### "Leaving No One Behind: Sustainable WASH Services in Rapidly Changing Context"

# WASH Enabling Environment and Sanitation and Water for All (SWA) Evariste Kouassi Komlan, Regional Adviser, WASH UNICEF EAPRO, Bangkok









### **Session Objectives**

By the end of this session, you will:

- Understand what is an "enabling environment" and a Theory of Change for the WASH sector
- Know the SWA "Building Blocks" and "Collaborative Behaviors" for improving WASH sector performance
- Be introduced to a range of tools and methodologies which allow deeper understanding and analysis of the enabling environment
- Review which of these are most relevant for your context



nicet 😢

# Introduction



## What are WASH Sector Goals?

# National Goals Increasingly focus on Universal Access, influenced by the MDGs and SDGs

- At-scale service delivery and behavior change
  - Increase in scale and rate of progress
- Reducing inequality
  - Access for all population groups (whether location, income level, ethnicity, gender, etc.)
- Sustainable: country can
  - Maintain service programs
  - Operate facilities
  - Maintain behavioral practices with minimal outside resources

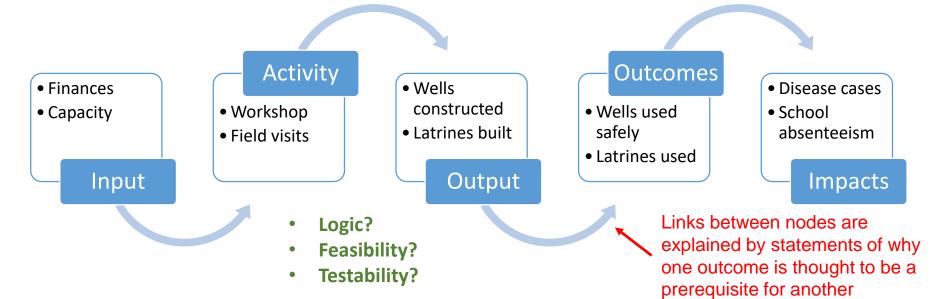




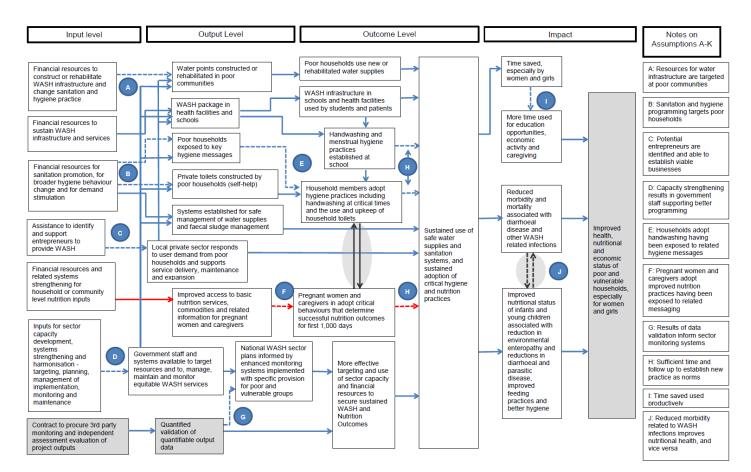
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# Achieving WASH Sector Goals Requires a Theory of Change (ToC)

- ToC explains the process of change by outlining causal linkages
- "Outcomes pathway" shows each outcome in logical relationship to all the others, as well as chronological flow



### **Balancing Complexity/Simplicity**



Vision

Objectives

Programming

Principles

#### Realization of the human rights to water and sanitation

By 2030, achieve universal and equitable access to safe and affordable drinking water for all

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

Reduce inequality

- Sustain access to services at scale
- Promote resilient development
- Strengthen accountability at all levels

