors and their territory.

BOX 2: INTEGRATED WATER RESOURCES MANAGEMENT (IWRM)

'IWRM promotes the coordinated development and management of water, land and related resources in order to maximize the resultant economic and social welfare in an equitable manner without compromising the sustainability of vital ecosystems'[22].

It generally occurs at the level of the river basin or aquifer, or territory where the water is used. It aims, by involving all actors, at reconciling the economic and social development of a region with the protection of its resources.

FIGURE 3: INTEGRATED WATER SOURCES MANAGEMENT
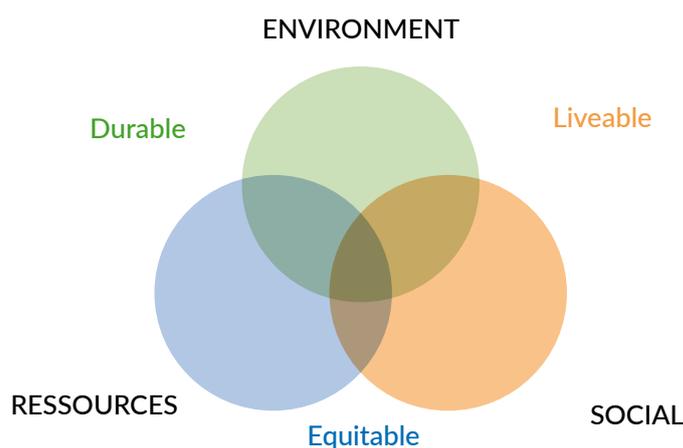
Source: Websource

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21 - SIWI and UNDP (2013), User's Guide on Assessing Water Governance, Stockholm

22 - http://www.gwp.org/Global/ToolBox/Publications/Background%20papers/04%20Integrated%20Water%20Resources%20Management%20(2000)%20French.pdf

4. OECD PRINCIPLES ON WATER GOVERNANCE

In order to better define, analyse and assess water governance, the OECD has drafted a set of 12 principles that provides an international framework for designing, tracking and implementing water policies that are more effective, efficient and inclusive. These principles have been developed and discussed through a bottom-up and multi-stakeholder process within the OECD Water Governance Initiative, an international platform set up in March 2013 with 100+ members drawn from different water-related sectors (public, private and not-for-profit) including ACF. 'The OECD Principles on Water Governance are expected to contribute to improving the "Water Governance Cycle" from policy design to implementation.' They are rooted in 'legitimacy, transparency, accountability, human rights, rule of law and inclusiveness'[23].

During the OECD Ministerial Council Meeting, 3-4 June 2015, these principles were adopted by the 34 members states, which invited all interested states, whether or not members of the OECD, to endorse and implement them. Action contre la Faim took part in the initiative and is a signatory to the Multi-Stakeholder Declaration on the OECD Principles, signed in Daegu, South Korea[24], which is why this manual draws extensively on this process. Although the OECD Principles and the Right to Water do not explicitly refer to sanitation, they are nonetheless applicable. They make no explicit distinction between water management functions such as supply of safe drinking water, sanitation, flood protection, water quality, etc., but they apply to all these functions.

The 12 OECD Principles on Water Governance are divided into three separate categories[25] (please refer to the detailed principles in Annex 4 and page 14):

▶ **effectiveness** refers to clear sustainable policy goals, able to meet the expected targets. This involves encouraging managing authorities to coordinate, water management at the appropriate level, policy coherence and availability of appropriate capacities within managing institutions;

▶ **efficiency** emphasises sustainable water management at the least cost to society. This requires data on water that are sufficiently robust and useable, the allocation of sufficient financial resources in a manner that is efficient and transparent, implementation of regulatory frameworks that are clear, transparent and proportionate, and the promotion of new and innovative governance practices.

▶ **trust** and **engagement** aim to ensure stakeholder inclusiveness and the legitimacy and integrity of the water sector. This deals with the integrity and transparency of the sector, encouraging stakeholders to participate in drafting and implementing water policies, promoting a balanced approach to the interests of users, the environment and future generations, as well as regular monitoring and assessment of policies.

Water governance as encapsulated in these 12 principles is inextricably linked to the right to water and sanitation and the DAC principles (see Box 5), also put forward by the OECD. They provide the tools that development operators such as NGOs need to create quality projects that meet universally recognised international standards. All of these principles rely on the requirement to respect 'essential freedoms, like the freedom of speech and the right to organize'[26].

5. ASSOCIATED INDICATORS

Indicators are important in ensuring that implementation of governance principles are analysed and piloted as effectively as possible. **The OECD Water Governance Initiative** is currently working to identify water governance indicators to accompany implementation of the 12 Principles[27]. An inventory of existing water governance indicators and measurement frameworks has been compiled[28]. A set of questions, based on the 12 Principles, is now available to help in their analysis and management (see Annex 5). However, it is important that every user of these indicators thinks hard about their precise

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23 - OECD (2015) Principles on Water Governance, Paris
24 - During the 7th World Water Forum, South Korea, April 2015
25 - OECD (2015) Principles on Water Governance, Paris
26 - UNESCO (2006), World Water Development Report
27 - OCDE (2015), OECD Water Governance Indicators: a tentative proposal, Draft Scoping Note, Paris
28 - OCDE (2015), OECD Inventory Water Governance Indicators and Measurement Frameworks, Paris

nature. The fact is that, behind their technical dimensions, these indicators also influence perceptions of reality. Although they promote transparency, they are by no means neutral.

There are currently two projects, both set up in 2000, that make it possible to categorise governance of water and sanitation and levels of access to water at the national level: GLAAS (UN-Water) and JMP (UNICEF – WHO). These publications are updated bi-annually, and although they present only a very broad overview at the country level, they represent a good introduction to any study of governance at the local level, which will either provide further detail to the national picture or contradict it, thereby highlighting disparities and inconsistences between the local and national levels.

Other indicators also exists, such as the *Equity Index for Water and Sanitation*[29] and the *Asia Water Governance Index*[30], which can be consulted in Annex 6.

BOX 3: JMP AND GLAAS, TWO INDICATOR AND ANALYSIS FRAMEWORKS

▸ **JMP** (Joint Monitoring Program), implemented jointly by UNICEF and the WHO, established indicators for coverage at the global, regional and national levels for water and sanitation, differentiating between cities and the countryside. These indicators are updated every two years and reflect data from 2 years prior to the year of publication.

▸ **GLASS** (Global Analysis and Assessment of Sanitation and Drinking Water) implemented by UN-WATER, aims to monitor the human and financial inputs and the enabling environment (laws, plans policies, institutional arrangements and monitoring) needed to reach the goal of universal access to water and sanitation. Used in conjunction with the Millennium Development Goals, GLAAS adds a governance dimension to the JMP monitoring indicators, tracking progress in terms of access[31]. These indicators are also updated every two years and reflect data from 2 years prior to the year of publication.

BOX 4: SUSTAINABILITY GOALS

Sustainable Development Goals aim to ensure that water and sanitation are managed sustainably. Goal 6, on water and sanitation, is inextricably linked to issues of governance. It sets out to achieve: equitable and affordable access, efficient and cooperative resource management, including cross-border, greater support for capacity-building in developing countries and increasing community participation in water and sanitation management[32]. Please refer to the figure 4 (p. 21) for the list of SDG targets linked to Goal 6.

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29 - Jeanne Luh, Rachel Baum, Jamie Bartram (2013), Equity in water and sanitation: Developing an index to measure progressive realization of the human right, International Journal of Hygiene and Environmental Health, Volume 216, Issue 6, pages 662–671

30 - Araral E. and Yu D (2010), http://lkyspp.nus.edu.sg/iwp/wp-content/uploads/sites/3/2013/04/AWGI-brochure-IWP-LKYSPP9-10.pdf, consulted 05/09/2015

31 - UN-Water, GLAAS 2014 reports et WHO, UNICEF, Joint Monitoring Reports

32 - ONU, Sustainable development goals, https://sustainabledevelopment.un.org/topics, consulté le 22/09/2015

FIGURE 4: LIST OF SDG TARGETS LINKED TO GOAL 6

GOAL 6. ENSURE AVAILABILITY AND SUSTAINABLE MANAGEMENT OF WATER AND SANITATION FOR ALL	
TARGETS	**INDICATORS**
6.1 By 2030, achieve universal and equitable access to safe and affordable drinking water for all	**6.1.1** Proportion of population using safely managed drinking water services
6.2 By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations	**6.2.1** Proportion of population using safely managed sanitation services, including a hand-washing facility with soap and water
6.3 By 2030, improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials, halving the proportion of untreated wastewater and substantially increasing recycling and safe reuse globally	**6.3.1** Proportion of wastewater safely treated **6.3.2** Proportion of bodies of water with good ambient water quality
6.4 By 2030, substantially increase water-use efficiency across all sectors and ensure sustainable withdrawals and supply of freshwater to address water scarcity and substantially reduce the number of people suffering from water scarcity	**6.4.1** Change in water-use efficiency over time **6.4.2** Level of water stress: freshwater withdrawal as a proportion of available freshwater resources
6.5 By 2030, implement integrated water resources management at all levels, including through transboundary cooperation as appropriate	**6.5.1** Degree of integrated water resources management implementation (0-100) **6.5.2** Proportion of transboundary basin area with an operational arrangement for water cooperation
6.6 By 2020, protect and restore water-related ecosystems, including mountains, forests, wetlands, rivers, aquifers and lakes	**6.6.1** Change in the extent of water-related ecosystems over time
6.a By 2030, expand international cooperation and capacity-building support to developing countries in water- and sanitation-related activities and programmes, including water harvesting, desalination, water efficiency, wastewater treatment, recycling and reuse technologies	**6.a.1** Amount of water- and sanitation-related official development assistance that is part of a government-coordinated spending plan
6.b Support and strengthen the participation of local communities in improving water and sanitation management	**6.b.1** Proportion of local administrative units with established and operational policies and procedures for participation of local communities

KEY POINTS

▸ **Water governance is inextricably linked to the right to water and sanitation,** the DAC principles and fundamental humanitarian principles.

▸ **It provides operational tools:** right to water principles, national and international indicators (JMP, GLAAS).

2

THE VALUE OF GOVERNANCE
WITHIN THE FRAMEWORK OF A HUMANITARIAN PROJECT

1. UNDERSTANDING OF THE ENVIRONMENT

2. LEARNING AND MONITORING

3. LASTING IMPACT

4. A TOOL FOR EMERGENCY SITUATIONS

5. AN INNOVATIVE APPROACH TO DEVELOPMENT

Jokoria Diaw © ACF – Senegal, 2015

2 UNDERSTANDING **THE HYDRO-METEOROLOGICAL CONTEXT**

1 UNDERSTANDING **THE INTEREST FOR THE PROGRAMME** AND **WILLINGNESS TO PAY**

3 UNDERSTANDING **THE LEGAL CONTEXT**

4 UNDERSTANDING **LOCAL ACTORS CAPACITY** AND **WATER RESOURCE MANAGEMENT**
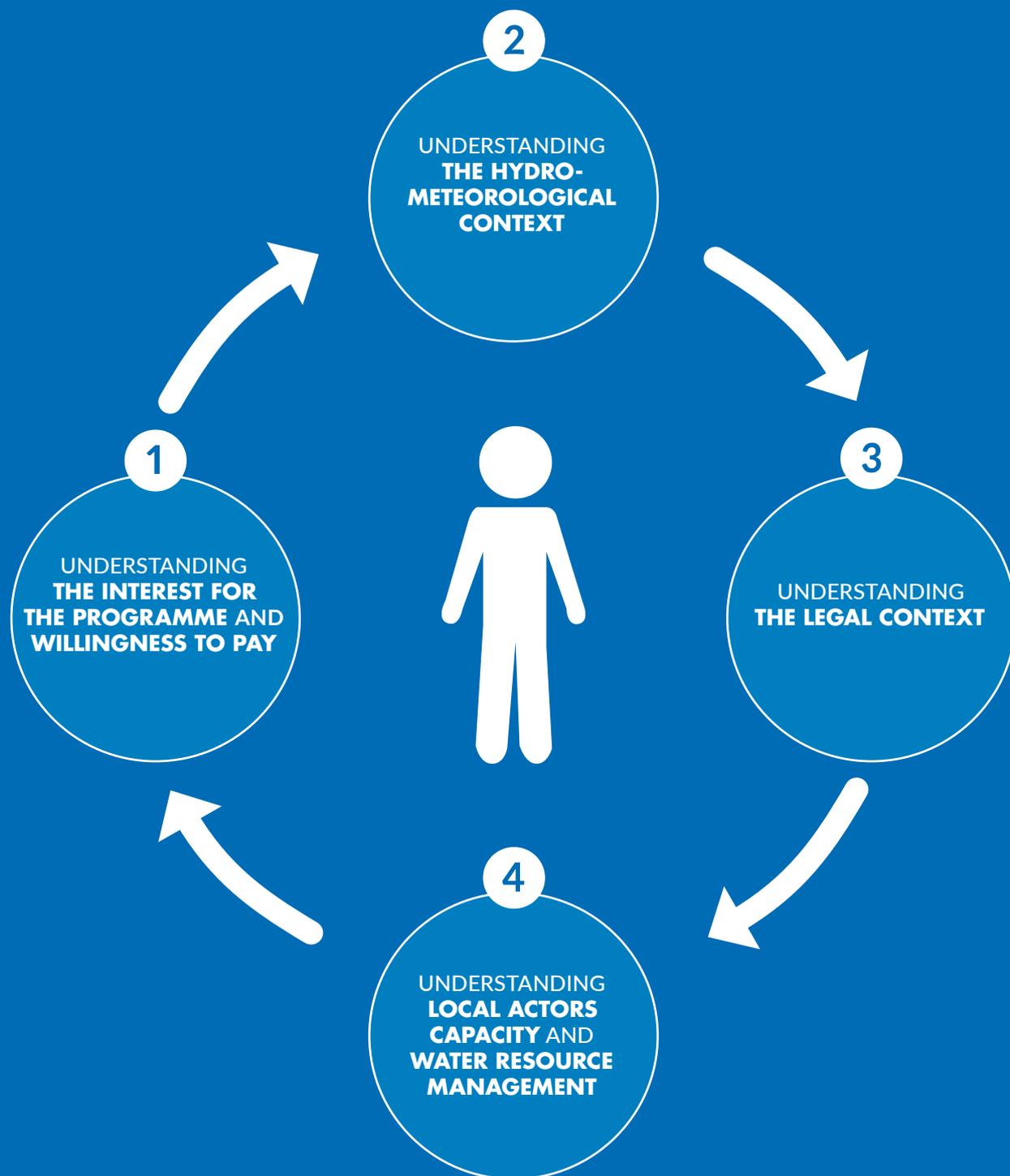
UNDERSTANDING THE PROJECT ENVIRONMENT

Source: Jean Lapègue, 2016

1. UNDERSTANDING OF THE ENVIRONMENT

Governance is an approach that provides tools designed to contribute to embedding effective rights to water and sanitation, as recognised by the international community in 2010. Positioning governance in the context of an NGO WASH programme therefore consists of adding a string to its bow by inserting its action into a legal, ethical, inclusive and long-lasting framework for the user/citizen. These tools are applicable in development situations as well as emergencies (where they will serve to ensure that vital water and sanitation needs are met). They also take on a key role in a rehabilitation context, when rebuilding better existing structures is an opportunity for the actors involved. Finally, they help in crisis preparedness.

In many developing countries there is a discrepancy between government policies, which often recognise the right to water and sanitation, and their actual ability to deliver such rights. In some cases, the rights are not mentioned in the constitution (or enshrined in law) and cannot therefore be enforced. In other instances, these rights may be referred to in law but there will be no strategy for their implementation, or there will only be a central strategy with no decentralisation. It may also be the case that the strategies are poorly funded, or not funded at all.

BOX 5: DAC CRITERIA (OECD)

In 1991, the Development Assistance Committee at the OECD has defined a set of principles for assessing development aid.

PRINCIPLES	DEFINITIONS
IMPACT/EFFECT	Positive and negative effects, primary and secondary, whether short-term (effect) or long-term (impact), produced by an intervention, directly or indirectly, intended or unintended.
SUSTAINABILITY	Analysis of the probability that the benefits derived from an activity will continue once the activity and project funding cease.
COHERENCE	Measures whether existing interventions align with policies, strategies and the situation, and that there are no unnecessary overlaps.
COVERAGE	Measures whether the aid reaches the main groups of people impacted by the crisis.
RELEVANCE	Measures whether the project is in line with local needs. Relevance encompasses three dimensions, each requiring its own feasibility study: - technical feasibility (quantity and quality of water available); - socio-economic feasibility (price of the water, ability of local people to maintain the infrastructure, respect for cultures, etc.); - environmental feasibility (sludge management, durable water sources, groundwater reinjection).
EFFECTIVENESS	Degree to which an activity meets its objectives, or will meet them based on existing outputs.
EFFICIENCY	Measures the outputs — qualitative and quantitative — in relation to the inputs(the cost of the intervention).

Note that the principles are to be understood in terms of:
   a) account taken of transversal issues (gender, disability, environment, etc.);
   b) accountability (complaint mechanisms, external project evaluations, user satisfaction surveys, etc.).

Source: ALNAP (2001) Humanitarian Action: Learning from Evaluation

It is often the case that the roles and responsibilities of institutions are unclear, or that the institutions' staff lack sufficient training or numbers. Furthermore, non-institutional WASH actors do not tend to act together. The sector is often fragmented at the national level as well as between the various tiers of government. There are few if any mechanisms to hold resource managers to account. Local institutions have limited personnel and financial capacities, insufficient to enable universal access to water and sanitation services. And in most instances, end users are barely consulted and wholly uninvolved in decisions that impact them directly.

These various problems have been encountered by NGOs in the field time and time again, and they have a real impact on the long-term durability of any project.

Understanding the environment an NGO works in is absolutely critical to optimal preparation and implementation of any WASH programme. A governance analysis, preferably conducted at the start of the project, offers:

▸ **analysis of interests**, coordination and the influence that stakeholders may have over the programme (and that the programme may have over them);

▸ **understanding of the existing institutional and regulatory framework** in the country and region where the programme will run, helping to ensure the coherence of the project;

▸ **assessment of actors' capacity**, including institutional actors, in financial and personnel terms in order to assess the project's socio-economic feasibility;

▸ **an overview of any existing community and locally-based resource management**, and what local communities can do to ensure the durability of any actions set in place.

The project leader will find it easier to work in an environment that is known, and will be able to anticipate problematic interactions with certain actors, etc.

Picture 1 - Consultation meeting / SWOT Analysis

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Involved in Water • Involved in Hygiene • Involved in Sanitation

Reporting line
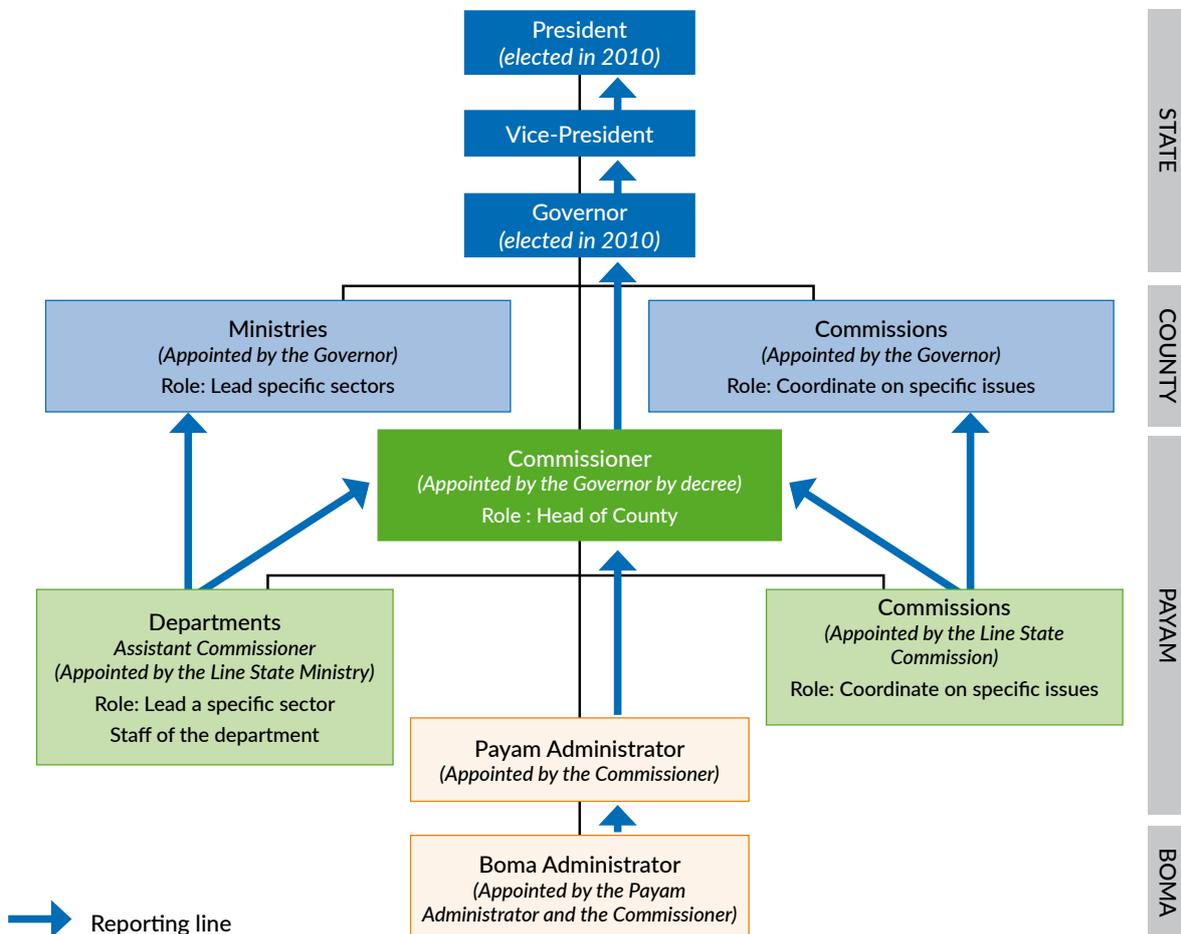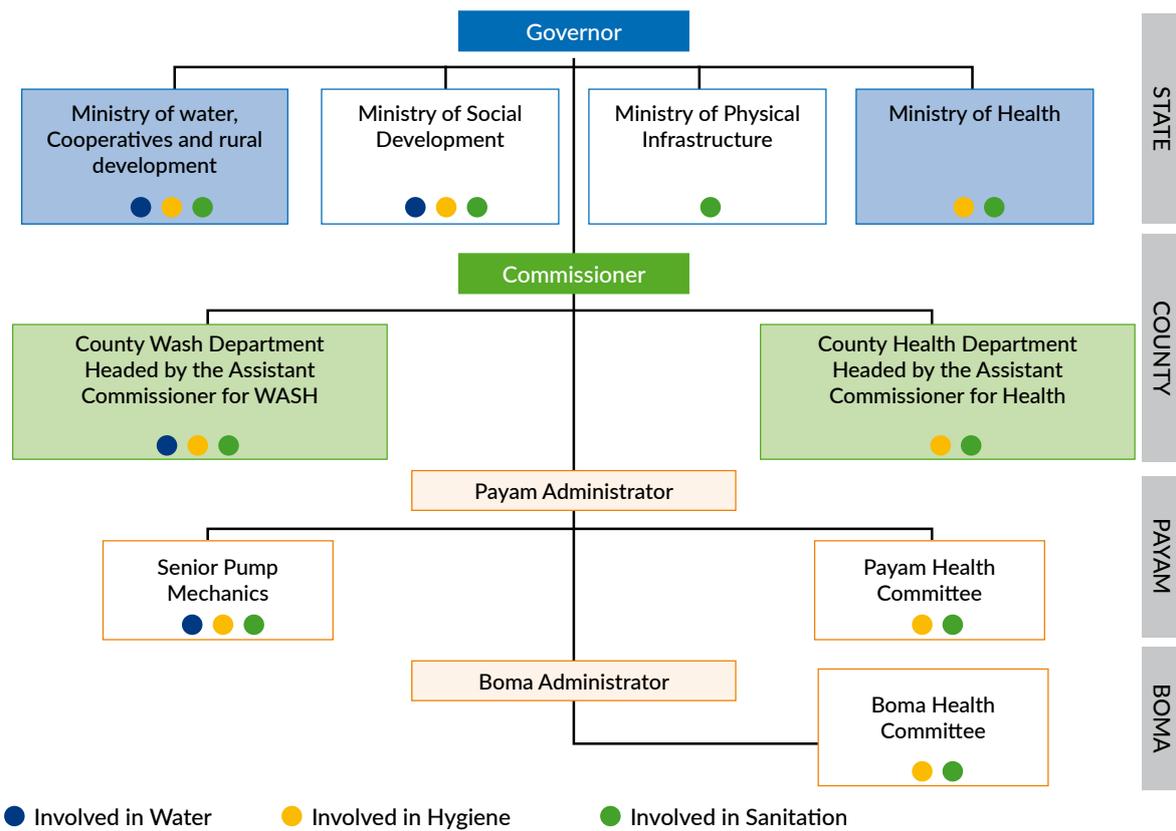
2. LEARNING AND MONITORING

Although the principles of water and sanitation governance may not seem very familiar to WASH practitioners, they are in fact similar to other principles they already employ (DAC principles, Sustainable Development Goals, etc.). This means that incorporating a governance approach in a WASH project will provide tools for use in constructing and monitoring projects, and not represent a new approach in its own right.

