



Government of Nepal

Report on

Learning Visit to Ethiopia and Uganda on
'Systemic Strengthening of WASH Sector Performance' and
Participation in a Symposium on 'Monitoring Sustainable WASH Service Delivery'

April 7 – 18, 2013



Acknowledgement

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1 Background

Over the last decades, Nepal has made steady progress in increasing water supply and sanitation coverage over the years. Sector policies and strategies guiding the sector seem in place. More efforts and investments will be required to achieve MDG targets and realizing effective access for the entire population to water supply, sanitation and hygiene by 2017. Sector performance has been slowed down by considerable fragmentation and overlaps of roles, responsibilities and modalities applied by a wide range of different state and non-state institutions and agencies.

1.1 Current Sector Initiatives

The Government of Nepal (GoN) has organised its first Joint Sector Review (JSR) in 2011. This brought together all key stakeholders of the sector and resulted in consensus on key critical sector issues and agreement on the way forward. The sanitation/hygiene, functionality/sustainability and quality of WASH services came to the foreground as critical themes.

It was agreed to effectively address critical issues, harmonise modalities applied in the sector, improving monitoring systems and strengthening capacities, in pursuit of achieving a Sector Wide Approach (SWAp). The Ministries of Health and Education have earlier developed and agreed on a SWAp, already in implementation.

In 2012 the Ministry of Urban Development decided to design and develop a National WASH Sector Development Plan. The Sector Efficiency Improvement Unit is leading sector coordination and developing the National WASH Programme and has recently engaged senior consultants.

2 Objective of the Learning Visit

The overall objective of the Learning Visit was to inform decision makers and key actors involved in the WASH sector in Nepal. GoN seeks concrete and useful examples of WASH related SWAp processes based on results and experience in other countries, in the context of decentralisation and federalism. Ethiopia and Uganda are at different levels in the process of implementing and strengthening their Sector Wide Approach in WASH. In both countries UNICEF and SNV are actively supporting the government in strengthening SWAp and WASH sector performance. In addition, participation was scheduled in the symposium on 'Monitoring Sustainable WASH Service Delivery' organised in Addis Ababa, Ethiopia from 9 – 11 April 2013 to address the issue of poor monitoring in WASH Sector.

The purpose of participation of Senior Government Representatives from Nepal in the Symposium and holding Consultative Meetings with senior government officials in Ethiopia and Uganda is to understand the background, current developments, results and challenges in the development and rolling out a National WASH Programme and SWAp. It will serve as a means to discuss and understand common issues in the development and application of a harmonised approach and SWAp and feed into evidence based information for successful application of such processes in Nepal.

3 Programs Attended

3.1 Monitoring Sustainable WASH Service Delivery Symposium Addis Ababa, Ethiopia, 9 - 11 April 2013

The Symposium on Monitoring Sustainable WASH Service Delivery 2013 was organized by IRC International Water and Sanitation Centre in partnership with the Ministry of Water and

Energy of the Government of Ethiopia and Water and Sanitation for Africa (WSA). The Symposium set the objective to provide a global platform for sharing new initiatives, tools, indicators and experiences by a broad spectrum of professionals from across the WASH sector and from all over the world - from practitioners and policy makers to funders and researchers; as well as from professionals working at the international level to professionals working at the local government and project level.

3.2 Consultative Meetings

As we have learned over the last decade that Uganda and Ethiopia provide worthwhile examples of good leadership in Water, Sanitation and Hygiene Sector, particularly in designing and developing a systematic WASH capacity building programme and its implementation nationwide through a decentralized monitoring and review processes. Thus these countries have achieved a significant improvement in sector coordination and sector planning/review mechanism. These were found highly interesting processes for the WASH sector and key sector officials from the concerned Ministries, Commission and Departments in Nepal. Therefore, we can benefit from the learning through this exchange of the mutual experiences in achieving ambitious target of Universal Access to WASH services by 2017.

This short visit to Ethiopia comprised consultative meetings with senior officials of the **Ministry of Water and Energy** and **Ministry of Finance and Economic Development**, in which, the group had a chance to learn from the valuable experiences and processes followed by Ethiopian government. In addition, a consultative meeting with SNV-Ethiopia on **Guided Learning on Water and Sanitation (GLOWS)** has also been attended and field visit of few Kebeles of Darmumuusaa Wareda (District) was organized. This offered delegates an opportunity to interact with local authorities and beneficiaries and to sense the real situation of rural Ethiopian villages.

Similarly, delegates had a chance to attend consultative meetings with senior officials in the **Ministry of Water and Environment, Uganda**, and **UNICEF Uganda**, in which, delegates got in-depth knowledge on the experience with the WASH SWAp and its strength and weakness.

Furthermore, delegates had an opportunity to meet with officials including chief of **Uganda Water and Sanitation NGO Network (UWASNET)** in their office. Delegates were briefed on the role of NGOs in the sector, how their voice was heard at district and national level, and how NGOs can contribute effectively to the improvement of WASH service delivery under the leadership of government.

3.3 Joint Technical Review (JTR)

Delegates got the opportunity to attend the field visit and opening session of "5th Government of Uganda/DPs Joint Technical Review (JTR) of the Water and Environment Sector, 16th -18th April 2013", which was held in Mbarara, some 250 km west of Kampala. The theme for last year's joint sector review and its continuation was "Enhancing integration of the Water and Environment sub-sectors for improved service delivery".

4 Monitoring Sustainable Wash Service Delivery Symposium Addis Ababa, Ethiopia, 9 - 11 April 2013

The symposium was organized by IRC International Water and Sanitation Centre in partnership with The Ministry of Water and Energy of the Government of Ethiopia and Water and Sanitation for Africa (WSA).

As water and sanitation coverage expands, the need to know the status of systems and services becomes more critical. Governments are increasingly realising the importance of good monitoring information at multiple levels to ensure that services are sustainable and investments are not wasted. Development partners adapt their monitoring indicators to make their interventions more sustainable. The number of initiatives to strengthen WASH service delivery monitoring is growing. New tools are being developed and international indicators are being refined.

This three-day symposium consisted of sessions on selected topics with a key note, as well as papers and case study presentations, poster exhibitions, and plenary sessions. Together, we discussed the scene-setting background paper and cross-cutting themes such as monitoring in other sectors, the post-2015 Millennium Development Goals indicators, and the politics of monitoring.

The evening hours provided opportunities for getting acquainted with the latest developments in technology such as Information & Communications Technology for mapping, Geographic Information Systems, and qualitative monitoring approaches.

A defining feature of the symposium was the dynamic space provided for facilitating discussions and sharing experiences between participants - thereby encouraging opportunities to build on outputs from sessions, papers, and issues presented.

Programme and set up

The three-day symposium was shining the spotlight on six important and interrelated topics on monitoring. The six topics and sessions include the following:

4.1 Monitoring the finance needed for service delivery – topic leader: Catarina Fonseca, IRC/WASHCost

To achieve sustainable services, financial sustainability is critical. However, tracking financial flows in the water sector is notoriously complex and fragmented and even more so for sanitation and hygiene services. Understanding the full life-cycle costs¹ of (rural) WASH services is a necessary condition towards improving the sustainability of investments in the sector. Equally important is exploring how monitoring financial flows can be used at the international, national and project levels in order to identify sources of funds for life-cycle costs. The increasing level of ambition in the sector to reach universal coverage by 2030 and to ensure these services last for the long term will require different approaches for financial monitoring and planning than the ones currently in use.

Sessions:

1. Setting the scene for financial monitoring
2. Monitoring financial flows at global and national level
3. Financial monitoring to assess cost effectiveness of sanitation and hygiene interventions

¹ Life-cycle costs/IRC: The costs of ensuring adequate water, sanitation and hygiene (WASH) services to a specific population in a determined geographical area, not just for a few years but indefinitely.

The delivery of sustainable services requires that financial systems are set up to ensure that the most appropriate infrastructure is provided and is properly managed; timely repairs are made in case of breakdown, and infrastructure can be renewed and replaced at the end of its useful life; and there is capacity to extend delivery systems and improve service delivery in response to changes in demand.

4. Monitoring financial flows to improve service delivery

4.2 Country-led monitoring of rural and small towns water supplies – topic leader: Kerstin Danert, RWSN

Monitoring rural and small towns' water supplies for an entire country, or even a state, remains a challenge. A monitoring system needs to work within the realities of: decentralisation (institutional and fiscal), national and local capacities, decision-making culture, finance, external support agency practice and political will, as well as the degree of free speech and confidence of civil society. On the flip side, a robust and transparent monitoring system should help to change these realities for the better.

Topic 2 of the symposium shared experiences of government-led monitoring. Based on 12 case studies, topic sessions enabled participants to understand the different approaches at local and national levels around the world. The scope, processes, costs and effectiveness of different monitoring systems were examined with reflection on how government-led monitoring can be encouraged and effectively supported.