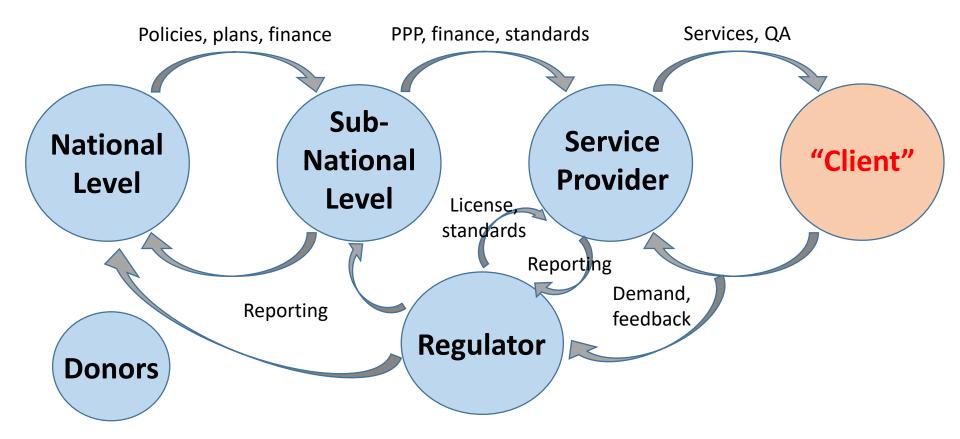
- Contribute across SDGs
- Integrate humanitarian and development programming
- Strengthen national systems



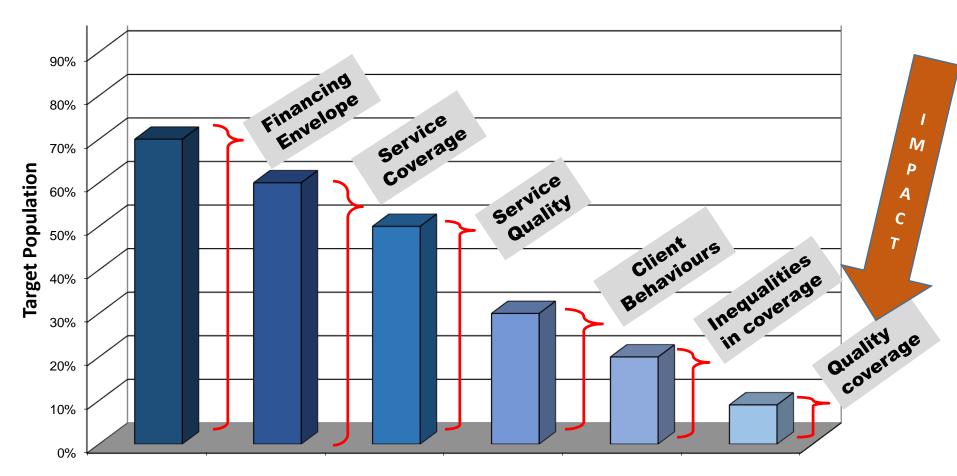
Evidence-based programming and monitoring

ToC in **UNICEF's** WASH Strategy 2016-30

### In WASH, Outcomes Depend on Interactions Across Multiple Levels



### What Happens When Systems Don't Work?

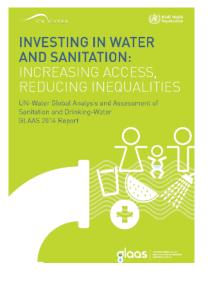


# **Frameworks and Tools**



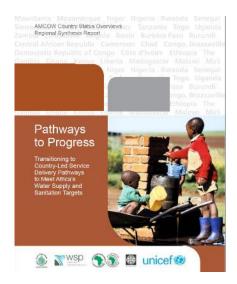
# **Tools for Assessing the Enabling Environment**

### GLAAS



Global Assessment and Analysis of Sanitation and Drinking-Water

**CSO or SDA** 



Country Status Overview Service Delivery Assessment

### **UNICEF EE Framework, WASH BAT**





# **Aims of the GLAAS**

- Monitors the inputs required to extend and sustain WASH systems and services to all, especially the unserved and disadvantaged groups
- Supports country-led processes that bring together institutions and actors involved in delivering WASH
- Identifies drivers and bottlenecks of progress, highlight knowledge gaps, and assess strengths and challenges
- $\Rightarrow$  Feeds into the Sanitation and Water for All (SWA) meetings  $\Rightarrow$  Works with regional initiatives (AMCOW in Africa)



