

**STRENGTHENING  
ENABLING  
ENVIRONMENT FOR  
WATER, SANITATION  
AND HYGIENE  
(WASH)**

Guidance Note

May 2016





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Water, Sanitation and Hygiene in  
Humanitarian Action

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# **STRENGTHENING ENABLING ENVIRONMENT FOR WATER, SANITATION AND HYGIENE (WASH)**

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# PURPOSE OF THIS DOCUMENT

UNICEF is working with governments and partners to achieve the water, sanitation and hygiene (WASH) Sustainable Development Goal, covering mainly targets 6.1 and 6.2. This calls for universal and sustainable water and sanitation services with a progressive reduction of inequality, especially for the most vulnerable children, in times of both stability and crisis. While many countries have accelerated their contributions to the WASH sector, meeting SDG 6 by 2030 will require increased resources and effort. Affecting positive change in WASH sector performance requires a system-wide approach that tackles several dimensions simultaneously, including policy, financing, institutions and other key functions of the WASH enabling environment (EE). This approach necessitates developing a reform agenda based on a sound understanding of the WASH sector: its strengths, weaknesses, opportunities and bottlenecks.

This document focuses on WASH sector EE functions but recognizes that the WASH EE sits in a broader country context that influences UNICEF's work. It is a guide and resource for UNICEF country staff to strengthen the WASH EE. It contains easy access to references and tools offering more in-depth knowledge and guidance for users interested in the most up-to-date literature. This Guidance Note is designed to familiarize UNICEF WASH country staff with the concepts and importance of each EE function, to aid understanding of the logic of addressing EE, and to give sources of additional information. It forms the basis of a manual for face-to-face training that UNICEF and development partners may wish to undertake, and a distance learning course that will be available on the UNICEF Agora platform.





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## ACRONYMS

<b>BAT</b>	Bottleneck Analysis Tool	<b>MSF</b>	Multi-Stakeholder Forum
<b>CSO</b>	Country Status Overview	<b>NGO</b>	Non-Governmental Organization
<b>DFID</b>	Department for International Development (UK)	<b>ODF</b>	Open Defecation Free
<b>EE</b>	Enabling Environment	<b>OWNP</b>	One WaSH National Program
<b>EHP</b>	Environmental Health Project	<b>RSC</b>	Regional Sanitation Conference
<b>GIZ</b>	Deutsche Gesellschaft für Internationale Zusammenarbeit	<b>SDG</b>	Sustainable Development Goal
<b>ESA</b>	External Support Agency	<b>SWA</b>	Sanitation and Water for All
<b>GLAAS</b>	Global Analysis and Assessment of Sanitation and Drinking Water	<b>SWAp</b>	Sector-Wide Approach
<b>HLM</b>	High-Level Meeting	<b>TOC</b>	Theory of Change
<b>JSR</b>	Joint Sector Review	<b>UNICEF</b>	United Nations Children's Fund
<b>LGA</b>	Local Government Authority	<b>USAID</b>	U.S. Agency for International Development
<b>MDG</b>	Millennium Development Goal	<b>VFM</b>	Value for Money
<b>M&amp;E</b>	Monitoring and Evaluation	<b>WASH</b>	Water, Sanitation and Hygiene
<b>MoRES</b>	Monitoring Results for Equity System	<b>WHO</b>	World Health Organization
		<b>WSP</b>	Water and Sanitation Program
		<b>WSS</b>	Water Supply and Sanitation





## GLOSSARY OF KEY TERMS

**Acceleration** is defined as increasing the 'rate' or progress in achieving WASH access.

**The Enabling Environment (EE)** of the Water Sector is a set of interrelated sector functions that enable governments and public and private partners to engage in a sustained and effective WASH service delivery development process. In the context of UNICEF's work, an enabling environment for WASH is one that creates the conditions for a country to have sustainable, at-scale WASH services that facilitate achievement of the WASH Sustainable Development Goal of Universal Access for All with Progressive Reduction in Inequality.

**Reducing Inequality** is defined as achieving access for all subgroups within the population, which implies progressive disaggregation of data by income, gender, age, race, ethnicity, migratory status, disability, geographic location, and other characteristics relevant in to different national contexts.

**Scalability** refers to the possibility of increasing the scale and rate of progress in WASH service delivery and behaviour change. For example, it may imply expanding a project or programme from small scale (for example, reaching a limited population in a few

regions, villages or populations) to large scale (for example, achieving national coverage or reaching a majority of districts, villages or target populations).

**Sustainability** is the ability of a country, with minimal or no outside financial or technical assistance, to continue the work needed to: 1) maintain WASH service delivery programmes; 2) operate and maintain WASH facilities such as latrines and water points; and 3) maintain the practice of positive behaviours such as handwashing and eliminating open defecation.

**Water Governance** is defined as a set of rules, practices and processes that determines who gets what water, when, and how. Institutions and actors interact in the water sector through the main water governance functions. Water governance addresses most factors of the EE that can be influenced by sector stakeholders in the short to medium term. Structural and institutional factors provide positive or negative incentives to water sector performance and change, but are largely beyond the influence of the water sector. For the sake of this document the governance functions used in the WASH Bottleneck Analysis Tool (BAT) and in the programme on Accountability for Sustainability are harmonized with the broader EE functions.







## EXECUTIVE SUMMARY

This document is a guide to orient UNICEF country staff to support governments to strengthen the water, sanitation and hygiene (WASH) enabling environment<sup>1</sup> (EE). The guidance it provides is applicable to WASH subsectors, including urban and rural WASH. The goal and targets of the WASH Sustainable Development Goals (SDG 6) call for access to sustainable WASH for everyone by 2030. These are more ambitious and comprehensive than those of the Millennium Development Goals (MDGs). UNICEF and the wider WASH sector recognize that facilitating the acceleration, universality, scalability, sustainability and equity of WASH service delivery inherent in the SDGs, requires a paradigm shift in thinking and implementation. Without this, neither governments nor development partners will be successful in achieving the WASH-related SDG targets.

Achieving these targets will require that WASH services are government-led and presented as a comprehensive, long-term, cross-sectoral partnership across the public, private and non-governmental organization (NGO) spheres. The WASH Sector EE is a set of interrelated functions that allows governments and public and private partners to engage in efficient and sustainable WASH service delivery. In the context of UNICEF's work, an enabling environment for WASH is one that creates the conditions for a country to have sustainable, at-scale WASH services that will facilitate achieving SDG 6.

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<sup>1</sup> 'Enabling environment' also means 'system strengthening' and these terms are used interchangeably in the document.



UNICEF works with governments and partners to achieve universal and sustainable water and sanitation services with a focus on reducing inequality, especially for the most vulnerable children, in times of both stability and crisis. Affecting positive change in WASH sector performance requires a system-wide approach that tackles several dimensions – including policy, financing and institutions – and other key functions of the WASH sector as a whole. This approach necessitates developing a reform agenda based on a sound understanding of the WASH sector: its strengths, weaknesses, opportunities and bottlenecks.

Future work to strengthen WASH EE will build on efforts that stakeholders have already undertaken. In fact, UNICEF, governments and development partners have engaged in related efforts (sometimes called ‘upstream work’, ‘sector and policy reform’ or ‘systemic change’) for many years in the water supply subsector, and more recently in the sanitation and hygiene subsectors. The nature of EE work means that it is a challenge to show quantitative evidence of the impact or worth of the efforts, since the results are often indirect and cannot be attributed to any one factor or institution. Nevertheless, there is a growing number of case studies by UNICEF and development partners that demonstrate the impact of improving the enabling environment for access to sustainable WASH services.

This document focuses on key WASH sector governance functions that are grouped as follows: 1) sector policy and strategy; 2) institutional arrangements (covering sector coordination, service delivery arrangements, regulation and accountability); 3) planning, monitoring and review (covering separately sector planning and sector monitoring, evaluation and learning); 4) sector budgeting and financing; and 5) sector capacity development. The core WASH EE functions are aligned with those used in the revised and improved UNICEF WASH Bottleneck Analysis Tool (BAT).

Within the context of UNICEF’s Strategy for WASH (2016-2030), this guide describes a ‘Theory of Change’ (TOC) that defines long-term goals for the WASH sector and identifies the preconditions needed to accomplish them. Strengthen EE is one of six programming approaches of the Strategic Framework . The TOC further suggests that there are two important categories of contextual factors to consider: structural and institutional. The former includes factors such as

demography, society and culture, geography, history and economy. Institutional factors outside the WASH sector include political leadership, budgeting prioritization of competing needs and broader accountability measures.

The TOC states that with financial resources and technical assistance inputs from stakeholders including UNICEF, governments can implement actions which will strengthen given WASH EE governance functions. In turn, such strengthening will lead to sustainable and effective government-led WASH sector service delivery, thus fulfilling the human rights to drinking-water and sanitation. UNICEF staff can use this TOC in their conversations with government and development partners to support efforts to create an enabling environment for sustainable and equitable WASH services and related behaviour change. This TOC builds on UNICEF’s governance and accountability work in the WASH sector.

The document also proposes a six step process for UNICEF, government and development partners to systematically strengthen the EE. The steps used generally as components of a programming cycle are:

- **Agree:** Build consensus and leadership to improve the WASH sector and forge alliances with other development partners to strengthen WASH EE.
- **Assess:** Work with the government and partners to carry out a systematic analysis and assessment of the existing WASH EE.
- **Plan:** Facilitate a government-led process to design a comprehensive programme for strengthening the WASH EE and agreeing on roles for the government and development partners in the EE strengthening programme.
- **Invest:** Develop a WASH sector investment plan.
- **Implement:** a detailed work (implementation) plan for UNICEF support to the programme to strengthen the WASH EE, with related timeline, budget and human resource requirements.
- **Monitor and Evaluate:** Jointly with development partners, support government efforts to monitor the EE progress and improvements.



# CHAPTER 1: INTRODUCTION

The Sustainable Development Goals (SDGs), which are inclusive, people-centered and integrate economic, social and environmental dimensions, recognize that system strengthening can have positive effects on sustainable WASH services provision. The challenge is that all countries are expected to adapt the SDGs, targets and indicators to their national situation. This requires a review and updating of national policies and strategies, strengthening institutional accountability and regulatory mechanisms, improving national and sub national level planning, monitoring, evaluation and reporting processes and systems.

This document aims to provide a guide for UNICEF country staff to understand how to support governments in strengthening the WASH enabling environment (EE). The new UNICEF Global WASH Strategy for 2016–2030<sup>2</sup> calls for UNICEF to:

- Strengthen the enabling environment. Focusing on the EE is crucial given the universality, sustainability and equity of WASH service delivery required by SDG Goal 6 targets 6.1 and 6.2.
- Use the agency's convening power to improve advocacy and influence policy change in addressing universal access, equity and safely managed services. It also calls for strengthening evidence generation efforts to support resource mobilization, influence policies, and support or create institutions with capacity and leadership in planning, budgeting and monitoring.
- Target investments to support governments to strengthen the EE, and jointly conduct EE strengthening processes using existing collaboration and coordination mechanisms such as joint sector reviews.

An Enabling Environment is a set of interrelated sector functions that impact the capacity of governments and public and private partners to engage in the WASH service delivery development processes in a sustained and effective manner. In the context of UNICEF's work, an enabling environment for WASH is one that creates the conditions for a country to have sustainable, at-scale WASH services that will facilitate achievement of the Universal Access for All in WASH with Progressive Reduction on Inequality.

- Join with sector stakeholders to use and further develop analytical tools, such as WASH BAT, to analyze constraints within each EE functions, identify solutions, and develop action plans to address bottlenecks.

Working closely with governments and other partners, UNICEF can help develop strong WASH enabling environments at all levels, from national to community, addressing the full range of component parts: sector policy and strategy; sector coordination; service delivery, regulation and accountability; planning, monitoring, evaluation and learning; budgeting and finance; and capacity building.

UNICEF will also emphasize building the EE for, and capacity of, private sector actors, including small scale operators and service providers. UNICEF will continue to work with partners on related complementary initiatives and participate in joint sector reviews (JSRs) and other consultation mechanisms. Analytical work on national EEs will also be linked to regional and global processes, including regional WASH monitoring initiatives and consultations (such as regional sanitation conferences including SACOSAN and AfricaSAN), and ongoing core support to the Sanitation and Water for All (SWA) partnership, Joint Monitoring Programme, and UN-Water Global Analysis and Assessment of Sanitation and Drinking Water (GLAAS) to inform further analysis.

## 1.1 Why Strengthen the WASH Enabling Environment?

UNICEF supports governments and works with development partners to achieve universal and sustainable water and sanitation services with a focus on reducing inequality, especially for the most vulnerable children, in times of both stability and crisis. The goal of SDG 6 and the targets of the WASH SDGs call for access to safe and sustainable WASH for everyone by 2030. These aims are more ambitious and comprehensive than the previous Millennium Development Goal

<sup>2</sup> UNICEF. (2016). Strategy for Water, Sanitation and Hygiene (WASH) 2016-2030. New York: UNICEF



**Overall desired outcome:** government and stakeholders empowered to perform agreed WASH governance enabling functions at all levels to create necessary systems and processes required for provision of sustainable and safely managed WASH services to all its citizens



(MDG) WASH targets. There is broad consensus that a ‘projectized’ approach is too piecemeal and time-limited to enable countries to reach the SDG targets. UNICEF and the wider WASH sector recognize that the acceleration, scalability, sustainability and equity of WASH service delivery requires a paradigm shift in thinking and implementation, which is expressed in the 2016–2030 UNICEF WASH strategy. The current WASH delivery strategies and approaches that many governments and development partners practice may not be effective in achieving SDG goal. Experience and evidence from governments, UNICEF and development partners shows that achieving the WASH SDG targets in many countries will require a strong enabling environment that creates the conditions for transforming how governments work. This will result in WASH services that are government-led, government-

owned, and presented as a comprehensive, long-term, cross-sectoral partnership across the public, private and NGO landscape.

Examples of addressing the WASH EE to improve and scale up sustainable WASH service delivery are growing. The government-led rural sanitation programme in Ethiopia, for example, reduced open defecation from 84 per cent in 2010 to 34 per cent in 2015. During the same period, the Government of Ethiopia progressively reduced inequality in access to sanitation between the top and bottom wealth quintiles. Key factors in the Government of Ethiopia’s achievements were the support it received from UNICEF and other development partners to strengthen the rural sanitation EE. Actions included developing new policy and programmatic approaches for rural sanitation, developing a sector-wide





approach (SWAp) with unified indicators and monitoring systems, and increasing and better targeting external financing for rural sanitation.<sup>3</sup>

In Indonesia, the government-led, rural sanitation pilot in East Java Province (which has a rural population of over 20 million) accelerated the rate of access to improved sanitation from less than 1 per cent per year to more than 4 per cent per year. This pilot served as a learning laboratory for developing and improving national level policies, agreeing on roles for local government and the private sector, developing an effective methodology for creating demand for sanitation, and developing a nationwide programme. These results have in turn led to increased funding for rural sanitation by national and local governments.<sup>4</sup>

A WaterAid study (2016)<sup>5</sup> reviewed the experience of four countries (Singapore, the Republic of Korea, Malaysia, and Thailand) that have successfully achieved universal access to sanitation for all. The study concluded that the key success factors included: high-level political leadership; ongoing engagement by

political leaders in the implementation agenda; financing policies that included some element of subsidy; course correction mechanisms at all levels to identify and address obstacles to implementation quickly with remedial policy reforms; a well-coordinated multi-sector approach; capacity building; and continuous monitoring with increasing standards as goals were achieved.