Sessions:

1. What is country-led monitoring of rural and small towns water supplies?
2. Fulfilling mandates and responding to regulations for rural and small town water supplies
3. Collecting, collating and using information in country-led monitoring
4. Joining hands – where is the accountability for project and country-led monitoring of rural and small town water supplies?
5. From data to decision-making: government use of ICTs in rural & small town water supplies
6. Discussion: what is needed to establish, maintain and use country-led monitoring systems for rural and small town water supplies?

4.3 WASH 'project' monitoring: A necessary evil or a stepping stone to better national sector monitoring? – topic leader: Harold Lockwood, Aguaconsult and IRC/Triple-S

This topic explored the benefits and downsides of 'project' monitoring. Participants listened to representatives of development partners and national governments to explore both sides of the equation. On the one hand, the sessions looked at the new and innovative aspects brought on by 'project' monitoring, including the move towards monitoring service levels and sustainability of services provided over time. On the other hand, the sessions also examined the situation of development partners who monitor performance of their own projects, and the problems this creates for actively supporting and harmonising national monitoring systems.

Sessions:

1. Opening keynote address – setting the scene for "project monitoring"
2. Innovations of bi-lateral donors in project monitoring: The rise and rise of sustainability checks
3. NGO innovations in project monitoring
4. Joining hands – where is the accountability for project and country-led monitoring of rural and small town water supplies?

4.4 ICT for monitoring sustainable service delivery – topic leader: Joseph Pearce, WaterAid

Information and Communication Technology (ICT) has become increasingly pervasive in recent years across all sectors. Practitioners working with in the WASH sector have seen a wealth of new technologies designed for data collection and analysis, and the pace of development is not slowing down. ICT is quickly changing relationships between stakeholders (e.g., service providers and users) facilitating the measurement and monitoring of WASH interventions and enabling practitioners at a local level to use evidence to guide decision making and corrective actions.

But is there sufficient knowledge among WASH experts to apply these technologies effectively? What has worked and how? Who has access to the information and are incentives in place for using information to improve WASH services? What are the associated costs? Have we moved away from isolated project monitoring or simplistic baseline measurements? And are we being diverted by the allure of emerging technologies from the real issues of data integrity and the improvement of services?

Sessions:

1. Factors for successful design and implementation of ICT
2. The use of ICT generated data for decision-making
3. Automated systems – remote data collection and alerts
4. From data to decision-making: government use of ICTs in rural & small towns water supplies

4.5 Monitoring sanitation and hygiene services – topic leader: Carolien van der Voorden, WSSCC

Monitoring sanitation and hygiene services needs to be aligned between community, project/local level monitoring systems, and national systems for data-compilation. Different levels need to work together in order to ensure harmonisation and to facilitate planning and budget allocations. Topic 5 of the symposium dealt with monitoring issues faced by the hygiene and sanitation sub-sector. Case studies and larger multi-country analytical perspectives were discussed and challenged in order to gain understanding of what works and where we are in terms of appropriately aligning systematic sanitation and monitoring approaches.

Sessions: 5

1. Setting the scene: Sanitation & hygiene monitoring
2. Monitoring for sustainable open defecation free status
3. Financial monitoring to assess the cost-effectiveness of sanitation and hygiene interventions
4. Monitoring behaviour-change outcomes for sanitation & hygiene at scale and for all
5. Markets, technology and urban settings for sanitation & hygiene
6. Monitoring handwashing behaviour change

4.6 Building coherence in global-regional-national WASH monitoring – topic leader: Piers Cross in collaboration with UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water (UN-Water GLAAS)

Topic 6 presented the different global/regional and national monitoring initiatives and discussed the challenges of alignment, coordination, and priority setting for post-2015. Sessions will investigated important questions including: what can be done to improve alignment and better use of global data in countries? How can global monitoring systems strengthen monitoring at the national and sub-national levels? Is there overlap and duplication between global monitoring systems? Is valuable data lost or overlooked by having too many monitoring systems? Where should priorities be set? Where is monitoring most needed, for which purpose, and for whom?

Sessions:

1. Aligning global, regional and national WASH monitoring
2. Aligning country analytic methodologies
3. Alignment in next generation global approaches
4. Monitoring human resources in WASH

The Nepali delegates to the Monitoring Symposium including representatives from Practical Action and NEWAH, tried to participate in all topics and session by spreading at least one in each topic. Learning from all sessions has been reflected in the following section.

4.7 Observations on the Symposium on Monitoring Sustainable WASH Service Delivery

The symposium organized by IRC International Water and Sanitation Centre gave a deeper understanding of importance of monitoring frameworks for data collection and its use in decision making for WASH service delivery. Over 400 professionals (donor, practitioners, policy makers, development partners, researchers, experts, universities, officials from governments) from 58 countries participated, shared their views and experiences in this International Symposium. It was very interesting and useful event where a varied experience from GOs, NGOs, donors, UN and private sector shared on WASH monitoring.

The symposium covered a broad spectrum on monitoring issues. Key issues raised included:

1. Country level monitoring
 2. Global, regional and national coherence
 3. Human Resources for Monitoring
 4. Project monitoring
 5. Proliferation of Information, Communication and Technology (ICT) tools
 6. Sanitation and Hygiene
 7. Finance
- Country-level Monitoring: is government-led and linked to Sector Reform and Sector wide approach (SWAp). Government leadership is a pre-requisite and accepted. There are expectations about good governance and transparency. Each country has its own history, priority and journeys. Case studies from Indonesia, Uganda and Ethiopia were interesting.
 - Global, regional and national coherence: it should be possible to compare global standards with the national priorities. GLAAS and JMP are evolving as the global level monitoring framework. GLAAS was developed as a part of the UN Human Development Indicator process in 2006. It was operationalized in 2010 in 42 countries and will cover 74 countries in 2012. It measures inputs and enabling environment whereas JMP measures sector outcomes. At national level, census and demographic health survey (DHS) are used as monitoring tool. Flexibility and realism in regional approaches are recommended. The future monitoring framework must address inequalities and disparities in service delivery.
 - Country-led monitoring system of water supply and sanitation services is the basis for building coherence in global-regional-national WASH monitoring. To strengthen the national monitoring system following actions seem essential;
 1. Aligning global, regional and national WASH monitoring
 2. Aligning country analytical methodologies
 3. Alignment in next generation global approaches
 4. Monitoring human resources in WASH,
 5. Involve community in monitoring and information sharing free of cost
 6. Harmonised monitoring indicators acceptable to National, Regional and Global level
 - Sanitation and Hygiene: new discourse on sustainability of sanitation program such as ODF protocol and post ODF monitoring. There is a paradigm shift on hygiene promotion program from supply driven to demand responsive, from infrastructure focused to behaviour focused; from government taking the lead to moving to facilitation role with stronger roles for private sector. New ideas are evolving in monitoring at every stages of hand washing program.
 - Project monitoring: every project has a monitoring component as a part of donor accountability. This will remain so until SWAp approach is adopted where project monitoring will be linked to national monitoring. Various presentations were made on project monitoring. There are concerns with project monitoring, such as lack of linkages and integration in national monitoring framework. On the positive side: NGO generated

monitoring data can be used to challenge government claims in access/quality of service. So, project monitoring is not going to go away soon. It is timely to educate donors to reconsider and support in monitoring beyond the life of the project (Lifecycle cost theory of WASH service).

- Finance: more data is being collected for tracking expenditure and assessing value for money. TRACK-FIN offers an approach to help in WASH delivery
- Proliferation of ICT tools that are proposed and used to monitor functionality, e.g. water point mapping, mobile SMS are examples. Next step is to link the functionality with the (trends in) sustainability. Tools are useful but the process is more important than the tools.
- Information and Communication Technology (ICT) has become increasingly in use in recent years across all sectors. Practitioners working within the WASH sector have seen a wealth of new technologies (apps) designed for data collection and analysis, and the pace of development is not slowing down. ICT is quickly changing relationships between stakeholders (e.g., service providers and users) facilitating the measurement and monitoring of WASH interventions and enabling practitioners at a local level to use evidence to guide decision making and corrective actions. There is a high and reliable potential to use of mobile/smart phones in monitoring WASH service delivery, as these have already high penetration in the communities.
- ICT is a tool but not panacea. Unless there is a process of managing the data and acting upon the information, it will generate huge volumes of digital data without proper application. Therefore, equal emphasis needs to be given for use, capacity, cost and governance issue. Think through "Less is More" perspective in developing monitoring system.
- The session on "Improving Service Delivery by linking monitoring with decision making at national level" was also very useful to understand the monitoring practices at district and national level. Presentations were made on following topics;
 - Tracking Capital Expenditure in contracts and planning for capital maintenance in Mozambique, - Julia Zita (DNA) and Arjen Naafs, WaterAid.
 - Tracking direct support and capital maintenance cost in rural water service delivery in Ghana, - Kwabena Nyarko and Bismark Dwumfour - Asare, Kwame Nkrumah University of Science and Technology.
 - How financial monitoring is used by UK service providers influences regulation and operation decision making - Richard Franceys, Cranfield University.
- The session related to monitoring the enabling environment was the measuring the sustainability of WASH Services presented by Ms. Maaïke Kempkes, Dutch WASH Alliance. This session highlighted the importance of financial, institutional, environmental; technical and social components that should be considered as key areas for monitoring sustainable WASH service delivery.