As well as **94** countries, includes **23** external support agencies (>90% WASH ODA)

Global report includes chapters on:

1. National planning and coordination

Policy – HRTWS – human resources – coordination – equity

### 2. Monitoring

Data availability - national reports - service providers

3. Financing: national and external support

Sufficiency – sources – plans – targeting – absorption – affordability – tariffs

4. Targeting external aid towards country needs Aid – alignment – breakdowns – targeting - impacts Donor report includes:

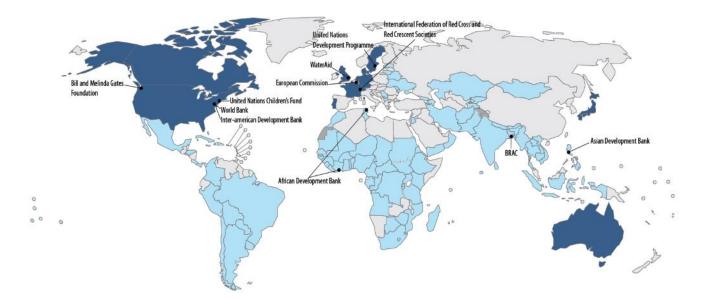
- 1. Aid priorities
- 2. WASH strategy
- 3. WASH programme outcomes
- 4. Spending by recipient country
- 5. WASH sector targeting

6. Collaborative behaviours

# GLAAS Coverage (2013/14)

PARTICIPATION IN 2013/2014 GLOBAL ANALYSIS AND ASSESSMENT OF SANITATION AND DRINKING-WATER (GLAAS)

- BI-LATERAL DONOR/EXTERNAL SUPPORT AGENCY \_\_\_\_\_\_ NOT A PARTICIPANT
- AID RECIPIENT COUNTRY
  NOT APPLICABLE



=> New GLAAS survey round ongoing for reporting in mid-2019

# **World Bank Tools**

MAPAS Latin America 2011-present: 8+ countries

Country Status Overviews Sub Sahara Africa (with AMCOW) 2006/7: 16 countries 2011/12: 32 countries

Service Delivery Assessment South Asia: 2012-2015: India - 6 states Pakistan - 4 provinces Bangladesh

> Service Delivery Assessment East Asia and Pacific: 2012-2015 7 countries

# **Concept: Service Delivery Pathway**

Finance: How much has been spent and where it is coming from?

3

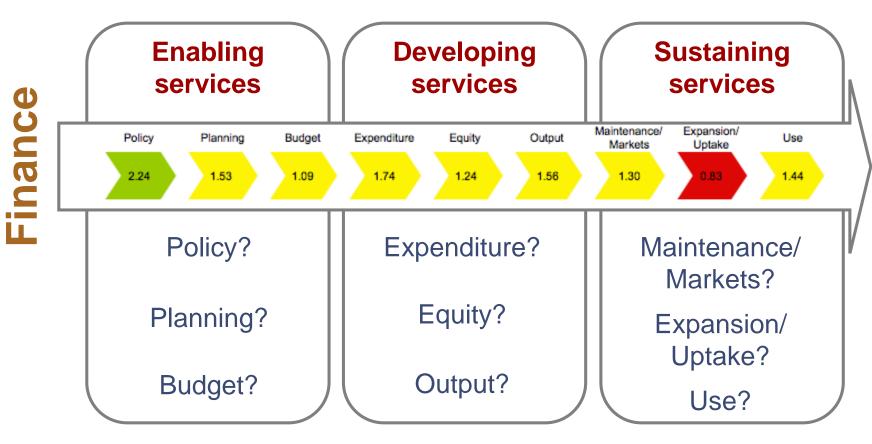
How much should be spent to meet national goals? Service delivery pathway The process by which finance is turned into services

**Services** 

What can be done to improve it?