Equally compelling is the long list of countries lagging in access to water supply and especially sanitation that have not effectively reached poor people or created sustainable WASH service delivery. Evidence from UN-Water's GLAAS survey<sup>6</sup> and the experience of development partners indicate that most poorly performing countries: have weak or no WASH policies; lack clarity on institutional roles, responsibilities and accountability; lack a clear and sustainable financing policy; and have weak institutional and human resource capacities. Growing evidence strongly suggests that these countries will make progress towards the SDG WASH targets when they strengthen their WASH EE.

Examples of the role of WASH EE by sub-sector may be found in Annex 2.

## 1.2 Why Align the WASH Enabling Environment with other Initiatives?

This WASH EE Guidance Note aligns with and supports UNICEF's 2016–2030 WASH strategy. This strategy calls for UNICEF to improve its efforts to support an EE that allows all actors to contribute effectively to capacity strengthening, promote innovation and increase water sanitation coverage.

The guidance document builds on UNICEF country staff experience in supporting the WASH EE for many years. The document is based on a review of the literature and global best practices and incorporates existing EE tools and approaches developed by UNICEF and its partners.

The EE functions<sup>7</sup> discussed in this Guidance Note are harmonized with the five SWA sector strengthening building blocks.<sup>8</sup> Furthermore, the WASH Bottleneck Analysis Tool (BAT) 2.0<sup>9</sup> is also aligned with the building blocks.

<sup>3</sup> JMP data analyzed by the author and correspondence with the UNICEF Ethiopia Country WASH Chief.

<sup>4</sup> World Bank. 2015. Learning How to Scale Up Rural Sanitation Service Delivery in Indonesia. Global Service Delivery Case Study.

<sup>5</sup> WaterAid. 2016. Achieving Total Sanitation and Hygiene Coverage within a Generation: Lessons Learned from East Asia. <http://www.wateraid.org/what-we-do/our-approach/research-and-publications/view-publication?id=4ea98b1d-e89d-40be-acbe-0d280699f40f>

<sup>6</sup> UN-Water. Global Analysis and Assessment of Sanitation and Drinking-Water. 2014. World Health Organization, Geneva, Switzerland.

<sup>7</sup> See Chapter 4 of the Guidance Note.

<sup>8</sup> See SWA Sector Strengthening Toolkit.

<sup>9</sup> See WASHBAT 2.0 for details.



### 1.3 Intended Audience

This document has been developed primarily for UNICEF country staff but may be useful for government and other development partner staff who wish to better understand how to strengthen the WASH EE. It assumes that all UNICEF country WASH staff cannot be experts in all important EE technical areas. As a result, it is designed to familiarize UNICEF WASH country staff with the concepts and importance of each EE function, to understand the logic for addressing the EE, and where to get additional information. UNICEF country staff need to understand how to analyze a country's programming processes and related bottlenecks. UNICEF's WASH EE work must also tie into the regular UNICEF country programming processes and milestones such as situation analysis, strategy note development, and mid-term reviews (not covered in this Guidance Note).

### 1.4 Structure of the Guidance Note

This simple-to-use guide orients readers on how to strengthen the WASH EE, with main takeaway points and suggested action. It also highlights additional tools and more in-depth, up-to-date literature.

The Guidance Note is structured as follows:

- **Chapter 1** provides background information, and describes alignment, audience and structure. It supplies the rationale to explain why strengthening the EE is important to achieving the WASH SDG goal and sustainable WASH service delivery that reaches everyone, including the poor.
- **Chapter 2** reviews the existing EE landscape, approaches and tools that UNICEF and other development partners use; discusses examples, evidence and lessons learned linking the WASH EE to sustainability and scalable service delivery; and discusses how to engage in the EE in countries of different types, such as fragile states, low capacity states, and countries experiencing emergencies.
- **Chapter 3** presents a Framework for Strengthening WASH EE, and describes a theory of change (TOC) guiding UNICEF work in WASH EE and each of the EE functions that are critical for a sustainable WASH sector.
- **Chapter 4** presents the EE Functions (policy and strategy; sector coordination, service delivery

#### WHAT TO EXPECT FROM THE GUIDANCE NOTE

- General orientation of issues and opportunities regarding the WASH EE
- Suggestions for action when addressing WASH EE strengthening
- Easy access to references for more in-depth knowledge about up-to-date literature on the topic

arrangement, and regulation and accountability; sector planning and monitoring evaluation and review; budgeting and finance; service delivery arrangement; and capacity development). Each function is organized by definition, indicators, outcome, activities and tools.

- **Chapter 5** proposes a comprehensive support process for working with government and development partners to strengthen the EE functions. The step-by-step support process includes:
  - o **Agree:** Build consensus and leadership to improve the WASH sector and forge alliances with other development partners to strengthen WASH EE.
  - o **Assess:** Work with the government and partners to carry out a systematic analysis and assessment of the existing WASH EE.
  - o **Plan:** Facilitate a government-led process to design a comprehensive programme for strengthening the WASH EE and agreeing on roles for the government and development partners in the EE strengthening programme.
  - o **Invest:** Develop a WASH sector investment plan. Secure financing from existing channels and develop new financing sources and mechanisms to support the plan
  - o **Implement:** a detailed work (implementation) plan for UNICEF support to the programme to strengthen the WASH EE, with related timeline, budget and human resource requirements.
  - o **Monitor and Evaluate:** Jointly with development partners, support government efforts to monitor EE progress and improvements.



# CHAPTER 2: HOW DOES THE WASH ENABLING ENVIRONMENT WORK?

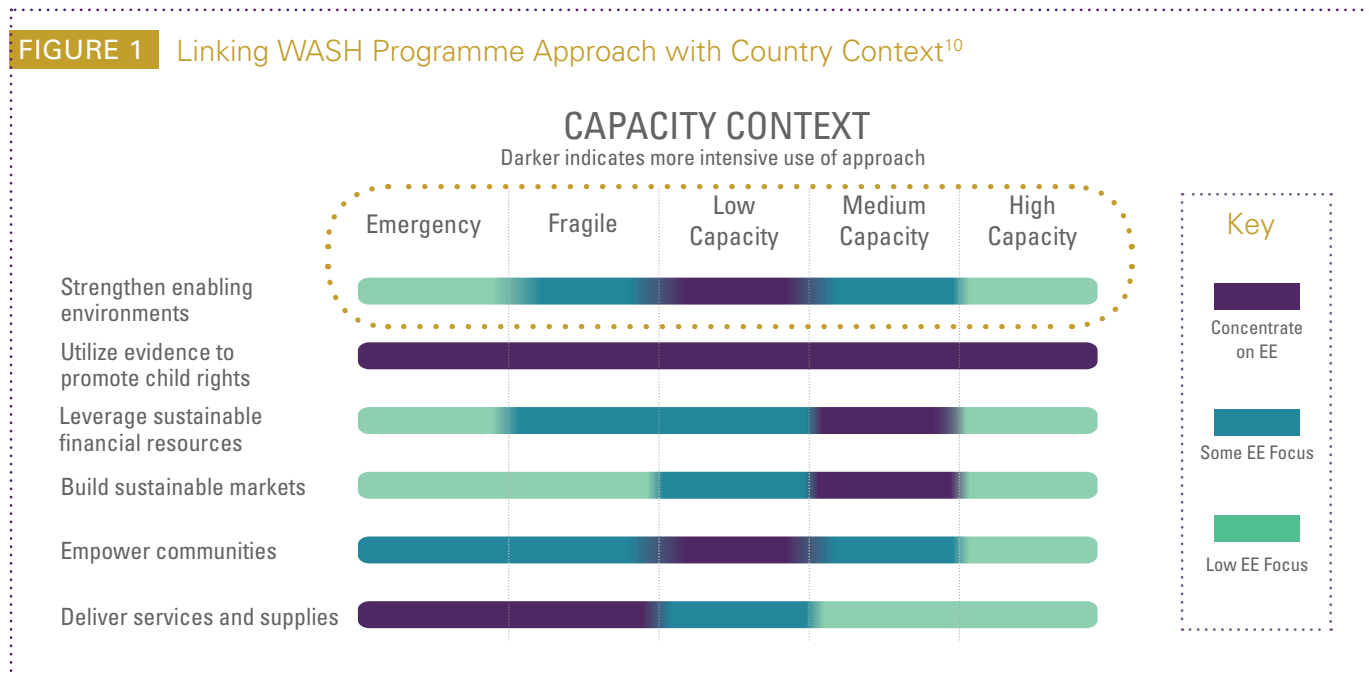
## 2.1 Country Typology and Intensity Level for EE Activities

A major premise related to the EE is that activities to strengthen the enabling environment are context-specific. This suggests that tailoring is required to avoid a one-size-fits-all approach to strengthening the EE. UNICEF, sector partners and donors have defined a country typology and created assessment tools to identify and prioritize actions that are possible and suited to the characteristics of the different target countries. The actions implemented must be guided by specific needs and may vary in intensity depending on the typology used.

The UNICEF 2016–2030 WASH Strategy states that UNICEF will analyse the situation in each country in consultation with government and partners and, based on the resources available and guided by the WASH Strategy; determine the scope, scale and role of UNICEF support ( see Figure1).The WASH Strategy provides a tool to determine the appropriate mix of programming approaches, of which strengthening WASH EE is one, to a given capacity in a given context. It therefore follows

that activities conducted will also be context-specific. UNICEF will assess ‘context capacity’ to determine how its efforts can complement and strengthen the work of governments. “Context capacity” is a composite definition comprising infrastructure functionality, government effectiveness and resource availability. This suggests that tailoring is required to avoid a one-size-fits-all approach to strengthening the EE.

UNICEF’s involvement in strengthening the EE is likely to be greater in contexts with increased capacity to implement reform. In countries lacking such capacity, UNICEF is likely to focus more on direct service delivery and limit efforts to strengthen the WASH EE. WASH EE conditions and needs will differ between countries and within countries, especially larger countries such as India and Nigeria. Where responsibility for WASH services has been decentralized to state and local governments, activities for strengthening the EE in each state will differ, depending on context capacity. Furthermore, one WASH subsector may be weaker than another, so strengthening the EE could focus on one subsector rather than all four.



<sup>10</sup> UNICEF. (2016). Strategy for Water, Sanitation and Hygiene (WASH) 2016-2030. New York: UNICEF, and adapted from UNICEF Health Strategy 2016



**FIGURE 2** Progress in strengthening WASH EE functions in four different contexts

2007 BASELINE	INDIA-HP	INDIA-MP	INDONESIA	TANZANIA
Policy, strategy and direction	MEDIUM	LOW	MEDIUM	LOW
Institutional arrangements	HIGH	MEDIUM	LOW	LOW
Program methodology	MEDIUM	LOW	LOW	LOW
Implementation capacity	MEDIUM	LOW	LOW	LOW
Availability of products and services	LOW	LOW	LOW	LOW
Financing and incentives	HIGH	HIGH	LOW	LOW
Cost-effective implementation	LOW	LOW	LOW	LOW
Monitoring and evaluation	LOW	LOW	LOW	LOW

2010 ENDLINE	INDIA-HP	INDIA-MP	INDONESIA	TANZANIA
Policy, strategy and direction	HIGH	LOW	HIGH	LOW
Institutional arrangements	HIGH	MEDIUM	MEDIUM	MEDIUM
Program methodology	HIGH	LOW	HIGH	MEDIUM
Implementation capacity	HIGH	LOW	HIGH	MEDIUM
Availability of products and services	HIGH	LOW	HIGH	MEDIUM
Financing and incentives	HIGH	HIGH	MEDIUM	LOW
Cost-effective implementation	MEDIUM	LOW	MEDIUM	LOW
Monitoring and evaluation	HIGH	MEDIUM	HIGH	LOW

**Key**

**LOW**  
Needs improvement

**MEDIUM**  
Progress made, but still not high performing

**HIGH**  
Performing at a high level

### 2.1.1 WASH EE Strengthening in Different Contexts

A 2012 World Bank Water and Sanitation Program (WSP) study,<sup>11</sup> offers examples of differentiated approaches to strengthening the EE for rural sanitation in Tanzania, Indonesia, and India from 2007 to 2010. These three countries are reasonably representative of low, medium and high capacity context countries, respectively.

Figure 2 shows the relative strength of each key EE function at baseline and end line. While the components vary from the UNICEF EE functions used in this Guidance Note, they illustrate how changes in the EE are possible and measurable. More importantly, the scoring used offers insights into working in different capacity contexts. For example, while Indonesia has a medium capacity context and Tanzania has a low capacity context, both had very weak overall EEs for scaling up rural sanitation (and both had very low rural sanitation access). Three years later, however, Indonesia's EE for at-scale sustainable rural sanitation programmes was

significantly stronger than that of Tanzania.

The study found that:

- Both countries had a high level commitment to change, but the relatively stronger overall capacity of the Indonesian Government – including in terms of human resources – facilitated a faster and stronger reform process. This significantly accelerated rural sanitation access compared to Tanzania. The same results can be seen when comparing the Indian states of Madhya Pradesh and Himachal Pradesh.
- Although India HP is considered a high-capacity (e.g. the training of government civil servants) context country overall, large differences in capacity exist between its different states, so processes for strengthening EE must address these differences even within the same country.

Relevant key lessons from this study included

- Countries/states with the highest context capacity to begin with ended up with the strongest EE, and made

<sup>11</sup> Rosensweig, Perez, Robinson. 2012. Policy and Sector Reform to Accelerate Access to Improved Rural Sanitation. WSP.



the most progress towards increasing sustainable rural sanitation services.

- Countries/states with lower context capacity also made progress in strengthening their EE, but progress was slower and required more support from development partners.
- In all cases, local governments served as the focal point for an at-scale sanitation service delivery programme – but institutional and human resource capacities at the local level varied significantly even within high capacity context countries – and this was a critical bottleneck even when the countrywide EE was strong.

In conclusion, these examples suggest that: (a) EE improvements may be uneven across different functions; (b) political leadership is crucial to strengthening EE in the long term; and (c) strengthening EE may require a phased approach whereby accomplishments are assessed before each new phase, to determine where focused assistance may be required.

## 2.2 Selected Tools for WASH EE Strengthening

Table 1 presents different ‘cross-cutting’ and ‘function-specific’ tools that may be used to conduct assessments and analyses, and determine which EE functions need to be strengthened. Cross-cutting tools may address multiple issues and can be used to assess the status of multiple functions. Function-specific tools may be used to conduct an assessment or define work that needs to be done for specific functions, for example, finance, or monitoring, evaluation and learning. Categorizing these tools will allow readers to determine where they might be most useful.

The experience of UNICEF and other development partners suggests that easy-to-use tools can facilitate the process of working with governments to strengthen the EE. These tools, and links to help assess and monitor the EE for one or more WASH subsector or EE function, are referred to in later sections and detailed definitions are provided for them in Annex 1.

