

“Leaving No One Behind: Sustainable WASH Services in Rapidly Changing Context”

WASH Enabling Environment: Bottleneck Analysis Tool (WASH BAT)

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Session Objective



By the end of this session, you will:

- Learn a specific technique of sector assessment called 'bottleneck analysis'
- Be introduced to the bottleneck analysis tool UNICEF has developed and applied in over 20 countries, with examples
- Understand the required process in bottleneck analysis implementation
- Explore the online WASH BAT

What is the WASH BAT?

Based on other tools covered in the EE introduction session, the WASH BAT was created to provide a step-by-step methodology to collaboratively identify and propose solutions for the problems afflicting the WASH sector

It is a root cause analysis that seeks to answer – what are the key constraints to scaling up and sustaining quality WASH services? How can they be removed and at what cost? What is the priority and sequencing of each? Who is responsible?

Primary adopters of the tool: GOVERNMENT with BROAD SECTOR OWNERSHIP

Outcome of the tool:

1. Agreed major fundable activities to remove priority bottlenecks that inhibit sector progress
 2. Integrated into government systems, gaining political support, with regular M&E
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What is a 'Bottleneck'

A bottleneck is defined as a factor constraining Progress in the delivery of goods or services to a Target population, and the sustained consumption of that service

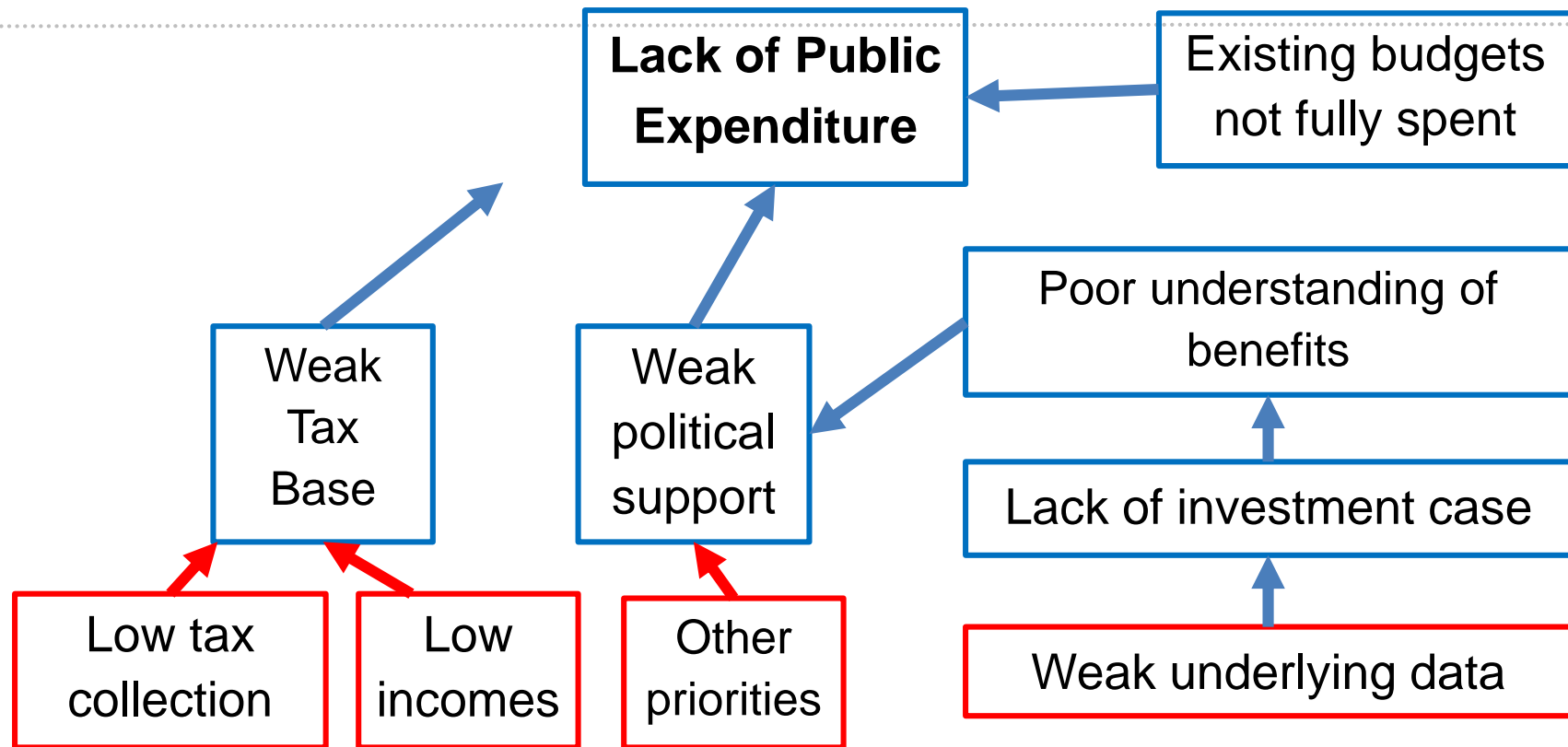


The factor can be

- The absence of an enabler
- The presence of a disabler

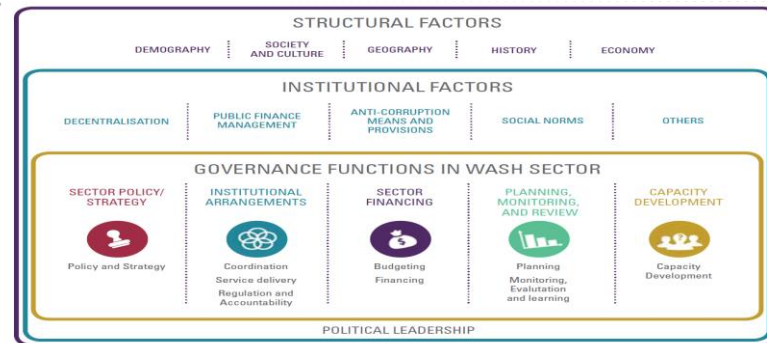
Don't mix bottlenecks with their causes

Different Levels of Bottleneck



Basis of the Analysis

- Major assessment areas:
 - Five sector building blocks (9 'governance functions')