Outcomes: What is the progress towards the national targets? What are the disparities?

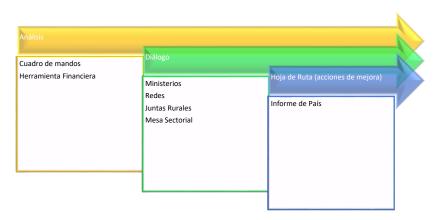
# **Inside the Service Delivery Pathway**



Services

### MAPAS: herramienta tipo semáforo y de análisis financiero para monitorear el entorno y los resultados del sector de ASH

- Responde a demanda de países de CA. Desarrollada por PAS (BM)
- Herramienta participativa de monitoreo y planificación, que promueve el diálogo sectorial.
- Metodología de reuniones técnicas y talleres de consulta
- 5 países en 2 rondas MAPAS I (Honduras, El Salvador y Panamá) y MAPAS II (incluyó además a Costa Rica y República Dominicana)



### Resultados generales para Centro América

	Institutional Framework			Sector Development			Sustainability				
	Country	Average Score	Policies	Planning	Budget	Implementation	Equitable	Results	Mantainance	Expansion	Users
1	Nicaragua	0.89	1.2	0.9	1.0	1.3	0.9	1.0	0.8	0.9	1.1
2	Guatemala	0.87	2.25	0.25	1.38	0.5	1.50	0.69	0.08	0.63	0.60
3	Honduras	1.3	2.5	1.5	0.9	1.8	0.5	1.2	1.4	1.0	0.9
4	Panama	1.38	1.75	1.00	2.13	1.5	0.75	1.5	1.0	1.1	1.6
5	El Salvador	1.43	0.63	1.25	1.13	1.9	2.38	1.44	1.01	1.38	1.78
6	Costa Rica	1.8	2	1.6	1.9	1.6	1.1	2.2	1.7	2.3	2.1

1. Nicaragua, Guatemala y Honduras están retrasados respecto del resto de países.

- 2. Costa Rica muestra resultados positivos en términos de servicios sostenibles de A y S
- 3. Con excepción de Honduras, los países invierten para mantener las metas ODM o lograr los ODS
- 4. La provisión de servicios de A y S con equidad permanece como el principal desafío de gestión
- 5. La mayoría de países tiene buen desempeño en términos de diseño de políticas e implementación de inversiones. Lo anterior no se traduce en otras dimensiones
- 6. Se necesita trabajar mucho para implementar bien las políticas.

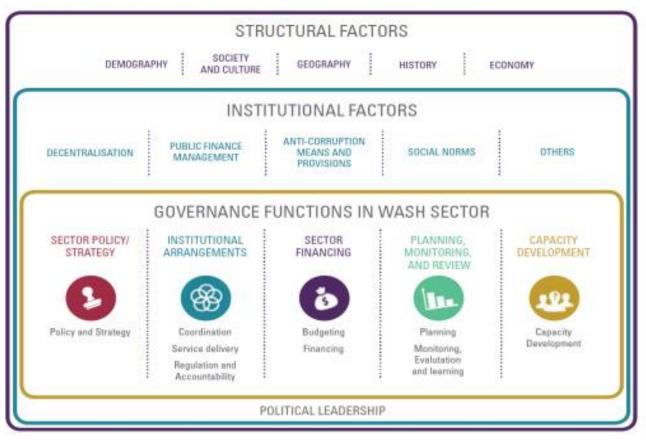
### MAPAS II incorpora un pilar de Seguridad Hídrica

### **Results: Scorecard for Water Security**

	Availability	Quality	Governance		
Variables	(Policies, Strategies, Infrastructure, Resilience)	Infrastructure, M&E	Accountability, Institutional and Legal Framework		
Honduras	0.4	0	2		
El Salvador	1	1.1	1.5		
Costa Rica	2	1.1	1.5		
Panama	2.5	1.5	1.9		