## 2.3 Key Lessons from WASH EE Assessments

Assessing and strengthening the WASH EE is an emerging and constantly evolving practice – perhaps best described as the ‘science and art’ of sustainable WASH service delivery. Evidence about effective approaches to

strengthening the EE is still relatively limited. A review of this limited case study literature<sup>12,13,14,15</sup> suggests the following lessons to date:

- High-level political leadership is critical and does not usually stem from community-driven demand. Securing political leadership at the highest levels can be achieved via evidence-based discussions. Political priorities and the political economy must be addressed when pushing for reform.
- While country capacity is required to reach set goals, national wealth may not be a pre-condition of a strong WASH EE.
- Governments and development partners agree on the critical areas to be strengthened/ improved/reformed – but no sector-wide agreement exists on a specific core set of EE functions.
- No consensus (or evidence) exists as to which, if any, of the key EE functions are more important/critical than others in terms of importance or timing. Rather, all EE functions seem to function like a chain – where all links must be strong.
- Regular monitoring (perhaps annual) of EE functions can help achieve goals, especially when they include ‘feedback loops’ that allow real time ongoing adjustment to the EE function.
- Institutional changes may occur when aligned with the political incentives of key actors.
- Translating a new policy into real changes in institutional behaviour and function can be more difficult and costly, and take more time than planned, even when backed by the highest level of political support.
- Organizational change goes beyond capacity building; institutional behaviour change requires targeted technical assistance.
- EE work often involves uncertainty and necessitates more planning contingencies.

12 Water Aid. 2016. A Review of Rural Sanitation Experiences in Singapore, South Korea, Malaysia and Thailand

13 Hima and Santibanez. 2015. Against the Current: How to Shape an Enabling Environment for Sustainable Water Service Delivery in Nigeria, Global Delivery Initiative. [http://www-wds.worldbank.org/external/default/WDSCContentServer/WDSP/IB/2015/09/21/090224b0830f3d23/1\\_0/Rendered/PDF/Against0the0cu00delivery0in0Nigeria.pdf](http://www-wds.worldbank.org/external/default/WDSCContentServer/WDSP/IB/2015/09/21/090224b0830f3d23/1_0/Rendered/PDF/Against0the0cu00delivery0in0Nigeria.pdf)

14 Johnson and Perez. 2002. Rural Water Supply and Sanitation in the Dominican Republic. USAID/WASH Project.

15 Medland LS, E Scott and AP Cotton. 2016. Achieving sustainable sanitation chains through better informed and more systematic improvements: lessons from multi-city research in Sub-Saharan Africa. Environmental Science: Water Research and Technology, DOI: 10.1039/C5EW00255A. Consulted April 2016. <http://pubs.rsc.org/en/content/articlelanding/2016/ew/c5ew00255a/unauth#1divAbstract>

**TABLE 1** Short Descriptions of Selected EE Tools (Cross-cutting and Function-specific)

TYPE	TOOL	OBJECTIVE	DESCRIPTION
Cross-cutting	The UNICEF WASH Bottleneck Analysis Tool (BAT)	To assess the EE of WASH delivery by tracking the removal of barriers to sustainable and efficient services at national, regional and community level.	Applies a root-cause analysis of the major constraints on sector progress to determine the requirements and consequences of removing them.
	The WSP/World Bank Country Status Overviews (CSOs)	Gauge country progress towards WASH targets using a standard format based on the best available country data permitting cross-cutting comparison.	National level tool to highlight achievements of the four WASH subsectors, benchmark service delivery pathways, and identify issues that may inhibit progress. Scores progress in three areas of service delivery to each WASH subsector, enabling service delivery, and developing and sustaining services.
	WASH Joint Sector reviews (JSRs)	To allow sector stakeholders an insight into, discuss and influence sector developments.	Key sectoral stakeholders (typically annually) produce a report, which serves as a reference point on national sector progress and offers recommendations.
	UN-Water GLAAS	To provide a global update on the policy frameworks, institutional arrangements, human resource base, and international and national finance streams in support of improved sanitation and safe drinking water.	Global report published biannually, including an assessment of government policies and institutions, investments, foreign assistance, and relative influence of all these factors on performance.
Function-Specific	The UNICEF Advocacy Toolkit	To help develop an advocacy strategy.	Systematizes both internal and external UNICEF advocacy expertise and experience, and develops a few innovative approaches. The Toolkit provides a set of practical tools to help UNICEF staff and develop and manage their advocacy work.
	The World Health Organization (WHO) Track-Fin	To enable countries to track WASH sector financing using standardized classifications, and to develop a set of WASH accounts and indicators presented in a format comparable across regions and countries.	Answers four basic questions: (i) What are the total WASH expenditures?; (ii) How are funds distributed between different services and expenditure types?; (iii) Who pays for services?; (iv) Which entities receive funding?
	The DFID Value for Money (VFM) tool	To develop a better understanding (and better articulation) of costs and results to inform decision-making.	Collects and analyzes data on the costs and results of the particular programme, interprets the VFM indicators generated, and compares them to other programmes.
	UNICEF Sustainability Checks and Sustainability Compacts	Determine whether infrastructure investments are functional and sustainable. Permits corrective action if the investments are not working correctly.	<p>Sustainability Checks assess the functionality and sustainability of WASH infrastructure investments, helping to show whether finances are sufficient to cover the full life-cycle cost of the facilities constructed/rehabilitated.</p> <p>A Sustainability Compact is a signed agreement between the implementing agency and the government of the recipient country stipulating the roles and responsibilities of both parties, to secure the sustainability of services for a certain period after the conclusion of the project.</p>
	The UNICEF Monitoring Results for Equity System (MoRES) Framework	To plan, programme, implement, monitor and manage results effectively to improve outcomes for disadvantaged children.	Strengthens programming and achieves results for the most disadvantaged children. This reconfirms UNICEF's commitment to promote the use of data and evidence in advocacy and programming, and as a conceptual framework for effective planning, programming, implementation, monitoring and managing for results to achieve desired outcomes for the most disadvantaged children.



# CHAPTER 3: WASH ENABLING ENVIRONMENT STRENGTHENING FRAMEWORK AND THEORY OF CHANGE

## 3.1. WASH EE Strengthening Framework

The 2016–2030 UNICEF Global WASH Strategy includes a Strategic Framework which includes a set of programming principles to guide its context-specific mix of programming approaches and results areas in each country. Strengthening EE is one of the programming approaches UNICEF will utilize to achieve WASH results at home, in institutions and during emergencies. This framework provides a set of programming principles to guide context-specific WASH programming interventions and is presented in Figure 3 below.

Strengthening EE is one of the programming approaches, guided by the principles (reduce inequality, strengthen national systems and accountability at all levels, link development and humanitarian programmes, promote resilient development, sustain access to services at scale and contribute across SDGs) that UNICEF will utilize to achieve WASH results at home, in institutions and during emergencies.<sup>16</sup>

Within a country, strengthening WASH EE sits in a broader context that influences UNICEF's WASH work. Figure 3 illustrates two important categories of contextual factors: structural and institutional.

### 3.1.1. Structural Factors

Structural factors are natural, physical and contextual characteristics inherent in a country that are changeable over decades and not (or only partially) subject to influence by the WASH sector. These characteristics include:

- **Demography:** size, structure and distribution of population.
- **Society and culture:** shared language, traditions, religion, beliefs, values, norms, mores, rules, tools, technologies, products, organizations, and institutions.
- **Geography:** basic resource endowment, ecosystems and climate.
- **History:** a series of past events that relate to a particular setting, population or country.

- **Economy:** the large set of inter-related production and consumption activities that influence how resources are allocated.

### 3.1.2 Institutional Factors

Institutional factors are norms, regulations and informal rules that shape the relationship between the actors in a given context and sector.

Institutional factors outside the WASH sector include:

- **Decentralization:** transfer of governance to sub-national units of government that may include administrative, fiscal, and political devolution to such units, and which may affect aspects including fiscal policy, human resources management and public procurement.
- **Public Finance Management:** budgeting prioritization of competing needs.
- **Anti-Corruption Means and Provisions:** measures adopted by governments to prevent fraud, bribery, extortion and use of public resources and power for personal gain.
- **Social Norms:** power relationships, social decision making processes.
- **Others:** context specific factors like quality assurance, equity and sustainability.

UNICEF and other development partners will focus on EE functions central to the WASH sector, although some activities (in coordination with other partners) may address institutional factors of the EE that fall outside the water sector. In all cases, it is important to know and understand factors outside the sector that affect its performance. This Guidance Note focuses on the core WASH sector functions that form the EE approach. Figure 3 illustrates the importance of each EE function.

Strong political leadership is the starting point in strengthening the WASH EE. Political leaders who are convinced and motivated to push the WASH agenda are needed to establish a shared vision to achieving the WASH SDG, and to ensure the political will to reform WASH service delivery. Developing this shared vision collaboratively is also the foundation for coordination

<sup>16</sup> UNICEF. (2016). Strategy for Water, Sanitation and Hygiene (WASH) 2016-2030. New York: UNICEF

and creating motivation at all levels. Political leaders at national, state and local government levels are needed as champions to establish sustainable WASH service delivery as a political priority. Anecdotal experience suggests that the higher the leadership, the stronger the impact of political will. Ideal political leaders include presidents, governors and mayors. Experience suggests that the following activities are effective in fostering political leadership:

- Identify and recruit high-level global leaders from the UN or the private sector to engage with high-level country leaders to advocate for their personal leadership.
- Develop evidence-based advocacy documents that

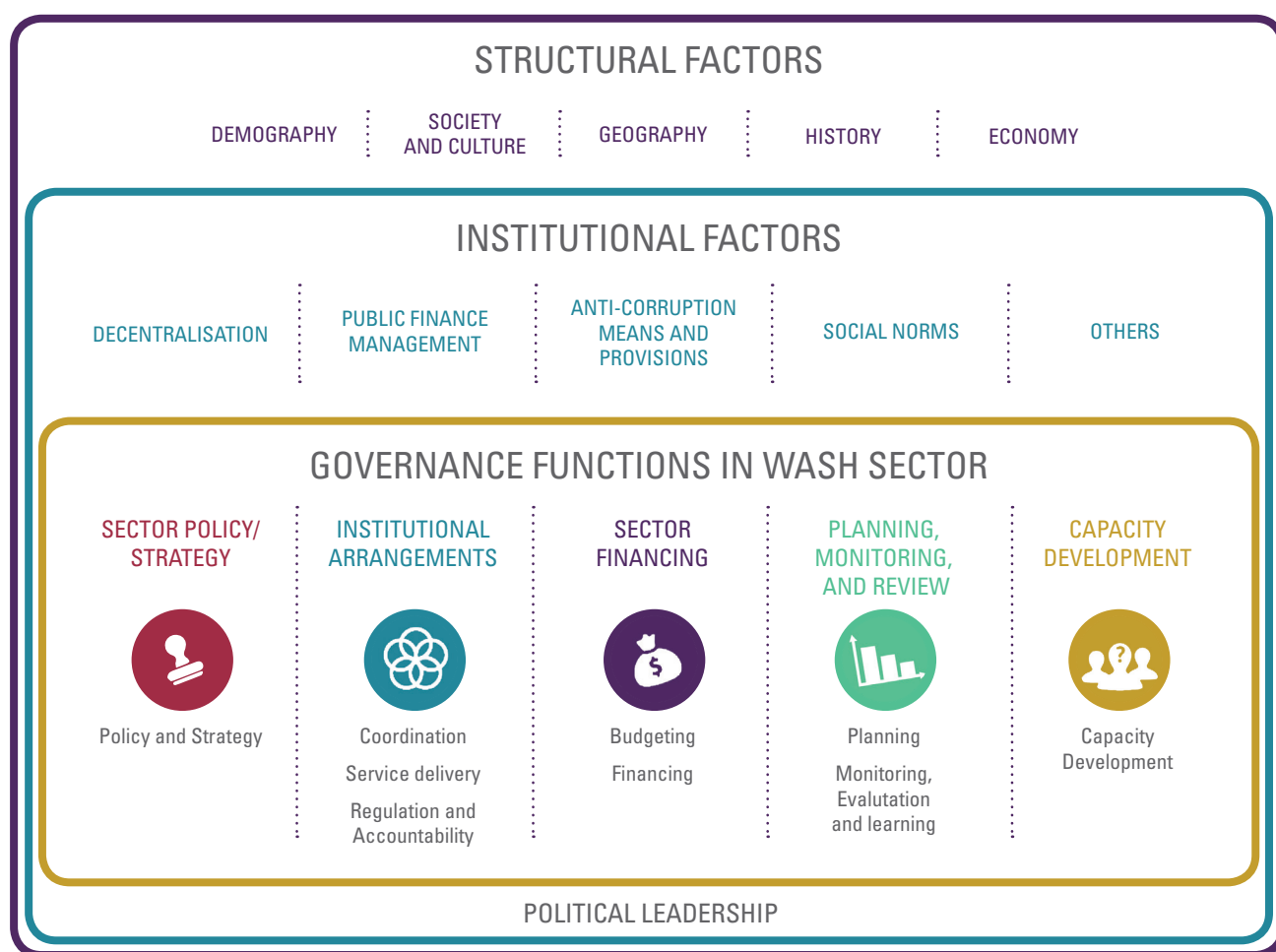
address high-level political leaders' needs.

- Invite and support trips from high-level leaders to global and regional high-level conferences such as the SWA Meeting hosted by the World Bank.

### 3.2 WASH EE Strengthening

A theory of change is essentially a description and illustration of how and why a desired change is expected to happen in a particular context. It outlines a path of change indicating the logical, gradual steps required to achieve a larger outcome or goal. In the context of the WASH EE, the end outcome sought is the existence of sustainable and effective government-led WASH sector that delivers WASH services for all in fulfilment of the

**FIGURE 3** Contextual Factors Surrounding Enabling Environment Functions<sup>17</sup>



<sup>17</sup> Adapted from Jiménez A, LeDeunff H., Avello P., and Scharp, C. 2015. Enabling Environment and Water Governance: A Conceptual Framework. Accountability for Sustainability Partnership. Available at: <http://watergovernance.org/resources/enabling-environment-and-water-governance-a-conceptual-framework>





human right to sanitation and water. The TOC is this case describes the required steps required to achieve that outcome.

**The TOC<sup>18</sup> presented in Figure 4 states that with financial resources and technical assistance inputs from different stakeholders, UNICEF included, governments can implement action that will strengthen given WASH EE governance functions. This strengthening will lead to sustainable and effective government-led WASH sector service delivery, thus fulfilling the human rights to drinking water and sanitation.** UNICEF staff can use the WASH EE TOC with government and development partners to support government efforts to create an EE for sustainable and equitable WASH services and related behaviour change. This TOC builds on UNICEF's governance and accountability work in the WASH sector.

The EE is a subcomponent of what contributes to sector results and their corresponding impact. As such, the TOC does not include impact, but does capture contributions made to sector outcomes. Because the WASH EE sits in a broader country context that influences UNICEF's work, it is crucial to understand, and where feasible, engage with structural and institutional factors outside the sector that are affecting its performance.

The following are important assumptions behind the TOC presented in Figure 4.

<sup>18</sup> The TOC for WASH EE was drafted by WASH Programme Division with technical input from a core reference group, and further improved with feedback from the First UNICEF EE workshop held in Dakar, Senegal, in September 2015, and the Second UNICEF EE workshop held in Bangkok, Thailand in March 2016. The core WASH EE functions are meant to be aligned with those used in the UNICEF WASH-BAT tool and may change as the WASH-BAT tool is improved. This TOC also builds on UNICEF's work on Governance and Accountability in the WASH sector.