The OECD's DAC principles (see Table 1, opposite) are intended to structure and assess humanitarian actions and development aid on the basis of seven fundamentals: Impact, Sustainability, Coherence, Coverage, Relevance, Effectiveness and Efficiency (see Box 5). Account must also be taken of transversal approaches that include gender, the environment, disability, etc., as well as the effective enactment of the accountability principle via complaint mechanisms, external assessments, and so on.

Prior to drafting a project, these principles can be thought of as exercises in structuring and framing, serving as a management framework during the project and after the project as a framework for assessing the project's effects and impacts.

3. LASTING IMPACT

Working to strengthen governance of water and sanitation within a programme makes it possible to focus on the political and institutional aspects of access to water, for example by:

▶ strengthening the capacity of institutions and individuals in charge of delivering the services, and their financial and management capacities so that they can then manage and maintain their NGO-built infrastructures and build new ones themselves;

▶ empowering communities so they can then hold accountable to the people and institutions missioned with providing them with access to water and sanitation, beyond the NGO programme;

▶ lobbying to improve or create the laws needed for durable access to water and sanitation, demanding: that the needs of the most vulnerable are taken into account in government programmes and price policies, citizen participation in institutional plans, institutional transparency, greater coordination between actors, levels, etc.

These activities enable the NGO to increase a programme's durability and effectiveness, making certain that institutions and beneficiaries are able to continue to use, and to take further, what has been set in place. This makes it easier for NGOs to implement their exit strategy, often a difficult task.

Picture 2 - Home Washing Area

© Alix Lerebours, Cotabato, Philippines, 2013

BOX 7: EXAMPLE RESULTS OF A GOVERNANCE PROGRAMME IN THE PHILIPPINES

The mission in the Philippines implemented a governance programme that included actor capacity-building, raising awareness on the problems faced by the most vulnerable, lobbying, and strengthening participation by villagers. Table 1 shows differences between two villages covered by the programme and two others that weren't part of it (in North Cotabato province), following a survey of local households and a quintile analysis to examine the situation of the poorest members of the community.

Inclusion of the governance approach in the region covered by the project made it possible to improve the situation of the poorest as well as that of the population as a whole.

GOVERNANCE OF WATER AND SANITATION
Manual

TABLE 1: COMPARISON OF ACCESS TO WATER IN 4 VILLAGES IN THE PHILIPPINES

	PROJECT REGION	REGION NOT IMPACTED BY THE PROJECT
	Ma. Caridad and	**Kiyaab et Luhong**
SUFFICIENT ACCESS (volume of water used)	No (18l/day for the 1st quintile)	No (12l/day for the 1st quintile)
ACCEPTABLE	Yes (100%)	Yes (over 95%)
ACCESSIBLE (Journey time, both ways, to fetch water)	Yes (0% take greater than 30 mins)	Yes, with exceptions (7% take greater than 30 mins)
AFFORDABLE (Portion of income spent on potable water)	No for the poorest (12% of income for the 1st quintile) Yes for the other 4 quintiles	No for the poorest (14% of income for the 1st quintile and 5% for the 2nd) Yes for the other 3 quintiles
PARTICIPATION (Ability to participate)	Good (88.8%) Very good for the poorest (100%)	Limited (61.9%), especially for the poorest (60%)
ACCESS TO INFORMATION (Transparency)	Limited (62.5%)	Limited (57%)
ACCOUNTABILITY (Ability to complain)	Limited (67.9%)	Limited (62.7%)
NON-DISCRIMINATION	Access for the poorest is good, except the price is too high	Access for the poorest is limited

Source: ACF (2013), Study of Governance of Water in the Philippines

The implementation difficulties and primary barriers were analysed beforehand. The most frequently encountered are listed in the table below:

TABLE 2: DIFFICULTIES AND BARRIERS TO IMPLEMENTING A SUITABLE WATER MANAGEMENT SYSTEM

STATE FAILURES	Where the service belongs to and is operated or regulated by state or local authorities, irregularities may occur in the following situations: 1. income-seeking (on the part of elected representatives); 2. non-internalised externalities; 3. conflicts of interest (where supplier and regulator are related); 4. corruption.
MARKET FAILURES	Where networks are in the hands of private businesses, irregularities may occur in the following situations: 1. imperfect competition; 2. asymmetrical information; 3. non-internalised externalities; 4. public welfare (heath co-benefits, etc.).
GOVERNANCE FAILURE	The water management decision-making process cannot successfully address the needs of poorer households because of: 1. absence of rights to basic services; 2. privatisation of political rights ('no voice', etc.); 3. governance culture (focus on élites, top-down, etc.); 4. lack of economic incentives to connect poorer households. Households may be faced with institutions, incentives or other factors that reduce their ability to connect to the supply, such as: 1. type of ownership; 2. lack of skills to interact productively with the supplier; 3. traditional belief system; 4. pricing structure.

Source: taken from de Bakker 2008, p.1895

4. A TOOL FOR EMERGENCY SITUATIONS

4.1. EMERGENCY RESPONSE

Emergencies are critical events for humanitarian NGOs. Since international water laws apply to emergency situations via International Humanitarian Law,* a governance system is required to ensure that it is applied as well as possible. The governance components described by the OECD Principles should, and must, apply. The diagram below identifies the key points to be considered in an emergency context.

FIGURE 5: THE MOST IMPORTANT OECD PRINCIPLES IN AN EMERGENCY
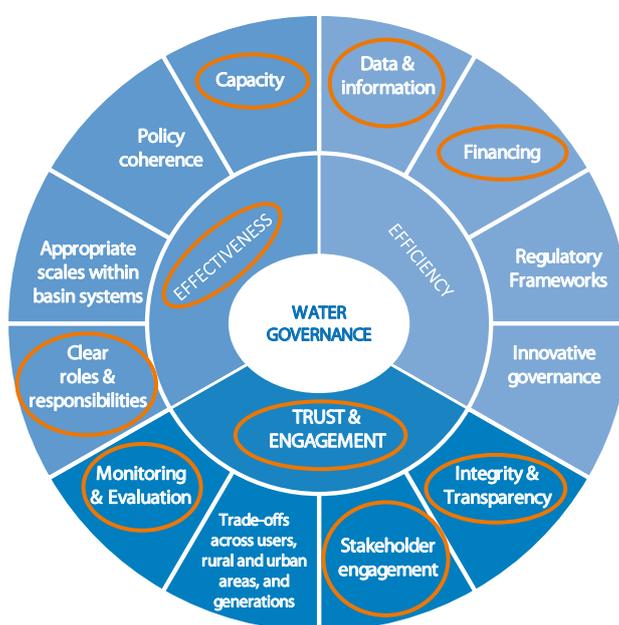
Source: OECD (2015) Principles on Water Governance, Paris

This ensures that the governance principles apply even in emergencies, in particular for:

❶ **capacity-building:** in emergencies, stakeholders must adapt to the changed context. Local and national institutions are not always trained to handle emergency responses, and NGOs need to help them strengthen their capacities and accompany their actions;

❷ **existence of useful and up-to-date information:** It is vital to have information about the local people, infrastructure, etc., when preparing and implementing a programme. This is even more critical in emergency situations as the context may be volatile. This information must be updated in real-time;

❸ **integrity and transparency:** whatever the context, NGOs must always work and behave with transparency and integrity. In emergencies, not even the need for speed and regular changes to interventions can be allowed to compromise these values;

❹ **stakeholder engagement:** in an emergency situation, NGOs consult with national and local authorities and local communities in order to identify the most appropriate and coherent response. The various stakeholders in the sector may have different reactions to the crisis. This is why it is a good idea to consult and include them, thereby avoiding overlaps or opposition as well as making best use of their skill sets. Coordination between NGOs and donors also helps to ensure a more efficient response;

* International Human Rights include the Geneva and Hague conventions, customary international law and jurisprudence.

⑤ monitoring and evaluation: intervention monitoring is vital in order to constantly adapt the crisis response. Again, this strengthens the efficiency and coherence of the NGOs' actions. End of programme assessments are used to identify the lessons learned and better plan for future programmes and emergency interventions in other regions;

⑥ roles and responsibilities: this aspect ensures that actors respond in a manner that is effective (rapid and coordinated). This dimension is central to preparations for management of disaster risks;

⑦ financing.

BOX 8: DIFFERENT TYPES OF EMERGENCIES

▸ **Natural disasters**
- Geophysical (earthquakes, tsunamis and volcanic eruptions)
- Hydrological and meteorological (flood, storms, cyclones, hurricanes, typhoons)
- Climatological (drought, extreme temperatures, forest fires)
- Biological (epidemics, infestations)

▸ **Disasters caused by humans** (armed conflicts, industrial accidents, environmental damage)

▸ **Complex emergencies** driven by a combination of human and natural factors (food insecurity, displaced people, violence)[33]

Similarly, a distinction can be made between:
- **acute crises** (where there is an abrupt breakdown of the existing arrangements; e.g.: tsunami);
- **chronic crises** (where the crisis lasts sometimes for several years at varying levels of intensity e.g.: Darfur);
- **slowly developing crises** (where the crisis gradually increases in intensity; e.g.: drought or famine in the Sahel).

4.2. POST-CRISIS

Once the crisis stage is over, it is time to begin the rehabilitation phase. This involves continuing the response while gradually introducing a development approach.

Strengthening governance at local and national levels will enable institutions and stakeholders to gradually refocus on addressing the needs of user communities. Furthermore, drawing on lessons learned during emergencies, they will be able to draft a contingency plan, or adapt an existing plan, in order to respond to the next crisis more efficiently. Stronger institutions will be better able to cope with future challenges. By rebuilding components of the institutional framework so they are better than before, stakeholders will be in a better position to anticipate future crises, the current crisis thus acting as a springboard for renewal and improvement.

In a rehabilitation situation, mid-way between emergency and development, NGOs are encouraged to set up programmes that contain a governance approach. The focus thus switches to strengthening local and national institutions' capacities to manage water and sanitation services on a day to day basis. The programme must, however, aim to provide a response to the ever greater needs and consequences of the emergency now ending.

To achieve this, links with local and national institutions have to be progressively reinforced, for they are the prime actors in rehabilitation. They have to (re)gain control of daily service management, sometimes at the same time as rebuilding themselves. In this context, a governance approach will set out to strengthen their capacities, assist them to resume their activities and help them to gain a better understanding of their locality or country and its infrastructures.

It may be that communities were displaced during the crisis, infrastructure destroyed, inter-actor links strained, etc. A governance approach may help to (re)create links between communities and other stakeholders, provide reliable data, set up/restore water point committees, advocate and support management of services in a way that is participative and transparent, etc.

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33 - Humanitarian Coalition, What Is a Humanitarian Emergency? http://humanitariancoalition.ca/info-portal/factsheets/what-is-a-humanitarian-emergency, consulted on 05/09/2015

Finally, the end of the crisis is also the right time to plan for the next one. To reinforce actors' capacities, participate in drafting and implementing a contingency plan, looking back at lessons learned during the emergency, etc., are all ways of becoming better prepared for the next emergencies. And this in turn leads to responses that are more efficient and coherent.

So, a governance-led approach during a rehabilitation phase provides the tools needed to resume normal working, as well as to prepare for potential future crises. It also makes it possible to restore relationships and capacities that may have been destroyed during the crisis. It provides an opportunity for rebuilding frameworks and inter-actor relationships on surer foundations, turning a crisis into an opportunity to improve the water and sanitation sector.

BOX 9: NEW TIES BETWEEN ACTORS AFTER THE EARTHQUAKE IN HAITI

In Haiti, and Port-au-Prince in particular, access to water is provided in part by the public network, and in part by private water companies: private bore holes and water tankers. These two types of private operator have little in common and although potentially in a position to regulate, Dinepa, the sector regulator established shortly before the earthquake, focused the main thrust of its efforts on regulating public water companies. But after the earthquake and as a result of worries about how to bring the damaged public network back into operation, an unprecedented collaboration between public and private water companies emerged. In the days immediately following the earthquake hardly any communications systems survived, and only a handful of radio stations remained on-air.

Even as Dinepa was trying to get emergency aid into place, its staff heard via the only radio stations still broadcasting that the private water companies had called a meeting to come up with a response to the emergency. The chosen venue was the national brewery, and every private operator willing to help out was invited to attend. Dinepa staff who had heard the appeal turned up too, and it was agreed that representatives from the private companies would attend the first WASH cluster meetings, which were coordinated by Dinepa.

The private water companies worked together on the post-earthquake response for the next 2 years, mainly by supporting bladder deliveries by (private) truck to the many camps spread around the city. ACF then took over coordination of this vast water trucking programme for over two years, working closely with Dinepa and the private sector. The disaster had the unexpected consequence of bringing together public and private water suppliers within the greater Port-au-Prince region.

The emergency situation contributed to strengthening governance in the sector at a time when actors' Individual interests were secondary considerations

Source: OXFAM GB

BOX 10: EMERGENCY - REHABILITATION - DEVELOPMENT: 'CONTINUUM' VERSUS 'CONTIGUUM'

Linking relief, rehabilitation and development continues to be a major methodological and operational problem. The nature of humanitarian and development programmes is different. They have different mandates, know-how and objectives and many aspects of the methods and tools that are used are different (relations with partners, the role of national authorities, etc.).

For a long time, the idea of the continuum was predominant: emergency aid was mobilised to bring relief to the affected population and then reconstruction and rehabilitation activities were implemented until it was possible to restart development programmes. In reality, however, it is very rare for crises to develop in a linear manner. The growing complexity of crises has made the old dichotomy between emergency relief and development obsolete. This has led to the emergence of the relief/development contiguum theory which reflects more accurately the complexity of situations which involve both long- and short-term operations and uneven spatial dynamics.

This type of situation presents new challenges for international organisations, whether they are implementing agencies or donors. It is therefore necessary to establish appropriate coordination and consultation mechanisms and find ways for the different actors involved to work together better.

Source: URD group, 2015[34]

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34 - http://www.urd.org/Linking-relief-rehabilitation-and?lang=en

4.3. PREPARATION AND COORDINATION

Improving governance of water and sanitation is not an immediate priority when facing an emergency situation, where the focus is on providing aid to affected people as quickly as possible. However, proper coordination of emergency response actors (state, NGO, private) is essential to an effective response. Improving local authorities' capacities and training in matters related to water, sanitation and hygiene can help to ensure better preparedness for a future emergency.

Most emergency actors include a sustainability element as part of their response. For example, the French Red Cross states in its declaration of principle that its strategic aims include 'providing emergency aid beyond [French] borders. But acting for the long-term'[35]. This involves not simply using short-term solutions to meet immediate needs, but planning for the next phase from the start of the emergency response, repairing or rebuilding the physical infrastructures or organisational solutions that meet people's real long-term needs as rapidly as possible. Governance must be thought of as a discrete component of disaster risk management.

And although it is harder to consider governance against a background of armed conflict, this does not apply in other types of emergency. The fact is that strengthening institutional capacities and the tools designed to predict natural disasters can help to avoid or at least limit the impact of future emergencies and disasters. Similarly, strengthening health institutions and local capacities is a very important element in the management of epidemics. The 2013-15 Ebola epidemic is a good example of this. Integration of a governance approach (understanding the system, strengthening actions and coordination within the sector as a whole) is part of the process of preparing for, and mitigating, risks as well as improving resilience.

BOX 11: COLLABORATION BETWEEN STAKEHOLDERS IN HAITI DURING THE CHOLERA OUTBREAK

During the early days of the cholera epidemic, which broke out in the Artibonite district, many actors were extremely concerned about the risk of propagation to the wider metropolitan region. Bearing in mind the way that the capital's citizens procure their drinking water, which an average of three in four people acquire from private kiosks selling water treated by reverse-osmosis, Dinepa undertook a vast programme to identify these water sellers, working with over 1 000 of them who, at the same time as selling water, also delivered chlorine tablets and health messages from Dinepa. The emergency provided an opportunity for the recently-established public regulator to forge links with a private sector that exercised a large degree of dominance in the supply of drinking water. Although DINEPA is not formally responsible for regulating these water sellers (who are the responsibility of either the trade ministry or the health ministry), this first collaboration highlighted the need to increase the state's oversight of private sellers of treated water.

Similarly, the cholera emergency and the need to ensure water quality naturally led to the question of regulation and control of the quality of water provided from the private boreholes that produced the water destined for distribution via tanker lorry. For most residents of Port-au-Prince, including those living in low-income areas, prefer to drink water treated by reverse osmosis, a significant minority also drink water from private boreholes. Since 2014, an Oxfam project run in partnership with DINEPA has made real progress in inspecting these private boreholes and the quality of the water they provide. Chlorine dosing pumps have been installed at boreholes, and DINEPA supervisors carry out regular testing.

Source: OXFAM GB

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35 - French Red Cross (2009), Emergency response, rehabilitation, reinstallation, International Action Guidelines, no.8, Paris

5. AN INNOVATIVE APPROACH TO DEVELOPMENT

NGOs have seen their programmes evolve over the past decade, and this applies equally to WASH programmes. The humanitarian sector has switched from looking at results and activities to focusing on impacts and effects. The citizen/beneficiary paradigm was seriously challenged by the 2010 recognition of the right to water and sanitation.

Faced with the sector's enormous needs in terms of access to water and sanitation, NGOs tend increasingly to implement blanket programmes, strongly supported by institutions, which thus see their role as duty bearer recognised and bolstered. Project sustainability has also emerged as an indicator of success and this is something that donors are more concerned with nowadays, thanks to recognition of the links between emergency, rehabilitation and development and of the approach rooted in increasing local people's resilience. The need to work as a coalition or consortium, champion the coherency of a project, strengthen inter-actor coordination, work on building public-private-civil society partnerships, etc., are all innovative factors for NGOs.

The urban context, with its many water- and sanitation-related health risks, has also become a new and significant factor for NGOs. A city-specific context is marked by a far greater number of actors, the presence of institutions, a systematic legal framework of land registers and water pricing, and an inescapable partnership with the private sector. To be able to operate in such a context, it is vital to undertake an in-depth study of the actors involved, their intentions (covert or not) and their interactions (see Chapter III). Without this, an NGO risks upsetting the existing balance and failing to respect one of the fundamental principles of humanitarian action: do no harm[36].

Often obsolete and poorly maintained, infrastructure requires investment, often very significant and not necessarily within the powers of an NGO[37]. Urban areas have existing small and large water operators. Certain activities are necessary in such situations: reinforcing capacities of operators and managers, raising awareness of the issue with politicians and institutions, working to achieve acceptable pricing, promoting good practices, explaining their rights to residents, etc. As ACF often likes to point out, 'NGOs are soluble in an urban context'* (*Dr. Jean Lapègue), meaning that their role is to create ties between operators, authorities and citizens, then to dissolve in favour of managers appointed and accepted by all[38].

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36 - *Action contre la Faim (2013), Humanitarian Principles in Conflict, Paris*

37 - *NGOs are led to extend their networks on a small scale and provide service to slums or semi-urban areas.*

38 - *An effective strategy for withdrawing from the urban context could be to check that governance actions are properly implemented so that no actors are excluded in the medium term.*

▶ **Governance provides good understanding of:**
- legislative and regulatory framework;
- actors, their interests and powers;
- existing management methods.

▶ **Governance strengthens a project's coherency:**
a better understanding of the system where you are operating makes it easier to adapt to suit the context.