- 1. Honduras está un tanto atrás en términos de políticas e infraestructura que promueve un servicio de A y S resiliente, es decir, capaz de recuperarse ante eventos extremos
- 2. Todos los países carecen de instrumentos y de herramientas del monitoreo de los parámetros de calidad del agua lo que pone en riesgo la salud y productividad en las áreas urbanas y rurales
- 3. Los mecanismos de rendición de cuentas y el marco institucional para la seguridad hídrica son incipientes

### **UNICEF Enabling Environment Framework**

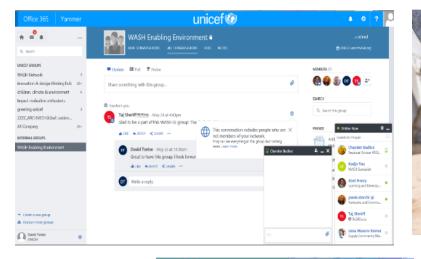


Incorporates the 5 SWA "Building Blocks"



### **UNICEF Enabling Environment Framework**

#### **UNICEF** Community of Practice (external)



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#### **EE Guideline and Training Workshop**



#### **Online Course**



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#### Website available at

https://washenablingenviron ment.wordpress.com/



Strengthening Enabling **Environment for Water, Sanitation** and Hygiene (WASH) Platform

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## Example: Implications for Good Water Programming

sustainable services progressively reducing inequalities.

Sustainability monitoring, quality surveillance, regular sector reviews, and continuous learning

Policy and legislation, planning, coordination, budgeting and finance, regulation, capacity,

Water Service

Water

Sector

Service management and operation, accountability

Investments in infrastructures Water safety planning

Water Point

Water resources assessments, Community mobilisation Support national MIS including sustainability, joint sector reviews, validation of water safety, data use and sharing, SDG monitoring

Support clear roles and responsibilities, national SDG targets setting, evidence and equity based planning, regulation and accountability, integration of climate resilience, development of options for water service delivery arrangements, sustainability strategies, generate evidence, strengthen institutions capacity, develop water safety frameworks

Develop service models including supply chains, post project support, enhance accountability framework

Improve quality of procurement and implementation, capacity building and professionalism

Strengthen community demand, understanding of availability and quality of water and risk-assessment as well as community participation is programme design and implementation

## **UNICEF Programming is Context-Specific**

### WASH Programming Approaches

Strengthen enabling environments

Utilize evidence to promote child rights

Leverage sustainable financial resources

Build sustainable markets

**Empower communities** 

Deliver services and supplies

### Capacity context

Darker indicates more intensive use of approach

Emergency	Fragile	Low Capacity	Medium Capacity	High Capacity
		:		

# WASH BAT Coverage (2012-18)

BAT applied in multiple sub-sectors in >30 countries (until 2018)

Bangladesh, Bolivia, Burkina Faso, Burundi, Cameroon,
Chad, Cote d'Ivoire, DRC, Eritrea, Ethiopia, Ghana,
Guinea, Guinea-Bissau, Haiti, India, Kenya, Liberia,
Madagascar, Mauritania, Nepal, Niger, Nigeria, Pakistan,
Rwanda, Senegal, Sierra Leone, Somalia, South Africa, South
Sudan, Sudan, The Gambia, Togo, Vanuatu, Vietnam, Zambia

**Bold** – National and sub-national analyses

<u>Underline</u> – subnational only

### BAT applied in WASH in schools in 9 countries

Afghanistan, Bangladesh, China, Ghana, Kyrgyzstan, Lao PDR, Mongolia, Nepal, Sri Lanka







# Sanitation and Water for All



- Vision: sanitation, hygiene and water for all, always and everywhere
- Global partnership of country governments, private sector and civil society organizations, external support agencies, research and learning institutions
- Priority areas
  - Increase political prioritization
  - Promote development of strong evidence base
  - Strengthen government-led national planning processes
- Activities: high level meetings and implementing SWA framework in countries (building blocks, collaborative behaviours)
- 60 countries, 23 external support agencies, >80 CSOs