Key challenges in monitoring sustainable WASH services:

- Politics of Monitoring – Monitoring performance or performing monitoring – should be a key debate. Performance monitoring is to compare how well policy, programme, project is being implemented against expected results.
- Diversification of actors and aspects particularly on monitoring the roles played by diversified range of actors
- Monitoring technology from different perspectives, enabling environment, capacity building, etc
- Monitoring sustainability and equity – systematic identification of poor, marginalized and excluded groups
- Systematization and harmonization among the different stakeholders – particularly in the context of comparability, allocation, prioritization etc. (e.g. JMP, GLAAS, SACOSAN,

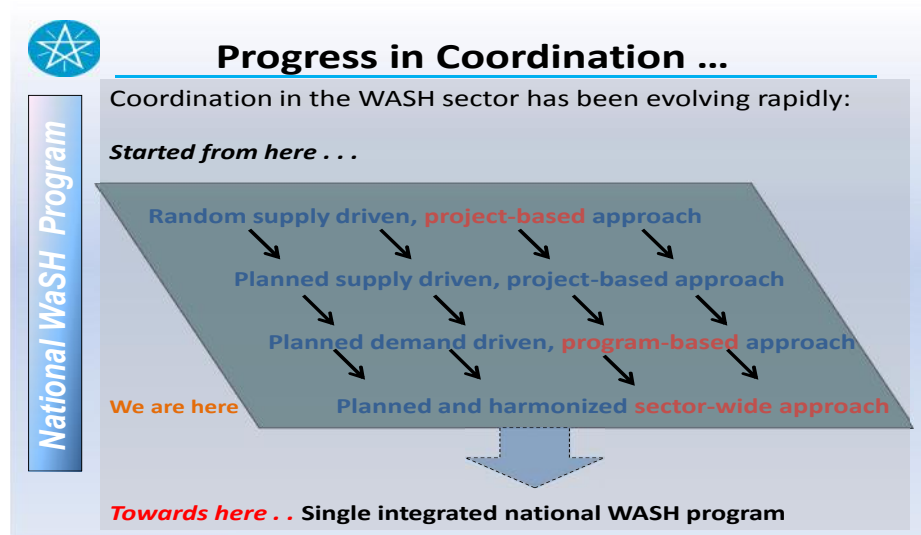
AFRICASAN etc.). This has not yet been strongly recognized as different actors strictly use their own approaches/methodologies and practices. In many of the sessions in this symposium also, similar things happened. Though the experiences and approaches are useful for the project basis, questions arise when it comes to wider replication in different context and scaling up.

In general, progressive reduction in disparities should be attempted between selected sub groups i.e. at global context: Rural/Urban and possibly gender issues; at national context: Rural / Urban; ethnic and poverty issues.

5 Consultative Meetings in Ethiopia

5.1 Ministry of Water and Energy

A consultative meeting with senior officials of the Ministry of Water and Energy has held on 12th April morning (10.00-12:3) in the ministry. A senior official, Mr. **Abiy Girma**, gave an overview of Ethiopian WASH sector development in a chronological order with the focus on SWAp perspective and their latest initiatives; Progress in the WASH Sector; Creating Enabling Environment, Strategy and Planning, Coordination, and Evolvments of WaSH Interventions. The presentation was highly interesting for Nepali delegates and the discussion session was prolonged by about two hours. Director reiterated about their SWAp in WASH and explained that piloting of fund basketing for capacity development showed indication of success in WASH capacity development, which encourage them to be enthusiastic in scaling up.



Universal Access Plan (WaSH-UAP).....

Universal Access Plan (UAP)

- The UAP document, aligned with the GTP, has been finalized applying. **set out ambitious plans for water, sanitation and hygiene through its "Universal Access Plan II/GTP (WASH-UAP II"**
- The document comprises four parts i.e.
 - Rural water supply UAP
 - National hygiene and sanitation strategic action plan
 - Urban water supply UAP and
 - Urban sanitation UAP



WASH Implementation Framework (WIF)

National WaSH Program

WASH Implementation Framework (WIF) has been recently under finalizing.

- **The purpose of WIF is:-**

- To establish an integrated **One WaSH Program (rural and urban)**, led by the government and supported and facilitated by Governmental agencies, CSOs, the private sector and International donors
- To achieve the GTP targets for safe water and improved hygiene and sanitation,

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WASH Implementation CONTINUE....

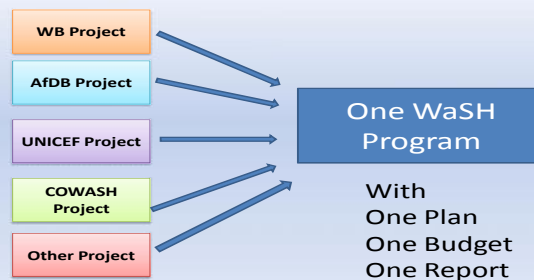
National WaSH Program

Major aspects of the WIF:

- it is led by four government Ministries
- the coordination and institutionalization is assured, through a MoU
- it addresses the needs of individuals, communities, schools and health institutions and reduces bureaucracy
- it recommends to work towards **one WaSH plan, one WaSH budget and one WaSH report**

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WaSH Implementation Framework



5.2 Ministry of Finance and Economic Development,

This short visit to Ethiopia comprises consultative meetings with Director Mr. Fisseha Aberra, International Financial Institutions Cooperation Directorate, **Ministry of Finance and Economic Development, and Director financial control** in which the team had a chance to learn from the valuable experiences and processes followed by Ethiopian government, especially in fund basketing and establishing reporting mechanism to satisfy donors' needs and attracting and channelizing funds. Mr. Aberra, Director briefly explained about their WASH financing and recent development of fund basketing approach.

5.3 SNV-Ethiopia

In addition, SNV-Ethiopia organized a general briefing session on **Guided Learning on Water and Sanitation (GLOWS)** for Nepali delegates, in which we had an opportunity to learn a new approach of WASH capacity building.

There is a partnership between UNICEF and SNV Ethiopia to contribute jointly in the sector particularly in capacity development of the sector in support of National WASH Plan.

The use of GLOWS is proving an effective way of developing capacity at local (district) level to implement WASH and sustain it by mobilizing multi-disciplinary team from health, education and WASH as a Woreda (district) support group in an integrated way. The key features of GLOWS are:

- Problem based learning (PBL) and on the job training;
- Links capacities at the sector bureaus with need based focussing on core WASH issues at district level and leading to sector integration around community WASH issues;
- Practical training which can be moulded in any discipline and context with slight modifications.

Nepalese delegates were quite impressed with this innovative way of building capacities around WASH issues. This approach was further understood in a comprehensive way after participating in a field visit in different Kebeles (VDCs to our Nepalese context) of Darmumuusaa Wareda (District). The field visit was organized by SNV-Ethiopia, and offered the delegates an opportunity to interact with local authorities and beneficiaries and to sense real situation of rural Ethiopian villages.



5.4 Observations on Ethiopia

The Government of Ethiopia recognizes universal access as an unconditional obligation and quality improvement as a priority action. These are globally recognized responsibilities and we must pay our attention to rationalize them to all citizens in our country.

As part of the SWAp approach, Ethiopia is implementing a SWAp which is called the **One WaSH National Programme**. The basic features of the One WaSH National Program are:

- No more donor-based WaSH programs (only one National WaSH Program: one plan, one implementation framework, one budget, and one report);
- Government-led program to achieve Universal Access Plan (UAP);
- The Government is committed to establish a Consolidated WASH Account in 2013 and through that account finance & implement One National WASH Program with aligned, harmonized & integrated mechanisms in partnership with all external financiers, NGOs and private sector;

- revised MoU ensuring signatories' accountability inclusive of MoFED, and WASH Implementation Framework (WIF) in place, signing of MOU by all Ministries, including Ministry of Finance, hence binding;
- four program pillars: integration, harmonization, alignment and partnership with full implementation;
- CSOs well recognized as partners of one WaSH program including their engagements in the composite one WaSH plan and report;
- Program to be implemented all over the country in all woredas /districts;
- The role of MSF at national and regional levels as the highest program reviewing body strengthened;
- Role of donors and CSOs in WaSH management structures at all levels strengthened;
- No added-on program but regular WaSH sector' plan consolidated to one WaSH program
- CMP and self-supply projects have got recognition in the program along with WMP and NGO managed projects.

Currently about 50% of the requirement is allocated and/or pledged by the government and donors. The country still requires to generate about US \$ 1.5 billion for full scale implementation of all the UAP components.

The WASH Implementation Framework will become the basis of the integrated One WASH Program and will guide all implementation. WASH stakeholders are Water, Health, Education, Finance, Agriculture and Gender Affairs sectors.