▶ **Governance is an entry point into life in cities:**
the number of actors in urban settings demands a power analysis, working in partnership to reinforce stakeholders already in place. Working with urban operators requires an innovative approach.

▶ **Governance offers A strategy for exiting a PROJECT:**
reinforcement of local and national institutions and legal frameworks improves a project's sustainability and impact.

▶ **Governance in an emergency context:**
- reinforces the capacities of actors to avoid making the crisis worse (epidemics);
- improves coordination between actors to create a more effective and coherent response;
- responds efficiently with knowledge of the systems in place, respecting them as far as is possible;
- assures quality of the response (participation, transparency, monitoring and assessment, etc.);
- makes it possible to anticipate future emergencies.

▶ **Governance in a rehabilitation context:**
- reinforces or rebuilds capacities of national, local and community institutions that will serve the needs of tomorrow while meeting the needs of today;
- (re)builds links between communities (sometime displaced by the emergency) and institutions;
- switches to reconstruction as rapidly as possible, incorporating technical and institutional improvements;
- prepares for the next emergency by reinforcing synergies between actors and improving sectorial management.

3

KEY INTERLOCUTORS
IN A GOVERNANCE APPROACH

Jovana Dodos © ACF – Senegal, 2015

UNITED NATIONS & INTERGOVERNMENTAL ACTORS

DONORS, IMPLEMENTING ACTORS, NGOs

NATIONAL INSTITUTIONS & LOCAL AUTHORITIES

USERS, COMMUNITY-BASED ORGANISATIONS, LOBY GROUPS
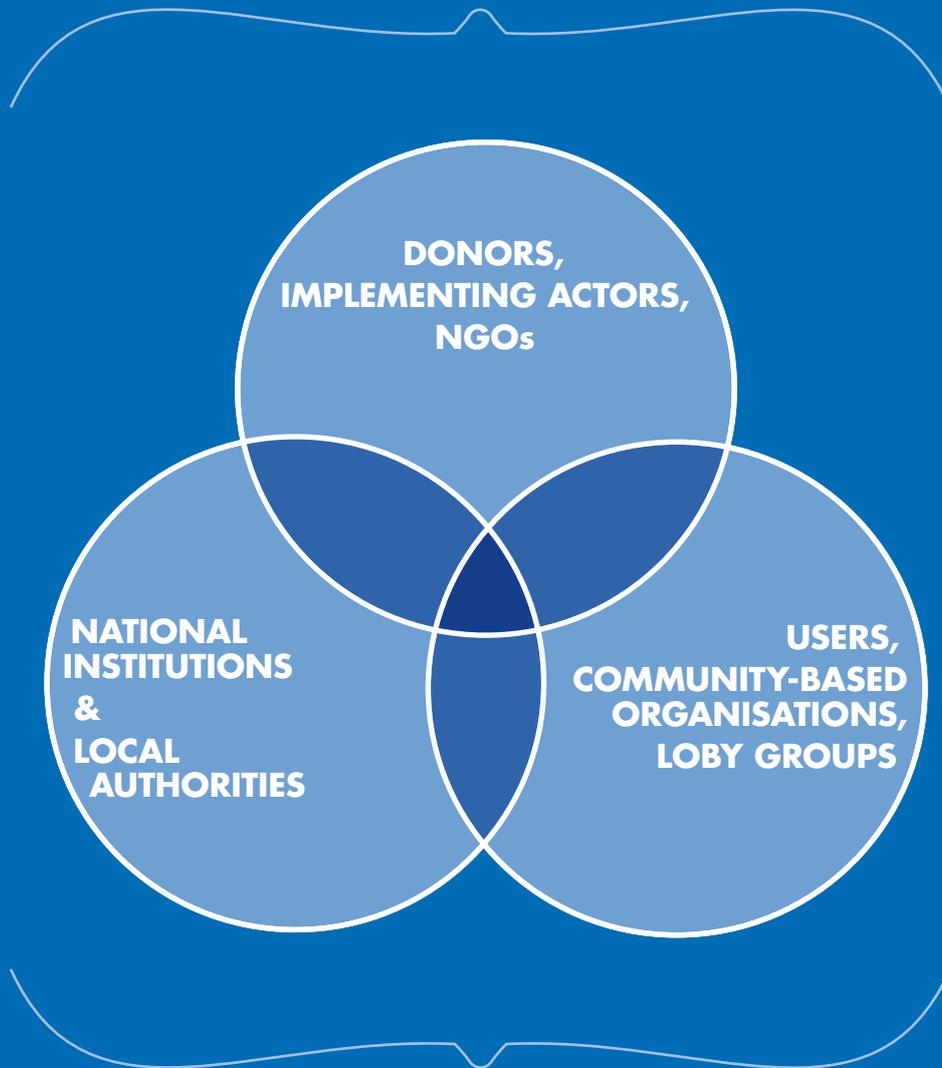
ACADEMIC & RESEARCH INSTITUTES

STAKEHOLDERS TO BE CONSIDERED DURING A WASH GOVERNANCE PROJECT

Source: Jean Lapègue, 2016

1. THE DIFFERENT LEVELS OF A PROGRAMME

Action contre la Faim, like many other NGOs, works in the water and sanitation sector at several different levels, not only the local level.

▶ **Global level**

On the international stage, an NGO lobbies via coordination platforms such as the Global WASH Cluster, Conseil Mondial de l'Eau, Coalition Eau[39] and the Butterfly Effect[40]. It participates in international initiatives to share and create knowledge, such as the Susana movement[41], and water governance initiatives run by the OECD and UNDP.

▶ **National level**

At the national level, an NGO lobbies and raises awareness, and participates in groups such as the national WASH cluster[42] and lobbying and coordination platforms.

▶ **Municipal level** (or equivalent)

Local institutions have greater or lesser power according to the country. NGOs systematically include them in their programmes. This involvement can be anything from providing information about its activities to training the institution's staff, as well as inviting them to join workshop sessions, KAP surveys, or help to define zones for intervention.

▶ **Community level** (or water point committee)

This level is one of the key targets of any WASH project run by an NGO. Most WASH programmes include the creation or rehabilitation of community infrastructures, the creation or strengthening of a water point committee (or equivalent), training for its members and the transfer of all infrastructures built to this committee. For sanitation and hygiene, workers and community volunteers are often trained and called on to assist.

▶ **User level** (client or beneficiary)

Durable access to water and sanitation for beneficiaries is the ultimate aim of all WASH programmes. Users must be involved in the upstream programme process, helping to define needs, choice of infrastructure location, election of water point committee, etc. It is users who will be paying for the service, emptying the latrines and implementing good practices in terms of operation and maintenance. They must therefore be provided with appropriate training and support. Additionally, it is users who will have to challenge the institution to ensure that it implements strategies concerning the right to water in an effective manner. This means that users need to be informed of and trained in their rights and helped with the formation of citizen committees, or assisted in bringing legal claims.

BOX 12: MODIFICATION OF INSTITUTIONAL ROLES IN KENYA FOLLOWING DECENTRALISATION

After a process of decentralisation in Kenya, the ACF mission analysed the new institutional roles in order to better understand how the sector would work in future, and to make it simpler to work with the new institutions. The national, regional and county roles changed considerably, and the mission needed to reposition itself as a result.

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39 - For further information, please visit the Coalition Eau website: http://www.coalition-eau.org/
40 - For further information, please visit the Butterfly Effect website: http://butterflyeffectwwf.blogspot.fr/
41 - For further information, please visit the Susana website: http://www.susana.org/fr
42 - For further information, please visit the WASH Cluster website: http://washcluster.net/

FIGURE 6: INSTITUTIONAL FRAMEWORK ACCORDING TO THE 2014 WATER BILL IN KENYA
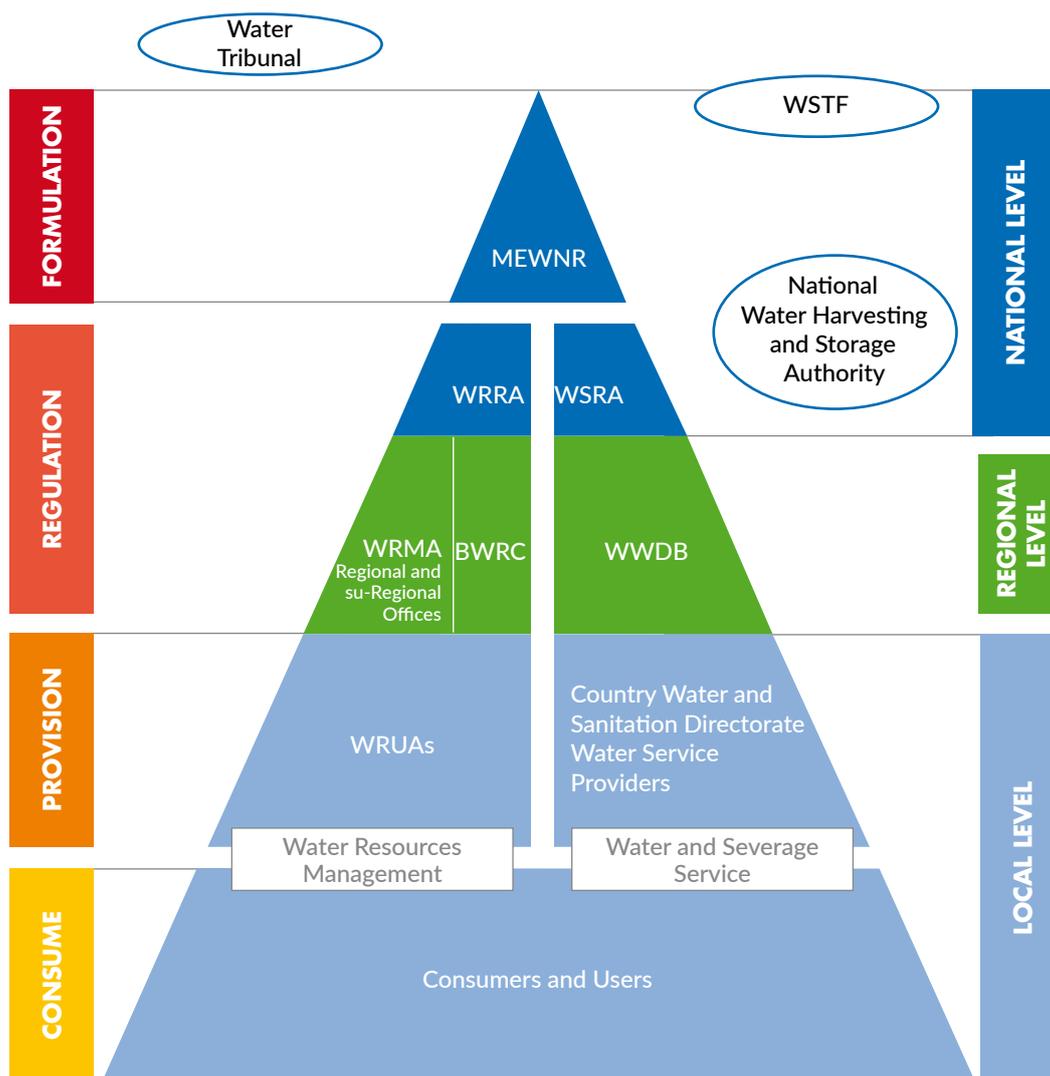
Source: ACF, WASH governance study, 2014

Not all these levels are systematically applicable. These are the main ones. Depending on the country or region, other levels sometimes need to be considered, such as continents, federal states, regions, counties, etc. The number of tiers depends on the way the country is managed and the degree of decentralisation. To be at its most effective, governance needs to find the functional space that equates to the NGO's operational volume and mandate (Varone et al. 2013). This means identifying the actors and institutional frameworks where an impact can be achieved is a priority. Although the levels described above refer to tiers of administrative organisation, it is important to remember that this administrative fragmentation can be hard to determine in the field, making it difficult to define the functional space for governance. In this context, a study on water and sanitation governance makes it possible to identify the relationships between the various levels involved more clearly. The principles for the implementation of a project must incorporate these levels. For example, it is important that the water point committee works in a transparent manner so that the community trusts it and contributes to its actions. Similarly, if the team from the local institution is insufficiently trained and informed, it will be hard for it to accomplish its work in a coherent and efficient manner. The table opposite lists the importance of the various OECD principles for each level. For even if all the principles apply to all levels, and are thought of in systemic terms, they will not all have the same importance to all actors. For an NGO, the essential is to look at the system as a whole at the same time as focusing activities on themes likely to generate impacts.

	PRINCIPLES	DEFINITIONS	GLOBAL	National	Municipal	Community	User
EFFICACITY	Clear roles and responsibilities	Clearly allocate and distinguish roles and responsibilities for water policymaking, policy implementation, operational management and regulation, and foster co-ordination across these responsible authorities.		Important	Important	Useful	Useful
	Appropriate scales within basin-based systems	Manage water at the appropriate scale(s) within integrated governance systems per basin (or other water-use territories) to reflect local conditions and foster co-ordination between the different scales.	Useful			Useful	
	Policy coherence	Encourage policy coherence through effective cross-sector co-ordination, especially between policies for water and the environment, health, energy, agriculture, industry, spatial planning and land use.	Useful	Important			
	Capacity	Adapt the level of capacity of responsible authorities to the complexity of water challenges facing them and to the skills set required to carry out their duties.		Useful	Important	Important	Important
EFFICIENCE	Information and data	Produce, update, and share timely, consistent, comparable and policy-relevant water and water-related data and information and use it to guide, assess and improve water policy.	Useful	Important	Important	Important	Important
	Funding	Ensure that governance arrangements help mobilise water funding and allocate financial resources in an efficient, transparent and timely manner.		Important	Important	Important	Useful
	Regulatory frameworks	Ensure that sound water management regulatory frameworks are effectively implemented and enforced in pursuit of the public interest.		Important	Important	Important	
	Innovative governance	Promote the adoption and implementation of innovative water governance practices across responsible authorities, levels of government and relevant stakeholders.	Useful	Useful	Useful	Useful	Useful
TRUST AND ENGAGEMENT	Integrity and transparency	Mainstream integrity and transparency practices across water policies, water institutions and water governance frameworks for greater accountability and trust in decision-making.	Useful	Important	Important	Important	Important
	Stakeholder engagement	Promote the engagement of stakeholders so they can make informed and outcome-oriented contributions to water policy design and implementation.	Important	Important	Important	Important	Important
	Trade-offs between users, rural and urban areas and generations	Encourage water governance frameworks that help manage trade-offs between water users, rural and urban areas, and generations.		Important	Important	Important	Important
	Monitoring and assessment	Promote regular monitoring and evaluation of water policy and governance where appropriate, share the results with the public and make adjustments when needed.	Useful	Important	Important	Important	Useful

■ Principles useful to ACF at this scale   ■ Principles important to ACF at this scale

Source: adapted from the OECD Principles on Water Governance, 2015

2. GOVERNANCE COMPONENTS AT DIFFERENT LEVELS

At the global level, the governance component of a WASH programme is mainly concentrated on advocacy-related activities and an institutional and regulatory approach that aims to ensure:

▶ the place of water sector governance in major global initiatives (such as the SDGs);

▶ the definition of general governance criteria, applicable at all levels, such as the OECD Principles on Water Governance;

▶ the place and interactions of the WASH sector within global coordination systems, particularly in emergency situations;

▶ the place of the WASH sector within ODA as a whole[43] and within overall humanitarian provision (HAF).

At the national level, the governance component of a WASH programme is mainly concentrated on advocacy-related activities and an institutional and regulatory approach that aims to ensure:

▶ the transparency of actors in the sector;

▶ advocacy seeking to obtain effective WASH sector funding in relation to other priorities (health, roads, education, etc.);

▶ stakeholder engagement and sector coordination;

▶ the creation or implementation of a transparent regulatory and institutional framework, efficient and properly coordinated, that includes notions of vulnerability (provides access to services for the most needy) and a normative dimension (parameters for water quality, water price, etc.);

▶ implementation of water and sanitation outreach policies resulting from this framework.

At the municipal level, a governance approach will usually seek to promote the following aspects:

▶ capacity building for municipal employees and WASH sector volunteers, for example by delivering technical support and training;

▶ engagement of communities and other WASH actors through advocacy and institutional reinforcement;

▶ creation or reinforcement of a ring-fenced budget and transparent management;

▶ transparency and clarity in decision-making processes, particularly in terms of the attribution of municipal projects and the choice of priority zones;

▶ reinforcing coordination between actors in the sector;

▶ depending on the region, strengthening the private sector can help to improve access to water and sanitation.

At the water point committee level, the governance approach will focus on:

▶ 'institutional' reinforcement of the committee, notably by ensuring it has clear statutes, accountability mechanisms, training and refreshers for committee members;

▶ consolidation of relationships between the committee and the community, with the aim of greater stakeholder engagement and thus greater coherency of committee actions, but also seeking to establish trust between the community and the committee, key to a sustainable programme;

▶ implementation of a price policy acceptable to all, that takes into account the vulnerability of certain community members;

▶ reinforcement of ties between the water point committee and local or municipal institutions, and with the private sector where relevant, so that they know where to turn to in the event of a problem and have sufficient self-confidence to do so.

At the client/beneficiary level, a governance dimension might focus on:

▶ awareness of citizens' rights, particularly the right to water and sanitation where this is acknowledged by the state;

▶ access to information, whether from institutions, the water point committee or NGOs;

▶ capacity-building so that everyone understands the value of joining in decision-making, who is responsible for what, what to do if there's a problem, etc.

▶ backing for the formation of committees and legal support[44] to challenge institutions regarding the implementation of WASH strategies to drive forward progress of the right to water.

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43 - The sector represented just 6.5% of total ODA in 2012, and only 4.5% of overall humanitarian provision for disaster relief.

44 - Bearing in mind also the specific nature of humanitarian projects and the potential risks to the mission in some countries or contexts.

In Pakistan, in the Ali Wah region, large farmers upstream use a lot of water as well as creating turbidity problems. People living downstream didn't know what to do and, as a consequence, they lacked water. They also had very limited knowledge and resources for eliminating silt from the water. The authorities responsible for irrigation cared little for smallholders living downstream. The smallholders were illiterate and did not know how to plead their case to the authorities or to demand that the canals be maintained.

The Indus Consortium worked with local water associations to build the capacities of local water users – particularly downstream smallholders. A major component of the support provided was designed to improve communities' knowledge of their rights and their capacities to demand enforcement of these rights via use of the media and communicating effectively with the public irrigation authorities. They also learned how to clean, maintain and manage the canals.

Communities now know their rights and how to demand that they are enforced. As a result they have persuaded water authorities to provide machines for desalinating local canals and restoring adequate downstream water flows, and they have won a fairer distribution of water between all users. Water users themselves monitor this process. Some of the smallholders appeared in the media and helped develop an informative theatre play to convey the urgency of the situation to decision-makers. The Indus Consortium made sure community women also participated in meetings, training sessions and delegations.

Source: OXFAM Novib, 2015

3. ACTOR MAPPING AND POWER ANALYSIS

The WASH sector includes a great many actors that NGOs have to interact with in the field.
The actors traditionally encountered during a WASH programme are:

TABLE 4: NON-EXHAUSTIVE LIST OF ACTORS ENCOUNTERED DURING WASH PROGRAMMES

PUBLIC SECTOR	PRIVATE SECTOR	CIVIL SOCIETY	EXTERNAL
Ministries (water, health, environment, agriculture, etc.)	Public service enterprises (water companies)	Community members	Bilateral donors
Water companies	Water sellers	Water users	Multilateral donors
National and transnational water agencies	Companies and businesses	Water point committees	International multilateral organisations (UN, World Bank, OECD, etc.)
National regulatory body	Trade associations or unions (drillers, manufacturers, etc.)	Consumer associations	International NGOs
Drainage basin organisations	Professionals (water salespeople, latrine emptiers)	Media	Coordination groups (clusters)
National statistical institute	Financial institutions and banks	Religious groups	
Observatories		Research institutes and think-tanks	
Parliament		Universities	
Courts		Social movements and influencers	
Local authorities and institutions		Trade unions	
Commission (anti-corruption, human rights, etc.)		National NGOs	
Political parties		Community organisations	
Politicians		Traditional authorities	

Source: adapted from ODI Research and Policy in Development, Stakeholder Analysis

This multiplicity of actors means that it is important to map all those operating in the sector, their roles and responsibilities, and the legal frameworks applicable to the sector prior to commencing any programme. This makes it possible to know which are the important actors to work with, to be watchful of, etc. The team will then be better able to target its interlocutors as well as to avoid unsuitable contact and improve coherency, efficiency and durability. Mapping actors and analysing power and information transfers can help to identify unofficial yet influential stakeholders, as certain potential allies and adversaries of a programme, and map relationships between actors and networks of influence, thereby determining which stakeholders to target for advocacy purposes. Rational and creative choices of allies and targets is an essential element if advocacy in favour of good governance is to be as successful and durable as possible. The first stage in mapping actors and analysing power is to draw up a list of stakeholders in the sector, identifying their roles and responsibilities. The very fact of creating a list of all those with formal or informal influence over the question encourages a fresh and more inclusive view of the matter. Mapping stakeholders is also a good way of identifying the main decision-makers and actors involved directly in the decision or capable of exercising real influence. The aim is thus to classify the stakeholders identified as targets, allies, opponents, or beneficiaries from change[45].
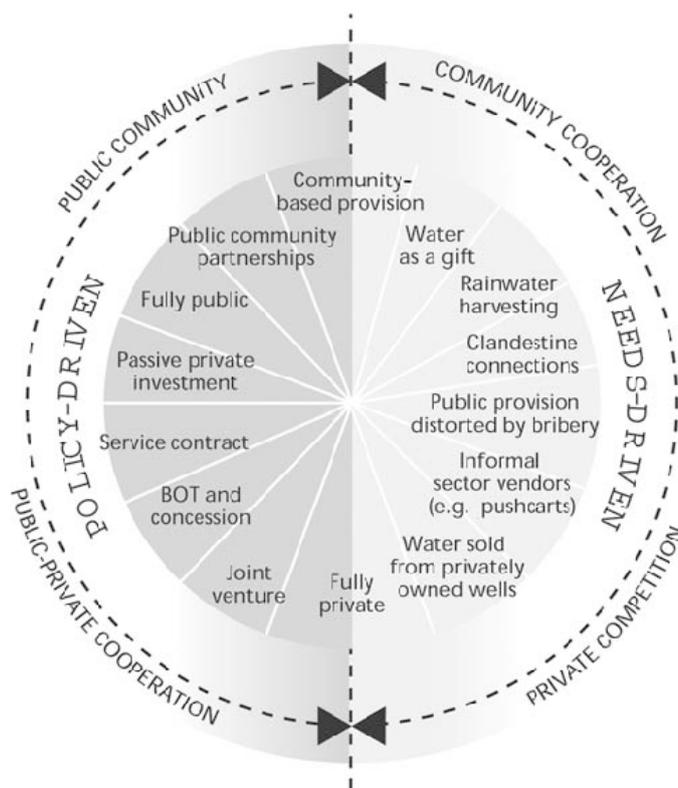
Source: Allen and Davila (2004)

TABLE 5: CLASSIFICATION OF STAKEHOLDERS

TARGETS	Decision-makers, people and groups with the power to act in relation to the question of concern to you.
COMPONENT PARTS	People who you work with who should benefit from change.
ALLIES	People and organisations who share your point of view and/or objectives.
OPPONENTS	People and organisations who do not share your point of view and/or are opposed to your objectives.