# **Sanitation and Water for All**

### **Five Building Blocks**



#### Sector Policy / Strategy

- Sector policies and strategies that identify sector goals and pathways, giving direction to sector investments
- Strategies for implementation, including agreement on implementation models / sustainable service delivery approaches
- Policies/strategies covering:
  - All sub-sectors (urban, rural, drinking water and sanitation)
  - National and subnational levels

### Institutional arrangements



- Identification and allocation of institutional roles and responsibilities, including decentralization commitments
- Country driven and inclusive coordination mechanisms that allow for participation of a broad range of stakeholders in dialogue, communication, and identification of mutual interest around service delivery and sector learning
- Legal and regulatory frameworks to underpin the desired targets and reinforce roles and allocation of resources

#### Sector Financing



- Medium Term Expenditure Framework which matches government priorities with available resources
- Realistic and transparent sector budget with identifiable funding streams
- Availability and use of data on financing streams including the 3Ts (taxes, tariffs and transfers) and comparable, realistic estimates for all sector cost categories for sustainable service delivery.

#### Planning, monitoring, and review

- Effective, inclusive and systematic planning, monitoring and evaluation of sector performance to ensure the most effective route to achieve goals
- Mid- and longer- term review of sector performance through multi-stakeholder platforms and mechanisms for sector dialogue and learning
- Clearly defined accountability mechanisms
- Data transparency and public access to information

#### Capacity development



- Capacity building and development plans addressing:
  - The capacity of institutions to fulfill sector roles and responsibilities for sustainable service delivery at scale, including the availability of necessary structures, tools, training, and incentives
  - The capacity of individuals to effectively engage in the sector through sector institutions or as educated consumers
  - The capacity of sector stakeholders to adapt and innovate by engaging in (collective) sector learning

# SWA Partners Are Now Monitoring Performance on the Four «Collaborative Behaviours»

Enhance government leadership of sector planning processes

Strengthen and use country systems Use one information and mutual accountability platform Build sustainable water and sanitation sector financing strategies Enhance government leadership of sector planning processes

		GOVERNMENT	DEVELOPMENT PARTNERS
1.2	Percentage of WASH activities that are a) captured in the national WASH plan or b) aligned with a government national WASH plan	Data not available	Data not available
	TOP 5 GOVERNMENT MINISTRIES (in terms of WASH budget)		
	a. Ministry of Water Resources	Data not available	
	b. Ministry of Health and Sanitation	Data not available	
	c. Ministry of Education, Science and Technology	Data not available	
	d. Ministry of Local Government and Rural Development	Data not available	
	e. Ministry of Finance and Economic Development	Data not available	
	TOP 5 EXTERNAL SUPPORT AGENCIES (in terms of ODA disbursed 2011–2013)		
	f. Department for International Development (United Kingdom)		Data not available
	g. African Development Fund (African Development Bank)		Data not available
	h. Japan International Cooperation Agency (Japan)		Data not available
	i. OPEC Fund for International Development		Data not available
	j. European Commission		Data not available

- A regularly updated, government-led national plan for WASH is in place and implemented
- Percentage of activities that are a) captured in the national WASH plan or b) aligned with a government national WASH plan

		GOVERNMENT	DEVELOPMENT PARTNERS
	2.2.a Development partners adhere to country planning processes and policies		* * * * ☆
Strengthen and	<ol> <li>Development partners use country procurement systems for WASH<sup>7</sup></li> <li>TOP 5 EXTERNAL SUPPORT AGENCIES (in terms of ODA disbursed 2011–2013)</li> </ol>		
	a. Department for International Development (United Kingdom)		Data not available
use country	b. African Development Fund (African Development Bank)		0%
	c. Japan International Cooperation Agency (Japan)		100%
systems	d. OPEC Fund for International Development		Data not available
	e. European Commission		16%8
	2. Percentage of NGOs participating in central government-led sector coordination framework		
	a. Sanitation		67%
	b. Drinking-water supply		20%
	c. Hygiene promotion and/or practice		100%