- Government willingness to take up WASH EE strengthening, which may require abandoning conducting 'business as usual'.
- Activities under 'Inputs' should be implemented in conjunction with other development partners, including governments. For example, stakeholders in the WASH sector including pertinent host government institutions should carry out the Bottleneck Analysis.
- Bottleneck analyses help to establish priorities and identify which WASH governance functions need strengthening. Each context is different and requires initiating action to affect different functions.
- Strengthening functions requires time and change will not be linear or immediate.
- Further research will be needed as EE support actions are implemented to determine whether pathways of change emerge, thus helping to improve the TOC.
- Such research will help establish feedback loops to modify actions that are not delivering their intended effect.

UNICEF also has to consider that the change sequence proposed by a TOC is subject to risk. Risk corresponds to a potential future event, fully or partially beyond the control of an organization, which may affect the achievement of results. Some organizations have chosen to widen the definition of risk to include both threats that might prevent them from achieving their objectives, and opportunities that would enhance the likelihood that results can be achieved. Risks may be strategic, environmental, financial, operational, organizational, political and regulatory. In the case of

**FIGURE 4** WASH Enabling Environment Strengthening TOC



**IMPORTANT ASSUMPTIONS BEHIND THIS THEORY OF CHANGE**

Willingness of governments to stop doing business as usual  
All activities are implemented in conjunction with other donors in support of government led changes  
WASH BAT will lead to different results per county, one size does not fit all  
Effects of inputs and outcomes will take time and will not be immediate  
Monitoring & research will allow detecting pathways of change and must be supported

**POTENTIAL RISKS ASSOCIATED WITH THEORY OF CHANGE**

Decentralization leading to uneven implementation of interventions throughout a country  
Adverse climatic change conditions  
Political instability

WASH EE, potential risks that may affect the sequence of events suggested by the TOC include:

- The level of decentralization may influence the extent to which EE functions are strengthened in a country, leading to more and less advanced regions.
- Climate change may affect water resource availability,
- Political instability may affect the pace of EE strengthening, reduce the level of external support to strengthen EE functions or lead to financial constraints on implementing measures initially adopted.



## CHAPTER 4. WASH ENABLING ENVIRONMENT FUNCTIONS

This chapter describes each core WASH EE function identified in the theory of change. Each function description includes a definition, illustrative examples of activities to strengthen the expected outcomes of the function, and sample indicators. Where available, it includes means of verification and tools to support EE strengthening work. In this case, tools are used in a wide sense to include not only instruments for measuring and conducting assessments, but also implementation tools such as terms of reference and scopes of work. For some functions, there were no specific tools available at the time the Guidance Note was prepared. These will become available as they are developed and included in the UNICEF Sustainable WASH EE Platform.

### 4.1 Sector Policy and Strategy

#### Definition

Policy is defined as the set of procedures, rules and allocation mechanisms that provides the basis for programmes and services. Policies set priorities and often allocate resources for implementation, and are reflected in laws and regulations. National and subnational policies must be considered, especially in large and decentralized countries. Laws generally provide overall policy framework and priorities, and regulations provide more detailed guidance (see below).

#### Activities

- Share international best practices and lessons learned from other countries that can inspire the policy and strategy process.
- Ensure that a real debate occurs around policy making by facilitating activities (technically and financially), such as background studies (collecting evidence), stakeholder consultations and workshops.
- Support policy and strategy dissemination and capacity building.
- Contract consultants (if needed) to draft policy documents and present experiences and best practices from other countries.

#### Outcomes

- WASH policy for households and institutions backed by a legal framework includes national service norms and addresses social norms, equity and future adaptation requirements. This policy has been approved by

cabinet and is used by stakeholders.

#### Indicators

- WASH policy and strategy are informed by evidence (data, approaches with realistic budget).
- Lead ministries have clear roles and responsibilities for WASH and developed mechanisms for accountability.
- WASH services include safely managed elimination of open defecation.

#### Means of verification

- Policy and strategy analysis.
- Budget and finance analysis.

#### Tools

- WSP EE Assessment Tool. Discussed at: <http://www.ircwash.org/sites/default/files/enablingenvironmentassessment.pdf>

### 4.2 Institutional Arrangements

Sector Coordination, Service Delivery Arrangement and Regulation and Accountability are presented under Institutional Arrangements, not because they are less important than other EE functions, but to ensure alignment and harmonization with the SWA sector strengthening building blocks.

#### 4.2.1 Sector Coordination

##### Definition

Joint planning, implementation and monitoring, and proactive information sharing.

Coordination mechanisms for the WASH sector establish the basis for improved stakeholder collaboration and prepare the ground for a shared vision of the sector, including defined roles and responsibilities and challenges ahead. To be effective, these processes need to be inclusive, consistent and anchored with national ownership. Coordination is needed at all levels among the public, private and NGO sectors, and between communities and local governments. There are different coordination approaches, but all include elements of dialogue, communication and finding common interests.

These activities are the same for national and subnational efforts, though the stakeholders and actors will differ.

### Activities

- Support processes leading from the evidence shown in sector reports to specific decisions about or modifications to sector plans. External Support Agencies (ESAs) should commit to a long-term process to avoid losing momentum in difficult times, but build national ownership. This includes supporting periodic review meetings.
- Provide initial technical support, especially for preparing the first sector reports. Finance in-depth studies (for example, financial viability, sustainability of water services). Include the private sector in the Country Status Overview (CSO).
- Support governments to strengthen the humanitarian WASH coordination platform.
- Develop partnerships with media, parliamentarians and social commentators to advance the of impact of social thinking and social norms.
- Develop collaboration and agreements with the private sector for tracking.

### Outcomes

All stakeholders work on one government plan and report using the same reporting system that is managed by an effective responsible institution(s)/coordinating body.

### Indicators

- Presence of a coordination body (at appropriate level).
- Properly functioning (development and humanitarian) coordinating body.
- One government-led plan to which all stakeholders contribute.

### Means of verification

Programme records.

### Tools

- JSR.
- Country Status Overview.

## 4.2.2 Service Delivery Arrangements

### Definition

Service arrangements respond to community needs and capabilities.

Service delivery is a set of mechanisms (a model) to provide reliable, affordable, good quality WASH services in each subsector on a continuous basis (for example, the SDG indicator of a safely managed water and sanitation service). A variety of WASH service delivery arrangements involve civil society organizations, small service providers, transnational companies, ministries, and delegated branches of the national government, local governments, and municipal companies.

### Activities

- Support process to assess and analyze the strengths and weaknesses of existing WASH service delivery models for urban and rural areas, and for on-site sanitation services to reduce weaknesses in the service value chain.
- Support efforts by government and partners to identify models that can deliver sustainable WASH service delivery for all.
- Help governments to identify relevant indicators to monitor the sustainability and effectiveness of services.

### Indicators

- Different models for service provision are documented, each with clear roles and responsibilities for users, service providers and government.
- Standards/benchmarking for affordable services are in place.
- Sector delivery models consider different options, including private sector participation.
- The policy context and regulatory framework is conducive to applying these models.
- The models include provisions for targeting the most vulnerable people.
- The models include accountability mechanisms among users, governments and service providers.

### Outcomes

Models for WASH service provision are defined for different contexts and applied appropriately. These models explain roles and responsibilities, and stipulate contracting procedures, operation and maintenance arrangements, supply chains, tariffs and other service parameters, and lead to efficient and effective water and sanitation services.



### Means of verification

- Relevant service delivery resource documents.
- Expert interviews.

### Tools

- WASH-BAT
- Sub-sector Score Card. Discussed at: <http://www.irc-wash.org/sites/default/files/sub-sectorscorecard.pdf>.

## 4.2.3. Regulation and Accountability

### Definition

Clear accountability and monitoring systems that measure service levels, use, and functionality – reflecting international and national coverage definitions.

Regulations are rules or governmental orders designed to control or govern behaviour, and often have the force of law. Regulations can cover a wide range of topics, including the practices of service providers, design standards, tariffs, discharge standards, environmental protection and contracts. Accountability in the WASH sector is the democratic principle whereby elected officials and those in charge of providing access to water supply and sanitation services account for their actions and answer to those they serve.

### Activities

- Support developing a legal framework to create a regulatory function, with sufficient financial and technical independence from the regulated institutions. Promote stakeholder participation in the regulatory process. Support the connection between consumer associations and regulators.
- Support sector actors to map and understand accountability relationships in service delivery.
- Support access to information (support initiatives of citizens and citizen groups to use the formal legislation procedures to obtain information).
- Support efforts to strengthen legal and regulatory frameworks to enhance the freedom and plurality of information sources. Work through or in close contact with governments and encourage them to respond positively to civil society demands for information.

### Outcomes

Mechanisms for interaction and information exchange between government, service providers and citizens. Independent institutions exert oversight and control, and provide performance-based incentives and penalties

that drive improvements in WASH services.

### Indicators

- Clear and effective mechanisms for consumer feedback and complaints about service.
- Internal control mechanisms, such as state audits and transparency commissions function appropriately.
- The regulatory body is sufficiently independent from service providers and government to act as a valid referee and provide performance-based incentives. The regulatory body has enough resources and capacity to carry out required functions and/or sanctions.

### Means of verification

- Management Information Systems.
- Consumer feedback mechanisms.
- Citizen report cards.
- Audit reports.
- Budget expenditure.

### Tools

- The UNICEF Accountability in WASH Reference Guide.
- Accountability in WASH: A Reference Guide for Programming \_ UNDP Water Governance Facility/UNICEF/Stockholm International Water Institute, (2015), available at: <http://watergovernance.org/resources/accountability-in-wash-a-reference-guide-for-programming/>.

## 4.3 Sector Planning, Monitoring and Review

Sector Planning, Monitoring and Review are presented together to ensure alignment and harmonization with the SWA sector strengthening building blocks.

### 4.3.1. Sector Planning

#### Definition

Time-bound roadmap with human and financial resources in place.

Planning is the process of thinking about and organizing the budgeted activities required to achieve an agreed goal, and preparing a sequence of actions to achieve a specific goal. Developing a shared vision and strategy for a WASH sector plan in a collaborative manner is the foundation for coordination and creating motivation at all levels.

### Activities

- Support government-led efforts to conduct a WASH sector analysis to identify gaps and needs.
- Support a process to develop goals and targets.
- Support a sector planning process.
- Help to develop an effective communication campaign to inform all stakeholders about the planning process. Use clear and simple language.

### Outcomes

National WASH supply plan validated by a wide range of stakeholders is in place, defining clear targets, indicators and budgeted activities that allow for regular review and update, and enable delivery of sustainable services while reducing inequality.

### Indicators

- Government-led national programme that is endorsed by other stakeholders.
- Strategic and risk-informed plan with clear targets, activities, timeline, budget and milestones.
- Proof of concept (options/solutions, approaches) for scaling up with financing and human resources needs in place.
- Traditional and community leaders represented and engaged in planning process.

#### Means of verification

- Relevant resource documents (National Investment Plan, Multi-year Sector Plans, Annual Work Plans).
- Budget Reviews.

### Tools

UNICEF/U.S. Agency for International Development (USAID) Environmental Health Project (EHP). 1997. Towards Better Programming: A Sanitation Handbook. Available at: [http://www.unicef.org/wash/files/San\\_e.pdf](http://www.unicef.org/wash/files/San_e.pdf).

Tool for Planning, Predicting and Evaluating Sustainability (TOPPES). Available at: <http://www.ircwash.org/sites/default/files/toolforplanningpredictingevaluatingsustainability.pdf>

## 4.3.2 Sector Monitoring, Evaluation and Learning

### Definition

Collect evidence that is valid, reliable and timely. Stakeholders use this evidence for managerial decisions to adapt and improve policies and programmes.



WASH programmes require regular monitoring and periodic evaluation. Actors must be willing and able to use monitoring and evaluation (M&E) information to make programmatic adjustments. Effective monitoring will identify strengths and weaknesses in the programme methodology, implementation arrangements, and cost efficiency. Overall M&E responsibility must be at the highest level of the programme, but must be based on information collected at the local government or community levels.

### Activities

- Secure organizational support that focuses on strengthening and sustaining links among actors.
- Provide support so that information generated can serve as an input to planning and decision-making processes at the local government level.
- Develop capacity if required. Secure long-term funding commitments for monitoring.

### Outcomes

Responsible institution and other stakeholders regularly review status and make decisions based on evidence collected.

### Indicators

- Government-led national monitoring system in place and being used.



- Common set of WASH EE function indicators to which all stakeholders adhere monitored over time.
- Established sector learning processes in place (mix of evaluation, research and knowledge management approaches).
- Established monitoring feedback system(s) in place to improve decision making across different levels (practice to policy).
- Sector reviews or similar mechanisms regularly assess progress against target and set priority actions.

#### Means of verification

- Management Information System.
- Budgets.
- Financial records.
- Programme implementation reports.
- Sector assessments and review reports.

#### Tools

- WASH BAT.
- The Department for International Development (UK) (DFID) VFM Tool.
- Monitoring of SWA High-Level Commitments.
- UNICEF Monitoring Toolkit.

### 4.4 Sector Budgeting and Financing

Sector Budgeting and Financing are presented together to ensure alignment and harmonization with the SWA sector strengthening building blocks.

#### 4.4.1 Budgeting

##### Definition

How money is allocated to the sector. How much is spent and where.

A budget estimates the revenue and expenses for WASH services over a specified period of time. A government budget is an official statement about how much it plans to spend over a particular period and how it will pay for the expenses. Budgets should include infrastructure, training, staff salaries, transportation, office equipment and supplies, communication and educational materials and behaviour change promotion activities. An expenditure is the total amount of money that a government, organization, or person spends over

a particular period.

##### Activities

- Document fiscal flows, identify possible bottlenecks and support activities that try to unblock these bottlenecks.
- Promote participatory budgeting by brokering experience from other countries.
- Facilitate South-South municipal dialogue.
- Provide financial assistance to initiate and manage the budgeting process.

##### Outcomes

Financial flows are known, and are adequate and predictable so that national targets for all population groups on WASH can be met.

##### Indicators

- Budgetary allocations include enough funds to support the delivery of services.
- Budgetary allocations include enough funds to cover capital expenditure towards WASH sector investment targets.
- The budget is adequate and disaggregated between each of the subsectors (rural, urban, water, sanitation).
- The budget and expenditure are publicly available.
- Financial flows are predictable.

##### Means of verification

- Management Information System Budgets.
- Financial records.

##### Tools

- The DFID VFM Tool.
- Public Expenditure Review (PER) of WASH sector.

#### 4.4.2 Financing

##### Definition

The ability to raise funds from different sources.

This dimension is aimed at assessing the adequacy of financing arrangements for WASH service delivery, including capital and programmatic costs.

##### Activities

- Assess where existing WASH financing comes from and where it is being targeted.
- Carry out feasibility studies of different financing

mechanisms (taxes, tariffs and transfers) for different subsectors.

- Explore alternative financing mechanisms such as microfinancing and impact investors.

### Outcomes

The WASH sector is able to attract different sources of funding.

### Indicators

- Financial needs for sector operations are known.
- Amount of funding available from taxes, tariffs and transfers to fund sectoral operations is known.
- Legal and institutional frameworks established for financial transactions to take place.
- Public allocations to water and sanitation as percentage of GDP.
- Financing institutions in place.

### Means of verification

- Management Information System.
- Budgets.
- Financial records.

### Tools

- The WHO Track-Fin.
- The DFID VFM Tool.
- Public Expenditure Review (PER) of WASH Sector.
- Fiscal Space Analysis (UNICEF).
- Sector Wide Investment and Financing Tool (SWIFT). Discussed at: <http://www.ircwash.org/sites/default/files/sectorwideinvestmentandfinancingtool.pdf>.