Source: WaterAid and FAN

This makes it possible to identify potential partners for the project, as well as targets for advocacy efforts or institutional reinforcement activities. There are several tools available for making this analysis, for example the one presented on Table 6, p.46.

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45 - WaterAid and FAN, *Power analysis tools for WASH governance*

FIGURE 8: AN EXAMPLE MAPPING INFLUENCE AND POWER: LIQUID SANITATION IN BALBALA, DJIBOUTI
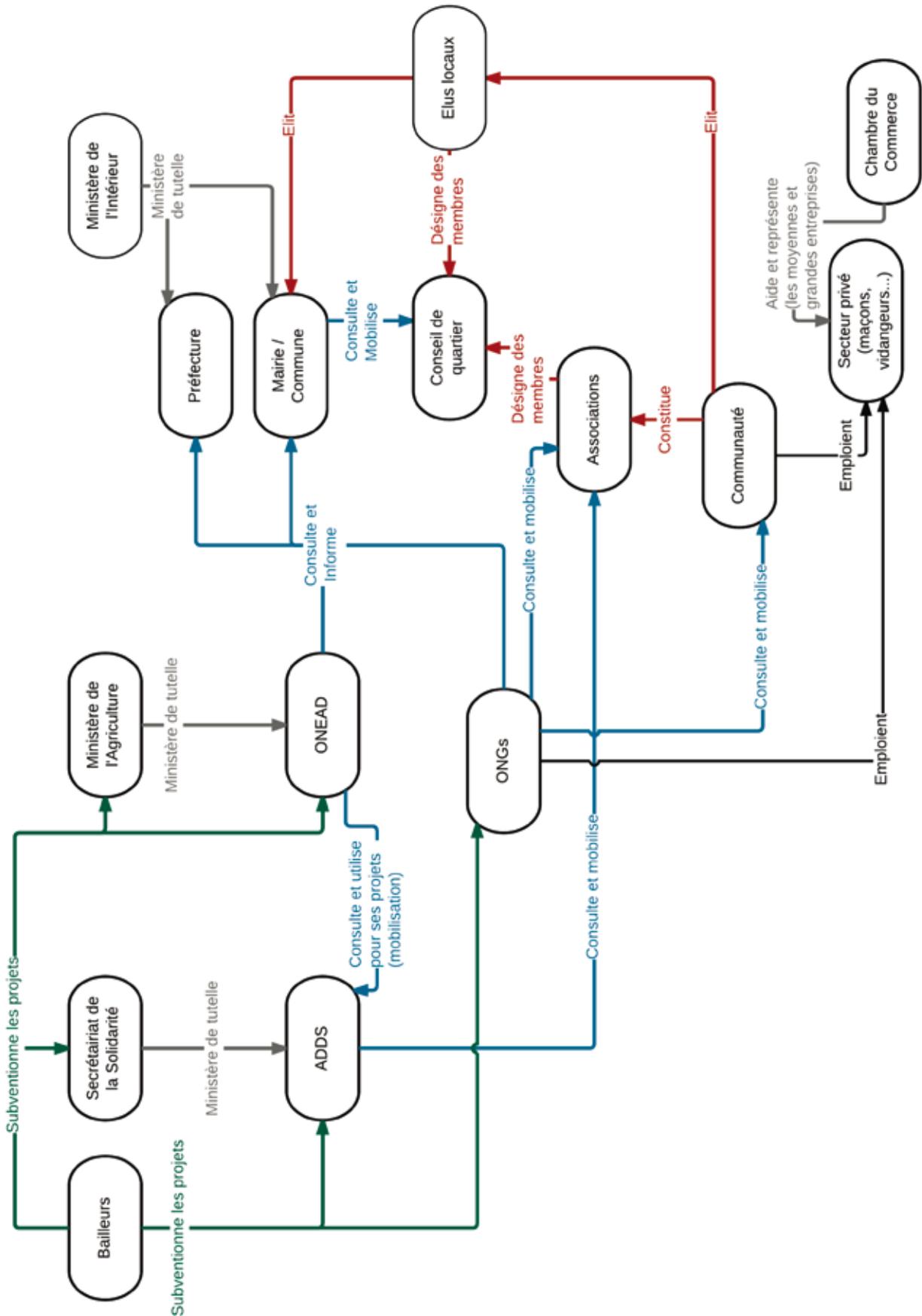
Source: ACF, Sanitation governance study, Djibouti, 2015

TABLE 6: EXAMPLE OF A TOOL USED TO STUDY THE INTERPLAY BETWEEN ACTORS IN A CAPACITY-BUILDING SETTING

ACTOR	CHALLENGES OF THE SITUATION		LEVERS OF INFLUENCE		STRATEGY
	Possible gains	Possible losses	For the project	Against the project	
SMALL WATER COMPANY	▶ More clients and greater efficiency	▶ Risk of being viewed as a poor copy of an NGO or major water company ▶ Lower prices to make water affordable to all	▶ Strong community ties ▶ Good knowledge of the context	▶ Capacity to mobilise people against the project ▶ Capacity to mobilise other operators against the project	▶ Cooperation and incorporation of possible additional advantages
WATER POINT COMMITTEE	▶ Greater trust between community and committee	▶ More external oversight over use of funds ▶ Loss of credibility in the community	▶ Strong community ties ▶ Knowledge of the most vulnerable	▶ Capacity to mobilise people against the project ▶ Capacity to mobilise community leaders against the project	▶ Cooperation, but very wary

Source: Gilles Herreros

4. SHIT FLOW DIAGRAMS

Shit flow diagrams (SFD) are useful tools for analysing the various problems and actors at every stage of the sanitation cycle. A consortium of organisations working with SuSanA (the Sustainable Sanitation Alliance) developed this tool as a way to show clearly and simply how excreta are transported via a variety of means from the defecation location to their ultimate destination. This enables the entire chain to be summarised and analysed. The diagram indicates which are the stages that work less well, when and how excreta are processed or released directly into the environment, and the roles of each actor in the sector at every stage of the chain[46].

© Alix Lerebours, Aweil, Soudan du Sud, 2015

Picture 3 - Unprotected Community water point

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46 - WSP (2014), *The missing link in sanitation service delivery. A review of faecal sludge management in 12 Cities*

FIGURE 9: AN EXAMPLE SHIT FLOW DIAGRAM

| Storage | Emptying | Transport | Treatment | Final outflow |

From WC to drain

25% of the population
Used water fed into sewer network

15% of water
Waste water arrives at treatment plant and is treated

10% of water
Network leakage

On-site installation

32% of the population
Safe storage

12% of the population
Safe emptying

12% of the population
Safe transport and legal disposal

20% of the population
Unsafe emptying

40% of the population
Unsafe storage (overflow, unattended) or temporary latrines

Open air defecation

3% of the population

Source: ACF, adapted from the sanitation governance study, Djibouti, 2015

5. MANAGEMENT MODELS FOR WASH SERVICES

Management of water services in the broader sense includes programming, constructing and operating the structures. In the strict sense, management models tend to refer more to organisational, financial and technical structures set in place to ensure the lasting operation of the water supply infrastructures. They have to guarantee:

▸ **proper operation of the structure:** organise day-to-day services; regulate usage; ensure access for all; guarantee that installations are used correctly; ensure that profits and costs are allocated fairly;

▸ **maintenance:** systematic maintenance (day-to-day and scheduled); preventive maintenance; corrective maintenance (fault repairs);

▸ **renewal and development:** replacement of worn parts; making savings to pay for service extension and improvement; renewal of installations.

As a rule, there are seven different (groups of) management model, according to the scale, the actors involved and the division of their responsibilities:

❶ private installations for personal use: often these are traditional family water points, but can also include more complex boreholes to provide water to businesses;

❷ the community management model is the dominant model in the countryside and semi-urban areas of developing countries. The community, as owner of the structure, or as delegatee of the local authority or state, chooses managers from its own ranks and organises handling of all tasks relating to the operation and maintenance of the service, and occasionally also its development;

③ municipal management uses many different models depending on the operator's degree of autonomy. Under the direct management model, installations are directly managed by municipal services. In cases where the communal water services enjoy a measure of financial, human resources and decision-making autonomy, we call this an autonomous public corporation. A commune may create a wholly-owned body with a separate legal personality: we call this a public corporation;

④ with delegated management, the structure owner delegates its operation to an autonomous party with which it has no direct ties. The service delegation contract may cover operation only, or may also cover maintenance, repairs or even the renewal of certain parts. Depending on the duration and division of costs, we refer to contracts for service provision, cost plus management, leasing and concession;

⑤ public water service may be entrusted wholly to a private investor, which then owns and operates the structures (or delegates operation to a third party);

⑥ the national or regional utility company model, where state, regional or provincial services operate the water supply network;

⑦ models based on integration or aggregation whereby a group of local managers creates a collective service in charge of all or some of the operating tasks.

TABLE 7: PRESENTATION OF THE MAIN GOVERNANCE STRUCTURES

	DESIGNATION	NATURE OF THE WATER COMPANY	LIABILITIES & RISKS
DIRECT MANAGEMENT	Local council	Public water operator, integrated into the local council	Budget integrated into the general budget No management autonomy
	Autonomous public corporation (with financial autonomy)	Public operator distinct from the local council	Budget additional to the general budget Limited management autonomy
	Public corporation with financial autonomy and separate legal existence	Public operator distinct from the local council	Total financial autonomy in a public industrial and commercial undertaking
PUBLIC TENDERS	Service provision	Private business	Partial management Fixed payment paid by the local authority
	Management	Private business	Partial or total management Fixed payment paid by the local authority
	Costs plus management	Private business	Partial or total management Fixed payment paid by the local authority, with results-based incentive (otherwise delegation)
DELEGATION	Concession and leasing	Private business	Overall management of the service, possibly financing investments (concession clauses) Direct remuneration paid by users

Source: Guerin-Schneider et al., 2002

BOX 14: OWNER OF WATER AND SANITATION SERVICES

Depending on the context, the owner role may be assigned to the commune or the state. The decentralisation process currently underway in many countries is leading to major changes for local communes as they are now responsible for water and sanitation services in their territory.

The owner plays a central role, and is a key actor in the provision of services. The owner is responsible for creating and using the structures needed for access to water: owners are required to ensure that consumers receive a quality service that meets their expectations.

Owner: the person or legal entity on whose behalf work is carried out. Generally not technically qualified, the project owner does not carry out works directly.

Project manager: the mission of the project manager is, on behalf of the project owner, to design a structure in accordance with the objectives and constraints accepted by the owner, to coordinate its creation and prepare it for handover to the project owner.

FIGURE 10: SERVICES OWNER'S RESPONSIBILITIES

▸ Monitor the state of progress of the local water and sanitation development plan

▸ Control water quality

▸ Track the evolution in the number of structures

▸ Asist the audit office in monitoring-evaluation

▸ Compile and make available data

▸ Update indicators

▸ Track deployment and drafting of action plans

▸ Plan network extensions and new structures

▸ Manage relationships with the various institutional actors involved in the sector

▸ Coordinate actions in the fields

▸ Ensure that a structure managment system is put in place

▸ Train and support actors in charge of management to fulfill their missions

▸ Make sure that decisions are enacted (water price, hygiene measures)

▸ Coordinate awareness-raising and social internmediation activities

▸ Monitor contracts for maintenance, management, provision of services, construction of structures

▸ Carry out inventory and daily monitoring of the operational status of structures

▸ Put together dossiers to apply for funding

▸ Recruit and reinforce municipal departments

▸ Draft invitations to tender and assist with examination of the tenders

▸ Monitor the works

▸ Take delivery of the structures built

▸ Organise training training for actors (repairers, builders)

▸ Draft materials for communication and awareness-raising

Source: Ps-Eau (2012), Access to drinking water in developing countries: 18 questions on service sustainability

TABLE 8: STRENGTHS AND WEAKNESSES OF DIFFERENT MANAGEMENT MODES

MODEL	STRENGTHS	LIMITS
COMMUNITY MANAGEMENT	▶ Conflict management capacity ▶ Flexibility ▶ Taking account of local problems ▶ Personal approach to users ▶ Volunteering and proximity limits management costs ▶ Often very appropriate for systematic operational and maintenance tasks	▶ Dilution of responsibilities, discouragement ▶ Lack of capital and savings mechanisms ▶ Savings often absorbed by other needs ▶ Tendency to cut costs instead of invest in the service ▶ Payments often not enforced because of closeness of relationships ▶ Dependent on the engagement and behaviour of local leaders ▶ Insufficient human, financial and logistical resources for major maintenance and replacement
COUNCIL MANAGEMENT	▶ Taking account of local problems ▶ Confirmation and visibility of a public service ▶ Possible access to necessary resources ▶ Ability to set up mechanisms for dialogue and accountability ▶ Pooling a possibility	▶ Risks of favouritism and politically-tainted decisions ▶ Absence of regulation as the owner = authority in charge of the sector = operator ▶ Savings often absorbed by other needs
DELEGATED MANAGEMENT	▶ Dissociation of roles, enabling appropriate regulationw ▶ Appropriate responsiveness to clients' needs ▶ Professionalization of job profiles in a competitive environment ▶ Availability of technical and managerial skills	▶ Risk of imbalance between delegating authority and delegatee ▶ Hard to protect specific and non-conforming interests from market mechanisms (the poor, isolated populations, etc.) ▶ Margins have to be high enough to interest a delegatee
NATIONAL/ REGIONAL SERVICE	▶ Largescale technical and logistical resources available ▶ Risk-sharing and ability to redistribute (between costly and inexpensive services, or between poor and rich areas)	▶ Lack of oversight and incentive mechanisms in a monopoly context and because of the distance between decision-makers and users ▶ High transaction costs ▶ Risks of becoming politicised ▶ Lack of regulatory mechanisms
INTEGRATION/ AGGREGATION	▶ Ability to maintain the advantages of local management using the subsidiarity principle ▶ Risk-sharing and pooling of human and technical resources	▶ Hard to accommodate inherent integration costs ▶ Risks of conflict between the local level and the integration arrangement ▶ Heavy dependency on leadership at the grassroots level and on the integration arrangement

Source: Stef Lambrecht, Dirk Glas, PROTOS (2011), Coopérer pour pérenniser [Cooperate to ensure durability]

6. PRIORITY INTERLOCUTORS AND THEIR ROLES

Primarily, a governance approach will entail working with:

▶ national and local institutions: after identifying who is responsible for which policy or activity, the NGO then concentrates on the key people within this hierarchy, offering them support, ideas, etc.;

▶ donors: if they are convinced of the importance of good water and sanitation governance, donors can have a major influence on states and local authorities. They also provide the funding needed for governance activities;

▶ research institutes and universities: partners that are able to provide new solutions, adapted to local contexts, particularly in terms of innovative governance;

▶ private sector: combined with a market analysis, and depending on the context, a partnership with the private sector aiming in particular at reinforcing capacity, is a way of ensuring a spare parts supply chain, a durable and continuous materials supply process and price stability;

▶ other NGOs: reinforcing coordination between international and local NGOs makes it easier to offer a concerted approach to beneficiary communities, limiting the risks of 'NGO-shopping', and strengthening the messages being passed on to the communities. Also, advocacy is often more effective if performed by several different organisations;

▶ community organisations: these organisations, such as water point committees, women's groups, farmers' groups, etc., have real influence within communities and can be important allies for a WASH programme. Reinforcing their knowledge and capacity to join in debates at the local level will make it easier to provide an answer to their needs and promote the sustainability of the programme;

▶ traditional authorities: they have a major influence within communities, and sometime also with local authorities. They are the village elders, village chief, religious leaders, etc. If they set an example, there is a much better chance that other members of the community will participate in the programme;

▶ community members: these are the targets of NGOs' programmes. If they know their rights and start to demand them, it will be easier for them to do this unaided in the future;

▶ the media: as tools for communication, advocacy and awareness-raising, the media are very important allies. They can help to convince people and organisations of the importance of participating in the WASH sector, and of the need for transparency.

BOX 15: THE IMPACT OF LOCAL RADIO

Radio programmes organised by three Governance and Transport Fund (GTF) partners in Uganda – the Agency for Cooperation and Research in Development (ACORD), Community Integrated Development Initiatives (CIDI) and Health Through Water and Sanitation (HEWASA) – reached an audience of around 275,000 people, who were able to learn about their rights to WASH. They also had an opportunity to listen to citizens' advocacy and the responses of the local organisations responsible for delivering good quality WASH services.

In terms of WASH access, the programmes produced responses from local governments and service providers that benefitted almost 27,000 people:

▶ **3,000 people in Kawempe,** an urban slum, benefitted from pre-paid taps being installed;

▶ **4,400 people** in one urban slum and 13 Kamwenge sub-counties benefitted from completion or renovation of different water systems;

▶ **7,800 people** benefitted from improvements to gravity flow schemes that now channel sufficient water to tap stands;

▶ **1,100 people** in South Western province had their water systems renovated and repaired;

▶ **10,650 people** in South Western province gained access to adequate water supplies through the supply of official tap stands.

Source: WaterAid and FAN (2013), Engagement and advocacy for better WASH governance

7. IMPORTANCE OF COMMUNITY MOBILIZATION

Community mobilization is the process of bringing together members of a community to:

▸ discuss relevant development issues they are facing;

▸ raise awareness of the underlying causes, effects and potential solutions to these issues;

▸ identify the methods, tools and resources (internal and external) they could use to overcome their difficulties[47].

It gives the opportunity to reflect on experiences and learn from them, and allows community members to express their priorities, which can improve the performance of the programme through better targeting of real needs. It encourages community members to participate actively in the programme, which is key to an appropriation of the programme and its activities. Community mobilisation is a way to create a space for the marginalised and excluded, creating ties between them and the wider community, and giving them the self-confidence to talk about problems impacting them (see Box 12).

Methods used include: home visits, cultural and sports events, joint activities with local authorities, meetings and discussion groups. Community mobilization often involves setting up community bodies or reinforcing existing traditional structures.

Reinforcing communities' capacities is intended to empower them and improve local governance. The idea is to equip communities with the tools they need to analyse and think about the problems that confront them, to know their rights and assess the approaches available to them for responding to issues. Improving their ability to collect data and proofs, as well as their ability to communicate their messages, will help communities to strengthen their advocacy and negotiating capacities. They will then be better equipped to manage their own access to water and sanitation and to deal with the associated problems.

BOX 16: AN EXAMPLE OF COMMUNITY MOBILISATION

Women and girls living in Zimbabwe's Pendi Bridge often have to walk at least 24 kilometres daily to find around 20 litres of clean water each day. After looking at the problem, Dabane, one of Oxfam's partner organisations, found that the groundwater yield was too low to offer a permanent solution. It therefore developed a simple and low-cost system to abstract safe water from rivers. Ever since, girls and women only have to walk 1.5 kilometres to access an average of 60 litres of water a day.

When a dispute arose over the use of water and the access and control of the water point, Dabane encouraged end users to join together with the Ward Water and Sanitation Sub Committee (WWSSC), traditional leaders, business leaders and School Development Committees. Together, they met and discussed the problems at hand. Local authority and government departments intervened by creating awareness and giving advice on the importance of having clean water and effective water point management.

Dabane helped the community become aware of its roles and responsibility with regard to water point maintenance and management, conducting various workshops: from 'Community-based and Environmental Management' to 'Self-reliance and Water Point Operation' and 'Service and Maintenance', to name just a few. HIV/AIDS, disability and gender were also points of focus. Users pay $1 per month for maintenance of the water point.

Source: OXFAM Novib, 2015

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47 - WaterAid and FAN, *Getting started with governance*

- **A governance approach can be incorporated at all levels, for example:**
  - advocacy: international, national and local institutions;
  - capacity building: local and community institutions;
  - stakeholder engagement and coordination: all levels.

- **Governance makes it possible to strengthen effectiveness, efficiency and trust among sector stakeholders. At the local level, NGOs concentrate primarily on trust and engagement** (transparency, participation, reducing tensions, etc.), and efficiency (actors' capacities).

- **Analysing stakeholders is used to:**
  - improve understanding of the project's context and interlocutors;
  - identify allies, partners, targets and potential adversaries for the project;
  - reinforce the project's coherence via better targeting of interlocutors and points of leverage.

- **There are several models for the management of services, however:**
  - the choice of model depends on the context and stakeholders' capacities;
  - there is no one perfect model, only principles of good management that make it possible to ensure correct operation (transparency, participation, appropriate pricing at agreed levels, etc.);
  - the state (national or local institutions) and or communities is/are responsible for controlling the service operator. This ensures that proper service operation is monitored.

- **Community mobilization is used to:**
  - identify problems facing the community, then to identify the possible methods, tools and resources to address the problem. For example by drafting a community action plan;
  - encourage community participation in the programme and thus to promote appropriation, a key factor in the success of a project;
  - reinforce community autonomy and empowerment, and thus promote a durable project impact with lasting improvements to the community's situation.