 - Broader enabling environment
 - Service providers





- >90 criteria to allow detailed assessment
- Groups decide if criteria describe the outcome, and can add or adjust

In brief, the WASH BAT:

- Brings stakeholders together in an open forum to explore what are the factors constraining WASH sector progress
- Facilitates identification of workable solutions to these problems, with costs, priorities, sequencing and responsibilities – which can directly feed into work plans of each stakeholder
- Highlights resource gaps to solve sector solutions
- Enables monitoring of bottlenecks over time and fine-tuning of approach to address them

The tool therefore provides confidence to sector investors that issues are being addressed rationally and lead to workable solutions

The Online Interface


WASHBAT Guy Hutton  













WASH Analysis ▾

- Scope of Analysis
- Participant List
- Building Blocks
- Awards, Bottlene...**
- Activities for Bott...
- Costing Intervent...
- Fund allocations
- Responsibility
- Reports

Administration ▸

— Coordination (?) ↔

Outcome: All rural water stakeholders work to one government plan and report using the same system, under the aegis of effective responsible institutions or a coordinating body Score: 

Criteria	Award	Bottleneck	Actions
A coordination body or mechanism for rural water exists	 Explain Award	<input type="text" value="Test Bottleneck"/>  	Manage Cause
		+ Add New Bottleneck	
Institutional roles and accountabilities are clearly defined and operationalized	 Explain Award	<input type="text"/>  	Manage Cause
		+ Add New Bottleneck	
Well-functioning body coordinates stakeholders and meets as needed	 Explain Award	<input type="text"/>  	Manage Cause
		+ Add New Bottleneck	
Mandated government agency leads rural water stakeholders	 Explain Award	<input type="text"/>  	Manage Cause