## 4.5. Sector Capacity Development

### Definition

Institutional and human capacity and competency to provide WASH services.

Public and private institutions at all levels must have the capacity to carry out their roles and responsibilities for effective WASH service delivery at scale. Institutional capacity includes: adequate personnel with the full range of skills required to carry out their functions; an 'organizational home' within the institution with assigned responsibility; mastery of the agreed-programme methodology, systems and procedures required for implementation; and the ability to monitor programme

effectiveness and make continual adjustments.

### Activities

- Support a process to identify capacity gaps and unfilled roles, trained personnel and capacity utilization.
- Support governments to design and develop capacity building plans.
- Support a process to institutionalize capacity building.
- Strengthen partnerships with academic institutions within countries.
- Support sharing of experiences, particularly South-South.
- Support structural and sustainable capacity requirements for at-scale processes.

### Outcomes

Stakeholders and institutions possess the human, technical and financial resources to execute their responsibilities under the guiding sectoral plan with a structure in place to ensure their continuous renewal and adaptation.

### Indicators

- Government-led capacity development plan based on needs assessment.
- Different institutional stakeholders/providers have their own capacity development plans.
- Implementation/progress measured against all capacity development plans.

### Means of verification

- Need assessments.
- Capacity and incentive plans.
- Capacity development budget line items.
- Budget expenditure.

### Tools

- Sustainability Self-Assessment Tool. Discussed at: <http://sustainablewash.org/self-assess>.
- Capacity Self-Assessment Tool. Discussed at: [http://www.ircwash.org/sites/default/files/shaw\\_csa\\_paper\\_final\\_19.08.2014.pdf](http://www.ircwash.org/sites/default/files/shaw_csa_paper_final_19.08.2014.pdf).
- Capacity Needs Assessment Tool. Governance and Transparency Fund (WaterAid). Discussed at: <http://www.wateraid.org/us/google-search?query=capacity+needs+assessment+tool.+governance+and+transparency>.



# CHAPTER 5: WASH ENABLING ENVIRONMENT STRENGTHENING SUPPORT PROCESS

## 5.1 Introduction

UNICEF and the countries it works in have programme cycles to guide their work to support the WASH sector. This section provides a step-by-step process for working with governments and sector partners to strengthen the WASH EE. The process has some similarities with existing programme cycle activities, suggesting that the step-by-step approach can be easily integrated into ongoing programme cycle activities, in order to strengthen them and ensure that WASH EE concerns are reflected.

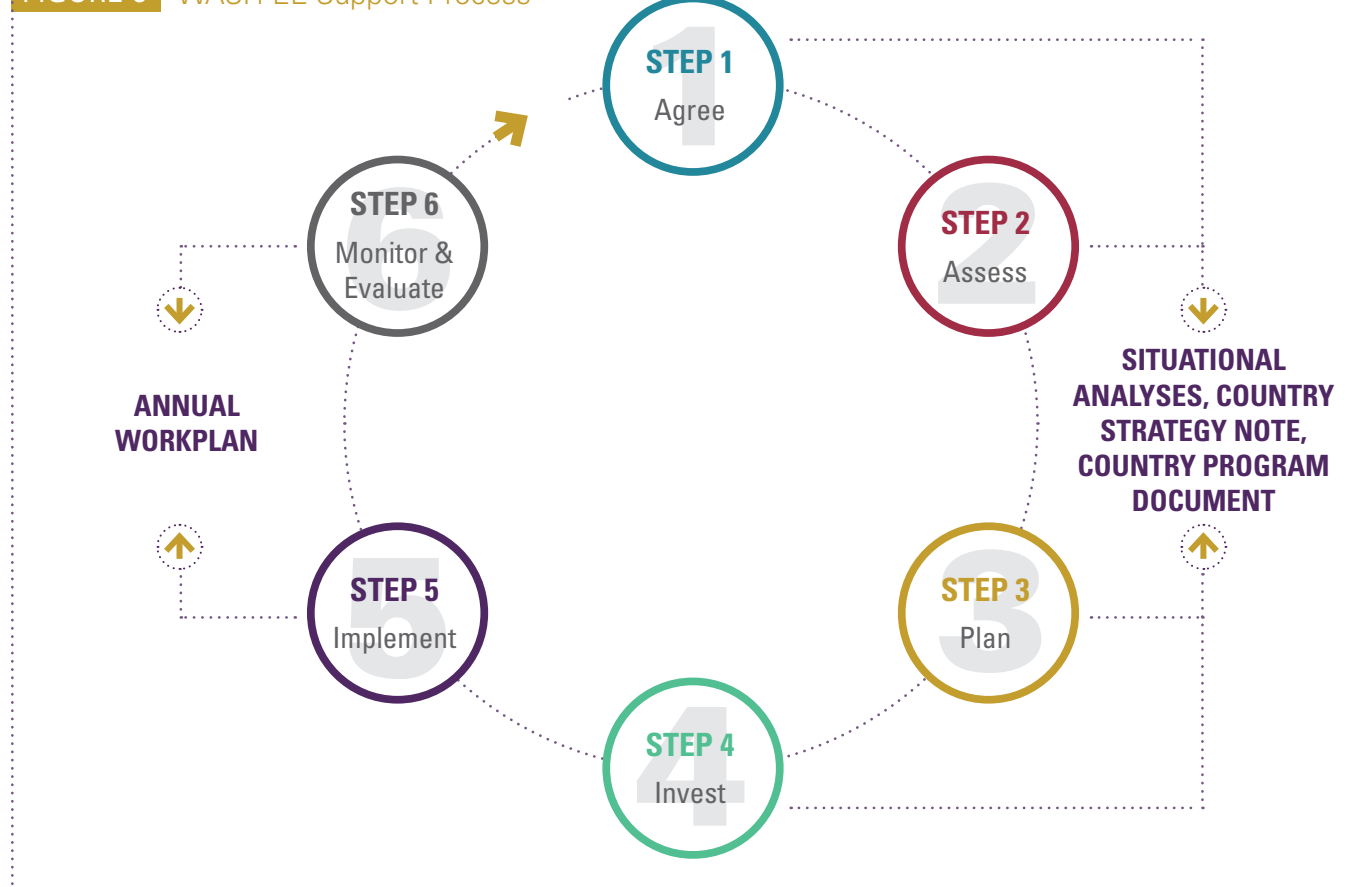
An overview of the step-by-step approach includes:

1. **Agree:** Build consensus and leadership to strengthen the WASH sector.
2. **Assess** the status of the WASH EE.

3. **Plan:** Facilitate a government-led planning process to strengthen the WASH EE.
4. **Invest:** Develop a WASH sector investment plan.
5. **Implement:** Develop a UNICEF implementation plan.
6. **Monitor and Evaluate:** EE functions.

Figure 5 illustrates this process with steps that overlap the in-country programme cycle and WASH EE work are surrounded by dotted lines. In this illustration, WASH EE steps 1 to 4 correspond to the following in-country processes: situational analysis; country strategy note; and the country programme document. Further, steps 5 and 6 correspond to the Annual Work Plan and JSR and Annual Review, respectively. Arrows clarify which areas correspond to the approaches listed.

**FIGURE 5** WASH EE Support Process



**TABLE 2** Brief objective description of key tools and approaches for strengthening the WASH EE

TOOL	OBJECTIVE	DESCRIPTION
WASH JSRs	Review and assess national sector progress	Key sectoral stakeholders (typically annually) produce a report, which serves as a reference point on progress and offers recommendations
Monitoring SWA High-level Commitments	Monitor high-level commitments made during regional conferences (held since 2002) to further catalyze political leadership and action, improve accountability and use resources more effectively	Meetings often result in binding resolutions among governments, which are followed up by post-meeting action; online monitoring platform at <a href="http://www.WASHwatch.org">www.WASHwatch.org</a>
UN-Water GLAAS	Provide policy makers at all levels with a reliable, easily accessible, comprehensive and global analysis of evidence, to enable informed decisions about sanitation and drinking water	Global report is published biennially and includes an assessment of government policies and institutions, investments, foreign assistance, and relative influence of all these factors on performance
WSP CSOs (World Bank)	Provide oversight of the achievements of the four WASH sub-sectors, benchmark service delivery pathways and identify issues that might be inhibiting progress	Scores progress in three areas of service delivery for each WASH subsector: enabling service delivery, development of services, and sustaining services
Rural Sanitation EE Assessment (World Bank)	Systematically assesses and monitors progress in sanitation and hygiene programmes	Consists of eight essential dimensions used to describe the EE, each of which has six indicators or 'components' that are structured as a checklist
WASH BAT (UNICEF)	Facilitate a participatory process with government partners to assess and analyze gaps in the EE for all four WASH subsectors	Applies a root-cause analysis of the major constraints on sector progress to determine the requirements and consequences of removing them
Track-Fin (WHO)	Define and test a globally accepted methodology to track WASH financing at national level	Answers four basic questions: (i) What is the total expenditure?; (ii) How are funds distributed between different services and expenditure types?; (iii) Who pays for services?; and (iv) Which entities receive funding?
VFM Tool (DFID)	Promote the best use of available resources to achieve sustainable WASH outcomes	Collects and analyzes data on the costs and results of the particular programme, interprets the VFM indicators generated, and compares them to other programmes
Public Expenditure Review (PER) of WASH sector (World Bank)	Evaluate the effectiveness of spending in the WASH sector	Typically analyzes government expenditure over a period of years to assess their consistency with policy priorities and what results were achieved
Public Expenditure Tracking Survey (PETS) of WASH sector (World Bank)	Gauges the financial performance by generating evidence on financial flows and the quality of service delivery	Consists of a quantitative survey of the supply side of public services, with the unit of observation being a service facility and/or local government (frontline providers)
Territorial expenditure analysis of WASH	Determine whether public investments are contributing to equitable outcomes	Often part of PERs, but can also be carried out as standalone studies
Fiscal space analysis (UNICEF)	Identify how additional WASH activities can be financed within the fiscal framework	Looks at different options based on the country context including: (i) domestic revenue; (ii) foreign aid; (iii) the potential for increased borrowing or restructuring debt; (iv) reprioritizing current allocations; (v) using fiscal reserves; and (vi) tackling corruption

Additional tools can be accessed from: <https://washenablingenvironment.wordpress.com/>



## 5.2 WASH Enabling Environment Strengthening Steps

This section covers the different steps associated with the WASH EE strengthening process. Each contains two sub-sections: addressing key actions that may be undertaken; and illustrative examples of what could be done within each step. Tools are offered for many of the key actions listed. Note that Annex 2 contains detailed information on the tools referenced.

### Step 1: Agree to strengthen the WASH sector

Convene stakeholders to brainstorm and agree on WASH EE change process.

#### Key Actions

- Conduct evidence-based advocacy that ‘business as usual’ is unlikely to accelerate and scale up access to sustainable WASH services or reduce inequality in access.
- Tool: UNICEF Advocacy Toolkit.
- Facilitate government willingness to change and forge alliances for change. This includes building relationships among stakeholders, developing a common vision and deciding where to focus effort. The action requires consulting with the public and private sectors, the NGO community and civil society – and/or building special interest groups.
- Tool: Country Guide to Engage Parliaments on Budget Issues for Child Rights (UNICEF forthcoming).
- Identify and support political leaders to be champions for change.
- Tool: UNICEF Advocacy Toolkit.
- Constitute a sector technical working group with clear and agreed-upon terms of reference to focus on strengthening the EE.
- Tool: Agreed Sector Working Group Terms of Reference.
- Work with the EE technical working group to determine EE functions and related definitions and indicators. Use the UNICEF EE functions and related WASH-BAT indicators (see above) as a starting point.

#### Illustrative Example AusAID in Zambia

In 2011, Australian AID (AusAID) prepared a WASH

Sector Brief to inform stakeholders about the status of the sector, and to contribute to priority setting for WASH. The brief reviewed coverage and WASH-related health statistics, and finance trends in the sector including a costing analysis of the annual funds required to meet WASH targets, sector governance and climate change and water resources. The stakeholders agreed that:

- Limited institutional leadership, capacity and coordination across all levels are the main bottlenecks to progress in Zambia’s WASH sector, particularly for sanitation where progress is marginal.
- Decentralization of authority to the district and local levels has not been accompanied by a sufficient increase in financial or technical capacity.
- While urban water coverage is likely to meet its national target, sector wide national and MDG targets are unlikely to be met unless investment is significantly increased.
- Although sanitation is seen by the government as an integral component of WASH, it still needs appropriate budgetary prioritization.

### Step 2: Conduct Systematic WASH Enabling Environment Analysis

Once stakeholders agree to a change process, political leadership and UNICEF can lead a broad stakeholder engagement process to systematically analyze the WASH EE.

#### Key Actions

- Conduct a situational analysis to understand the landscape of the WASH EE, including: relevant EE work already being done; SDG targets and strategies; relevant issues related to urban and rural areas; government levels and institutions involved; available resources; and potential financial and implementation partners.
- Identify key government and development partner stakeholders to participate in the EE bottleneck analysis.
- Organize a WASH EE Bottleneck analysis workshop that can help to:
  - o Assess the key enabling factors the WASH sector must develop
  - o Identify bottlenecks that constrain sector progress
  - o Propose (sequenced) activities to remove bottlenecks

- o Estimate costs to remove bottlenecks
- o Identify financing options to address resource gaps
- o Advocate for additional funds to be directed to priority interventions
- o Link bottleneck removal to increases in WASH coverage and broader development objectives
- Identify current spending on related interventions and spending gaps.
- Facilitate a participatory process with government partners to assess and analyze gaps in the EE for all four WASH subsectors.
- Conduct (or partner with others to conduct) additional analysis to deepen understanding of the status and constraints on WASH EE functions for a subsector (for example, urban sanitation) or WASH programme area (for example, schools).
  - o Track financing for WASH at national level.
- Conduct VFM evaluations, including Cost-efficiency analysis, Cost-effectiveness analysis, Cost-benefit analysis.
  - o Assess the equity of expenditure in the WASH sector
  - o Conduct rural WASH life cycle costing

### Tools

- WASH BAT.
- SitAn+.
- Fiscal space analysis.
- Public Expenditure Tracking Survey (PETS).
- Territorial expenditure analysis.
- VFM Tool.
- WASHCOST Tool.
- Track-Fin.

### Illustrative Example

Use of the WASH BAT in Madagascar<sup>19</sup>

The overall aim of the WASH BAT is to increase WASH sector resources and efficiency to achieve more scaled-up, sustainable and equitable outcomes. The process was adapted to the local context, and was conducted in steps. Consequently, enabling factors and bottlenecks were analyzed on separate occasions with

the involvement of different stakeholders.

Initial conclusions were summarized under five topics:

- Co-ordination and planning. No formal sector leadership and little decentralization at the regional and commune levels.
- Scale up and sustainability. Limited concern for infrastructure scale up and sustained service delivery.
- Sector finance. Lack of finance and consideration of equity for programmatic intervention at a meaningful level and a lack of absorptive capacity.
- Private sector. A lack of engagement, and relevant skills, absence or immaturity of markets, and absence of a credible supply chain.
- Society and culture. The wider society is not engaged in WASH due to the lack of recognition and support it requires.