4

IMPORTANCE OF GOVERNANCE
AT EACH PHASE OF THE PROJET CYCLE
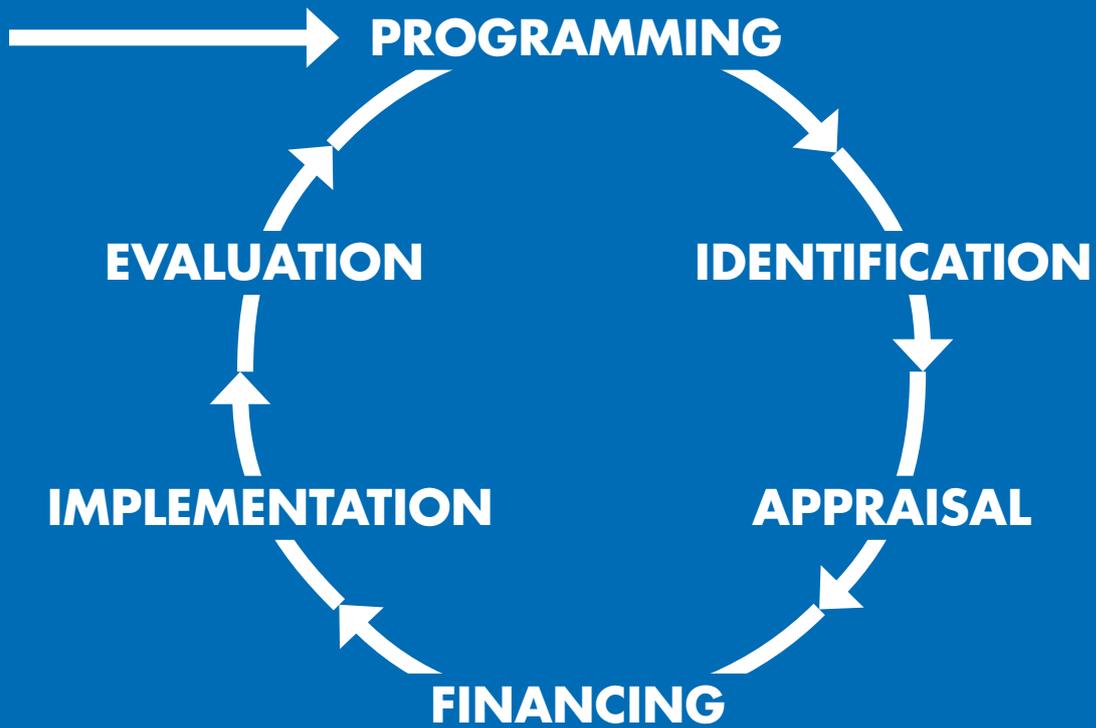
1 - PROGRAMMING (STRATEGY)

2 - IDENTIFICATION OF NEEDS

3 - APPRAISAL

4 - FINANCING

5 - IMPLEMENTATION AND MONITORING

6 - EVALUATION OF EFFECTS AND IMPACTS

© Jean Lapègue, Bossangoa, Central African Republic, 2011

PROGRAMMING

IDENTIFICATION

APPRAISAL

FINANCING

IMPLEMENTATION

EVALUATION

PROJECT CYCLE

Source: Project Cycle Management manual, European Commission (2001)

With the aim of showing how to tackle the challenges of governance during a mission, this manual analyses each of the six stages in the traditional project cycle: programming (strategy), identification of needs, appraisal of the project, financing, implementation and management, and evaluation of the effect or impact. Certain actions, such as advocacy, capacity building and stakeholder engagement, can be implemented at each stage. This presentation of wash governance activities is not exhaustive but is designed to highlight a number of ideas and examples.

1. PROGRAMMING (STRATEGY)

This is the definition of a project's strategic aims, based on a study of the context and the possible outcomes, the presence of actors already active in the area of governance, the NGOs mandate, and the mission's capacities. The project strategy must align with and reflect the NGO's overall strategy and its approach to governance, capacity-building and advocacy. This is summarised in the Mission Strategy document, which also reflects the positions of partners (and donors) on the issue of governance. This might take the form of:

a) a specific water governance project (stand-alone);

b) an integrated project where the governance approach is 'only' a starting point (to better understand the context and challenges), an activity or, at best, a project outcome.

In both cases, it is necessary to define the desired governance strategy, but in the case a) this will be an exercise in its own right, possibly requiring the support of a full-time governance expert.

The strategic programming phase therefore includes several considerations:

▶ the organisation's mandate and capacities within a governance system;

▶ national strategies in terms of governance, law, decentralisation, pricing, definition of poverty, etc.;

▶ donors' strategies for the WASH sector and their specific positioning (which can be multi-sector) on governance;

▶ partners' presence and strategy in terms of governance of water and sanitation;

▶ the respective capacities, in governance and/or implementation of sector-specific strategies, of the various partners.

Ideally, analysis of water and sanitation governance occurs prior to adoption of the mission strategy, or during an annual revision, thereby enabling the organisation to better integrate or reposition itself in the sector. This becomes important in the event of changes to the legal or institutional framework, for instance, if the state decides to decentralise or to adopt the right to water and sanitation.

BOX 17: GOVERNANCE STUDY TO ACCOMPANY A DECENTRALISATION PROCESS

In 2010, Kenya adopted a new constitution, which included decentralisation of state services, water and sanitation in particular, the arrangement of regions into counties and a recognition of the right to water and sanitation.

In order to adapt to the new institutional and regulatory environment, ACF Kenya carried out a study of water and sanitation governance aiming, among other factors, to:

▶ analyse and describe the new laws, both those ratified and those still being debated, including citizens' new rights and duties regarding the right to water and sanitation;

▶ identify the new institutions responsible for the water and sanitation sector and their actual capacities;

▶ identify advocacy opportunities for enhanced community participation in decision-making and better access to services;

▶ understand the consequences of political and institutional changes on programming and implementing the NGO's interventions.

The study of water and sanitation governance provided the mission with very important information and recommendations for redefining strategy and programmes to improve the sustainability of its actions.

Source: study of water and sanitation governance in Kenya, 2014

At the programming level, including a governance approach to WASH strategy promotes, within a vision of the NGO's action at the institutional level, with the strengthening of actors' capacities and advocacy, an approach rooted in human rights, etc. (see Annex 2).

2. IDENTIFICATION OF NEEDS

This phase relies on a participatory process associating identified stakeholders, partners and communities. It makes it possible to validate, as far as possible, the real needs in terms of support for water and sanitation governance in the country/region where the mission intends to work. The finer the analysis, the more it will aid the relevance of the project. In order to achieve this, it is useful to carry out an evaluation of the situation at the national, community and municipal levels.

2.1.   AT THE NATIONAL LEVEL

An initial insight into the WASH situation in the country can be obtained from the GLAAS report and country indicators, in conjunction with JMP reports monitoring attainment of the millennium development goals (WHO & UNICEF). This will identify problems and needs, particularly in terms of governance, that need to be verified subsequently.

BOX 18: EXAMPLE OF COUNTRY INFORMATION PROVIDED BY GLAAS AND JMP: THE PHILIPPINES

In 1991, the Development Assistance Committee at the OECD defined a set of principles for assessing development aid.

TABLE 9: EXTRACT FROM GLAAS 2014 FOR THE PHILIPPINES

THEME	INDICATOR	AREA	NOTE
GOVERNANCE	The right to water and sanitation is recognised.	National	1
	Development policies are adopted and implemented.	Sanitation - urban	0.5
		Sanitation - rural	0.5
		Drinking water - urban	1
		Drinking water - rural	0.5
	Coordination between WASH actors	National	1
MONITORING	Data are available for taking resource allocation decisions.	Sanitation	0.5
		Drinking water	1
	Monitoring progress among the poorest groups.	Sanitation - Slum dwellers	0
		Drinking water - Slum dwellers	0
HUMAN RESOURCES	Existence of a strategy to develop and manage human resources.	All levels	1
	Human resource strategy outlines actions to fill identified gaps.	All levels	0.5
FINANCING	Financing plan defines if operating and basic maintenance is to be covered by tariffs or household contributions.	Sanitation	0
		Drinking water	0
	Financial schemes exist to make WASH more affordable for disadvantaged groups.	Sanitation	0
		Drinking water	0

1: Agreed and widely used   **0.5:** Schemes exist NOT widely used   **0:** No schemes exist

Source: GLAAS 2014[48]

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48 - World Health Organization and UN-Water (2014), UN-water global annual assessment of sanitation and drinking-water (GIAAS) 2014 report

YEAR	% OF URBAN POPULATION	SANITATION											
		Urban				Rural				Total			
		Improved	Unimproved			Improved	Unimproved			Improved	Unimproved		
			Shared	Other	Open air defecation		Shared	Other	Open air defecation		Shared	Other	Open air defecation
1990	49	69	15	9	8	45	10	22	23	57	12	15	16
2000	48	74	16	4	6	57	13	12	18	66	14	8	12
2012	49	79	17	1	3	69	16	3	12	74	16	2	8

YEAR	% OF URBAN POPULATION	DRINKING WATER													
		Urbain					Urbain					Urbain			
		Improved		Unimproved			Improved		Unimproved			Improved		Unimproved	
		Total improved	On-site connection	Improved, other	Unimproved, other	Surface water	Total improved	On-site connection	Improved, other	Unimproved, other	Surface water	Total improved	On-site connection	Improved, other	Unimproved, other	Surface water
1990	49	92	40	52	7	1	75	9	66	22	3	84	24	60	60	2
2000	48	92	50	42	7	1	83	17	66	15	2	88	33	55	55	1
2012	49	92	61	31	8	0	91	26	65	8	1	92	43	49	49	1

Source: JMP 2014

2.2. AT THE COMMUNITY AND MUNICIPAL LEVEL

Once national information has been obtained, this needs to be checked and compared with the field situation. It often happens that the national indicators are positive, but the realities at the sub-national levels are not. In such cases, a study of governance needs will explore weaknesses and opportunities relating to application of laws at the local level (local blockages, etc.). At the community level, NGOs often run a KAP (Knowledge, Attitudes, Practices) survey among local people who are, or might be, beneficiaries[49]. In order to understand the degree of existing community mobilisation, the knowledge that the people responsible for managing water and sanitation have, and the trust others have in them, and so on, it is a good idea to add a few governance questions to the standard study questions. The answers given by community members, as well as the non-response and 'don't knows' are indicators for the need to strengthen local governance, transparency, etc. This makes it easier to better target problems within the community and any potential obstacles to the project's implementation and durability. At the community level, discussions with target groups (focus group discussions) are a way to fill out the information obtained via the survey. The survey provides quantitative information, other techniques provide qualitative data. They make it possible to explore in more detail the history of a community and its access to water and sanitation, to

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49 - As a rule, the degree of precision required by ACF is 10%, a level that is also suitable for governance surveys.

prioritise problems the community faces, to analyse the practices of several different groups (men, women, young people, etc.) and to compare their perceptions of the problems faced by others. This is also a good time to identify key people within the community (traditional chiefs, elders, teachers, etc.) and needs that the WASH team has not thought of. Additionally, this is a chance to look into cross-cutting problems such as gender, disability, etc.

In order to discover which activities will be needed, particularly relating to governance, it is also important to understand actors' capacities, especially local and institutional actors. This will determine the capacity-building activities that are needed, what are the likely obstacles to stakeholder engagement and to transmission of programme results[50].

Finally, a good understanding of the legal and institutional frameworks, and the practices that these lead to, makes it possible to know which laws, policies and practices actually limit communities' access to water and sanitation. Existing laws that are not applied also need to be identified. Thanks to this analysis, the NGO is then able to design and implement its advocacy activities.

BOX 19: EXAMPLE OF SAMPLING FOR A KNOWLEDGE, ATTITUDES AND PRACTICES SURVEY

When studying governance, for example by adding specific questions to a conventional KAP survey, the need is for a robust sample size with a degree of precision around 10%. There's no need to be more precise. Since it is not usually possible to have access to lists of names for every household in the intervention zone, the simplest methodology is to use the cluster approach, interviewing 210 families spread across 30 clusters of 7 households. The division of clusters across the intervention zone is determined in line with the population profile in the different neighbourhoods.

The commune of Bocarangua is used to illustrate this approach. It contains 16,870 households divided across 4 neighbourhoods:
- ▶ Anaca – 2 560 households
- ▶ Ramina – 8 640 households
- ▶ Madiba – 1 530 households
- ▶ Lomina – 4 140 households
- ▶ Total – 16 870 households

Sampling takes place in 5 stages.
1. Calculation of the number of households for a cluster: here, 30 clusters represent 16,870 households, so a cluster is 16,870 / 30 = 562.
2. Division by neighbourhood/zone, making sure to end up with an even number of clusters (avoid not assigning any clusters to a neighbourhood, even if the neighbourhood's population is too small from a mathematical standpoint).
3. Verification: the sum of the clusters must equal 30, and the sum of the households surveyed must equal 210.
4. Calculation of the number of households interviewed by neighbourhood/zone, by multiplying the number of clusters by 7.

LOCALITIES	NO. OF HOUSEHOLDS	NO. OF CLUSTERS	NO. OF CLUSTERS, ROUNDED	NO. OF HOUSEHOLDS SURVEYED
Anaca	2560	4.56	5	35
Ramina	8640	15.37	15	105
Madiba	530	0.94	1	7
Lomina	5140	9.15	9	63
Total Bocarangua	16870	x	30	210

If the same type of survey is used at the beginning and end of a project, it is best to use the same families for both surveys.

Source: ACF, 2014

50 - WaterAid and FAN (2012), Governance and Transparency Fund, Capacity needs assessment tool, London

BOX 20: EXAMPLE OF QUESTIONS ON WATER GOVERNANCE TO INCLUDE INTO A KAP SURVEY

❶ Who supplies the drinking water that you use?

❷ Do you pay for the water?
    a. If yes, who sets the water price?
    b. If yes, what is the money used for?

❸ Can you complain about water-related issues?
    a. If yes, how?
    b. If not, why not?

❹ Are you able to participate in decisions about water?
    a. If yes, how?
    b. If not, why not?

❺ In general, who participates in taking decisions about water?

❻ Is there a water point committee for your water point?
    a. If yes, what is its role?
    b. If yes, how was it appointed?
    c. If yes, does the committee hold meetings with community members?
       - If yes, how often?

❼ Do you think that the water managers are accessible to the public?

❽ Do you think that the water managers in your community have the knowledge they need to answer your questions?

❾ When the water managers in your community promise to do something, do they keep their promise?

❿ Are you able to find out information about water if you want to? If yes, how?

⓫ Do you know who takes the decisions, and what their objectives are?

Source: ACF, water governance KAP survey, South Sudan, 2015

3. APPRAISAL

This phase uses the analysis of the mission's needs and strategic orientation and formalises them in the form of a detailed project with a logical framework that includes performance indicators and impact indicators, a budget and activity schedule.

The purpose of this phase is to determine whether the NGO would prefer to carry out a specific governance programme (stand-alone) or to include the objectives and activities relating to governance within a more traditional WASH programme. The choice will depend on the context, the mission's capacities and the previous needs analysis. A number of factors enter into the decision-making process, for example: the existence or not of a need to build infrastructure; the view national and local authorities have of advocacy and governance in general; the target population; the existence of a body for coordinating actors or a coalition of NGOs, etc.

If a study on water and sanitation governance has not been carried out beforehand (often the case for financial reasons), this is a good moment to include it in the project description and budget. It should be included in the programme preparation and investigation phase, or in the first months of implementation (see Chapter IV.5). The budget and length of the study will depend on the sector's degree of complexity, actors' availability, accessibility of communities and actors, the amount of detail necessary for the mission, etc. A few weeks might be enough, while other contexts will require several months.

The objectives, results, activities and indicators then need to be defined in line with the type of project chosen. Sections 7 and 8 provide examples of a governance programme's logical framework.

Thanks to an analysis of water and sanitation governance in Tana River (Kenya), Action contre la Faim was able to identify various problems. It then submitted them to the county stakeholders during a consultation workshop. The workshop provided a forum for the stakeholders to meet, come to agreement on the county's problems, work together to come up with solutions and reduce pre-existing tensions.

The main problems identified during the problem tree exercise were: weak management of infrastructure (little capacity and few links with the committees); very limited coordination of actors and their actions (locating projects, possible duplication); a lack of resources for maintenance and investment (insufficient fundraising by committees, little money for meters), and poor use of infrastructure (lack of skills, monitoring and funds). The table below shows the solutions identified by stakeholders during the workshop:

SUGGESTED SOLUTION	STRENGTHEN WATER POINT COMMITTEES BY 2015	
ACTORS INVOLVED	RESOURCES	ROLES
1. WEAK INFRASTRUCTURE MANAGEMENT IN THE TANA RIVER COUNTY		
▶ Social services ▶ Civil society ▶ Community groups ▶ County ▶ Imarisha Rights Centre	▶ Funds earmarked for capacity-building ▶ Qualified Personnel ▶ Understanding of committee statutes	▶ The director of the county water department monitors partners and civil society organisations to ensure that they have a budget line specific to building water point committees capacity. ▶ WASH teams participate in stakeholder meetings organised by the county.
2. LITTLE IMPLEMENTATION, COORDINATION AND KNOWLEDGE OF WATER ACCESS PROJECTS		
▶ Director of the water department (county) ▶ County (water, health and planning) ▶ Village chiefs ▶ Water point committees ▶ Community leaders ▶ Women's groups ▶ Private sector ▶ Donors ▶ WESCOORD	▶ Human Resources ▶ Equipment ▶ Funds ▶ Time	▶ The director of the county water department and the county help to reactive the county water forum and WESCOORD, and ensure geolocalisation and itemizing of water points by actors operating in the sector. ▶ The director of the county water department monitors allocation of funds dedicated to itemizing water points and their status.
3. LITTLE INVESTMENT IN, AND INCOME FROM, WATER POINTS		
▶ Director of the water department (county) ▶ Village chiefs ▶ Water point committees ▶ Community leaders, including young people and women ▶ Women's groups ▶ County (water, health) ▶ Social services	▶ Funds to buy water meters ▶ Funds to build water kiosks ▶ Funds to develop legislation	The director of the county water department and the county digitize payment collection by referring to actions undertaken by GAWASCO.
4. POOR USE OF SANITATION INFRASTRUCTURES AND FUNDING		
▶ Village chiefs ▶ Water point committees ▶ Community leaders, ▶ Women's groups ▶ County (water, health) ▶ Budget commission and county legislative assembly ▶ Teachers and school heads, parents' associations ▶ Public figures ▶ WESCOORD	▶ Human Resources ▶ Funds ▶ Transport ▶ Legislation	▶ The health department requests funds from the county. ▶ Civil society takes part in highlighting the importance of funding sanitation and its benefits to the county assembly and decision-makers. ▶ WASH teams participate in stakeholder meetings organised by the county.

Source: WASH Advocacy Report, Tana River, ACF Kenya (2014)

BOX 22: EXAMPLE OF A GOVERNANCE STUDY IN THE PHILIPPINES (2013)

Action contre la Faim's Philippines mission carried out a governance study since it was seeking to reinforce the durability of the infrastructures it builds. The study showed that water and sanitation are not always a priority for local authorities, particularly in terms of the municipal development plan and budget allocated to this sector. The mission therefore implemented advocacy, awareness-raising and training activities targeting the local authorities (at the neighbourhood, municipal and provincial levels). The institutions' response was generally favourable. At the national level, the mission's advocacy concentrated on laws and policies and was implemented using the WASH Cluster.

The Philippines national government provides subsidies to encourage local institutions to prioritize WASH and adopt good governance (participatory decisions and budgets, transparency, etc.). ACF-Philippines therefore worked with local institutions to help them obtain the subsidies and recognition for their efforts.

The ACF-Philippines teams were trained in good governance. They recognise the importance of including a governance dimension in WASH programmes, 'since they add value to [their] work and contribute to sustainability, appropriation and empowerment.'

Source: Action contre la Faim mission in the Philippines (2013)

4. FINANCING

The details of the project as prepared during the project appraisal phase are now presented to potential donors. If the project is accepted, the NGO and donor will sign an agreement. Before any contract is signed, the project is discussed with the donor to ensure that it best meets the visions of both NGO and donor as well as the needs of the beneficiaries.

Most international donors are open to funding water and sanitation governance projects or activities. This is because, as discussed in Chapter 1, water governance is inextricably linked to the right to water and sanitation, the DAC principles, questions of sustainability and resilience, and so forth — all issues that fall within international donors' mandates.

The following section looks in greater detail at the strategies adopted by several of the major sector donors, and their attitudes to water and sanitation governance.

4.1. ECHO

Specialising in emergency assistance, ECHO is the largest provider of humanitarian WASH funding (around €200 million each year from the EU budget)[51]. It is very focused on emergencies and resilience. In its strategy paper, ECHO states that: 'The role of improving resilience and Linking Relief, Rehabilitation and Development (LRRD) is vital to helping meet these needs before they become humanitarian emergencies. In the face of rapidly growing WASH needs, coordination on WASH is crucial to ensure the most efficient use of the resources available.'

ECHO cites several examples of emergency preparedness, such as analysis of existing capacities, capacity-building for WASH personnel, drafting an emergency plan, etc. During a time of crisis, the agency focuses on emergency interventions. In the immediate post-emergency phase, during the first stages of early recovery, ECHO concentrates on 'rehabilitation and repair of existing WASH systems/facilities before constructing new ones; and re-establish institutional, social, and organisational structures to manage these WASH services.' This is an area where the links with governance should be stressed.

In protracted crises, ECHO highlights the importance of good infrastructure operation and maintenance. It is important that these are appropriated by the beneficiaries. Sustainable resource management and the potential for conflicts between water users must also be taken into account. ECHO seeks to 'have an impact beyond the immediate crisis, and prevent further emergencies from occurring.'

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51 - ECHO (2014), Water, Sanitation and Hygiene, Meeting the challenge of rapidly increasing humanitarian needs in WASH, Thematic Policy document 2, Brussels

ECHO focuses on responses to urgent needs, whilst reinforcing water and infrastructure management and favouring sustainable sanitation systems[52].

This means that outside of periods of acute crisis, ECHO seeks to reinforce the long-term effectiveness of its interventions and to promote moves toward good management of water and sanitation services. Programmes or activities that include a governance approach can contribute to meeting these objectives.

4.2. EUROPEAID

Since 2008, EuropeAid has been addressing the problem of governance in the fields it works in, particularly in the water and sanitation sector. EuropeAid considers that embedding governance in its programmes, rather than treating it as a separate topic, helps to strengthen the impact of its programmes[53].

EuropeAid has further reinforced this position by endorsing Integrated Water Resources Management (IWRM). In its reference document no.7 (2009), it explains how to draw up and implement a roadmap based on an analysis of governance and the establishment of a national dialogue, how to analyse stakeholders, etc., and why this is important[54]. EuropeAid is therefore well aware of the question of governance of water and sanitation and is willing to fund programmes and activities on this subject.