Give Award

Identify bottlenecks

and causes

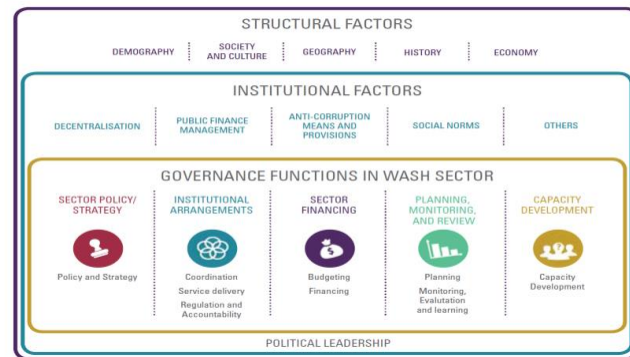
WASH BAT enables in-depth analysis

The tool allows assessment of criteria:

- The private sector is incentivized to invest in rural water infrastructure and service delivery
 - Public allocations to water as % GDP are sufficient
 - % of external aid (out of total aid for rural water) that supports water plans and budgets
 - Tariffs can be adjusted to cover the costs of services (OpEx if CapEx is covered by public funds) and cost inflation
 - Existence of financing institutions and mechanisms to raise additional finances for rural water (e.g domestic bond market)
 - There is a ready pipeline of bankable projects in rural water
- Are these important?
 - How does the sector measure up to these?
 - If there are gaps, what are they?
 - What activities are needed to overcome them?
 - How much do these cost? Over what time period? Who's responsible?

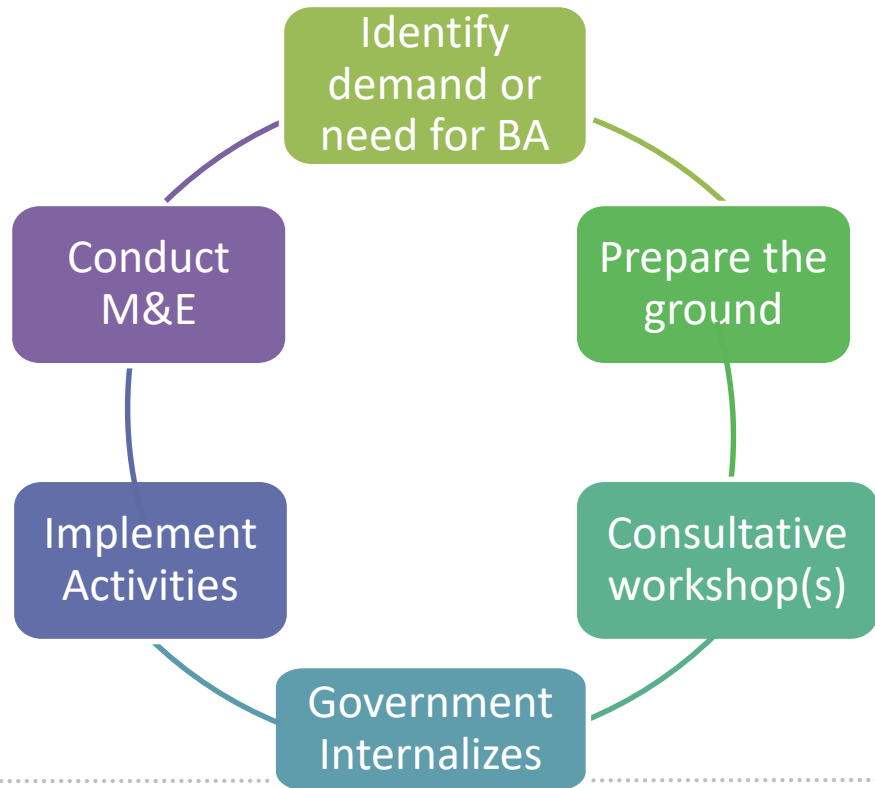
Key Facts about the WASH BAT

- The WASH BAT was developed in 2012 as an Excel-based model and over 3 years was implemented in multiple sub-sectors in >15 countries
- In 2014 work began on an online software version, and by now has been implemented in many African and Asian countries
- This version adopts UNICEF's Enabling Environment framework
- The tool comes with a host of resources:
 - Website with online tool (unbranded)
 - www.washbat.org
 - Tool User Guide
 - **Country Implementation Guide**
 - Training materials
 - Brochure and information video