Recommendations to address these issues in Madagascar are:

- Co-ordination and planning. Adoption of a SWAp. This recommendation requires two processes: a) identification of steps undertaken in other countries where successful WASH and other sector SWAPs have been implemented; and b) setting up an inclusive process of discussion and decision around what is to be included and the implications, benefits and costs. This process had to be firmly rooted in government.
- Sustainability and scaling up. No significant attempts to scale up could be carried out while coverage is undermined by a growing sustainability crisis. Lack of sustainability is a function of an infrastructure-led mindset. It was recommended that a sustainability strategy be developed for the sector in a new paradigm of service delivery, and that all actors contribute and adhere to it. UNICEF agreed to lead this process, supported by WaterAid. An Equity Study was also recommended for 2014.
- Sector finance. Recommendations in the finance included: advocating for more finance after an envisaged political upturn after an election; adherence to WASH Cost principles across the sector; setting up a transparent and disseminated database and performance management system; and seeking greater budget utilization, partly through de-concentration and devolution. It was recommended that a sector finance champion or guru be identified, who would have the task of pushing the raft of recommendations forward

<sup>19</sup> Peter Ryan WASH Consulting. 2014. Madagascar WASH Sector Provision. Bottleneck Assessment. UNICEF.





and reporting on their progress, and be accountable for this progress.

- **Private sector.** A private sector capacity and needs development study was recommended. This would focus on national strengths and weaknesses, and make a comparison with countries where the private sector has become fully and productively engaged.
- **Society and culture.** In common with other poor nations, an unrealistic burden is placed upon rural communities to manage their own water supplies, while lack of post-sensitization support for their sanitation and hygiene practices means that infrastructure and behaviour change are short lived. Analysts concluded that the WASH sector needed to evolve rapidly from providing infrastructure to a service delivery culture. A national campaign on sanitation and hygiene was believed to be required to highlight the issue and to focus on behaviour change, targeting women and children particularly, and ensuring that equity and poverty issues were addressed.

### Step 3: Develop a WASH Enabling Environment Strengthening Plan

Once WASH access and service delivery has been systematically analyzed, a comprehensive, government-led programme to strengthen the WASH EE can be planned.

#### Key Actions

- Facilitate a process with the government to develop

country WASH goals and targets for the 15-year SDG period. Emphasize activities to progressively reduce inequality in WASH access. Compare current rates of increase in access (or other targets such as reduction of open defecation) with the increase in access (rate of acceleration) needed to achieve the SDG target. Estimate overall and annual investment needs to meet the targets, so that the government understands what is realistic and achievable.

- **Support a sector planning process.** Develop a medium- and long-term National/State Government Action Plan for strengthening the EE and all its functions. Outline the series of reforms needed to strengthen each EE function identified as a critical bottleneck to sustainable WASH service delivery and achieving the WASH SDGs.
- **Identify and agree on roles and responsibilities** for all development partners to support the government in implementing the action plan. UNICEF's role should consider country-specific comparative strengths and human and budget resources.
- **Help to develop an effective communication campaign** that uses clear, simple language to inform all stakeholders about the planning process.

Programme activities for each EE function should include technical expertise in a specific EE function, capacity building, advocacy, facilitating reform processes, piloting new and innovative approaches, and developing

evidence-based knowledge products.

### Tools/Resources

Ministry of Infrastructure. Republic of Rwanda. Water and Sanitation Sector Strategic Plan 2013/14-2017/18. Available at: [http://www.minecofin.gov.rw/fileadmin/templates/documents/sector\\_strategic\\_plan/Water\\_and\\_Sanitation\\_SSP\\_June\\_2013.pdf](http://www.minecofin.gov.rw/fileadmin/templates/documents/sector_strategic_plan/Water_and_Sanitation_SSP_June_2013.pdf).

### Illustrative Examples

#### Against the Current: Lessons Learned in Nigeria after Supporting Urban WASH Utilities<sup>20</sup>

Understanding the limitations of previous interventions aimed at achieving sustainable water delivery services will help prepare future EE plans that will result in reliable water coverage. A nine-year project implemented in Nigeria to address the institutional weakness of urban water utilities in three states was unable to reach its objectives. The National Urban Water Sector Reform Project was designed to increase access to piped water supply in selected urban areas and focused on improving the reliability and financial viability of urban water utilities, and adopted a more balanced approach between public and private actors. The Project achieved its investment targets for rehabilitation and expansion, but was less successful in making the institutional reform needed to guarantee service sustainability. The lessons learned can help future EE interventions:

- ‘Institutional’ reforms must accompany ‘hardware’ reforms, even if disruptive. Programme incentives should focus on more than achieving hardware related targets, and appropriate training programmes must develop technical capacity and motivation to deliver services sustainably.
- Institutional reform has to move beyond the presence of formal governance frameworks within State Water Agencies (SWAs). Drafting a national strategy and a water policy and establishing regulatory agencies is necessary. Yet, improvements in formal rules must accompany tangible results. A ‘de jure’ approach (a state of affairs that is in accordance with law) to reform can lead to short-term gains, but low agencies and people ownership of reform implementation and little difference on the ground.

- Institutional agents must learn to value long-term outcomes. Utilities can instill a culture of water service payment and install a credible system of rewards and sanctions that strengthens accountability and that views staff capacity building as an investment.
- Productive discussions about sustainability may emerge when hard data is used to convince policy makers to support institutional reform. Access to hard data will help forge transparency and trust, develop a culture of accountability and enhance the credibility of managers of state utilities.
- In a decentralized system, reforms should be tailored to the state context. Federal government counterparts can and should support a variety of service delivery models allowing for diverse delivery leading to accomplishing common results.
- Donor disbursement in favour of service delivery improvements should be results-based as opposed to sticking to timelines, especially if sustained change is to be achieved.

### Step 4: Develop a WASH Enabling Environment Sector Investment Plan

Financing for the WASH sector is often a significant barrier to increase access to water and sanitation, even when a programme is in place with clear goals and targets. A common problem in providing WASH is the large capital investment needed for constructing infrastructure and the continuous running costs for operation and maintenance and ultimately replacement. However, financing is also required to implement key EE functions such as monitoring, evaluation and learning, capacity building and policy development. Financing is also needed for non-infrastructure related WASH services such as behaviour change, creating demand for sanitation, and promoting harmonization among donors.

‘Sustainable financing’ implies that expenditure is balanced with revenue (from public budgets, user charges, and loans and grants from domestic and international sources) over a medium-term fiscal framework.

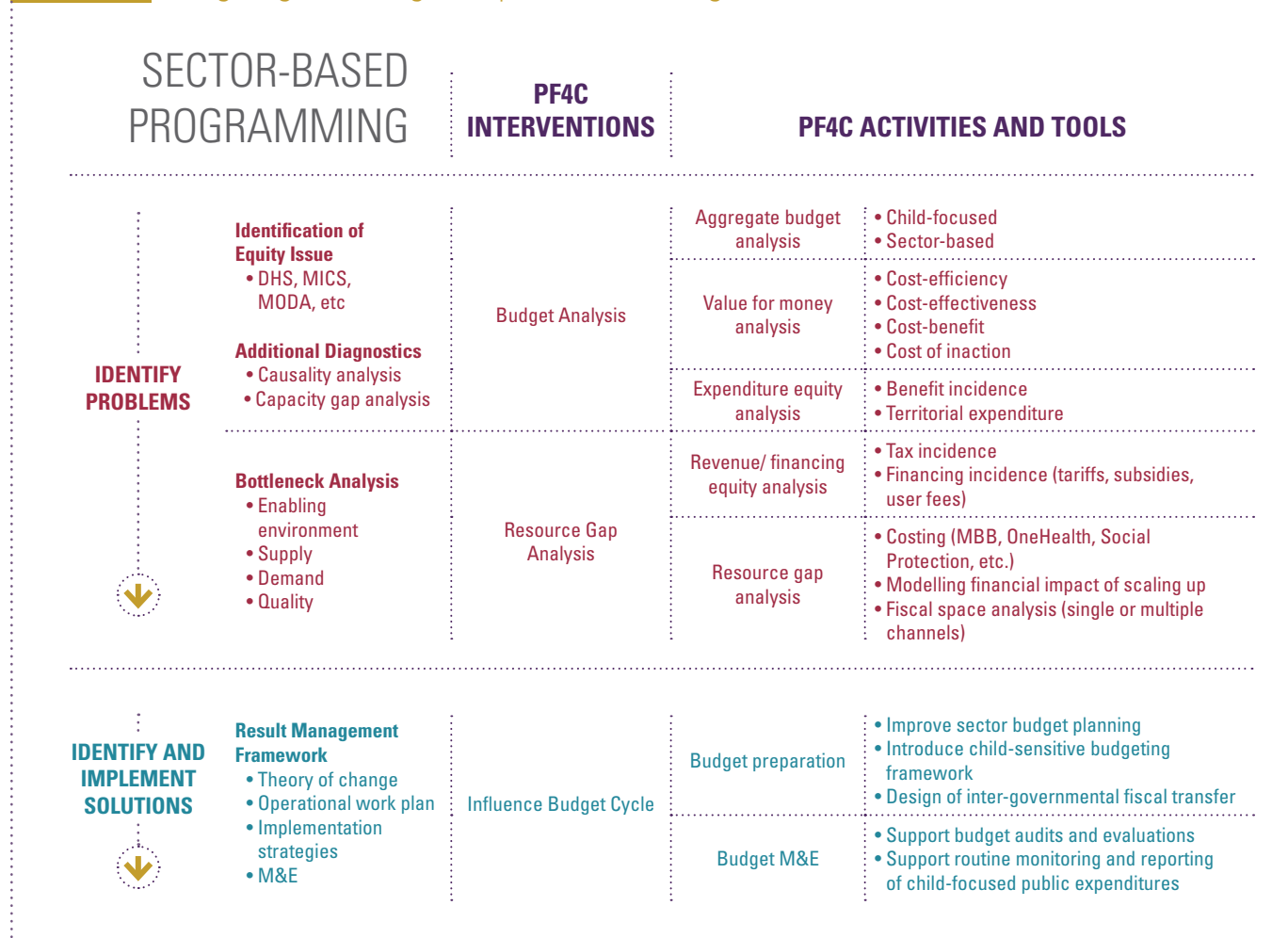
Teams looking at financing may consider two broad approaches – improving efficient use of existing funds, and getting additional funding.

The figure above presents a summary of budget, financing and expenditure tracking model used

20 Global Delivery Initiative. 2015. Against the Current: How to Shape an Enabling Environment for Sustainable Water Service Delivery in Nigeria. Available at: [http://www-wds.worldbank.org/external/default/WDSPContentServer/WDSP/IB/2015/09/21/090224b0830f3d23/1\\_0/Rendered/PDF/Against0the0cu00delivery0in0Nigeria.pdf](http://www-wds.worldbank.org/external/default/WDSPContentServer/WDSP/IB/2015/09/21/090224b0830f3d23/1_0/Rendered/PDF/Against0the0cu00delivery0in0Nigeria.pdf).



**FIGURE 6** Budgeting, Financing, & Expenditure Tracking Model



by UNICEF for Public Finance for Children (PF4C) programmes. The information is broken down by phases: problem identification first and solution identification and implementation second. Tools and activities for each one of those phases are listed.

### Key Actions

UNICEF can contribute to financing by facilitating a planning process to finance and invest in the WASH sector to help achieve the SDG WASH goals and targets.

- Use evidence generated during earlier steps to advocate with technical and political counterparts. This includes:
  - o WASH budget analysis (the baseline of what the government is currently investing in the sector).
  - o Multi-year costing (the total financing required to address WASH sector bottlenecks).
  - o Existing activities within budgets that could be modified or rescaled to deliver on WASH outcomes.
  - o Financial gap analysis.
- Fiscal space analysis (show different options to address the financial gap).
- Analyze budgets.
- Conduct sector-based, child-focused aggregate budget analysis.
- Conduct resource gap analysis.
- Influence budget cycle.
- Promote and engage in WASH SWAps to improve the effectiveness and impact of sectoral investments by harmonizing inputs from development partners through a common policy and programming framework under government leadership.

SWAp move external financing towards full integration with government expenditure and procurement systems. The local context, country priorities and UNICEF's strengths determine the type and level of engagement.

- Particular areas where UNICEF can contribute effectively include: working with partners to reduce disparity in access to water and sanitation in SWAp; encouraging more participation by national non-state actors; and ensuring greater attention to commonly identified areas of weakness in SWAp, including the neglected areas of sanitation and the sustainability of rural water and sanitation systems.

### Tools

- Fiscal space analysis.
- Public Expenditure Tracking Survey (PETS).
- Territorial expenditure analysis.
- VFM Tool.

### Illustrative Examples

#### Example 1: 2015 Dakar Multi-Donor Meeting

At a December 2015 multi-donor meeting in Dakar on innovative WASH sector financing, governments were called upon to establish dedicated funding mechanisms to finance WASH infrastructure and services, while donors were challenged to provide guarantees to support commercially and financially viable WASH start-up businesses.

The following new opportunities for innovative financing of WASH were identified for application in West and Central Africa:

- Water Banks – based on domestic resource mobilization (pension funds, insurance companies) using repayable finance to bridge the financing gap.
- A Blue Fund – A potential regionally or globally coordinated initiative to attract and channel funding to the sector.
- National Water/WASH Financing Facility – Domestic resource mobilization mechanism for the WASH sector with characteristics of pooled investment projects, good governance framework and opportunity for blending private capital with public funding to promote pro-poor policies.
- Other mechanisms include using (i) blended funding, (ii) commercial financing, (iii) private equity, (iv) public

financing, and (v) special taxes such as a sanitation tax and using 1 per cent of taxes for WASH.

- The role of extractive industries and private sector to support the water and sanitation sector needs to be better formulated.

#### Tanzania: Successful Advocacy through SWAp Dialogue Mechanisms

Tanzania's Water Sector Development Programme (WSDP) is the largest Water Sector SWAp, having secured over \$1.4 billion in funding for its first phase (2007–2014). It has four components: urban WASH; rural WASH; water resources management; and capacity building. WSDP has a common fund as well as an additional funding mechanism that allows development partners and government to finance separate earmarked projects. These projects have separate financing, procurement and management systems but conform to the agreed objectives and strategies of the SWAp.

UNICEF does not contribute monies to the common fund, but it is active on SWAp management and monitoring systems, and is the development partner chair for sanitation and hygiene in the Development Partners Group coordination body. Through this engagement, UNICEF has successfully advocated for a new sanitation-specific component in the second phase of WSDP (to address systemic underfunding of sanitation), and has supported greater national NGO engagement in SWAp processes.

#### Mozambique: Core Member of the National Rural WASH SWAp

The Mozambique National Rural Water Supply and Sanitation Programme (PRONASAR) is a SWAp mechanism that has been in full operation for almost five years. PRONASAR includes both common fund and earmarked project financing mechanisms, and UNICEF contributes to both (UNICEF has contributed \$3.7 million of a planned \$5 million to the common fund since 2010). UNICEF was a founding development partner member of PRONASAR (along with the Netherlands, Switzerland, the United Kingdom and AfDB), has chaired the Development Partner Coordination Group, and continues to play a core role in the SWAp. UNICEF is currently a key contributor to discussions on re-designing the SWAp to better support the national decentralization agenda and to increase the focus on sanitation.