After 10 years (2004 – 2013) of continuous efforts of Government of Ethiopia is now ready move ahead with the SWAp approach through the National WASH Programme (NWP) as a one plan for one sector at the national level. The NWP of Ethiopia has 4 major themes (called pillars): integration, harmonization, alignment and partnership. These 4 themes are definitely crucial for the success of NWP. Besides this, 4 themes, they have 4 modalities of managing the programme implementation; Woreda (district); Community (Kebeles), NGO, Self-supply.

6 Consultative Meetings in Uganda

Similarly, delegates had a chance to attend consultative meetings with senior officials in the **Ministry of Water and Environment, Uganda**, and **UNICEF Uganda**, in which, delegates got in-depth knowledge on WASH SWAp and its strengths and weaknesses.

6.1 Ministry of Water and Environment

On behalf of Chief Secretary of Ministry of Water and Environment, Chief of Water Development Directorate Mr. Richard Cong presented status of Water and Sanitation in Uganda and SWAp process in WASH. In the consultative meeting manager of all departments were also present; Urban Water Supply Department, Rural water Supply Department, Water for Production department, Urban Water Supply Regulation Department. After the brief presentation Question and Answer (Q&A) session was started and continued about 1.5 hour. Nepali delegates got plenty of time to ask questions and Ugandan officials tried to satisfy our delegates at the highest level. Following are few highlights of Ugandan WASH SWAP;

A sector-wide approach to planning, implementation, reporting and accountability was adopted (SWAP) in 2001, when a number of individual donor specific projects and reviews were phased out, and a joint water and sanitation sector support programme 2007 -2013 was formulated and is being implemented. In addition, a Joint Sector (Government of Uganda – Development Partners) Review (JSR) for the water and environment sector is now held annually since merger of water and environment sectors in 2008.

Sector Performance Report (SPR): The water and environment Sector Performance Report (SPR) usually forms the basis for the discussions at the Joint Sector Review, during which a

number of undertakings for the subsequent year are agreed. Since now a performance measurement framework for the environment and natural resources sub-sector has been developed and the baseline for the respective key (platinum) indicators has been established, it is expected that with effect from next financial 2012/13, the Sector Performance Report will be able to provide an even more comprehensive and transparent overview of the entire sector.

Reports are jointly prepared with inputs from the Ministry of Water and Environment (MWE), the National Water and Sewerage Corporation (NWSC), the National Environment Management Authority (NEMA), the National Forestry Authority (NFA), the Water and Sanitation Programme of the World Bank (WSP/WB), the Environment Health Division (EHD) of the Ministry of Health (MoH), the Ministry of Education and Sports (MoES) as well as the Uganda Water and Sanitation NGO Network (UWASNET) and Environmental Alert. Over 100 people have worked on the preparation of this comprehensive report. A MWE senior management team collated, assured quality and synthesised these inputs. The primary data sources are Local and Central Government reports, studies and databases.

In response to requests by stakeholders, the structure of the SPR has been slightly changed from last year's report. Separate chapters have been prepared on (i) progress on the 2011 undertakings, (ii) cross-cutting aspects including gender and HIV/AIDS, (iii) climate change, (iv) challenges of/ recommendations for private sector services, and (v) good governance activities. Starting this financial year, the status of implementation of the targets for the Joint Budget Support Framework and its associated Joint Assessment Framework (JBSFJAF) have not been separately discussed in this report. This is because the JBSF-JAF indicator framework has since been revised by the GoU and Development Partners to focus on only two headline indicators per subsector, which in the case of the water and sanitation sub-sector, are the ones for access to safe water, functionality and access to sanitation. It should be noted that the environment sub-sector is presently not under the JAF.

Sector planning, resource mobilisation and human resource development is this year also covered in the report, on Sector Planning and Finance. A deeper analysis on sector financial performance is provided in terms of on-budget and off-budget resources, GoU and DP contributions, and contributions from large cross-sectoral projects and programmes. The on-budget GoU financial data was obtained from the Integrated Financial Management System (IFMIS), while the donor funding was obtained from the Joint Partnership Fund (JPF), and directly from the few development projects which are outside the JPF (like the Lake Victoria Environment Management, and the Farm Income Enhancement & Forestry Conservation projects). The off-budget financial information was obtained from the sector agencies (NWSC, NEMA, NFA) and from the CSO umbrella organizations (UWASNET and Environmental Alert).

The urban sub-sector, through MWE's Regulation Unit, reports on the targets and achievements for the performance indicators under the performance contracts signed between MWE and NWSC, and the Water Authorities. Sanitation information and data is largely consolidated and provided by the National Sanitation Sub-sector Working Group. Progress on sanitation and hygiene for both the urban and rural population is discussed in one chapter. Sanitation issues in terms of expenditure on sanitation, and the degree to which current institutional arrangements for sanitation are effective, are covered more exhaustively than previous years.

The report commences with a summary of the status and trends of the 11 'golden' indicators for the water and sanitation (WSS) sub-sector, as well as activities carried out within the framework of the Water Supply Data Base, and a description of the 'platinum' indicators for the ENR sub-sector. The progress of baseline establishment and target setting for this ENR performance framework is also described. This is followed by a brief overview of the institutional framework and a chapter on sector planning and finance, as well as the status of implementation of the 2011 Joint Sector Review Undertakings. The report thereafter considers each component within the sector in the order of the Vote Function numbering under the government Budget Framework Paper and Ministerial Policy Statement (i.e. rural water supply, urban water supply, water for production, water resources management, sanitation and hygiene, environment and natural resources, and weather, climate & climate change). Each of these chapters provides an

overview of the context, policies, legal framework and strategies, and objectives and achievements. Each component also examines the status and trends of outcomes from their work; the sector indicators, which form the core of the sector performance measurement framework, are presented within the respective chapters. This structure is intended to take the reader through a logical progression from the inputs, activities and outputs to outcomes and analysis. Recommendations are provided for each component/vote function.

The civil society contributions for both the water and sanitation and the environment sub-sectors have been included as separate chapters. The report ends with a description of cross-cutting issues covering gender and HIV/AIDs, a chapter on private sector services, and progress of implementation of good governance activities.

SWAp in Uganda for WASH sector was adopted in 2001 amongst the many uncertainties which in due course of time were sorted out and are now in a much more matured stage. The efficacy of the SWAp is normally judged by JSR (Joint sector review) annually and JSR is internally supported by JTR (Joint technical review) that takes place twice a year. JSR and JTR have been well institutionalized and are organized on a regular basis. This is very much important in institutionalizing one programme - one budget – one report through one door system.

The water and environment sector in Uganda has an established and well-functioning coordination framework that provides consultative arrangements for implementation of SWAp to sector development efforts. The responsible sector ministry for this is Ministry of Water and Environment which is fully equipped with necessary resources, institutions and procedure guidelines for operating sector actors.

The Water and Environment Sector Working Group (WESWG) housed in sector ministry is the formal decision-making body on SWAP-related issues in the sector. The working group is supported by sub sector working groups (i.e. Water and Sanitation Sub-Sector Working Group - WSSWG) and Environment and Natural Re-sources Sub-Sector Working Group - ENRSWG). The sub sector working groups, which meet quarterly, are supported by specific thematic groups, e.g. on functionality, as appropriate

6.2 Uganda Water and Sanitation NGO Network (UWASNET);

Preceding the meeting with the Ministry, delegates had an opportunity to participate in a short meeting with the officials including chief of Uganda Water and Sanitation NGO Network (UWASNET) in their office, from where delegates learned how NGOs can contribute to the improvement of WASH service delivery under the leadership of government.

Uganda Water and Sanitation NGO Network (UWASNET) is the national umbrella organisation for Civil Society Organisations (CSO's) in the Water and Environment sector. It was established in 2000 to strengthen the contribution of the CSO's to the performance and development of the sector. UWASNET is crucial in helping government realise its targets of alleviating poverty and achieving Millennium Development Goals (MDG's) through universal access to safe, sustainable water and improved Sanitation. UWASNET plays this vital role in partnership with other key sector players such as Government, Development Partners (DP's) and the private sector. membership to UWASNET currently stands at 187. It was establish with the **Vision;** All people in Uganda accessing adequate and sustainable safe water and good standards of hygiene and sanitation and **Mission;** To strengthen Uganda's Water and Sanitation Sector NGO's and CBO's as well as the co-ordination and collaboration among them and other stakeholders.

Membership to UWASNET is open to all Civil Society Organizations (CSO' actively involved in the Water Sanitation and Hygiene (WASH) Sector and have operated for over 1 year, upon undergoing a physical audit, adopting the network's constitution and paying of the membership fee and the subscription fee. Membership is also open to legally recognized support agencies actively involved in the WASH sector, with similar objectives or committed to supporting UWASNET's objectives. They can be represented by individuals mandated to act on its behalf. Types of members include: Local Community Based organizations, (local CBO) Local Non-

Governmental Organizations (local NGO) and International Non-Governmental Organizations (International NGO). The fees structure for the different types of members is shown below.