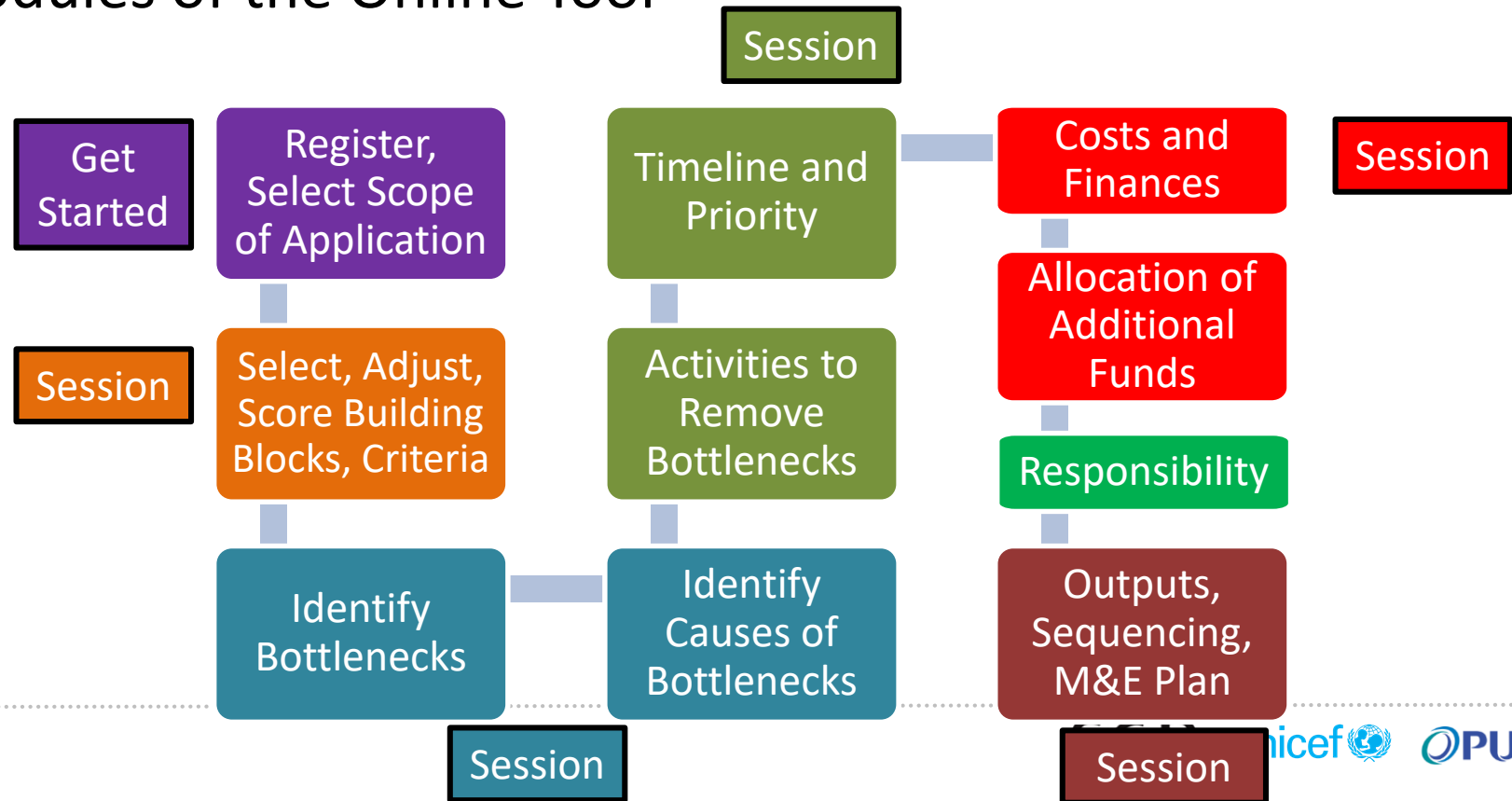
How is Bottleneck Analysis Implemented?