4.3. UNICEF

UNICEF is both a donor and an actor that implements programmes directly. Its overall objective in the WASH sector is 'to contribute to the realization of children's rights to survival and development through promotion of the sector and support to national programmes that increase equitable and sustainable access to, and use of, safe water and basic sanitation services, and promote improved hygiene'[55].

In countries classified as priority, UNICEF's interventions are structured around three pillars: greater coverage of water and sanitation services, promoting behavioural changes, and support for enabling policies and institutional environments. This third pillar makes governance one of UNICEF's priorities. In emergency responses, 'While the provision of water may take precedence in the early stages of an emergency, sanitation and hygiene inputs are also critically important, as is strengthening national institutional response and coordination capacity[56]. Again, governance is very much present. In non-priority countries that are not suffering from a crisis, UNICEF uses technical support and advocacy to promote the implementation of improved access to water and sanitation, appropriate and efficient management of resources and services and disaster preparation[57]. Governance is thus one of the key features of UNICEF's work.

4.4. USAID

The USAID water and sanitation strategy (2013-2018) aims to strengthen food security and beneficiaries' health thanks to WASH. To meet these objectives, USAID wishes to support national and local institutions in beneficiary countries, working from the outset on ensuring that interventions are sustainable, using integrated approaches, targeting resilience and promoting gender equality. 'The pillars of sustainability for water programs include: integrated water resource management, sound governance and citizen participation, inclusion of the unique roles, responsibilities, needs, and access concerns of women, appropriate environmental design, and long-term behaviour change'[58]. USAID also seeks to work at the most suitable governance level.

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52 - ECHO (2014), Water, Sanitation and Hygiene, Meeting the challenge of rapidly increasing humanitarian needs in WASH, Thematic Policy document 2, Brussels

53 - EuropeAid (2008), Tools and Methods Series, Analysing and Addressing Governance in Sector Operations, Reference Document 4, Luxembourg

54 - EuropeAid (2009), Reference document 7: Water Sector Development and Governance, Luxembourg

55 - UNICEF, Water, Sanitation and Hygiene, www.unicef.org/about/execboard/files/06-6_WASH_final_ODS.pdf, consulted on 25/05/2016

56 - United Nations Economic and Social Council (2006), UNICEF Water, Sanitation and Hygiene Strategies for 2006-2015, E/ICEF/2006/6

57 - United Nations Economic and Social Council (2006), UNICEF Water, Sanitation and Hygiene Strategies for 2006-2015, E/ICEF/2006/6

58 - USAID (2013), Water and Development Strategy 2013-2018, Washington

USAID strategy provides a few examples of governance-building activities, including capacity-building, inclusion of women in the sector, obtaining high-level diplomas for local professionals, improving sector monitoring and evaluation for better programming, reforms, market approaches, partnership with and strengthening of local entrepreneurs and increasing citizen participation[59]. USAID is willing to finance water and sanitation governance projects.

4.5. DFID

Although the DFID's position paper on water and sanitation in developing countries[60] does not mention governance, it does emphasize its work to 'share good water management practice and build up skills', in particular through supporting the Global Water Partnership (GWP). DFID's strategy seeks to 'provide communities with wells and boreholes along with the skills they need to maintain them.' It also presents a funding programme that aims to reinforce water supply systems to make them more functional and more sustainable.

DFID is also involved in improving state-level governance in the countries it works with, via combatting corruption, public sector reforms and greater state and local authority accountability to citizens[61].

In addition, DFID stresses the importance of resilience in humanitarian responses. DFID's strategy aims to include resilience in all its country programmes by the end of 2015, and it also stresses the importance of disaster preparedness. It is also a member of an informal group of donors, beneficiary countries and private sector actors called Political Champions for Disaster Resilience[62]. For DFID, in an emergency situation 'investment in long-term interventions must be a priority, at the same time as a rapid response to humanitarian needs'[63].

4.6. AFD

The Agence Française de Développement's water and sanitation strategy is divided into four fields, to: 'support the definition of clear, effective and inclusive sectoral frameworks; protect water resources in a context of climate change; supply access to successful and sustainable services for all; manage flood risk in towns and cities in a context of greater climatic variability'[64]. AFD's work in the water and sanitation sector draws on three additional tools: 'capacity-building and social awareness; infrastructure financing; and knowledge production and partnerships'[65].

Strengthening governance is thus one of the key features of AFD's activities. This concerns 'the technical and economic impacts of governance and the fight against corruption.' More specifically, it incorporates elements such as a clear definition of the roles of institutional actors, durable financial models, pricing, resource allocation between users, standards, transparency, accountability, integrity and civil society participation[66].

A few examples of activities set up and supported by the AFD: monitoring operators' technical and financial performance; definition of the roles and responsibilities of institutional actors; reinforcement of the legislative and regulatory frameworks; reinforcement of decentralised structures at the river basin or local authority level, in their planning roles and their relations with the national level; definition of a durable financial model for the sector, reconciling the economic, social and environmental imperatives specific to each context; civil society involvement and the ability to hold managers responsible; promotion of mechanisms to assist the most needy people (prices, social supply connections, etc.)[67].

59 - USAID (2013), Water and Development Strategy 2013-2018, Washington

60 - DFID, Policy Paper, 2010 to 2015 government policy: water and sanitation in developing countries, London, https://www.gov.uk/government/publications/2010-to-2015-government-policy-water-and-sanitation-in-developing-countries/2010-to-2015-government-policy-water-and-sanitation-in-developing-countries (consulted 10/09/2015)

61 - DFID, Policy Paper, 2010 to 2015 government policy: governance in developing countries, London, https://www.gov.uk/government/publications/2010-to-2015-government-policy-governance-in-developing-countries/2010-to-2015-government-policy-governance-in-developing-countries (consulted 10/09/2015)

62 - DFID, Policy Paper, 2010 to 2015 government policy: humanitarian emergencies, London, https://www.gov.uk/government/publications/2010-to-2015-government-policy-humanitarian-emergencies/2010-to-2015-government-policy-humanitarian-emergencies (consulted 10/07/2015)

63 - DFID and Ukaid (2013), The economics of early response and resilience series, London

64 - AFD, Nos Axes d'intervention [Our Areas of Intervention], http://www.afd.fr/lang/en/home/projets_afd/Eau_assainissement, consulted 20/05/2016

65 - AFD, Les outils d'intervention de l'AFD [The AFD's Intervention Tools], http://issuu.com/objectif-developpement/docs/afd-water-and-sanitation-2014-2018/1?e=0, consulted 01/06/2016

66 - AFD (2014), Eau et Assainissement, Cadre d'intervention sectoriel 2014-2018 [Water and Sanitation, framework for sector-based intervention 2014-2018] , Paris

67 - AFD (2014), Eau et Assainissement, Cadre d'intervention sectoriel 2014-2018 [Water and Sanitation, framework for sector-based intervention 2014-2018] , Paris

These donors are thus all geared towards funding governance activities and programmes, even if it only comes under the resilience and durability section of their strategies. Planned actions therefore need to be presented to them in an appropriate fashion.

5. IMPLEMENTATION AND MONITORING

This phase marks the start of donor-funded activities. These activities can be varied and include a range of partners. This section looks at a few examples of activities designed to strengthen governance and inter-actor relations, as well as ways to pilot these actions. Whether they are applicable will depend on the mission and programme contexts, the needs of the community, and the problems identified beforehand. This section looks in detail at the four main types of activities in a project designed to boost governance (not including, but based on, the prior analysis of the context):

▶ strengthening actors' governance capacities;

▶ supporting collaboration between actors;

▶ advocacy, especially if serious deficiencies are noted;

▶ strategic support (for example, supporting the implementation of a community action plan).

5.1. EXAMPLES OF GOVERNANCE ACTIVITIES

1) ACTORS CAPACITY-BUILDING

Governance activities are very closely related to capacity-building. This concerns all actors, although those most frequently encountered in this domain are:

▶ **water point committees:** when they are in charge of or operating water points, they often lack capacity in several areas: drafting and communicating their statutes, transparency and account-keeping, inclusivity, service pricing, knowledge of legal and institutional frameworks, maintenance, etc.;

▶ **water operators** (other than community-run): in towns and semi-urban areas, these are the public or private water operators responsible for operating the service. They may belong to the formal or informal sectors. Small operators (and some larger ones) often lack skills needed for: price-setting and revenue collection, transparency, participative planning, maintenance, monitoring, data collection, etc.;

▶ **local authorities** (commune, town hall, county): they are often in charge of access to the service within their territory, even if they do not always handle this directly. They often need training in: participative and transparent planning, inclusivity, operator supervision, creation and implementation of legal and institutional frameworks, data collection, etc.

▶ **national authorities:** where there is no decentralisation in the country, they are responsible for ensuring citizens have access to water and sanitation. In all cases, they regulate and legislate to control the rights and conditions relating to operation of the services, they set standards, collect national data and support in their actions. They may need capacity-building in participative and transparent planning, inclusivity, supervision of local authorities, creation and implementation of legal and institutional frameworks, creation and implementation of standards, data collection, etc.;

▶ **civil society organisations and national NGOs:** close to communities and their local areas, these organisations are sometimes in charge of the operation of water services. More usually, they serve as the link between communities, citizens and local or national institutions. They are potentially worthwhile partners for international NGOs. Their degree of competency varies enormously depending on the context and organisation, but they often need assistance with: transparency, advocacy, data collection, drafting and respecting their statutes, transparency and account-keeping, knowledge of legal and institutional frameworks, etc.
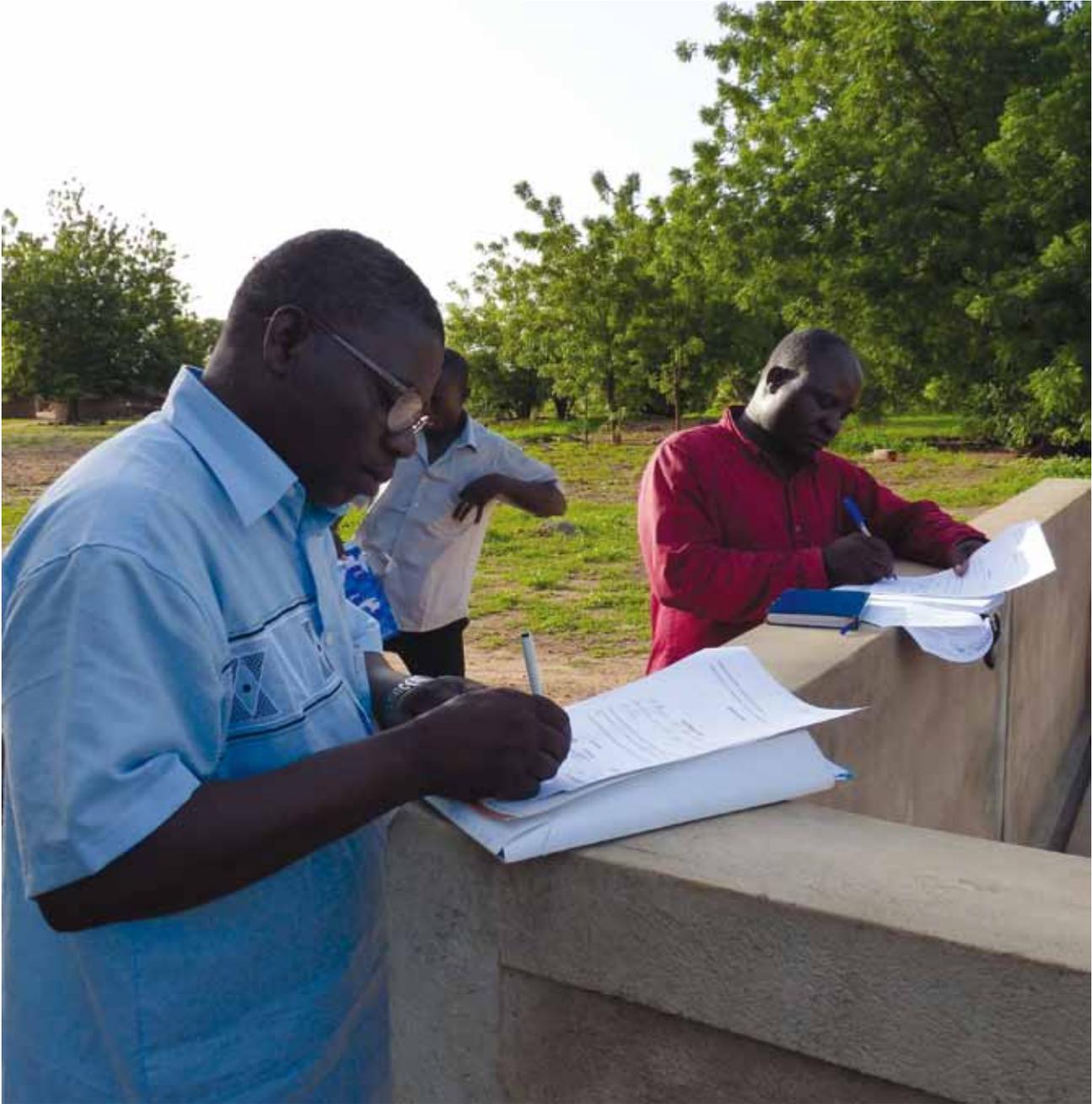
Picture 5 - Signature of a water point committee framework document

2) INCREASING COOPERATION BETWEEN ACTORS

A problem frequently encountered in the WASH sector is a lack of stakeholder coordination. This mostly concerns the following two dimensions.

▶ **Between WASH sector stakeholders:** all stakeholders cited in this guide have different objectives, visions and ways of working. In order to avoid duplications, tensions and confrontations it is important that these actors talk to each other and have an understanding of each other's objectives. The WASH Cluster, where this is present, can help to coordinate between NGOs and institutions. Outside WASH clusters, it is important to emphasize workshops where stakeholders can meet and discuss problems and their potential solutions, coordination platforms, etc.

▶ **Between sectors:** the water and sanitation sector is closely linked to other sectors such as health, nutrition, agriculture, etc. Again, to prevent tensions and confrontations, the actors need to meet and discuss issues with each other. For example, workshops attended by farmers, the community and manufacturers can help to improve the way that water allocations are managed. Similarly, the health sector can be of great use to the sanitation sector, at least in terms of awareness-raising on communities.

3) ADVOCACY

▶ **By the NGO, targeting national/local authorities:** as an international NGO, it is normal practice to undertake advocacy activities. These aim to bring about the creation or application of new laws or standards. Advocacy aims are identified following a study of actors, problems and possibilities. Advocacy may, for example, call for the implementation of standards for the pumps used by communities, community consultation mechanisms, the adoption of appropriate and sustainable human resources policies, the recognition of informal services (or within the informal areas), etc.

▶ **NGO assistance to civil society:** advocacy may equally be carried out by civil society: community, NGOs, CBOs. It involves citizens demanding that their (local or national) government enforce a law or create new measures. Community-piloted governance advocacy requires robust support, particularly at the beginning of a project. This means it is important to:

    a) facilitate the emergence of community organisations that are inclusive and receptive to the needs of the community, and that have rules to prevent them from being hijacked by local elites and outsiders;

    b) facilitate community access to information;

    c) train communities about laws and their rights;

    d) create monitoring mechanisms open to all community members;

    e) reinforce capacities of community organisations;

    f) form alliances with local groups, authorities or influential citizens[68].

4) IMPLEMENTING A COMMUNITY ACTION PLAN

One possible action to solve local, community-centred problems, is to develop a participative analysis of the local situation, then develop and support the implementation of a community action plan.

The analysis might have several objectives, some of them governance-related. This might, for example, lead to running community advocacy activities. The diagram below shows the different stages when drafting this type of action plan.

FIGURE 11: DIAGRAM OF A COMMUNITY ACTION PLAN
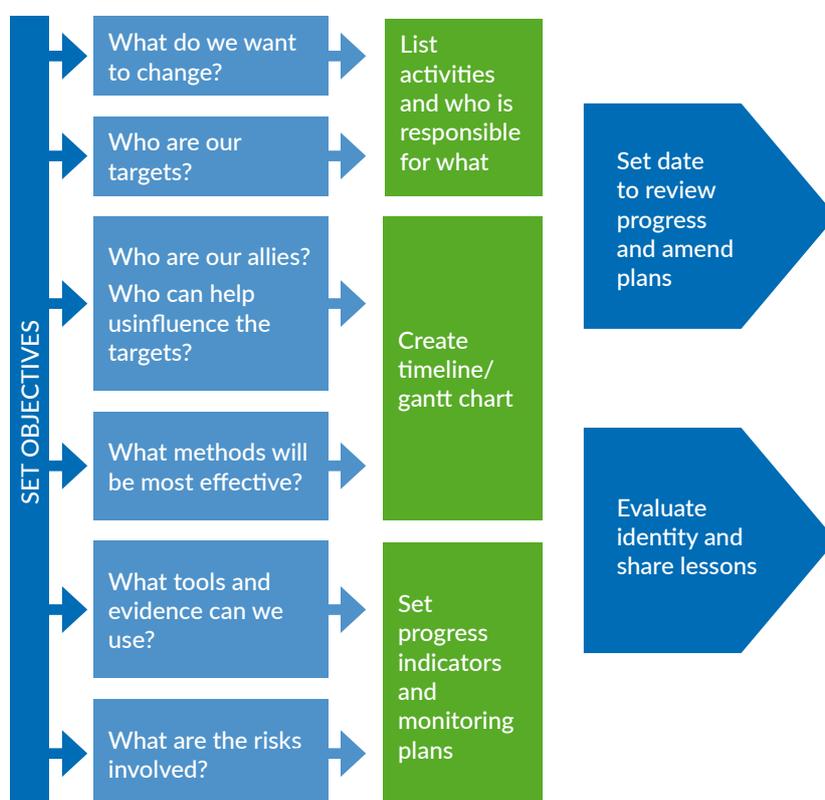
Source: WaterAid and FAN, Getting started with governance

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68 - *Source: WaterAid and FAN, Getting started with governance*

TABLE 11: EXAMPLES OF THE IMPLEMENTATION OF A GOVERNANCE PROGRAMME

Types of activities	SAMPLE ACTIVITIES	POTENTIAL PARTNERS
ADVOCACY	▸ Drafting and publishing a position paper ▸ Participation in advocacy groups. Capacity-building for coordination and advocacy platforms	▸ Other NGOs and local organisations ▸ Donors ▸ Local authorities
STRENGTHENING CAPACITIES	▸ Organisation of workshops at local and national institutions in charge of WASH ▸ Organisation of workshops for communities and water point committees ▸ Training WASH sector volunteers, for example, health workers ▸ Supporting local authorities to map existing infrastructures, their operating modes and needs ▸ Supporting local authorities and water point committees to study and implement a sustainable price policy	▸ Local institutions ▸ National institutions ▸ Other NGOs and local organisations ▸ Community leaders
PUBLIC REFORMS	▸ Supporting local authorities to create a specific, transparently managed, WASH budget ▸ Organisation of workshops for WASH sector actors to establish dialogue with the authorities ▸ Supporting local and national authorities to create clear criteria for the attribution of WASH projects and budgets ▸ Supporting local or national authorities to create clear legislation governing the division of water between users	▸ Local institutions ▸ National institutions ▸ Other NGOs and local organisations ▸ Community leaders ▸ Private sector ▸ Legislators
COMMUNITY MOBILIZATION	▸ Organisation of awareness-raising workshops about the importance of WASH ▸ Training sessions about community rights in terms of access and participation in the WASH sector and access to information ▸ Creating relationships between the community and the institutions in charge of WASH ▸ Setting up mechanisms to manage conflicts between water users	▸ Local institutions ▸ Other NGOs and local organisations ▸ Community leaders ▸ Community ▸ Community groups (women, young people, etc.) ▸ Resource management association
PRIVATE SECTOR	▸ Training sellers in the local market in the sale of spare parts ▸ Analysis of the market, its strengths and weaknesses ▸ Supporting private operators to put in place a sustainable price policy ▸ Training for the private sector in problems of gender, disability and vulnerable groups of people	▸ Local institutions ▸ National institutions ▸ Other local organisations ▸ Private sector (water companies, market traders, latrine vendors, etc.)

5.2. PARTNERSHIPS

Working with local or national institutions is a vital part of any governance programme or activity. Partnerships must be set up as early as possible, from the project design stage, in order to encourage appropriation of the project.

It is vital to clarify the relationship between the NGO and the institution in order to limit the chances of misunderstandings, changes in circumstances or political instrumentalisation, This might take the form of a formal agreement (Memorandum of Understanding).

Signing a protocol with local or national institutions also provides greater transparency for both parties, as the agreement can be made public, in particular communicated to communities benefitting from the project, where relevant.

It is also recommended that a similar protocol be established between the NGO and the beneficiary communities. This protocol can be signed by the NGO, local institutions and communities, which will strengthen ties between partners and help to facilitate the NGO's exit strategy.

5.3. PROJECT MONITORING TOOLS

Water and sanitation governance activities, in common with all other development and humanitarian activities, require monitoring. As part of a capacity-building process, it is possible to use indicators such as the number of workshops or training sessions organised, the number of participants, the state of knowledge before and after training, etc.

Better inter-actor coordination can lead to a lessening of existing tensions. However, it is hard to measure the immediate effect and long-term impact. Proxy-indicators must then be used, such as the deployment of certain programmes or budgets dedicated to institutions, drafting or respecting statutes, transparency of actions taken by water point committees, etc.

NGO projects are often too short to ensure long-term viability (for example, respecting statutes and the transparency of actions). The challenge is to identify who will take over monitoring once the project ends. The state does not always have the capacity, and sometimes innovative solutions have to be found.

Regarding advocacy and public reforms, change can take a long time. As immediate impacts are difficult to measure, monitoring tools can be used to track progress made and stages completed. The number of public meetings, the degree of media coverage of the question or the presence of politicians at events and gatherings relating to water, sanitation and health can all help to analyse the rate of change, and therefore the advancement of the project.

Similarly, community mobilisation activities designed to change behaviours and then mobilise the community to demand that authorities enforce their rights (to water and sanitation) are often processes for the medium- to long-term. Regular monitoring is important to avoid WASH teams and communities losing their motivation: it makes it possible to see how much the situation has changed, even when it does not feel that any progress has been made[69]. This makes it possible to identify shortcomings in the service provided, and to aid communities to meet their goals within the desired timeframe. Appropriate monitoring should be agreed with communities beforehand; monitoring must be specific to each case and wholly transparent.