- Government has defined public financial management & procurement systems that adhere to broadly accepted good practice
- Development partners adhere to country procurement system and NGOs participate in coordination mechanism
- Ratio of ODA allocated to strengthening country systems versus to WASH infrastructure projects

DEVELOPMENT GOVERNMENT PARTNERS

Use one information and mutual accountability platform

3.1.a A formal government-led multi-stakeholder, including DPs and civil society, coordination and review mechanism exists that includes mutual review and assessment	* * * * * * 20 out of 20	★ ★ ☆ ☆ ☆ 10 out of 15
1. A formal mechanism exists to coordinate activities of different organizations with responsibilities for WASH (health, education, environment, public works, etc.)	Yes (5 out of 5)	
2. Mechanism includes all ministries and government agencies that directly or indirectly influence service delivery	Yes (5 out of 5)	
3. Mechanism includes non-governmental stakeholders (e.g. development partners)	Yes (5 out of 5)	
4. Date of last national assessment for drinking-water, sanitation, and hygiene	2013 (5 out of 5)	
5. Percentage of NGOs participating in central government-led sector coordination framework		20-100%
6. Development partners that are active in national coordination/harmonization platform		AfDB, UK, World Bank (3 out of 5)
7. Development partners that are taking a leading role in national coordination		AfDB (5 out of 5)
8. Development partners that indicate being part of a mutual assessment exercise		AfDB, UK (2 out of 5)

- A formal government-led multi-stakeholder, including DPs and civil society, coordination and review mechanism exists that includes mutual review and assessment
- Data is collected and used to inform decision-making
- Development partners a) use country monitoring frameworks or
   b) harmonize their monitoring with country practices

#### DEVELOPMENT GOVERNMENT PARTNERS

Build sustainable water and sanitation sector financing strategies

.2	Percentage of development partner WASH assistance that is a) on treasury or b) on budget <sup>18</sup>	* * ☆ ☆ ☆
	a. Percentage of sector budget support to governments (not targeted to specific projects)	
	TOP 5 EXTERNAL SUPPORT AGENCIES (in terms of ODA disbursed 2011–2013)	
	1. Department for International Development (United Kingdom)	3%
	2. African Development Fund (African Development Bank)	8.5%
	3. Japan International Cooperation Agency (Japan)	Data not available
	4. OPEC Fund for International Development	Data not available
	5. European Commission	15.7%
	b. Use of pooled funding	3 out of 4
	c. Partners provide general budget support	4 out of 4
	d. Means through which donor funds are channeled to the sector <sup>19</sup>	
	1. Percentage of donors going through national budget (disaggregated)	Data not available
	2. Percentage of donors providing targeted support for sector funding	Data not available

- Data are available on taxes, transfers and tariffs and their contribution to the WASH sector
- Percentage of development partner WASH assistance that is a) on treasury or b) on budget



### **OVERVIEW — SUMMARY OF COLLABORATIVE BEHAVIOURS**

COLLABORATIVE BEHAVIOUR	GOVERNMENT	DEVELOPMENT PARTNERS
Enhance government leadership of sector planning processes	****☆	Not available
2 Strengthen and use country systems	★★★☆☆	****
Ose one information and mutual accountability platform built around a multi-stakeholder, government-led cycle of planning, monitoring, and learning	****	****☆
Output Substainable water and sanitation sector financing strategies that incorporate financial data from taxes, tariffs, and transfers as well as estimates for non-tariff household expenditure	* \$ \$ \$ \$	****

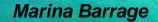
# Conclusions

- Long-term shift in international consensus from vertical, uncoordinated programmes and project approach towards systems thinking and coordinated action
- Sector goals have shifted from hardware access to service use and behavior change, including sustainability

### **Reflection questions for discussion**

- How much has your country participated in these approaches and initiatives?
- What is the prevalent approach in your country?
- What progress has been achieved with these approaches?
- What are system weaknesses, and opportunities to change these?

### Thank You









**INVERTED**