WASH BAT is both a tool and a process



How is Bottleneck Analysis Implemented?

Modules of the Online Tool



Conclusions

- WASH BAT is a powerful tool, if it is connected to policy processes and implementation
 - Government ownership of process from the start
 - Workshop outputs need endorsement and follow-up
 - Can feed into other monitoring initiatives – e.g. JSR
 - Can be repeated (lighter touch) after 1-2 years
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WASH Bottleneck Analysis Tool – Country Experiences

WASH BAT Coverage (2012-18)

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

Underline – sub-national only

BAT applied in WASH in schools in 9 countries (until mid-2018)

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

Democratic Republic of Congo

Objectives of the DRC WASHBAT

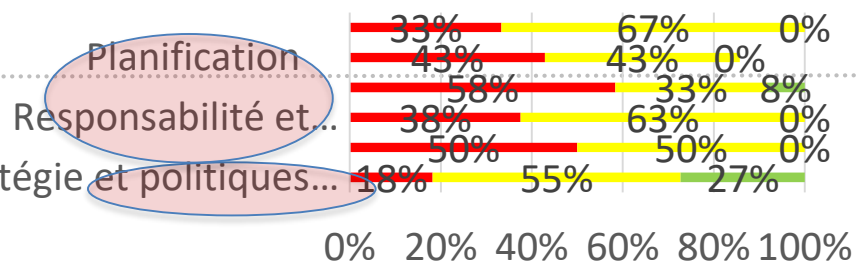
General

- To contribute to the improvement of the WASH governance in DRC

Specific

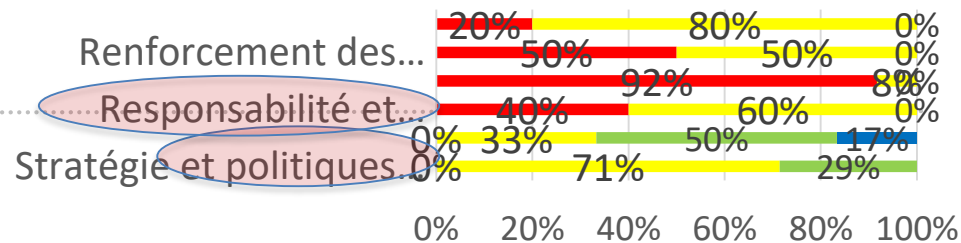
- To identify main bottlenecks at rural national level
- To specify and budget concrete prioritized actions aimed to remove the bottlenecks
- To outline an action plan and its implementation
- To map a matrix of roles and responsibilities within the action plan

WATER



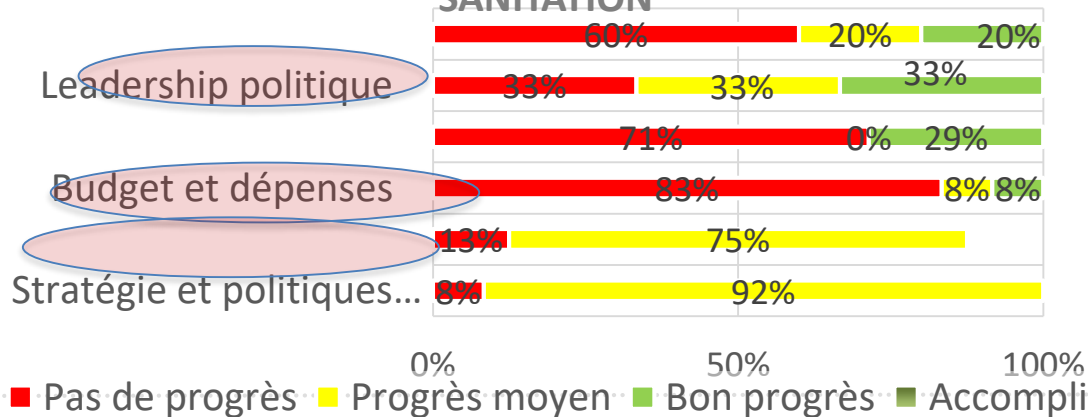
■ Pas de progrès ■ Progrès moyen ■ Bon progrès