## Bolivia: Towards Greater Funding and Government Capacity in the Rural WASH Subsector

UNICEF involvement in Bolivia's first Water Sector SWAp, which focused on urban areas, was modest. However, UNICEF involvement in the rural sector (through a programme financed by Canada, Sweden and the Netherlands), its close relationship with government, and its active participation on sectoral dialogue mechanisms led to successful advocacy for a new rural WASH SWAp for marginalized communities with a population of less than 2,000 people. Funded mainly by the Government of Bolivia and the EU, the SWAp includes a programme management and capacity-building component managed by UNICEF.

### Step 5: Implement a WASH Enabling Environment Strengthening Plan

Once a comprehensive multi-development partner plan has been developed to work with the government to strengthen the EE with clear agreed roles and responsibilities among all stakeholders, UNICEF can develop its own detailed internal implementation plan.

#### Key Actions

- Meet with the appropriate UNICEF country team members to review the EE functions that the agency agreed to support as part of the long-term National/ State government action plans for strengthening the WASH EE.
- Develop UNICEF short-, medium- and long-term country implementation plans with budgets, timetables and critical milestones to support government efforts to strengthen the WASH EE. Potential action and instruments that could be funded and implemented by UNICEF include:
  - o Advocacy
  - o Partnerships
  - o Technical Assistance
  - o Capacity Building
  - o M&E
  - o Documentation of evidence-based learning
- Identify human resources (UNICEF country and international staff and consultants) needed to implement the UNICEF work plan.
- If needed, plan to build UNICEF country staff capacity

to work on EE activities to support national and state governments.

#### Illustrative Examples

##### Example 1: UNICEF Support to the WASH EE in Nigeria<sup>21</sup>

UNICEF Nigeria works extensively to help strengthen the EE for WASH at all levels. Examples of specific UNICEF Nigeria activities include:

1. **Supporting the development of strategies/policies/guidelines.** Funding expert consultants to provide technical assistance and helping to facilitate work with key stakeholders to develop a range of policy and strategy documents. These include: a National Road Map for Eliminating Open Defecation in Nigeria that was adapted to develop state-level open defecation free (ODF) roadmaps in 36 states of the Federation; a National Hygiene Strategy; a National Sanitation Marketing Strategy; a National Strategy on Water Quality Surveillance; a National Strategy on Village Level Operation & Maintenance; and an Advocacy Strategy for Leveraging Government Resources.
2. **Supporting scaling up of successful approaches.** Funding the scaling-up and institutionalization of the 'WASH Information Management System' throughout the country, hinged on the lowest administrative structure (Local Government Area [LGA] WASH Department/ Unit). Starting with 12 LGAs with data on just over 2,600 communities, the system has current data for over 22,000 communities in 70 LGAs, with plans to cover over 250 LGAs by 2017. The WASH Information Management System has been accepted and is being adopted by all development partners for use in rural, urban and small towns across the country. With the keen interest shown by the new administration, the System is likely to be scaled up beyond the planned targets in 2017. This is being linked to real-time functionality tracking of water facilities currently covering 50 LGAs, and is being expanded (note: An LGA is equivalent to a district. Nigeria has 774 LGAs in 36 states). UNICEF also worked with a number of LGAs to develop investment plans for scaling up WASH service delivery. For more details see [www.washims.com](http://www.washims.com).

<sup>21</sup> Source: email correspondence in January 2016 between Eduardo Perez and Kanan Nadar in UNICEF Nigeria.

3. **LGA-wide approach as a means to accelerate access to WASH.** The LGA-wide approach was born in 2010. It led from UNICEF's in-country observations that interventions in scattered communities spread across LGAs do not allow rapid scaling-up of WASH coverage and die down once the donor support is over. Since 2010, the LGA-wide approach has been a major strategy for UNICEF WASH interventions, and has been gradually picked up by other development partners including the Government in 21 states. LGA-wide approaches allowed direct engagement with decision makers at the LGA level and helped establish proper institutional set-up at the LGA level to drive planning and investment. This approach has allowed rapid scale-up of ODF communities, and is presently being adopted to rapidly accelerate LGA-wide water safety planning and community-based management of water supply. Starting with just 15 ODF communities in 2008, the LGA-wide approach expanded to over 13,000 ODF communities by 2015.
4. **Playing a lead role in setting up and operationalizing national-level working groups** to provide overall policy direction and advice in key areas, including: a National Task Group on Sanitation; WASH in Emergency working groups at national and sub-national levels; a working group on WASH in Primary Health Centers; and a Federation of WASH Committees to strengthen accountability in a number of states.
5. **Supporting the development of national guidelines, manuals, standards and protocols** including the development of: a WASH Committee Manual for establishing and training WASHCOM in communities; a harmonized Procurement Guideline for infrastructure works; a national protocol for certifying and validating ODF communities; National Guidelines for WASH in Schools; and technical standards for the design and construction of WASH facilities in schools and primary health centers.
6. **Strengthening quality assurance processes,** including independent certification of ODF claimed





communities through a combination of state, LGA and civil society partners; validation of ODF-certified communities by the National Task Group on Sanitation; and the third party monitoring, supervision and certification of constructed WASH facilities

7. In addition, **UNICEF Nigeria supports national conferences to sensitize decision makers on key issues affecting the WASH sector** and foster peer learning among states, and supports the Government in preparation for regional meetings such as the AfricaSan/SWA meeting.

### **Example 2: UNICEF Support to the WASH EE in Zambia**

UNICEF Zambia is carrying out a range of activities to address constraints in the EE, including:

1. **Leading advocacy and technical support** from the WASH Cooperating Partner Group, resulting in the formal engagement of the Government of Zambia in the creation of a fully fledged Water Supply and Sanitation Directorate within the Ministry of Local Government and Housing to address the critical capacity gap in managing and coordinating the WASH sector.
2. **In partnership with the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), leading an institutional reform process** aimed at developing a sustainable WASH Sector Financial Mechanism for new investments, maintenance and rehabilitation of infrastructure. This reform is meant to professionalize sector financing by developing an integrated water development financing mechanism for water supply and sanitation (WSS) services and Water Resource Management and Development, and to establish financially viable operations for all actors.
3. **Providing funding and technical assistance to support the Ministry of Local Government and Housing to develop policies and strategies**, including: the ODF Zambia Strategy 2020 to put the WASH sector on track on the SDGs for sanitation; the Urban Sanitation Strategy, which includes a focus on equity for sanitation in peri-urban areas; and supporting the revision of the National Water Policy.
4. **Leading the coordination of Technical Working Groups and taskforces on key innovative approaches on WASH** including: the National Technical Committee on WASH in Schools and Men-

strual Hygiene Management hosted by the Ministry of Education; and the WASH in Health task force hosted by the Ministry of Health to scale-up relevant measures for improved infection prevention and control in health facilities.

5. **Providing funding and technical assistance to the scale-up of a real-time-monitoring surveillance system** in 46 districts across the 10 provinces.
6. **Supporting the Ministry of Health to develop an innovative WASH package for health facilities**, including standards for WASH facilities and operating procedures for Infection Prevention and Control, and a training curriculum. This was piloted in four main health facilities before being adopted by the Government. A dedicated task force led by the Ministry of Health has been set up to coordinate and harmonize implementation of the package, and scaling up is ongoing through a strategic programme funded by the EU.
7. **Supporting, with UNESCO, the revision of the School Health and Nutrition policy framework**, which integrates the newly adopted school WASH standards and the national Menstrual Hygiene Management guidelines. Through advocacy, the packages have been largely disseminated, leveraging interventions from USAID, EU and AfDB.

### **Example 3: UNICEF WASH EE Support in Indonesia**

1. **Support to policy development.** UNICEF worked with the Ministry of Health to develop a roadmap for the national WASH programme to clearly outline the steps needed for Indonesia to achieve universal access to WASH services by 2019.
2. **Leveraging resources.** UNICEF worked with Majelis Ulama Indonesia (the Indonesian Council of Islamic Scholars) to provide guidance on WASH in Islamic teaching. This has resulted in Majelis Ulama Indonesia, UNICEF and the Government of Indonesia developing detailed spiritual direction on the issue of WASH and urging strong and sustained behaviour change around WASH practices. From this a Fatwa on WASH and Zakat (charity funds) was developed to allow support to the poorest and most vulnerable families for WASH services. The Ministry of Health has put national budget funds in its plan to roll out the guidance to provinces.

3. **Innovation and advocacy.** UNICEF organized a social media campaign on the scale of that for open defecation in Indonesia. The campaign, called Tinju Tinja (meaning literally 'Punch-the-Poo'), aimed to create, through youth – most of whom already use a toilet – an active layer of advocates who can speak out to stop open defecation. The website [www.tinjutinja.com](http://www.tinjutinja.com), in both English and Indonesian, hosts a wealth of infographics, pictures and videos by famous Indonesian singers, comedians and bloggers. It also hosts provincial profiles developed by UNICEF, WSP and the government to present an agreed status of sanitation and WASH in schools for each province for advocacy and action.
4. **Sector coordination.** UNICEF supports the WASH cluster mechanism by convening meetings with the Government and NGOs. It also continues to act as a key convenor around WASH in schools in support of the National Planning Agency (Bappenas), including evidence sharing meetings and planning for the incorporation of WASH in schools into the planning for accelerating the sanitation programme.
5. **Monitoring, evaluation and evidence-based learning.** UNICEF supported Bappenas to reflect on lessons learned to date, and to identify the key elements required to scale-up and maintain progress in the WASH sector in Indonesia over the past 10 years. The resulting book was developed in both Bahasa and English. In addition, UNICEF funded the analysis of existing data to gain better insight into constraints and opportunities in the WASH sector. One example of M&E and evidence-based learning was carrying out a national nutrition survey to identify factors associated with stunting among children aged 0-23 months in Indonesia. The survey identified an increased likelihood of stunting where there are unimproved latrines and drinking water, compared to areas with improved conditions. UNICEF used this evidence to promote policies and programmes that address child stunting in Indonesia and to consider WASH interventions.

## Step 6: Monitor and Evaluate WASH Enabling Environment Functions

Once the WASH EE Plan is operational, activities and progress must be monitored, evaluated and improved as needed.

## Key Actions

- With government and development partners, develop harmonized and agreed-upon indicators.
- Agree on an approach and/or tool for monitoring the EE. If the UNICEF WASH-BAT tool was used to assess the EE, this tool could also be used as the monitoring tool.
- Ensure transparency in measuring and reporting progress and results. Check and validate results to ensure the process is credible and of high quality.
- Monitor the WASH EE in addition to monitoring WASH service delivery programmes. JSRs allow all stakeholders to understand whether interventions are on track and achieving their intended results. They can also help identify new bottlenecks related to the EE that should be addressed.
- Offer remedial action to enhance interventions as needed.

## Illustrative Example

### Example 1: SWA High Level Commitments

Meeting the water SDG goal and targets 6.1 and 6.2 will require governments to make and implement commitments to increase sustainable WASH services for all. SWA encourages high-level decision makers to engage with other SWA partners, make commitments and take action to improve sanitation and water. SWA coordinates the High Level Commitments Dialogue, which encompasses the preparatory process that counties and donors carry out in advance of High Level Meetings (HLM) to develop context-specific commitments, the biennial HLMs themselves, and the annual monitoring of those commitments. At HLMs, developing countries and donors identify and commit to addressing the fundamental bottlenecks preventing progress, and to act on international aid. To date, three HLMs have taken place, in 2010, 2012 and 2014.

At the 2014 HLM, SWA partners attending the meeting made a total of 383 commitments to remove barriers to progress, eliminate inequality and ensure the sustainability of water and sanitation services. Forty-three developing countries (referred to as 'countries' in this report) made 313 commitments, and 12 donor partners (referred to as 'donors') made 70 commitments. These commitments are mostly intended to be achieved by April 2016 and were developed through government-led, consultative processes, often engaging multiple stakeholders.

In March 2015, 40 of the 43 developing countries and all 12 donor partners reported on the results of their reviews. They reported either making good progress, or partially or completely fulfilling their commitments. This was true in particular in relation to commitments to improve the visibility of the WASH sector, develop and implement national monitoring systems, and increase institutional and human capacity. Countries also reported that 10 per cent of their commitments had been met or were almost complete. There is slow progress on about 40 per cent of the country commitments, and 7 per cent were facing major barriers. On the donor side, on the other hand, donor partners reported significant progress on more than three quarters of their commitments, including one quarter which were near completion or already achieved.

### **Example 2: Multi-Sector Forum in Ethiopia**

The Multi-Stakeholder Forum (MSF) has emerged as the main annual WASH sector event in Ethiopia. Since 2007, the Forum has brought together the Government, donors and NGOs to jointly review progress in the WASH sector, and to facilitate harmonization and alignment. At the Forum, sector priorities are set in the form of jointly agreed undertakings for the coming year.

The 7th Annual WASH Ethiopia MSF (16-17 December 2015) focused on the theme 'Priority for One WaSH National Program'. The One WaSH National Program (OWNP) is the world's largest SWAp to WASH, and it is gathering speed. OWNP is led by the Ministry of Water and Energy and supported by a task force comprising of focal points from WASH Ministries, donors, civil society and bilateral organizations. The Program has an expected life of seven years, with a second phase extending from 2015 to 2020. It includes four components: rural and pastoral WASH; urban WASH; institutional WASH; and capacity building. It also has a strong M&E component. OWNP serves as a platform to bring sector stakeholders together for consensus building and sector planning purposes.

UNICEF contributions to the Program include:

- Mobilization of funds from the EU, Government of Japan and UNICEF National Committees for WASH in Schools.
- Improved monitoring, reporting, and data management systems. UNICEF is supporting the Ministry of Water and Energy to carry out a national WASH inventory, in collaboration with the Ministries of Health and Education. The inventory will provide new data on water supply schemes in urban and rural areas, sanitation and hygiene practices of households, and the status of water supply and sanitation facilities at health institutions and schools. The district WASH Inventory will enable the capture of information on WASH in schools, which should also strengthen the Education Management Information System and the Education Cluster System. Improved School WASH information, including indicators on adequacy of facilities, their use and upkeep, and hygiene practices, will enable local planners and implementers to better target their WASH investments.
- UNICEF plans to construct 376 schools provided with a complete WASH package in 64 learning districts.
- The Ministry of Education and the Federal Ministry of Health, with the support of UNICEF, developed a set of national design principles and standards for school WASH in 2010. The Design and Construction Manual for Water Supply and Sanitary Facilities in Primary Schools provided the first detailed set of guidelines for school WASH in Ethiopia. A second edition is currently under development, and will add detail on water supply designs, as well as the lower-cost approaches suitable for many rural schools.
- UNICEF helped Ministry of Education on Climate Resilience. UNICEF supported the identification of technologies from national and international sources, evaluated them, and prepared a portfolio of the appropriate technologies and good practices needed for the implementation of concrete projects validated for the construction of a climate resilient economy (Solar Energy).
- UNICEF provided support on water conservation and re-use and Menstrual Hygiene Management. It continues to encourage the participation of students in sanitary surveillance and the surveillance of community water supplies, and monitoring aspects of water conservation and reuse.