Type of member	Membership Fee	Annual Subscription fee
Local CBO	\$ 30	\$ 15
Local NGO	\$ 60	\$ 60
International NGO	\$ 120	\$ 100

Note; The membership fee is paid once as entrance fee, while the subscription fee is the annual fee paid at the beginning of each financial, it's subject to change by the Annual General Meeting based on recommendations by the Executive Committee. UWASNET's financial year starts in 1st July to 30th June the next year.

Membership are classified as follows;

Full membership: This category of membership is open to NGOs, CBOs and Faith Based Organization that have been active in the water and sanitation sector for at least one year. The full members have voting/standing rights; the right to benefit from the services offered by the Network as well as participate in the organization's activities, implement the organizations programmes for and on behalf of the UWASNET and participate in the deliberations of the organization through the annual general meetings.

Associate Membership: For individuals and organizations, companies and institutions that support the objectives of UWASNET.

Honorary Membership: This is meant for individuals and organizations with a potential to advance the cause of UWASNET. Based on the recommendation by the Executive Committee, the general assembly can confer the status of honorary member upon support bodies and agencies, which have rendered exceptional service to the organization. Honorary members shall attend meetings but have no right to voting rights.

Strategic plan: UWASNET developed a strategic plan with the overarching goal of scaling up the contribution to the WASH sector performance and development. The strategic objectives of the strategic plan was among others to enable NGOs and CBOs in the water and sanitation sector to work in harmony among themselves and with other stakeholders, freely sharing experiences and information, and complementing each other, promote accountability, standards and value for money in the WATSAN sector, influence the development and effective implementation of favourable policies and programmes in the water and sanitation sector and strengthen the capacity of members to deliver their WATSAN mandate. The strategic plan made it imperative for UWASNET to embark on a fundamental renewal and transformation process focused on 6 key strategic areas to ensure a complete turnaround. Strictly speaking, the areas identified upon which UWASNET programmes are hinged include:-

1. Co-ordination (including Collaboration, Networking, and Information Sharing).
2. Capacity Building.
3. Advocacy and Lobbying.
4. Governance and Management
5. Research and Development
6. Resource Mobilization

In the UWASNET annual report, 64% of sector NGOs report. UWASNET thus enhances accountability of NGOs to the Sector, to communities and districts. It demonstrates the effort of NGO's in the Sector, with a contribution of 12% of the sector budget. In the SWAp, the division of roles has changed. Government agencies are more in hardware, while the role of NGOs focuses more in dissemination of policy and standards to the community. UWASNET and the NGO sector also make simplified versions of government documents for the communities to use, which are at times also translated in vernacular. Government looks at UWASNET as a postmaster, to coordinate and keep harmony. All communication products are developed in a participatory fashion.

Govt supports the UWASNET secretariat in Kampala, while the balance fund is raised by UWASNET through various means. UWASNET employs regional volunteer organizations, e.g. SNV in Western Region. These regional units return information to Kampala and UWASNET represents the NGO interests in the Sector at the national level.

Uganda has a government structure at the regional/local level and UWASNET uses that to disseminate issues or get feedback. It also undertakes research, action research, through questionnaires, etc. to produce policy briefs, on the basis of evidence, and engage with Government for discussion. NGO thematic working groups mirror government working groups: Urban, sanitation, functionality, etc. But NGOs also have other groups that track funds, monitor progress, and generally increase accountability.



6.3 UNICEF

The team paid a courtesy visit to UNICEF Uganda and interacted with Dr. Sharad Sapra, the UNICEF Country Representative. During interaction, the idea of monitoring by using the current ICT development initiatives for real time monitoring was explained. U-report, a new communications technology developed by UNICEF Uganda and launched in May 2011, is revolutionizing social mobilization, monitoring and response efforts. The initiative equips mobile phone users with the tools to establish and enforce new standards of transparency and accountability in development programming and services. He shared the success and easy monitoring and immediate response that was possible. He recommended the tool to be piloted by modifying in our context and was kind enough to share the tool with us. Nepal team need to make a follow up with UNICEF Nepal for it if we want to use the tool in our context. However, a detail discussion needs to be initiated to verify and validate about its applicability and operation in Nepal prior adopting this tool. Similar tools were also discussed and more ideas were also generated from the IRC symposium in Ethiopia as well.



U-Report is a free SMS-based system that allows young Ugandans to speak out about what's happening in communities across the country. It also enables them work with other community leaders for positive change.

6.4 "5th Government of Uganda/DPS Joint Technical Review (JTR) of the Water and Environment Sector,

Delegates got the opportunity to attend the field visit and opening session of "5th Government of Uganda/DPS Joint Technical Review (JTR) of the Water and Environment Sector, 16th -18th April 2013". The 5th Joint Technical Review for the water and environment sector was held in Mbarara District, and was organised by MWE in close cooperation with the Lead Development Partner Representatives (Danida for WSS, and FAO for ENR) of the development partners for 2012/2013. The theme for the joint sector review was "Enhancing integration of the Water and Environment sub-sectors for improved service delivery". In line with the previous practice, the theme for the JTR 2013 was kept the same.

Joint Technical Review (JTR) is a forum for a mid-term assessment and follow-up on the implementation of the actions which were agreed on in the annual joint sector review (JSR). It is held approximately six months after the JSR with the main objective of reviewing the status of

implementation of the agreed undertakings. The JTR consists of selected key representatives of GOU officials, development partners and other sector stakeholders.



The overall aim of the 2013 Joint Technical Review is:

Assess the progress made with regards to the sector's half year performance as agreed on during the JSR in 2012 (and any other pertinent issues affecting the sector) and recommend actions.

SPECIFIC OBJECTIVES

1. Review progress in implementation of undertakings for the Environment and Natural Resources and the Water and Sanitation Sub-sectors.
2. Review progress on specific issues/recommendations carried over from the previous JSR 2012
3. To share any emerging issues/ challenges affecting the sector's performance (since the JSR) and make appropriate recommendations.
4. On-going policy reviews and related legislations (i.e Climate Change Policy, review of the water legislation)

The water and environment sector in Uganda has an established and well functioning coordination framework which provides consultative arrangements for implementation of the Sector Wide Approach to development efforts in the Water and Environment sector. The coordination framework includes the following;

1. The Water and Environment Sector Working Group (WESWG) is the formal decision-making body on SWAP-related issues in the sector. The working group meets at least twice a year and is supported by two sub sector working groups, viz. the Water and Sanitation Sub-Sector Working Group (WSSWG) and the Environment and Natural Resources Sub-Sector Working Group (ENRSWG). The sub sector working groups meet quarterly.
2. The sub-sector working groups are supported by specific thematic teams and sub-sector working groups:

The Water and Sanitation Sub-Sector Working Group is supported by five thematic groups namely:

- Water for Production
- Sanitation
- Good Governance
- Sector Performance
- Finance Team

The Environment and Natural Resources Sub-Sector Working Group is supported by five thematic groups namely:

- Environment group
- Forestry Group
- Wetlands Group
- Climate Change Group
- Good Governance (ENR)

3. An annual Joint Sector Review (JSR) which is a forum for assessing the overall performance of the sector based on an earlier agreed sector undertakings. The JSR participation involves a broad spectrum of stake-holders (central government, local governments, civil society, selected private sector consultants and contractors, and the media) and it is held annually, usually in September/October. It draws conclusions and makes recommendations on overall developments in the sector. Any binding decisions during JSRs, such as formal undertakings for the forth-coming twelve months, are endorsed through a meeting of the Water & Environment Sector Working Group which is held towards the end of the review.



Last year's Joint Sector Review (JSR) was held from 23rd - 25th October 2012 and the Review agreed on 13 undertakings (4 for ENR, 2 for DWRM and 7 for DWD) which were endorsed by the Water and Environment Sector Working Group (WESWG).

6.5 Observations on Uganda

SWAp in Uganda for WASH sector was adopted in 2001 amongst the many uncertainties which in due course of time were sorted out and are now in a much more matured stage. The efficacy of the SWAp is normally judged by JSR (Joint sector review) annually and JSR is internally supported by JTR (Joint technical review) that takes place twice a year. JSR and JTR have been well institutionalized and are organized on a regular basis. This is very much important in institutionalizing one programme - one budget – one report through one door system.

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The involvement of the active NGO sector in Uganda is assured through the Water and Sanitation NGO Network (UWASNET). It was established in 2000 to strengthen the contribution of the CSO's to the performance and development of the sector. It is a membership organization that also receives government support as part of the SWAp. UWASNET is crucial in helping government realise its targets as it helps mobilize the NGO/CSO sector at the decentralized level.

UWASNET uses the decentralized government set-up at district level to interact with District authorities and the WASH sector, to disseminate information on issues or get feedback. It also undertakes research, action research, through questionnaires, etc. to produce policy briefs, on the basis of evidence, and engage with Government for discussion. NGO thematic working groups mirror government working groups: Urban, sanitation, functionality, but also has other groups that track funds, monitor progress, and generally increase accountability.