HYGIENE



■ Pas de progrès ■ Progrès moyen
■ Bon progrès ■ Accompli

SANITATION



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STRATEGY

WATER- Improve the water legislation

HYGIENE- Update and simplify the hygiene legislator frameworks

SANITATION- Advance and implement the sanitation and decentralization legal framework

REGULATION

WATER- Establish national water regulator body (CPAEAH to protect consumer interests)

HYGIENE- Regularize the CNEAH meetings and improve the auditing material and equipment

SANITATION- Endorse decentralization legislation

CAPACITY BUILDING

WATER- To build budgeting, planning and monitoring capacities in one pilot province

HYGIENE- Capacity trainings form financial and auditing skills & enhanced meetings with donors and political establishment

SANITATION- Sensitization of political and administrative establishment

Ethiopia: Why the WASHBAT?

- Currently the sector is in process of revising the One WASH National Programme (ONWP) the largest SWAp programme of this kind globally
 - With the approval of GTP-2 and SDGs the ONWP is expected to be much larger in scope and more ambitious
 - As an input for the ONWP review the WASHBAT was organized = four sectors (R/U + W/S)
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Some challenges across the sector

- **Regulation** a priority for urban water, sanitation and rural water
- Finding **additional financing** for all subsectors is needed
- Develop **additional service delivery models**
- Promote inclusion of **private sector and entrepreneurship**
- Consider **mindset change** at ALL levels of society to be able to advance services (particular in Sanitation) for safely managed
- **Capacity development** is a need across all areas (salary, HR management, clarity, exchange, young professionals)
- Urban: city/clustered woreda wide water and sanitation sustainable plans
- Climate resilient WASH
- Research on evidence to advocate required changes

Urban Sanitation : PRIORITIES for moving forward

1. City wide sanitation master plan
2. Dedicated and allocated public budget for urban sanitation + donor funding (Sanitation Fund; Levy for sanitation)
3. Establish a regulatory agency and revise regulatory framework
4. Development of a comprehensive capacity development plan for sanitation
5. Develop sustainable service delivery model

Vietnam – Achievements of the WASH BAT

- ✓ Political commitment incl. SWA partnership enhanced
 - ✓ WASH indicators included in National Rural Dev. Program
 - ✓ Directives developed for scaling-up rural WASH
 - ✓ Provincial coordination mechanisms improved
 - ✓ Institutional capacity developed at local level
 - ✓ Regulations created to engage private sector
 - ✓ Quality assurance system improved
 - ✓ Finance for rural WASH ‘soft’ components increased
 - ✓ Access to loans for households from Social Policy Bank
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India