BOX 23: MEMORANDUM OF UNDERSTANDING BETWEEN NGOS AND INSTITUTIONS

An MOU is an agreement between an NGO and an institution (local or national) that defines the relationship between the two parties, and the role of each in the various projects.

It governs, in as precise a manner as possible, such questions as:
- the role of each party;
- the contribution from each of the parties, whether financial, human, or in kind;
- per diem payments made to staff from the partner institution when making field visits, attending training workshops, etc.;
- transfer of the infrastructures, equipment, training CDs, etc. by the NGO to the institution during and at the end of the project.

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69 - WaterAid and FAN, *Getting started with governance*

TABLE 12: COMMUNITY-BASED MONITORING TOOL DEVELOPED FOR A RURAL INDIA PROJECT

	PARAMETERS - INDICATORS	MONTH				
	Number of:	Jan	Feb	March	April	May etc
1	Village WASH committee meetings conducted					
2	Families with access to drinking water					
3	Days families faced a drinking water shortage/crisis					
4	People who wash their hands at the crucial times					
5	Families keeping their home in a good state of cleanliness					
6	Children drinking water from a bore well on the school campus during the school hours					
7	Children using toilets at school					
8	Families washing their laundry close to a hand-pump					
9	Families drinking purified water					
10	Families drinking cooled boiled water					
11	People made ill due to lack of sanitation					
12	Monthly spend on healthcare					
13	Families who received an incentive from government to construct toilets					
14	Families who constructed toilets using their own money (no help from any source)					
15	Families using toilets					
16	Financial support received from the government to improve WASH facilities other than toilets					
17	Petitions (requests) submitted/lodged					
18	Petitions (requests) solved					
19	Times the village water and sanitation committee had interactions/discussions with government officials					
20	Times people cited the law on the right to information					
21	Times the Village Water Committee conducted a social audit on information collected through RTI applications					
22	People who participated in Global events like World Toilet Day, World Water Week, etc.					
23	People who participated in a training programme					
24	Times that the village was visited by government representatives and elected officials					
25	Phone calls people made to government officials on their issues					
26	Amount of money the government released to the village for improvement of services					

Source: WaterAid and FAN, Getting started with governance

6. EVALUATION OF EFFECTS AND IMPACTS

Evaluation uses tools for planning, budgeting and checking the deployment of the project indicators. Evaluations are made of current and completed projects, their design, implementation and results. This makes it possible to assess the relevance of a project and its results, as well as to re-orientate or halt a project, or to draw lessons for future projects. Within a governance project, the expected impact of the project, which has to be described, concerns the effective, inclusive and transparent deployment of the right to water and sanitation.

Several frameworks that can be of use in structuring these types of evaluations were cited in the first chapter of this document. The focus must be the beneficiary/client, and the question should be: in what way has the programme improved access to a service that is durable, non-discriminatory, suitable, etc. for beneficiaries living in the zone of the intervention or project?

Evaluation of a governance project, or one containing governance activities, is carried out in the same way as the evaluation of a standard WASH programme. It will depend on the logical framework used and the contract signed with the donor. It will also reflect the needs analyses carried out during and at the start of the project. This section examines examples of project monitoring tools, and a few existing governance evaluation indicators.

Evaluation of an effect is an activity designed to demonstrate short-term change (positive or negative) resulting from the project, primarily procedural in nature. Conversely, evaluation of an impact occurs long after the project has been deployed (also called ex-post evaluation) and it verifies that the changes experienced by people are durable.

6.1. EVALUATION BASED ON THE DAC CRITERIA (OECD)

Humanitarian projects are evaluated using a range of measures, the main one being the DAC criteria (see Box 5) and the OECD governance principles (see Annex 5).

TABLE 13: EXAMPLE PROGRAMME EVALUATION FORM USING THE DAC CRITERIA

DAC CRITERIA	OBSERVATION AND RECOMMENDATIONS	SCORE (0 to 3) and colour code (red, orange, yellow and green)
IMPACT	The intervention caused lasting improvements public health and access to WASH in the zone. Most local authorities and partner communities see the benefit of the intervention in their daily work.	3
SUSTAINABILITY	Sustainability measurements were deployed but do not account for the possibility of people moving. Knowledge transfer within the institutions that received training has not yet been tested.	2
COHERENCE	The project did not have a national vision. It conformed to the NGO's standards. The lack of cooperation at the national level was caused by a change of government during the project. The project risks no longer conforming to the country's strategy.	0
BLANKET	The criteria for selecting beneficiaries made it possible to identify the most vulnerable people in the zone and to improve the situation of communities as a whole.	3
RELEVANCE	The community and households found the intervention to be relevant. It corresponded to their needs and priorities, and enabled them to meet those needs and priorities.	3
EFFECTIVENESS	The methods used enabled communities to change behaviours and strengthened the capacities of local and community authorities. The project timetable was met.	3
EFFICIENCY	The allocated budget has been exceeded. Prices of inputs rose sharply during the project and there were unplanned purchases (an extra car, for example). This could have been avoided via more timely predictions of spending and of activity-related needs.	1

Source: ACF Program Evaluation quality assessment form

6.2. SOME INDICATORS FOR EVALUATING GOVERNANCE

TABLE 14: EXAMPLES OF INDICATORS USED BY AN NGO

INDICATORS	DESCRIPTION	VARIABLES	VERIFICATION METHODS	REMARKS
Change in participation in decisions relating to WASH	Percentage of people who state that they have participated in WASH decisions	Types of participation	Household survey	▶ What the person thinks is what counts, not their actual participation ▶ Check the response by asking how the person is able to participate ▶ This question can concern either the person or their household, but this need to be clarified
Change in knowledge of water management as the community level	Percentage of people who know who manages water in their community, why, and what their role is	Existence of a water point committee (or management structure)	Household survey or observation of committee records	▶ What the person thinks is what counts, not the actual facts ▶ The water point committee may have a different name depending on the country and programme
Change in access to information about WASH	Percentage of people who state that they have access to information	Types of information available and means of access	Household survey	▶ What the person thinks is what counts, not the actual facts ▶ 'Information' here is general, this can be pointed out, and it can be written or oral
Change in capacity to press claims/complain about WASH problems	Percentage of people who state that they are able to complain about WASH problems, and they know who to complain to	Complaint typologies	Household survey	▶ What the person thinks is what counts, not the actual facts ▶ Check the response by asking how the person is able to complain ▶ This question can concern either the person or their household, but this need to be clarified
Change in the existence of people responsible for maintenance	Percentage of people who know who is responsible for maintenance Number of people trained in operation and maintenance	Nature of maintenance tasks	Household survey Observation	▶ What the person thinks is what counts, not the actual facts ▶ Check the response by asking the name of the responsible person ▶ This question can also examine if the person being questioned trusts the person responsible for operation and maintenance

Source: adapted from ACF (2015), WASH M&E Guidelines[70]

Depending on the country and project, it will be important to take account of the following transversal dimensions: gender, disability, HIV, the environment, etc.

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70 - ACF (2015), WASH Monitoring and Evaluation Toolkit

▶ **During the strategic phase, governance provides:**
- an analysis of governance prior to drafting or revising the mission strategy which will help to ensure greater coherence of future projects;
- knowledge of local and national governance which will make it easier to deploy a strategy and advocacy objectives for the mission.

Note: The mission strategy may incorporate a specific governance element, or governance may be integrated within more standard programmes. The choice will be governed by the context, donor and partner strategies, and the stakeholder capacities identified.

▶ **Points to watch out for during the phase for identifying needs:**
- the more detailed the analysis, the more coherent and relevant the project will be;
- at the national level, tools exist that provide an initial view of the situation: JMP and GLAAS are available online, and other indicators exist depending on the particular country;
- at the regional and local levels, analysis may consist of a review of the literature and a qualitative survey among stakeholders;
- at the community level, analysis tools most commonly used are: a KAP survey (knowledge – attitudes – practices) that governance questions can be added to; focus group discussions and interviews with key figures (community leaders, religious leaders, elders, etc.).

▶ **Donors all have their own strategies. But there are similarities in terms of governance:**
- all the donors listed in this document want to be involved with programmes that will have durable impacts, even for emergency programmes;
- most donors favour the establishment of an institutional and legislative environment that favours durable access to services;
- most donors are willing to fund capacity-building activities for institutions and communities;
- most donors stress the importance of greater transparency and good management of infrastructures;
- several donors appear to favour funding advocacy activities aiming to improve the WASH sector's legislative and regulatory framework.

▶ **Donors, even if they do not mention governance explicitly, are therefore in favour of funding governance-related activities.**

▶ **Many activities relating to implementing governance are possible in the field, for example:**
- capacity-building for those in charge: national and local institutions, water operators, communities, national NGOs, etc.;
- strengthening cooperation between sectors and between stakeholders in the sector;
- advocacy: either run by the NGO directly, or run in partnership with national and local organisations. This may involve capacity-building and assistance with the advocacy capacities of local and national partners;
- support for drafting and implementing a community action plan;
- strengthening the private sector to create or reinforce a supply chain for space parts, facilitate the adoption of social pricing for services or the sale of spare parts and latrines, etc.

CONCLUSION

A governance approach makes it possible to treat problems of access to water and sanitation in a more inclusive manner. It is not the only response, nor is it a ready-made solution, but it can be used to identify the tools and levers with which to improve the situation. It may also be a question of running a governance programme or governance activities within the context of a more traditional type of programme. Actions put in place may be designed to strengthen the capacities of stakeholders, establish participative and more transparent decision-making processes, reduce tensions between stakeholders, advocacy, and so on. Above all else, ensuring adequate governance means creating a project designed to last and that can be more easily appropriated by its beneficiaries.

This approach represents an evolution for the WASH sector. Recognition of the right to water and sanitation, in 2010, established a legal foundation for advocacy (community-based or not). The recent adoption of the Sustainable Development Goals is further testament to a more inclusive and qualitative vision of access to water and sanitation. As well as universal, just, sufficient and affordable access to water, the SDGs also take account of factors such as water quality, the efficiency and sustainability of services and water management and community participation.

There are several options open to NGOs: set up programmes to strengthen governance at the local and national levels, help to capitalise on them at the national and international levels, and contribute to international initiatives for knowledge creation, information sharing and advocacy, such as the OECD's Water Governance Initiative. These actions cannot be top-down only, dictated from NGO head offices; they also have to come from missions themselves and act in combination and with or following on from programmes deployed by the WASH team.

ANNEXES

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ANNEX 1: BIBLIOGRAPHY AND WEBSITES

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ANNEX 2: POSITION PAPER ON WATER GOVERNANCE (ACF PHILIPPINES 2013)

ENSURE BETTER ACCESS TO WATER FOR THE MOST VULNERABLE MEMBERS OF SOCIETY

The UN General Assembly's recognition of the rights to water, on 10 July, 2010 was a major step forward in the process of ensuring greater international awareness of the importance of access to water. The MDGs are a further example of the objectives set by the international community: cut by half the number of people worldwide without access to water by 2025. In many countries, this goal will not be achieved.

As part of their search for the best solution for ensuring universal access to water, actors in the sector called into question the relevance of the implemented projects. Water's social, political and economic dimensions became a central preoccupation. Taking account of water governance at international, national and local levels made it possible to identify brakes on better access to water as well as opportunities for the water sector.

The Philippines had already recognised the right to drinking water. After a process of decentralisation in 1990, government services, municipalities and barangays are in charge of water supplies, protection of the resource and other functions.

> **THE RIGHT TO WATER AND SANITATION**
>
> 28 of July 2010, through resolution 64/292
>
> **The United Nations recognised:**
> *'The right to safe and clean drinking water and sanitation is a human right.'*
>
> It also called on states and international organisations to:
> *'provide financial resources, help capacity-building and technology transfer to help countries, in particular developing countries, to provide safe, clean, accessible and affordable drinking water and sanitation for all.'*

In Cotabato (formerly North Cotabato), questions of access to water mainly revolve around physical and financial accessibility. The most vulnerable people have no access to water, and those who do or could have access find it unaffordable. Several causes of these difficulties were identified and local authorities have a key role in seeking to overcome them.

THE WATER SECTOR IN THE PHILIPPINES: THE RESPONSIBILITY OF LOCAL AUTHORITIES

INFRASTRUCTURE INVESTMENTS
Today, the Philippines is confronted with difficulties in meeting growing demand for water and finding the funds needed to make the necessary investments. Current levels of investment will not allow the country to meet its aim of universal provision by 2025. The Philippines development plan for 2011-13 calls for greater investment in infrastructure to meet growing demand, in the light of a growing population. Water is not always a priority for local authorities. Constructing durable infrastructures requires significant investment, and local authorities do not always have sufficient resources to make the investments needed, nor do they receive aid from central government. Yet from 2002 to 2011, the central government devoted around 3% of national annual expenditure to water-related programmes and just 4.1% of this budget was spent providing access to water and sanitation. The budget for access to water is too small, at national and local levels.

WATER PRICE
The price of water is one of the major obstacles to access to water for the most vulnerable people in Cotabato and the Philippines. In the barangays studied by ACF, the poorest spent around 15% of their income on water, a rate far higher than international standards.

THE WASH BUDGET
As a rule when a local authority wishes to invest in water infrastructures it does not set aside a specific WASH budget. All profits and losses from public services are mixed together in the municipality's budget, and no money is set aside for maintenance and operation. Generally, water appears as neither a fixed nor a specific budget line. It is also hard to find out whether the infrastructure is well or badly managed, and then to improve it. This can increase public mistrust.

PARTICIPATION IN DECISIONS ABOUT WATER
In the same vein, where budgets are not set in a participative way, transparency and the search for consensus are compromised. The participation of everybody in decisions relating to water requires freedom of association and speech, and an active civil society. It is also a good indicator of good governance: if everybody is able to join in decision-making their interests are more likely to be taken into account.

....

RECOMMENDATIONS

SET UP A MUNICIPAL WASH COMMITTEE

The municipal WASH committee is a committee based within the municipal council, and it will be in charge of overall coordination and management of WASH-related issues in the municipality. The creation of such a committee or working group can be backed by a council order or resolution appointing the mayor or local chief executive as president of the committee. Its members are generally from municipal and civil society institutions. For example: an agent from the municipal planning and development service, another from the municipal health service, the president of the local water and sanitation association, etc.

Roles played by these committees include: capacity-building for barangay water and sanitation associations, including technical assistance and/or supervision, preparation and integration of a municipal WASH plan into the development and/or annual investment plan, policy formulation, and monitoring and evaluation. It will help to ensure project sustainability and that the interests of all are better taken account of, especially the interests of the poorest.

INCLUDE THE MUNICIPAL WASH PLAN AS PART OF THE INTEGRATED MUNICIPAL DEVELOPMENT PLAN

The municipal WASH plan is prepared on the basis of resource mapping or an inventory in all the barangays covered. Integrated development plans are updated every five years so that municipalities can make a strategic annual WASH coverage plan, and decide which barangays will be prioritised. The same sort of planning can be applied to WASH for barangays in order to supplement the municipal plan. Barangay WASH plans should be included in their development plans. The plan must include a strategy and specific budget line as well as implementation schedule.

This WASH plan will improve sustainability of services thanks to a specific budget available each year. It will also help to define a clear direction for all staff and the municipality's partners, and to prepare for investment and/or access to funding. Ensuring that civil society participates will improve the municipality's accountability to citizens and improve their services. In this way, the most vulnerable people will have access to an improved service.

ALLOCATE BUDGETS FOR WASH PLANS IN ANNUAL INVESTMENT PLANS

The WASH plan cannot be separate. It needs to be investment in municipal development plans and, most importantly, in annual investment plans. The same applies to the barangay WASH plan.

This will ensure that WASH is given an annual dedicated budget and continuity of investments, capacity building, monitoring and evaluation. It will also guarantee the projects' transparency and sustainability.

By involving all parties in devising the WASH plan and annual investment plan, the interests of all of them will be taken into account. Access for everyone, especially the most vulnerable, will thereby be improved. In addition, when everyone knows how decisions are taken, they are more likely to accept them, and subsequent cost recovery thus becomes easier.

FINANCIAL ACCESSIBILITY OF WATER

▸ Access to water must be provided without reducing the person's capacity to acquire other essential goods and services (food, health, education, housing, etc.).

▸ This means that the 'capacity to pay' must be considered as well as 'willingness to pay' when drawing up water rates. Mechanisms whereby costs can be subsidised for people who cannot pay often need to be established.

▸ Water is considered affordable if the rate paid does not exceed 3% to 5% of the household's income.

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The Water Governance Facility: *www.watergovernance.org*
UN-Water: *http://www.unwater.org/*

Source : ACF Philippines (2013)

ANNEX 3: COUNTRY WASH STRATEGY MAINSTREAMING GOVERNANCE (ACF KENYA 2014)

1. STRENGTHENING SYSTEMS: COUNTIES, THE PRIVATE SECTOR AND THE COMMUNITY

There has been progress in improving WASH in the ASAL region but the rhythm has been slow due to weak capacity. With the possibility of decentralisation, the plan is for counties to take decisions adapted to the context to bridge the gaps. To improve the provision of WASH services, the programme will work closely with two counties and the private sector to meet the community's needs. This goal will be achieved thanks to the strengthened capacity of counties participating in sound management with the aim of reducing the breakdown in an operational water supply in the rural environment. Other contributing factors will be improved management of information, the private sector's participation in water management, training and better policies (formulation, strengthening, effective implementation of county legislation) and coordination between the others. Systems based on community health units will be set up and their capacity strengthened. The support of these units will improve hygiene and promote sanitation. Promoting social marketing to increase the private sector role will be useful in creating a demand that is key to scaling up local sanitation and hygiene initiatives. To support water services for rural communities, the water sector has invested substantially in community management with the goal of increasing appropriation, and plans to increase local responsibility in the provision of services. The programme will promote strong community governance and the principles of good management to overcome the deficiencies of water supply. This goal will be achieved thanks to the support of local micro-entrepreneurs and robust principles of governance to increase community confidence in water management.

2. PROMOTING EQUITABLE ACCESS TO WATER AND SANITATION

The most vulnerable people do not have the capacity to meet their basic needs, particularly during difficult periods, thus contributing to the risk of undernutrition. The programme will seek to bridge households' financial gaps by making it easier to include the most vulnerable and other groups in decision-making relating to WASH services. Advocacy will be used to decrease equality-based, as opposed to equity-based, allocation of resources at the county level. It will target decision-makers. Advocacy will be based on the facts and evidence accumulated by studies, surveys and evaluations. The same principles will be applied to the WASH programme with the goal of targeting the most vulnerable beneficiaries. Gender equity will also be emphasized in programme design and implementation to ensure that men, women, girls and boys all participate in WASH services. This will be important in arid and semi-arid zones where girls and women have culturally always been excluded from taking a direct part in essential decisions, including for water management, even though they play the biggest part in ensuring water provision.

3. STRENGTHENING GOVERNANCE

Water governance systems determine the accessibility of water because they define who can have what water, when and how, and who has the right to water and related services. Weak governance will therefore affect the sustainability of water services, even for institutions with strong capacity. The programme will strengthen governance in community systems and work with counties for long-term viability of access to water.

Source: ACF Kenya mission strategy, 2015-2020

ANNEX 4: TERMS OF REFERENCE OF A LOCAL GOVERNANCE STUDY (ACF DJIBOUTI 2015)

1. STUDY OBJECTIVES

This governance study is being carried out as part of the AFD project to Strengthen the expertise and influence of ACF and its civil society partners from the southern hemisphere in the fight against malnutrition in 3 countries of sub-Saharan Africa and is closely linked to the Djibouti project's sanitation marketing section.

The goal of the study is to contribute to the development of a favourable environment in the Djibouti sanitation sector for promoting the involvement of the sector's different actors in developing community efforts to stop open-air defecation and encourage household participation while supporting the local private sector in supplying local sanitation services.

This governance study will have the following specific objectives:

- analyse the institutional environment and regulatory framework of the Djibouti sanitation sector: the strengths, weaknesses, threats and opportunities of the institutional environment;
- evaluate and clarify the roles and responsibilities of the different actors involved in the sanitation sector (government and public agencies, local authorities, civil society, communities, households ad private sector);
- identify collaborative relationships between the different actors and the spaces and platforms provided by existing forms of cooperation;
- develop a better understanding of how private actors in the sanitation sector are structured and function;
- analyse communities' and households' perception of local sanitary conditions, their needs and aspirations, and blocking factors in sanitation terms;
- propose a set of strategic and operational recommendations that will give the project a better understanding of the following factors and incorporate them into its programming:
  - coordination and involvement of the different actors;
  - roles and functions of the different actors in the new sanitation market;
  - the involvement of local government in connecting supply and demand in order to boost and support local markets;
  - the role of the market in programming sanitation;
  - prioritization of advocacy strategies in the sanitation sector.

2. RESULTS EXPECTED FROM THE STUDY

At the end of the study, the consultant will provide the mission and head office (Paris) with:

- a report, containing:
  - a presentation of national and local governance in Djibouti and Balbala;
  - analysis of actors operating in the sanitation sector, their strengths and weaknesses and their interactions (mapping and power analysis);
  - identification of potential allies and platforms that could be useful in implementing an ACF programme;
  - analysis of the link between communities and institutions, the private sector and/or NGOs; operational and strategic recommendations on actors' involvement, the link with the private sector and institutions;
  - advocacy ideas that ACF could subsequently use;
- a presentation of the preliminary results to the ACF team in Djibouti + external feedback workshop;
- a debriefing with the Paris head office presenting, among other elements, the study's preliminary results.

3. MAIN ACTIVITITES

REVIEW OF THE LITERATURE

Reading and analysis of key documents:

- ▶ strategies, laws and regulations that will give a better understanding of the sanitation regulatory framework;
- ▶ reports and strategies adopted by actors involved in the Djibouti sanitation sector that provide an overview of the situation;
- ▶ all other documents identified as relating to the study.

INTERVIEW WITH THE KEY ACTORS IN THE DJIBOUTI SANITATION SECTOR

Semi-directed interviews with:

- ▶ institutional actors to hear their analysis of the daily work undertaken by institutions, decision-making procedures, their role in implementing laws and policies, etc. This will provide an understanding of the difference between the regulatory framework and its implementation;
- ▶ local officials so they can demonstrate their knowledge of the institutional and regularly framework and its implementation and share their analysis of the sanitation sector and its problems. For example, questions will be asked on the available human resources, training, equity measures, etc.;
- ▶ local and international NGOs and donors to find out about their perception of the sector and actors in place as well as the problems and opportunities they encounter in the sector;
- ▶ the ACF team to benefit from their knowledge and experiences.