7 Learning

7.1 Ethiopia

Based on the interaction and discussions, useful observations, considerations and learning for Nepal include:

On SWAp, for developing a National Sector WASH programme:

- Multi sector stakeholder forum has not yet been fully harmonized – meaning it is not easy to bring all the stakeholders: DPs, donors and INGOs, to join a common platform to mainstream for a common approach and plan. Often they are having their own ways of doing business;
- Initiation towards developing clear accountability and review mechanisms to bring all the relevant actors together with more responsive and accountability for a national WASH programme is quite interesting;
- More recognition to CSOs to engage in WASH at the local level through facilitation and monitoring role of government agencies; government support to initiate building partnerships and building capacities;
- Gradually progress is made in WASH Sector; it is informative to hear how a conducive and enabling environment was created; preparation of Strategic Plans, strategic coordination, and strategic involvement of sector actors for WASH Interventions through SWAp approach;
- Piloting of pooled funds (fund basket) for capacity development showed indication of success. In Nepal, we should also consider to initiate such an approach;
- The most interesting part for initiating SWAp approach is to bring all the key ministries to a common platform with their commitments through MoU along with the WASH implementation framework and financing modalities in place. This is equally important to enhance ownership building, policy harmonization, resource mobilization and improved sector coordination;
- The efforts the government is placing for building the capacity of the local level stakeholders through Woreda (district) Support Group (at district level) with the engagement of multi-sector disciplines is remarkable. Nepal could pilot a similar initiative in our districts. For this we could mobilize RMSO in our regions to structure the

capacity building initiatives aiming towards the implementation of national WASH programme;

- Along with the development of National WASH Programme, it is essential to have the minimum level of capacity existing within the sector to implement the plan. For this, at least capacity gap assessment and capacity improvement plan thereafter should be in place. The concept of TVECs in Ethiopia can also be referred while improving the capacity of CHRDU of DWSS to initiate capacity building programmes;
- The most important aspects that we learnt is that it is critical to strengthen the relationship with the partners by building the partners' confidence and mutual trust. This can be done only after:
 - Trust building exercises and use of robust sector implementation system to gain donors' confidence;
 - Establishing one WASH Account – this is necessary. In Nepal we also need to consider this in consultation with MoF;
 - Equipping operational WASH coordination structures (like our DWASHCCs) with more responsive and accountability; and with more MIS tools/procedures in place to roll out at different tiers of the existing governance structures;
 - Institutionalize periodic review and regularize the joint sector/technical review – this will help to accelerate the mutual trust between Government and DPs/Donors
- By bringing all the sector ministries and cross-cutting ministries to one national plan will help to further enhance donor coordination, and harmonization which is very essential in implementing with a concept of one sector plan and one sector report. This will further help to increased efficiency and speedy implementation of the plan with effective delivery and easy in managing.

While moving towards SWAp and developing national WASH programme, we might face the following challenges based on the interaction with Ethiopian Government:

- Getting MoF on board to the entire process of SWAp and accordingly to bring all the relevant sector ministries particularly MoFALD, MoE, MoH etc. to a common platform to initiate a National WASH programme through SWAp.
- In this regard, MoF and NPC should support and coordinate in developing 5/10 years plan particularly in:
 - Allocating the financial resources for implementing the plan unobstructed;
 - Fund flow mechanism through one door with operation of one a/c and by gaining trust of donors and DPs;

For this the sector lead ministry should have a clear sector target and vision for getting the supports from the other cross-cutting ministries:

- Facilitating the NGOs and CSO to bring them on board towards the approach of one door process i.e. one plan – one budgeting – one reporting with some flexibilities to the NGOs/CSOs who may not have long term secured funding;
- Getting the major donors for WASH sector (like ADB/WB etc. in case of Nepal) to a common platform of SWAp might be very difficult at the start – but can be gradually bring them on board through continuous exercise of trust building;
- Frequent auditing /assessment from donors to ensure the solid framework for financing mechanism are in place. This needs to be assured by the government without considering it as additional burden. This could be done by optimizing the existing system of the government and will then ensure the trust among the donors. This might require some reform in the existing budgeting system, accounting, procurement, auditing and reporting system;
- Clear delineation of the authority; revenue and sharing of resources at various level (from National – regional – district – VDC level);
- Inter-ministerial coordination and subsequently at downwards level is one the many challenges that we are facing and will be facing in the coming days as well;

- Without an effective and structured M&E system, moving to a SWAP will not be that wise and effective;
- While moving towards the line of SWAp and one national plan for the sector, conditional block grant with the use of formula based on MC/PM criteria can be adopted;
- Establishing regional technical support teams and mobilizing them to support pre- and during implementation as well as post implementation to ensure sustainability of delivered services and existing capacities to take care of the delivered facilities;
- The GLOWS approach of SNV has managed to mobilize knowledge/skills and transfer them to a wider audience at the district level. This has proved to be an effective means in Ethiopia. However, this can well be replicated in Nepal after some modification to suit our context and it could be fit into on-going capacity building initiatives under SEIU's initiation;
- The Ethiopian practice of having Memorandum of Understanding among key ministries (Ministry of Water and Energy, Ministry of Finance and Economic Development, Ministry of Education and Ministry of Health) is a good example for us for ownership building, policy harmonization, resource mobilization and better coordination.

The Development Partners in Ethiopia are supporting the Sector through the lead ministry and there is no confusion on the government policy and program.

Local level institution, process and capacity are found equally well managed. The role of Chief Administrator at Woreda level is strong.

The Ethiopian WASH sector initiated joint funding for the piloting of sector capacity building. After the successful implementation of pilot joint funding in sector capacity building, joint funding for WASH sector has been started. This type of approach we can initiate in the sanitation and capacity building subsector in Nepal.

7.2 Uganda

The Government of Uganda is leading the WASH sector with key principles of harmonization, integration, alignment and partnership which are quite relevant to our context. The Ministry of Water and Environment was found to be fully equipped with necessary engineering staff, institutions and process guidelines.

A sector-wide approach to planning, implementation, reporting and accountability was adopted (SWAp) in 2001, when a number of individual donor specific projects and reviews were phased out, and a first joint water and sanitation sector support programme 2008 -2012 was formulated and was successfully completed. The 2nd joint WASH support programme for 2013 – 2018 has been formulated and awaits approval by the Government.

The Ugandan practice of a WASH NGO Network as an umbrella organization to bring all NGOs together and engage them in a coordinated manner is really praiseworthy step to avoid resource gap and efforts overlap. We are not doing so. Therefore we can consider to apply this approach in our country at action level for coordination, support and capacity development as an integral part of the program. We are also doing well in the sanitation and hygiene promotion campaign and ODF is a good example. Using the Uganda experience we can further scale up sanitation and functionality programs.

UNICEF support in Uganda found vital to stimulate development partners to do more on WASH sector. As we were together with UNICEF Nepal and SNV Nepal representatives in the visit, this observation will influence them to assist the sector with more resource and efforts.

The evolution of SWAp in Uganda further established a calendar of important sector events; **Joint Sector Review (JSR) and Joint Technical Review (JTR)**, which seems appropriate platform for joint review of sector activities by sector stakeholders group. This initiative we can internalize in our sector and can provide continuity of our JSR process with some fine tuning.

Sector Performance Report (SPR): The water and environment Sector Performance Report (SPR) usually forms the basis for the discussions at the Joint Sector Review, during which a number of undertakings for the subsequent year are agreed. Platinum/golden indicators are used for the measurement of Sector Performance. Similarly we are also developing WASH Sector Status Report with JSR resolution, which we need to make a more comprehensive, transparent overview of the entire sector and profile of institutions.

As an integral part of SWAp; sector planning, resource mobilisation and human resource development is covered in the report, on Sector Planning and Finance. A deeper analysis on sector financial performance is provided in terms of on-budget and off-budget resources, GoU and DP contributions, and contributions from large cross-sectoral projects and programmes.

Other issues that we may want to consider include:

- Budget Tracking Tools
- Private sector engagement in WASH for program sustainability
- Water Supply service is provided by Private operators
- Local technology adopted in Sanitation and Solid Waste Management
- Post sanitation follow up



Growth of NGOs and Civil societies in Uganda are networked under the parent umbrella organization called UWASNET. This could be a useful reference for Nepalese delegates (**as a take home message**) to effectively mobilize Nepalese NGOs and CSOs in the development mainframe of the Government of Nepal and thus can be referred to:

- How UWASNET is able to manage their NGO networks in harmonizing them to mainstream with the Government of Uganda's National WASH Programme.
- How UWASNET is being supported by government to align with the government's plans and programme support
- How UWASNET can be integrated to make them and their networks perform better and effectively.

GoU provides optimal support including independent housing and some operational funds to UWASNET. It wants UWASNET as the coordinating representative of NGOs and CSOs to engage them proactively in different sector development themes with new and innovative ideas.

GoU through UWASNET monitors the performance of NGOs/CSOs through reports and field observations to understand their efficacy. Based on this regular performance & efficacy monitoring, GoU categorizes these NGOs/CSOs. UWASNET, which has a strong linkage with the Government as they built confidence and gained trustworthiness, is also very much respected within the NGO sector. Not in the least because Government allows UWASNET to remain sufficiently independent and neutral to be able to act as a good liaison and interlocutor between these two segments of the sector.