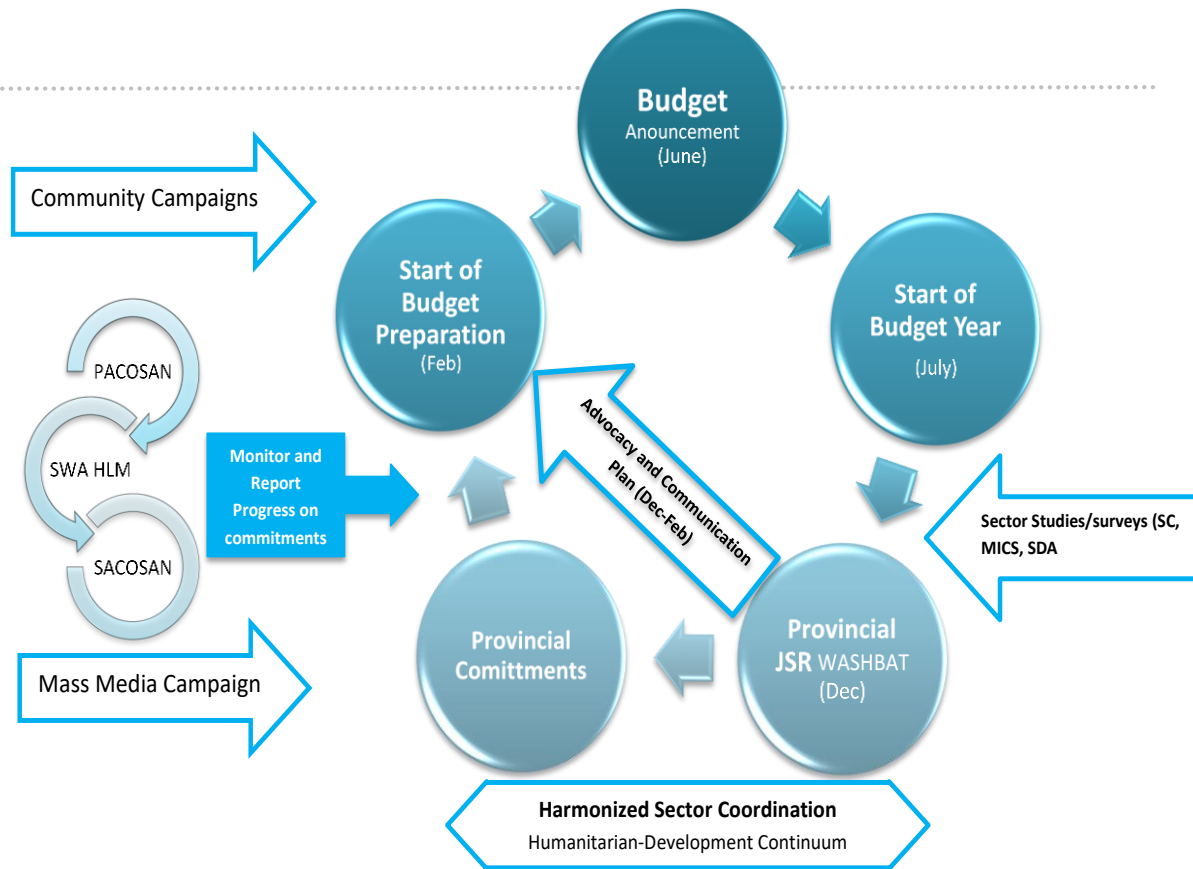
BAT was implemented at State level in Gujarat, Maharashtra, West Bengal and Uttar Pradesh

- Triggered identification of 'new' issues within the sector, particularly on equity and social norms
- Brought line departments together, providing an entry point for inter departmental communication
- Produced critical activities and action plans, with support agreed by UNICEF, World Bank, ADB, etc.
- The process of Annual Implementation Planning presents a platform for integrating the BAT within the existing system without any significant disruption - it adds value to the planning process

Pakistan

Federal country,
highly decentralized

WASHBAT has been
used for facilitating
JSRs in four major
provinces of
Pakistan, along with
SDG-6 WASH
costing tool



Pakistan - Process

- Workshop formats and locations varied. The best workshop was conducted in three days outside the provincial capital.
 - WASHBAT online cannot always be used during facilitation of discussions
 - Separate groups for Urban and Rural were sometimes not possible
 - National JSR is planned later in 2018 and expectations are that national SDG-6 targets will be consolidated from provincial JSRs and National WASH Sector TOC will be adjusted.
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Pakistan - Impact

- WASHBAT as part of JSR has helped development of WASH sector master plan with inter sectoral synergies at provincial level
- WASHBAT has contributed to review of existing policies and development of revised drafts
- WASHBAT has been instrumental in bring the 'less interesting' topics under discussion of all stakeholders
- JSRs helped in setting provincial targets for SDG- 6.1 and 6.2
- Now capitalizing on the JSR platform to serve as a spring board for strengthened WASH sector coordination mechanism in the provinces and at the national level

Thank You

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