FOCUS GROUP DISCUSSIONS (FGD)

These group discussions with members of the target communities will provide an understanding of their experiences and perception of local governance as well as their expectations and willingness to participate. They will also serve to identify resource people who provide a link with the community as well as the existing link between the community and/or the private sector and/or NGOs.

TABLE 15: BUDGET FOR ALLOCATED FUNDS AND DEDICATED FUNDS - Example of an ACF 2015 mission

DESCRIPTION	QUANTITY	UNIT	DURATION	UNIT	UNIT PRICE	TOTAL BUDGET TOTAL (EUR)
WASH: WASH GOVERNANCE STUDY						
Consultancy costs	1	person	44.00	days	250.00	11,000
Signature	1	Unit	1.00		80.00	80
Per diem	1	person	37.00		23.20	858
Accommodation	In Kind					
Equipment and consumables	1	inclusive fee	1.00	times	270.00	270
Feedback workshop	1	Activity(-ies)	1.00	times	935.00	935
PROGRAMME						13,143
Rental vehicle	1	vehicle	1.23	month	1,950.00	2,405
Vehicle fuel	1	vehicle	1.23	month	330.00	407
International ticket + transport in France	1	unit	1.00	times	1,300.00	1,300
Transport						4,112
Telephone costs	1	inclusive fee	1.23	month	50.00	62
Communication						62
NON-STAFF						4,174
Translator	In kind (WASH staff)					
National programme staff						-
Expatriate staff						-
STAFF						-
TOTAL DIRECT COSTS						17 317

ANNEX 5: LIST OF THE OECD PRINCIPLES ON WATER GOVERNANCE (WGI, 2015)

IMPROVE THE EFFICIENCY OF WATER GOVERNANCE

> **PRINCIPLE 1.**
> Clearly allocate and distinguish roles and responsibilities for water policymaking, policy implementation, operational management and regulation, and foster co-ordination across these responsible authorities.

To that effect, legal and institutional frameworks should:

a) Specify the allocation of roles and responsibilities, across all levels of government and water-related institutions in regard to water:
   - policy-making, especially priority setting and strategic planning;
   - policy implementation especially financing and budgeting, data and information, stakeholder engagement, capacity development and evaluation;
   - operational management, especially service delivery, infrastructure operation and investment; and
   - regulation and enforcement, especially tariff setting, standards, licensing, monitoring and supervision, control and audit, and conflict management;

b) Help identify and address gaps, overlaps and conflicts of interest through effective co-ordination at and across all levels of government.

> **PRINCIPLE 2.**
> Manage water at the appropriate scale(s) within integrated basin governance systems to reflect local conditions, and foster co-ordination between the different scales.

To that effect, water management practices and tools should:

a) Respond to long-term environmental, economic and social objectives with a view to making the best use of water resources, through risk prevention and integrated water resources management;

b) Encourage a sound hydrological cycle management from capture and distribution of freshwater to the release of wastewater and return flows;

c) Promote adaptive and mitigation strategies, action programs and measures based on clear and coherent mandates, through effective basin management plans that are consistent with national policies and local conditions;

d) Promote multi-level co-operation among users, stakeholders and levels of government for the management of water resources; and

e) Enhance riparian co-operation on the use of transboundary freshwater water resources.

> **PRINCIPLE 3.**
> Encourage policy coherence through effective cross-sectoral co-ordination, especially between policies for water and the environment, health, energy, agriculture, industry, spatial planning and land use,

through:

a) Encouraging co-ordination mechanisms to facilitate coherent policies across ministries, public agencies and levels of government, including cross-sectoral plans;

b) Fostering co-ordinated management of use, protection and clean-up of water resources, taking into account policies that affect water availability, quality and demand (e.g. agriculture, forestry, mining, energy, fisheries, transportation, recreation, and navigation) as well as risk prevention;

c) Identifying, assessing and addressing the barriers to policy coherence from practices, policies and regulations within and beyond the water sector, using monitoring, reporting and reviews;

d) Providing incentives and regulations to mitigate conflicts among sectoral strategies, bringing these strategies into line with water management needs and finding solutions that fit with local governance and norms.

PRINCIPLE 4.
Adapt the level of capacity of responsible authorities to the complexity of water challenges to be met, and to the set of competencies required to carry out their duties,

through:

a) Identifying and addressing capacity gaps to implement integrated water resources management, notably for planning, rule-making, project management, finance, budgeting, data collection and monitoring, risk management and evaluation;

b) Matching the level of technical, financial and institutional capacity in water governance systems to the nature of problems and needs;

c) Encouraging adaptive and evolving assignment of competences upon demonstration of capacity, where appropriate;

d) Promoting hiring of public officials and water professionals that uses merit-based, transparent processes and are independent from political cycles; and

e) Promoting education and training of water professionals to strengthen the capacity of water institutions as well as stakeholders at large and to foster co-operation and knowledge-sharing.

IMPROVE THE EFFICIENCY OF WATER GOVERNANCE

PRINCIPLE 5.
Produce, update, and share timely, consistent, comparable and policy-relevant water and water-related data and information, and use it to guide, assess and improve water policy.

through:

a) Defining requirements for cost-effective and sustainable production and methods for sharing high quality water and water-related data and information, e.g. on the status of water resources, water financing, environmental needs, socio-economic features and institutional mapping;

b) Fostering effective co-ordination and experience sharing among organisations and agencies producing water-related data between data producers and users, and across levels of government;

c) Promoting engagement with stakeholders in the design and implementation of water information systems, and providing guidance on how such information should be shared to foster transparency, trust and comparability (e.g. data banks, reports, maps, diagrams, observatories);

d) Encouraging the design of harmonised and consistent information systems at the basin scale, including in the case of transboundary water, to foster mutual confidence, reciprocity and comparability within the framework of agreements between riparian countries; and

e) Reviewing data collection, use, sharing and dissemination to identify overlaps and synergies and track unnecessary data overload.

PRINCIPLE 6.
Ensure that governance arrangements help mobilise water finance and allocate financial resources in an efficient, transparent and timely manner,

through:

a) Promoting governance arrangements that help water institutions across levels of government raise the necessary revenues to meet their mandates, building through for example principles such as the polluter-pays and user-pays principles, as well as payment for environmental services;

b) Carrying out sector reviews and strategic financial planning to assess short, medium and long term investment and operational needs and take measures to help ensure availability and sustainability of such finance;

c) Adopting sound and transparent practices for budgeting and accounting that provide a clear picture of water activities and any associated contingent liabilities including infrastructure investment, and aligning multi-annual strategic plans to annual budgets and medium-term priorities of governments;

d) Adopting mechanisms that foster the efficient and transparent allocation of water-related public funds (e.g. through social contracts, scorecards, and audits); and

e) Minimising unnecessary administrative burdens related to public expenditure while preserving fiduciary and fiscal safeguards.

PRINCIPLE 7.
Ensure that sound water management regulatory frameworks are effectively implemented and enforced in pursuit of the public interest,

through:

a) Ensuring a comprehensive, coherent and predictable legal and institutional framework that set rules, standards and guidelines for achieving water policy outcomes, and encourage integrated long-term planning;

b) Ensuring that key regulatory functions are discharged across public agencies, dedicated institutions and levels of government and that regulatory authorities are endowed with necessary resources;

c) Ensuring that rules, institutions and processes are well-coordinated, transparent, non-discriminatory, participative and easy to understand and enforce;

d) Encouraging the use of regulatory tools (evaluation and consultation mechanisms) to foster the quality of regulatory processes and make the results accessible to the public, where appropriate;

e) Setting clear, transparent and proportionate enforcement rules, procedures, incentives and tools (including rewards and penalties) to promote compliance and achieve regulatory objectives in a cost-effective way; and

f) Ensuring that effective remedies can be claimed through non-discriminatory access to justice, considering the range of options as appropriate.

PRINCIPLE 8.
Promote the adoption and implementation of innovative water governance practices across responsible authorities, levels of government and relevant stakeholders,

through:

a) Encouraging experimentation and pilot-testing on water governance, drawing lessons from success and failures, and scaling up replicable practices;

b) Promoting social learning to facilitate dialogue and consensus-building, for example through networking platforms, social media, Information and Communication Technologies (ICTs) and user-friendly interface (e.g. digital maps, big data, smart data and open data) and other means;

c) Promoting innovative ways to co-operate, to pool resources and capacity, to build synergies across sectors and search for efficiency gains, notably through metropolitan governance, inter-municipal collaboration, urban-rural partnerships, and performance-based contracts; and

d) Promoting a strong science-policy interface to contribute to better water governance and bridge the divide between scientific findings and water governance practices.

IMPROVE TRUST AND ENGAGEMENT IN WATER GOVERNANCE

PRINCIPLE 9.
Mainstream integrity and transparency practices across water policies, water institutions and water governance frameworks for greater accountability and trust in decision-making,

through:

a) Promoting legal and institutional frameworks that hold decision-makers and stakeholders accountable, such as the right to information and independent authorities to investigate water related issues and law enforcement;

b) Encouraging norms, codes of conduct or charters on integrity and transparency in national or local contexts and monitoring their implementation;

c) Establishing clear accountability and control mechanisms for transparent water policy making and implementation;

d) Diagnosing and mapping on a regular basis existing or potential drivers of corruption and risks in all water-related institutions at different levels, including for public procurement; and

e) Adopting multi-stakeholder approaches, dedicated tools and action plans to identify and address water integrity and transparency gaps (e.g. integrity scans/pacts, risk analysis, social witnesses).

PRINCIPLE 10.
Promote stakeholder engagement for informed and outcome-oriented contributions to water policy design and implementation,

through:

a) Mapping public, private and non-profit actors who have a stake in the outcome or who are likely to be affected by water-related decisions, as well as their responsibilities, core motivations and interactions;

b) Paying special attention to under-represented categories (youth, the poor, women, indigenous people, domestic users) newcomers (property developers, institutional investors) and other water- related stakeholders and institutions;

c) Defining the line of decision-making and the expected use of stakeholders' inputs, and mitigating power imbalances and risks of consultation capture from over-represented or overly vocal categories, as well as between expert and non-expert voices;

d) Encouraging capacity development of relevant stakeholders as well as accurate, timely and reliable information, as appropriate;

e) Assessing the process and outcomes of stakeholder engagement to learn, adjust and improve accordingly, including the evaluation of costs and benefits of engagement processes;

f) Promoting legal and institutional frameworks, organisational structures and responsible authorities that are conducive to stakeholder engagement, taking account of local circumstances, needs and capacities; and

g) Customising the type and level of stakeholder engagement to the needs and keeping the process flexible to adapt to changing circumstances.

PRINCIPLE 11.
Promoting non-discriminatory participation in decision-making across people, especially vulnerable groups and people living in remote areas,

through:

a) Promoting non-discriminatory participation in decision-making across people, especially vulnerable groups and people living in remote areas;

b) Empowering local authorities and users to identify and address barriers to access quality water services and resources and promoting rural-urban co-operation including through greater partnership between water institutions and spatial planners;

c) Promoting public debate on the risks and costs associated with too much, too little or too polluted water to raise awareness, build consensus on who pays for what, and contribute to better affordability and sustainability now and in the future; and

d) Encouraging evidence-based assessment of the distributional consequences of water-related policies on citizens, water users and places to guide decision-making.

PRINCIPLE 12.
Promote regular monitoring and evaluation of water policy and governance where appropriate, share the results with the public and make adjustments when needed,

through:

a) Promoting dedicated institutions for monitoring and evaluation that are endowed with sufficient capacity, appropriate degree of independence and resources as well as the necessary instruments;

b) Developing reliable monitoring and reporting mechanisms to effectively guide decision-making;

c) Assessing to what extent water policy fulfils the intended outcomes and water governance frameworks are fit for purpose; and

d) Encouraging timely and transparent sharing of the evaluation results and adapting strategies as new information become available.

Source: OECD (2015)

ANNEX 6: OTHER RESOURCES ON WASH GOVERNANCE INDICATORS

▸ **Equity index in water and sanitation:** developed in 2013, it measures progress made by states to achieve just access to the right to water and sanitation. Already used to measure progress made by 56 states, it uses indicators such as the budget allocated by the state to ensure access to services by the most disadvantaged, or access differences between urban and country areas[1].

▸ **Asia Water Governance Index:** developed in 2010, this compares water governance in Asia using 20 indicators covering the three dimensions of governance: legal, political and administrative. It analyses, among other factors, the level of decentralisation in the sector, project selection criteria, water price policies, the level of participation by the private sector, users, and the existence of accountability mechanisms[2].

▸ **OECD Multi-level Water Governance:** developed in 2011 and used to analyse a number of OECD and non-OECD states, this is a multi-level analysis tool. It is designed to study seven types of inter-linked gaps: policy gap, objective gap, capacity gap, information gap, administrative gap, funding gap and accountability gap[3].

▸ **ADB Water Security Index:** developed in 2013, it analyses countries' regulatory and legislative frameworks and the effectiveness in achieving water security. It does this by examining five dimensions of water security: household, economic, urban, environmental, and resilience in the face of water-related disasters[4].

▸ **User's guide on Assessing Water governance:** developed in 2013 by the UNDP, the Water Governance Facility, SIWI (Stockholm International Water Institute) and WIN, this guide seeks to answer three questions: how to analyse water governance, what to analyse, and how. It uses the TAP approach: transparency, accountability and participation[5].

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1 - Jeanne Luh, Rachel Baum, Jamie Bartram (2013), Equity in water and sanitation: Developing an index to measure progressive realization of the human right, International Journal of Hygiene and Environmental Health, Volume 216, Issue 6, pages 662–671

2 - Araral E. and Yu D (2010), http://lkyspp.nus.edu.sg/iwp/wp-content/uploads/sites/3/2013/04/AWGI-brochure-IWP-LKYSPP9-10.pdf, consulted 05/09/2015

3 - OECD (2011), Water Governance in OECD countries, Paris

4 - ADB and Asia-Pacific water forum

5 - SIWI and UNDP (2013), User's Guide on Assessing Water Governance, Stockholm

ANNEX 7: LOGICAL FRAMEWORK FOR A STAND-ALONE WASH GOVERNANCE PROJECT

TITLE	EMPOWERMENT OF PEOPLE AND INSTITUTIONS			
MAIN OBJECTIVE	Help to improve public services and the resilience of host communities and refugees.			
SPECIFIC OBJECTIVE	Improve social cohesion, health and access to WASH by vulnerable groups (women, girls, boys and men).			
	INTERVENTION LOGIC	**OBJECTIVELY VERIFIABLE INDICATORS**	**SOURCES OF VERIFICATION**	**ASSUMPTIONS**
OUTCOMES 1	Local institutional capacities are reinforced to provide gender- and culture-sensitive water supply services	- Local or national institutions that sign an MoU with ACF - Members of local institutions trained by sector and by county - Sector diagnostics undertaken and used to reinforce capacity	- WASH report and health MoU signed with the institutions - Plan capacity-building: - training attendance sheet - minutes of meetings	- security conditions will not adversely impact the project zone - no change in humanitarian context and government policies - involvement of concerned institutions and focal points remains unchanged throughout the life of the project
2	Access to water is supported and water storage practices are improved within targeted households	- Community-based organisation (CBO) partners involved in the project - Trained CBO members - Households connected to the public water network - % increase in the number of households adopting good water storage practices	- MoU with supported CBOs - Meetings' attendance sheet - Field visits and monitoring reports - Signed contracts between beneficiaries and the water company	
3	Replication of best practices at the regional level is encouraged by sharing experiences and disseminating results	- Participants in the launch, regional and finalisation workshops - Documents relating to the project produced and distributed - 1 final external evaluation	- Meetings and workshops attendance sheets - Capitalisation reports, technical papers, case studies - Evaluation report	
ACTIVITIES	**Local institutional capacities are reinforced to provide gender- and culture-sensitive water supply services** 1.1 Partnership agreements, organisational and technical diagnosis of the health and WASH sector Partnership agreements, organisational diagnosis and clients Negotiation and signature of a partnership agreement, an organisational and technical diagnosis of the public institution partner 1.2 Development of a capacity-building plan and capacity building via training and technical assistance 1.3 Specific training in transparency and service management, and mapping vulnerabilities in the context of a WASH programme. 1.4 Contract with the local water company to connect the households identified 1.5 Revision of the training curriculum with the health ministry, UN and NGO partners 1.6 Monitoring, support and supervision of training **Access to water is supported and water storage practices are improved within targeted households** 2.1 Identification and connection of the poor to the water network 2.2 Identification of CBOs, training and coaching CBOs in awareness-raising 2.3 Development of an awareness-raising and communications strategy and a campaign to promote water conservation Coaching for households in how to manage water contracts and demand quality services **Replication of best practices at the regional level is encouraged by sharing experiences and disseminating results** 3.1 Communication about project results 3.2 Regional workshop 3.3 Final external evaluation			**Precondition:** Government agencies supply the authorisations needed to implement the project

ANNEX 8: LOGICAL FRAMEWORK FOR A WASH PROJECT, MAINSTREAMING GOVERNANCE
(ACF, BURKINA FASO, 2015)

INTERVENTION LOGIC	OBJECTIVELY VERIFIABLE INDICATORS	VERIFICATION SOURCES AND METHODS	ASSUMPTIONS
OVERALL OBJECTIVES			
Lasting improvement in access to WASH. Contribute to meeting national targets for access to WASH. Improve living conditions and dignity of people living in the province.	Significant and lasting improvement in provincial indicators for drinking water, sanitation and hygiene to meet MDG targets.	Regional report on implementation of the strategies. Annual report of the health district of the Regional Health Department.	
SPECIFIC OBJECTIVE			
Reduction in morbidity related to water-borne diseases via a durable improvements in access to water, the health situation and hygiene practices of people in the province.	Increase in the rate of access to drinking water in the province: from 41.86% at the beginning of the project to 55% in 2015, i.e. an increase of over 30% in the rate of access, or an increase of 13 points in the rate of access to water.	Reports from the regional strategic piloting committees.	The country's socio-political situation remains stable. Regular and reliable provision of statistics at the health district level. There are no epidemic outbreaks. Collaboration with the health district continues.
	15% fall in the prevalence of water-borne diseases across the entire province.	Statistical data, comparison with initial, intermediate and final KAP surveys.	
OUTCOMES			
R1. 60,000 people have sustainable access to drinking water infrastructures	200 modern water points that meet Burkinabé standards, 44% built, 56% renovated.	Acceptance sign-off report for the structures (borehole monitoring sheet, development sheet, microbiological examination, physical-chemical analysis), national inventory of water infrastructure, bi-annual water quality report.	No unusual drying up of the water table. No water table pollution created by radical changes to the health environment (e.g., flooding). Community authorities and communities are willing and able to participate in the activities Climatic and security conditions are such that it is possible to transport people and equipment to all areas of the project zone. Prices for materials and services remain stable.
	300 committee members are trained in management and techniques needed for maintenance.	Training reports	
R2. 7,800 people adopt and use improved latrines.	20 tours to promote sanitation were organised in the province.	Internal and external project evaluation reports.	
	1 training session in construction techniques for Sanplat and ECOSAN domestic latrines organised, 20 builders attend.	Training report and donation certificates.	
R3. 356,700 beneficiaries experienced a durable improvement in their healthy living knowledge and practices	1,850 sanitation and health promotion sessions carried out in villages	Session presence report, internal activities monitoring report	
	At least 50% of people who benefited from health promotion activities improved their health and hygiene practices (3)	Comparison of KAP survey results pre- and post-project, health surveys	

R4. Strengthening local governance	1 A prior study is made of the legal and institutional framework	Governance study report	The country's socio-political situation remains stable. Community and regional authorities are willing and able to participate in the activities
	600 elected officials and members of technical services are trained and strengthened	Training report, Internal project monitoring	
	Laws and regulations that are missing to ensure, or that inhibit, universal access to services are identified and modified	Advocacy activity reports, Legislative processes	

ACTIVITIES TO DEVELOP

R1.A1 : Renovation and construction of structures to enable access to drinking water	A1.1. Provincial planning meeting with communes A1.2. Diagnostic study of the feasibility of rehabilitation/construction A1.3. Drafting calls for tenders and preselection of entrepreneurs, in collaboration with provincial and communal authorities A1.4. Monitoring work sites in partnership with provincial and communal authorities A1.5. Reception of equipment by the project owner
R1.A2 : Strengthening community capacity to manage drinking water infrastructures	A.2.1 Training/recycling of Water User Associations (6 members of over 160 water user associations) A2.2 Training hand-operated pump managers in protection and hygiene A2.3 Training/recycling of (2x 200) hand-operated pump managers in financial, administrative and technical management
R2.A3 : Implementing and promoting family latrines	A3.1. Identification, training and equipment for communal building teams A3.2. Monitoring and audit of the latrine building campaign A3.3. Presentation of the technology package and construction strategy to local people A3. 4. Creation of eight pilot ECOSAN gardens
R3.A4 : Community mobilisation to reduce water-borne illnesses	A4.1. Knowledge, Attitudes, Practice survey A4.2. Education/awareness-raising in health and sanitation
R4.A5 : Prior study of the legal and institutional framework	A5.1 Study of governance of the legal and institutional framework
R4.A6 : Capacity-building for local authorities	A6.1 Communal information and awareness-raising sessions on the MDGs A6.2 Support for the drafting of provincial development strategies in partnership with communes and local authorities A6.3 Reinforcing the skill sets and operational capacities of the local partner A6.4. Training and support for local elected officials and focal points about reforms to the management of water structures A6.5. Training and support for communal authorities about public procurement procedures A2.1. Training/recycling of local officials in financial, administrative and technical management A2.3. Training, development and equipment for maintenance operators
R4.A7 : Advocacy	A7.1 Prior analysis of stakeholders, sources of power and blocking factors for the WASH sector A7.2 Feedback workshop looking at the prior analysis, sharing information with sector stakeholders and drafting an action plan A7.3 Identification and deployment of advocacy objectives

NOTES

FOR FOOD.
FOR WATER.
FOR HEALTH.
FOR NUTRITION.
FOR KNOWLEDGE.
FOR CHILDREN.
FOR COMMUNITIES.
FOR EVERYONE.
FOR GOOD.
FOR ACTION.
AGAINST HUNGER.

ACTION AGAINST HUNGER

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