In Nepal also, the existing CSOs and network of NGOs could be mobilized further for: sector reform; catalytic role for the SWAp approach with the voices of multitude of organizations including community people towards developing National WASH programme with optimal support from the government; transformation of central level policies to local level by supporting government and civil societies/citizens in a balanced way for implementing government's plan effectively to benefit countrymen in Nepal; support government's agencies through interaction for innovative/creative ideas.

Field Photos



Figure 1 Tippy tap for handwashing and drying rack for kitchen utensils

Figure 2 Rural field visits



**Figure 3
Urban field visits**

8 CONCLUSION

Take Home Message from IRC symposium :

- We can't target and manage what we can't monitor.
- National WASH Inventory (NWI) could be a basis for one national WASH programme and this might require sustainability strategy as a key determinant. (In the case of Nepal, we could make use of NMIP on sample basis to generate data from local level at least at DWASHCC level). This idea of NWI came from Ethiopia based on their census data.
- Mobilizing the UCs and district level agencies at local level will help to understand and raise awareness on functionality and scaling up sustainable sanitation.
- Out of many ICT tools, what we learnt is that these tools could be well utilized for real time monitoring and data updating rather than the current ways of dealing with paper work. This would reduce time, effort and resources.
- Countries could effectively mobilize the NGOs and CSOs to engage them in WASH service delivery but with supportive role to create conducive environment for them to prosper in effective delivery. At the same time, NGOs should also be effectively monitoring to make them more accountable towards the national commitments in the sector.

Post 2015 Indicators:

2025: No one practices open defecation

2030: Everyone uses basic drinking water supply and adequate Hand Washing (HW) facilities. All institutions have adequate water and sanitation facilities with HW and Menstrual Hygiene Management (MHM) facilities.

2040: Everyone uses adequate sanitation and HW facilities both at home and in institutions

There is though a painful difference between the huge expansion of reports by NGOs and researchers, versus the rather weak reporting of regularly collected national data from a country monitoring system. The tsunami of reports that we currently face are created by initiatives, big and small, that are typically not linked to national monitoring frameworks. Session on 'the history of monitoring', co-presented by UNICEF and IRC, made us realize that our insights are not new, our problem statements are recurrent and we have merely been refurbishing our terminology during the past 50 years. Presentation showed the exponential growth of monitoring reports produced during the past 50 years was brilliant. Initially, global monitoring reports were produced every five years. Then came the biennial reports, followed by an explosion of annual reports that were published for a more specific readership. For all we know, there is a wonderful summary of all this work printed on recycled paper, disintegrating in the archives of the WHO.

To put it simply, we need more country data and fewer (but more meaningful) reports. Monitoring in the WASH sector is like the functioning of a radar; the bulk of what we see on the screen is noise and only a few significant beeps appear. There is a proliferation of methods and too many reports are being produced. We tend to forget that it is the end user that should be key in our efforts while our recommendations often include the need to clarify responsibilities, increase capacity and undertake more research. At the same time, we are all human beings and our own actions may not necessarily be best practice or in accordance to what we encourage others to do. Let the end users of our services find a role in monitoring their services and let us keep it simple and transparent. And above all, let us not forget that the aim of our monitoring – or the beeps on our radar – is to contribute to sustainable WASH service delivery. Our monitoring should be directly linked to that. Everything else will be noise.

Monitoring sustainable WASH service delivery is a crucial step towards achieving more success in WASH sector and without monitoring it is impossible to set realistic targets for change and service improvements. Addressing the access to safe water goal has involved a two-pronged approach, aimed separately at the urban and rural populations. The urban program involves very large scale construction; expansion and rehabilitation of city water supplies. The rural program involves a more dispersed program of developing small village and town water supply systems, according to the study paper presented on the symposium.

ICT Information and Communication Technology (ICT) have become increasingly pervasive in recent years across all sectors. Practitioners working within the WASH sector have seen a wealth of new technologies designed for data collection and analysis, and the pace of development is not slowing down. ICT is quickly changing relationships between stakeholders (e.g., service providers and users) facilitating the measurement and monitoring of WASH interventions and enabling practitioners at a local level to use evidence to guide decision making and corrective actions. Proliferation of 'sustainability measurement' related tools / Information communication and technology (ICT). Various tools are being used to monitor the functionality. Water point mapping, mobile SMS are examples. Next step is to link the functionality with the sustainability. Tools are useful but process is more important than the tools. There is a high and reliable potential to use of mobile/smart phones in monitoring WASH service delivery, which have high access in the communities.

Take home message: great that we have all these reports and the related advocacy statements, but what is really needed is monitoring and reporting for local action, by VDC and District level. Linking reporting to action for repair and upgrading of systems, and on an annual basis undertake analysis of data for trends that require national reconsideration of implementation approaches (policies, implementation procedures, capacity building efforts, etc). Collect limited, relevant data that are useful operationally (e.g. as in Benchmarking and Performance Assessment), and that can be lifted to the national level for inclusion in a national database that can report on national coverage and functionality, and onward transmit such data to international monitoring systems as JMP and GLAAS.

Take Home Messages from Consultative Meeting with Ethiopian Officials :

Multi stakeholder forum has not yet been fully harmonized – meaning it is not easy to bring all the stakeholders, DPs and donors to a common platform and mainstream them a common approach. It takes time to make progress made in organizing the WASH Sector; it needs a conducive and enabling environment; preparation of Strategic Plans and strategic involvement of sector actors for WASH Interventions through SWAp approach.

More recognition to CSOs to make them engaged in WASH at the local level. Engage CSOs more in building partnership particularly for building local capacities. Piloting of pool fund (fund basket) for capacity development showed indication of success in WASH capacity development in Ethiopia and may be useful in Nepal as well. The efforts the government is placing for building the capacity of the local level stakeholders through Woreda (district) Support Group (at district level) with the engagement of multi-sector disciplines is a remarkable one and we could replicate similarly in our districts. The development of National WASH Programme, it is essential to have the minimum level of capacity should exist within the sector to implement the plan

The most interesting part for initiating SWAp approach is to bring all the key ministries to a common platform with their commitments through MoU along with the WASH implementation framework and financing modalities in place. This is equally important to enhance ownership building, policy harmonization, resource mobilization and improved sector coordination.

Along with the development of National WASH Programme, it is essential to have the minimum level of capacity should exist within the sector to implement the plan. For this, at least capacity gap assessment and capacity improvement plan thereafter should be in place. The concept of TVECs in Ethiopia can also be referred while improving the capacity of CHRDU of DWSS to initiate capacity building programmes.

The most important aspects that we learnt are to build the relationships with the partners by building the partners' confidence and mutual trust. This is possible only when we can gain the trust of all stakeholders and use a robust implementation and delivery system to gain donors' confidence.

One WASH Program, one WASH Budget, One WASH A/C, One WASH Report –is the way forward provided that the Sector can get MoF and NPC on board as well, based on the inputs received from Ethiopia.

For this approach to be successful, operational WASH coordination structures (like our NWASHCC, RWASHCC, DWASHCCs and M/VWASHCCs) need to be put in place that generate greater responsiveness and accountability with respect to project planning on the one hand and to management of sustainable WASH services for all on the other hand. MIS tools and procedures need to reflect responsibilities and enhance good governance at different tiers of the existing government structures. Periodic review and regularizing the joint sector/technical review will help to accelerate the mutual trust between Government and DPs/Donors

By bringing all the sector ministries and cross-cutting ministries to one national plan will help to further enhance donor coordination, and harmonization which is very essential in implementing the concept of one sector plan and one sector report. This will further help to increased efficiency and speedy implementation of the plan with effective delivery and easy in managing.

Take Home Message from Consultative Meetings in Uganda:

Take Home Message from Consultative Meeting with UWASNET :

The UWASNET experience may have several lessons for Nepal. Nepal also has a vibrant national NGO sector, quite competent in several aspects of implementing WASH programmes or supporting communities with self supply. It would be good if we could harness these energies and competencies better at the district and VDC level, especially as NGOs potentially can play an important role in enhancing sustainability and quality of service of existing systems. UWASNET can be a useful reference for Nepalese delegates to effectively mobilize Nepalese NGOs and CSOs in the development mainframe of the Government of Nepal. In particular we can learn from the experiences of UWASNET, and thus can be referred to:

- How it has been able to manage their NGO networks in harmonizing them to mainstream with the Government of Uganda's National WASH Programme;
- How it is being supported by government to align better with the government's plans and programme support;
- How it can be integrated in the National WASH SectorPlan to make them and their networks perform better and effectively for national development.

Take Home Message from Consultative Meeting with Ugandan Officials;

Government of Uganda is leading the WASH sector with key principles of harmonization, integration, alignment and partnership. This is quite relevant to the context of Nepal. However, this requires a clear investment plan for the sector including how the sector want to deliver its well-defined programme plan in place. For this, it is inevitable that the lead agency in the sector, which is obviously the government (ministry & its departmental line agencies), should play its role pro-actively as a leader and a real facilitator.