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## ANNEX 1: REVIEW OF EE ASSESSMENT TOOLS AND APPROACHES

**UNICEF developed the WASH Bottleneck Analysis Tool (WASH-BAT)** to facilitate a participatory process with government partners to assess and analyze gaps in the EE for all four WASH subsectors (rural and urban water supply, rural and urban sanitation). The WASH-BAT has its roots in another UNICEF and World Bank tool – the Marginal Budgeting for Bottlenecks tool – which was developed for the health sector more than 10 years ago. The WASH-BAT draws on a variety of other tools and approaches, including CSOs, and is a user-friendly, Excel-based tool that defines a comprehensive set of enabling factors operating at different levels of the service delivery system. The principal users of the tool are expected to be line ministries responsible for water, sanitation and hygiene. The tool stimulates users to apply a root-cause analysis of the major constraints on sector progress in their own setting, and determine the requirements for and consequences of removing them. The quality of the process is dependent on being able to bring the sector leaders and key stakeholders together to complete the WASH-BAT. The quality/time/depth of the consultations with stakeholders are also critical in achieving valuable outcomes. Undertaking a WASH-BAT ideally requires the full engagement of sector leadership, including government officials, to participate in a five-day workshop. WASH-BATs provide a rational, evidence-based approach for analyzing the WASH sector. However, in addition to identifying priority problems in the WASH sector, the WASH-BAT is used to formulate a sector (or subsector) investment plan comprising a costed set of activities designed to remove bottlenecks in the EE that constrain efficient, sustainable and equitable service delivery.

**The World Bank Water and Sanitation Program (WSP) developed and deployed a similar tool called the Country Status Overview (CSO).** CSOs are a national level tool to provide oversight of achievements in the four WASH subsectors, benchmark service delivery pathways and identify issues that might be inhibiting progress. Applied to each subsector of WASH in a country, including urban and rural sanitation, CSOs score progress in three areas (or ‘pillars’) of service delivery: enabling service delivery; developing services, and sustaining services. The methodology has also been extended by WSP to Latin America (where CSOs

are called Monitoring Country Progress in Water Supply and Sanitation) and South Asia and South East Asia (where CSOs are called service delivery assessments). CSOs have evolved in response to different regional priorities. The CSO2 methodology involves contracting an experienced regional or country consultant to work with the government applying three data-gathering methodologies. A strength of CSOs is that, in using external agents for verification and by incorporating a process for multi-stakeholder input, they can deliver an accurate and comprehensive sector analysis. In some instances, external agents have not delivered the quality needed. In general, CSOs take around three months to complete (including kick off meetings, consultation with key country sector stakeholders, presentation of draft findings, and finalization and sign off by the Government). UNICEF country staff members have supported this process in many countries.

**The WSP program also developed a different tool with a more-in depth assessment of the rural sanitation sector called the Rural Sanitation EE Assessment.** The World Bank worked with stakeholders to develop the EE Assessment, which can be used to systematically assess, strengthen and monitor progress in sanitation and hygiene programmes at the national and sub-national levels. The tool is composed of eight essential dimensions used to describe the EE. Each dimension has six indicators or ‘components’, which are structured as a checklist.

**A WASH Joint Sector Review (JSR)** is a process in which all key sectoral stakeholders in a country review and assess national sector progress, usually once a year. JSR outputs include the report, which serves as a key point of reference on progress in the sector, and a set of actionable recommendations. The most effective JSRs are results-based, and structured around previously-agreed indicators for progress. In some countries, regular JSRs are an initial step for the eventual setting up of a SWAp for the WASH sector. JSRs can be difficult to set up in countries where the sector is not well coordinated. However, many countries have made significant efforts to address sector coordination and are now planning JSRs.



**Monitoring Regional Sanitation Conference Commitments.** Since 2002, Regional Sanitation Conferences (SANs) have been held in Africa, East Asia, Latin America and South Asia to build political momentum for the neglected sanitation sector. From the outset, SANs recognized that a blend of political support, technical advance and knowledge exchange was needed to develop momentum for sanitation. The vision of the SANs dialogue was that governments should lead sanitation improvement, while engaging civil society, the private sector and External Support Agencies. Key SANs products have been regional and country political commitments. SANs meetings have sought to achieve binding resolutions among regional governments, which are followed up by post-meeting action. The focus on the political meeting itself has been complemented by better tracking of progress made against these ministerial commitments to avoid empty promises being made at SANs conferences. The process of tracking has in turn helped sharpen the commitments to make progress more easily measurable. Each SAN has established different regional mechanisms for tracking these commitments. The website <[www.WASHwatch.org](http://www.WASHwatch.org)> is an online platform for monitoring government policy commitments and budgets for WASH. The intention is for SAN meetings to be integral to an ongoing regional dialogue on how to reach targets and improve sanitation sector performance.

**The UN-Water** Global Analysis and Assessment of Sanitation and Drinking Water (GLAAS) is a UN-Water initiative implemented by WHO. Its objective is to provide policy makers at all levels with a reliable, easily accessible, comprehensive and global analysis of the evidence to enable informed decisions about sanitation and drinking water. GLAAS has evolved since its first pilot report in 2008 and now places emphasis on monitoring the inputs required to extend and sustain WASH systems and services through a country-led process. A secondary goal is to analyze the factors associated with progress, or lack thereof, to identify drivers, bottlenecks and knowledge gaps and to assess strengths and challenges across countries. The global GLAAS report is published biennially and includes: an assessment of government policies and institutions; the investments, in terms of financial and human resources; the volume and targeting of foreign assistance; and the relative influence of all these factors on performance. GLAAS is also a principal source of evidence for member states and other major stakeholders for the High-Level Commitment Dialogue, and for outlining their commitments

at the biennial SWA High-Level Meetings hosted by UNICEF at the World Bank Spring Meetings. Unlike the JMP, which relies on data from existing survey instruments, GLAAS gathers its own primary data through questionnaires distributed to countries and financing agencies. The process of completing country questionnaires encourages multi-stakeholder dialogue across ministries and with donors and civil society organizations. The final report submitted is essentially based on self-assessed data and governments have to sign off on the submission.

**Sanitation and Water for All (SWA)** is a global partnership of emerging country governments, donors, civil society organizations and other development partners working together to catalyze political leadership and action, improve accountability and use scarce resources more effectively. Partners work towards a common vision of universal access to safe water and adequate sanitation. SWA aims to create an effective cycle of robust planning, institutional strengthening, better resource utilization and higher investment. Every two years, SWA convenes a High-Level Meeting of national and global decision-makers to discuss the state of sanitation and water development and highlight the sector on a global platform. The meeting is significant as it engages ministers of finance to address the fundamental bottlenecks holding back progress, and encourages all parties to act on international aid effectiveness principles. This includes ministerial commitments (from countries and donors) and aligning and harmonizing efforts. The SWA secretariat is hosted by UNICEF and works with country and donor focal points to track progress made against these commitments. Guidelines for reporting on progress and a common reporting format have been developed. Country partners are encouraged to consult with other stakeholders in their tracking processes to increase the accuracy of the information through triangulation, and to increase credibility by reducing the subjectivity of the report.

**WHO is leading the TrackFin initiative under the UN-Water GLAAS Project** TrackFin's objectives are to define and test a globally accepted methodology to track financing to WASH at the national level. This methodology enables countries to track sector financing using standardized classifications, and to develop a set of WASH Accounts and indicators presented in a format comparable across regions and countries. Its aim is to answer four basic questions:

- What is the total expenditure in the sector?
- How are funds distributed between the various WASH services and expenditure types, such as capital expenditure, operating and maintenance expenditure and cost of capital?
- Who pays for WASH services?
- Which entities are the main channels of WASH funding, and what is their respective share of total spending?

The expected benefits of this initiative include strengthening national systems for the collection and analysis of financial information for WASH sector policy-making and programming, and better understanding of how financial resources for WASH are allocated at both national and global levels. TrackFin is being developed in collaboration with leading country sector institutions, national statistical offices, finance departments and international entities (such as the UN Department of Statistics, the Organization of Economic Cooperation and Development, and the World Bank), and with the support of a Technical Advisory Group comprising sector and finance experts. The TrackFin initiative is managed by a small secretariat hosted by WHO. Its purpose is to provide overall methodological guidance for the work at the international level, as well as training for countries interested in applying the methodology. In response to country requests, WHO can provide support to national stakeholders planning to prepare WASH Accounts.

**The Department for International Development (UK) (DFID) funded initiative ‘Improving VFM and Sustainability in WASH Programmes’ (VFM-WASH)** promotes the best use of available resources to achieve sustainable WASH development outcomes. DFID has also supported the development of a framework and methodology to conduct a VFM-WASH analysis in the specific context of WASH programmes being implemented in developing countries. VFM-WASH is measured on the basis of a set of standard indicators, which can help programme implementers (and their funders) assess whether their programmes are making the best use of available resources. A ‘VFM-WASH analysis’ collects and analyzes data on the costs and results of the particular programme, interpreting the VFM indicators generated, and comparing them with those of other programmes. A qualitative assessment is needed to interpret the results from the VFM analysis, in order to better understand the context, the types of results and

the processes by which these results were generated. This kind of analysis allows stakeholders to identify areas where changes in programme management could improve overall programme performance. The VFM-WASH analysis can give programme managers useful metrics to quantify the effects of challenges they observe on the ground and identify the best interventions to address those challenges, which could include the reallocation of resources. Crucially, a VFM analysis is not necessarily about saving money and reducing unit costs; instead, it is about maximizing actual outcomes and impacts. VFM analysis is still a relatively new idea, particularly in the WASH sector.

**The UNICEF Advocacy Toolkit** systematizes both internal and external UNICEF advocacy expertise and experience, as well as developing a few innovative approaches. The Toolkit provides a set of practical tools to help UNICEF staff and partners in the development and management of their advocacy work. The Advocacy Toolkit is applicable to all levels of the organization (not just the WASH sector) as a resource for building a structured approach for sustained advocacy. The Advocacy Toolkit provides a broadly accepted definition of advocacy and underscores UNICEF’s unique position and experience in advocacy. The heart of the Toolkit provides detailed steps, guidance and tools for developing and implementing an advocacy strategy. It also outlines eight foundational areas that can help strengthen an office’s capacity for advocacy, and covers several cross-cutting aspects of advocacy, including: monitoring and evaluating advocacy; managing knowledge in advocacy; managing risks in advocacy; building relationships and securing partnerships for advocacy; and working with children and young people in advocacy.

**The UNICEF Accountability in WASH Reference Guide** is based on evidence that lack of WASH sustainability is not based on technical aspects as the binding constraint, but rather it is the lack of good governance, transparency and accountability that compromise public-service delivery. The guide provides ESAs with structured and concise information that can provide support to accountability-related action. In most countries, institutional arrangements for water service delivery are in place; policies, plans and institutions exist, yet performance remains poor. In this context, accountability, seeking to instill responsibility and improve the quality of relationships among the different stakeholders in service delivery arrangements, is a key element in making these institutional arrangements function as intended.

The Reference Guide for Programming contains guidance on existing mechanisms that promote accountability, illustrated by examples of how they are currently being operationalized in different contexts. To ensure a structured approach to accountability in the water sector, the guide is organized into three main levels of intervention and eight potential objectives. Under each objective, Action Sheets are presented to illustrate in a practical way the main aspects of these actions. The three levels of intervention and related objectives are:

- 1) Responsibility (defining the roles and enabling cooperation in service delivery).
- 2) Answerability (informing, consulting and including stakeholders at all stages of service delivery).
- 3) Enforceability (monitoring performance, supporting compliance and enforcement).

**UNICEF Monitoring Results for Equity System (MoRES).** An approach to strengthen programming and achieve results for the most disadvantaged children (which) reconfirms UNICEF's commitment to promoting the use of data and evidence in advocacy and pro-

gramming, and as a conceptual framework for effective planning, programming, implementation, monitoring and managing for results to achieve desired outcomes for the most disadvantaged children. MoRES has four components:

- Component 1 needs or situation assessment/prioritization – this component permits looking at the quality of analysis of child deprivation within country situation analysis, and at the alignment of policies, strategies and plans to the findings of this analysis. Specific attention is given to understanding causes of deprivation and barriers and bottlenecks to their removal.
- Component 2 UNICEF programme/advocacy delivery – this component focuses on UNICEF inputs and outputs, whether relating to programme or advocacy initiatives.
- Level 3 interim outcomes – this component focuses on the early indications of the removal of barriers and bottlenecks and progress towards enhanced equity.
- Level 4 impact on equity – this component focuses on coverage and impact on equity.



## ANNEX 2: EVIDENCE AND LESSONS LEARNED LINKING STRONG WASH EE TO SUSTAINABILITY AND SCALABLE SERVICE DELIVERY

### Sub-Sector Rural Sanitation

The EE lessons from a review of rural sanitation experiences in Singapore, the Republic of Korea, Malaysia and Thailand (WaterAid 2015) can be summarized as follows:

- High-level political leadership is critical and does not stem from community-driven demand.
- You do not need to reach a certain level of national wealth to have a vision of total sanitation coverage.
- Improvements in sanitation can be easier to achieve if pitched as a part of wider development goals, as opposed to pursuing a standalone sanitation outcome.
- A well-coordinated multi-sector approach underpins rapid sanitation improvement.
- Subsidies (often indirect, such as through housing subsidies) can be important drivers if pursued alongside demand creation.
- Continuous local-level monitoring of programmes can be important to achieving goals, especially when they include ‘feedback loops’.
- Capacity building should accompany sanitation improvements.

### Sub-Sector Urban Water Supply

A recent evaluation of a World Bank-funded project in Nigeria (Hima and Santibanez 2015) highlights the importance of various EE functions related to urban water supply:

- Getting political leadership at the highest levels can be achieved via evidence-based discussion.
- Institutional changes may occur when they are aligned with the political incentives of key actors and addressed within a favourable timeframe.
- Changes in formal governance frameworks should be accompanied by tangible results to avoid creating the

illusion of institutional change.

- Change agents must value long-term outcomes so that capacity development investments are fruitful and do not jeopardize institutional reform.
- Results-based disbursement of foreign assistance funding may generate incentives for implementing agents to improve how projects are executed.
- Easy access to fair metering and reliable billing can improve customers’ willingness to pay for services.

### Sub-Sector Urban Sanitation

Research in low-income areas in Sub-Saharan Africa on scaling sustainable sanitation service chains (Medland et al. 2015) suggests:

- Realizing the right to sanitation requires addressing land tenure status and illegal occupancy of land.
- Defining organizational roles and responsibilities is critical to addressing poor sector coordination.
- The social enforcement of public cleanliness and ‘no open defecation’ can be a good alternative when there is little willingness or capacity to enforce regulation.
- Sanitation should have its own budget line, which is separate from water supply.
- Reliable financial flow data can help understanding and strengthening of the public finance management system, and also inform on necessary reallocations.
- Fecal sludge management revenue is unpredictable and should not be considered as a source of long-term revenue.
- Creating household access to finance can generate demand for latrine ownership.
- Private sector participation is hampered by the small customer base, which increases operation costs and limits expansion.

### Sub-Sector Rural Water Supply

Some of the key lessons from a USAID-funded project to promote community-based, -owned, and - managed rural water supply and sanitation in the Dominican Republic (Johnson and Perez 2002) include:

- The National Water Agency needs to be adequately resourced to deliver its mandate.
- Even when backed by the highest level of political support, translating a new policy into real change in institutional behaviour and functions can be more difficult and costly than planned, and take longer than expected.
- Organizational change goes beyond capacity building; it is about changing institutional behaviour, which requires a specific set of technical assistance.
- Political priorities and interests cannot be ignored when pushing for organizational reform and changing mandates.
- Good quality technical norms can improve design and construction and further facilitate coordination between a government institution with normative responsibilities and others that are responsible for implementation.
- Institutional changes that affect the rural sector should be made alongside those affecting the urban sector.
- EE work often involves uncertainty and requires planning contingencies.