Besides, for the ideal success case of SWAp, balanced devolution at local level is a pre-requisite. The transformation from the central to local level should start to create conducive environment for adopting SWAp at every governance level of the country. At the same time, public enterprise reform; adequate legislative and regulatory frameworks should be functional and applied on the ground reality.

Government should take a lead and work with the development partners and donors in close consultation for setting up common approaches to gradually increase their alignment to government vision and procedures. Without this, there will always be a space for manipulation. For this purpose, a sector planning and coordination framework, operational guidelines and a sector monitoring and performance measurement framework need to be prepared in consultation with all. All actors should adhere to the commonly agreed guidelines when implementing SWAp through National WASH programme. The guidelines will clarify the procedural works for all the actors in line with the government's system and measure their efficacy and performances together with the sector performance as a whole. The performance

assessment results will be available to consumers and the public at large, so as to enhance governance and accountability.

To have effective implementation of SWAp through one door (one programme – one budget – one reporting) system in sector, appropriate institutional capacity needs to be in place together with the appropriate systems & procedures and required capacity at all levels. For this purpose, together with the preparation for the SWAp in the sector while transforming from existing project approach to programme approach, capacity gap assessment is essential to develop capacity building plans to supplement for effective implementation at all the governance level both vertically and horizontally. This will then ultimately generate system capacity to embrace demand responsive approach.

Capacity constraints were observed at the local level in Uganda when compared to the context of Nepal. We are quite fortunate enough that we have credible and capable human resources at local level, often more than in Uganda (and Ethiopia). At the same time, we are unable to utilize their full potential. As part of the sector reform retention and upgrading of sector capacity should be considered carefully.

Due to lack of the capacities at local level, Uganda outsourced professionals on contract (e.g. WSSFO) to provide technical support and act as technical support unit/agency for implementing the programme at the district level and to augment human resources required for smooth operation for the long run. These Technical Support Units are supported by the government as well in so far as that these are temporarily integrated in the government structure in line with the government's plan. Similarly, there is an UMBRELLA system housed in the ministry to provide technical support for preparation and during implementation of the programme activities. This will provide adequate technical support and facilitates them in building their capacities in delivering the WASH services to the targeted people.

The rationale of these systems/agencies is ultimately to effectively implement the programme activities with technical soundness and quality end products with an assurance of post construction/implementation support to ensure sustainability. One thing is still unclear with this mechanism in Uganda is that how long this phenomenon will function? What will be the consequences when these entities ceases to function or when will central government cease to provide financial support to these entities? Still remains a question.

As GoU is adopting devolution, conditional grant has been channelled based on the performance of the district council, which of course as everywhere expects more and more resources indicating resource constraints. People's participation at action level is well coordinated with additional efforts for integrating capacity development as an integral part of the program. This, however, also includes commercialization through increased private sector engagement in WASH for better program coverage, scaling up and programme sustainability.

9 RECOMMENDATIONS:

- Generate pool funding (as a pilot for one door financing in SWAp) to initiate preliminary capacity building programme and sanitation programmes (e.g. to work towards ODF) to supplement in realizing national WASH programme in the days to come.
- Government should take the initiative by proactively gaining trust and confidence of the donors and DPs.
- Adopt GLOWS approach modifying it to our country context. As this is a tailor made approach, we can mobilize any institution that could facilitate the process (may be CHRDU or any academic institution) in strengthening the existing capacities at the local level in line with the need of the national WASH programme.
- Existing WASHCCs could transformed to become coordinating units at local level with optimal support from the government mobilizing the resources within the sector and providing certain level of authority but closely monitoring the performance of their outputs. The performance monitoring should then automatically govern the size of the conditional grant from the government (e.g. as in the Uganda case). Definitely, for this

purpose, the district line agencies of the DWSS should take a technical lead coordinating with all the sector stakeholders present in the district.

- Together with the formulation of National WASH programme, it is felt necessary to look into the procedural systems and guidelines whether they are well in-tact or not. If not, formulation and implementation of the necessary frameworks and guidelines should be initiated with wider consultation. This is because, tomorrow, when SWAP approach moves ahead with National WASH programme, this will be the guiding document for all the actors to adhere with.
- Strengthen and equip RMSO both in terms of capacity and resources with additional roles to provide back up support to the districts, both technically and managerially as well as in managing the data and success for replication in other areas. RMSO's have a great potential to live up to expectation when supervision and monitoring is executed in a regular and structured manner. Mobilizing local resources through 'aligning for action' programming is a good way forward. Similar strengthen should be taken up for the WASHCCs at any level.
- Establishing the mechanism of technical support units – as said before, DWSS could be assigned in the district for this role to ensure proper capacity is in place during pre-implementation, during implementation and during post implementation status. This will assure the quality of work and sense of sustainability.

Immediate actions that the team can do at this stage is:

- Sharing our learning with the key sector stakeholders and have their feedbacks and inputs.
- Incorporating the feedbacks, we should come up with a concept to share with the wider sector audience. This will help to support:
 - On-going preparatory work for formulating national WASH programme;
 - Developing necessary procedural guidelines/documents and institutionalizing the process;
- Regularize Joint Sector Review and establish joint planning and joint progress review processes as JTR process as an annual programme, agree on standard ToR and fix the schedule for the events.
- Gain confidence and trust from the development partners, through regular communication and clear and responsive sector development .

Summary paper on SWAp in the Water and Sanitation Sector

Han Heijnen, May 22, 2011

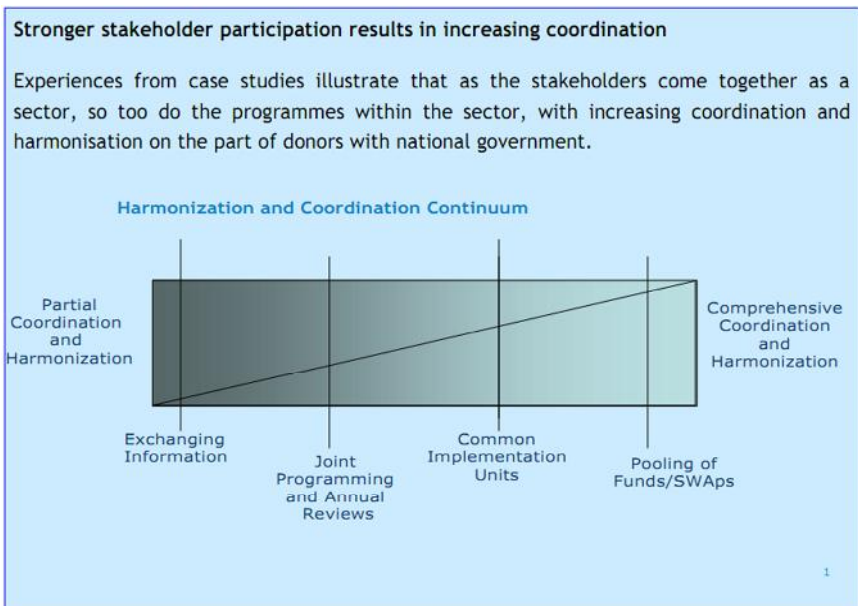
1. Background

The Sector Wide Approach (SWAp) is increasingly promoted for harmonization and raising effectiveness of development inputs in the Health, Education and Water Sectors. In the water supply and sanitation sector, SWApS are in place in several countries in East Africa, notably Ethiopia, Tanzania and Uganda. In West Africa the SWAp has not been tried out, although Ghana is showing interest in developing one. This summary paper has been drafted as a background note to the exposure visit to Uganda of a team of senior officials of the Federal Government of Nigeria to explore the potential of applying the Sector Wide Approach in the Water Supply and Sanitation Sector in Nigeria.

What is a Sector-wide Approach?

The SWAp is a process to move to a holistic national sector programme, led and owned by Government, and supported by all sector stakeholders. It helps build the sector through policies and strategies, and enhances coherence between policy, spending and results at all levels. It works towards sustained partnership through a collaborative programme of work, facilitated by expenditure programmes, capacity building, and learning through joint performance monitoring. It aims to bring all actors under one umbrella, each contributing to the common goals according to the policy, their mandate, roles and responsibilities, improving coordination, accountability and knowledge management. A SWAp will reduce duplication, and lead to more cost-effective service delivery. Modified after (de la Harpe, 2010).

Many lessons have been learnt from water sector SWApS which illustrate that the approach has the potential to not only build the water sector but also to put in place mechanisms for lesson sharing, acceleration of the MDGs, accountability and more sustainable service delivery practices. (Boesen, de la Harpe, & Uyteswaal, 2008)



SWApS should focus strongly on creating collaborative processes between multiple stakeholders at multiple levels. National ownership and a broad vision for sector development are essential requisites for success, but challenges remain in SWApS to connect policies, plans and implementation on the ground, and to support capacity development and sector learning beyond ad hoc activities.

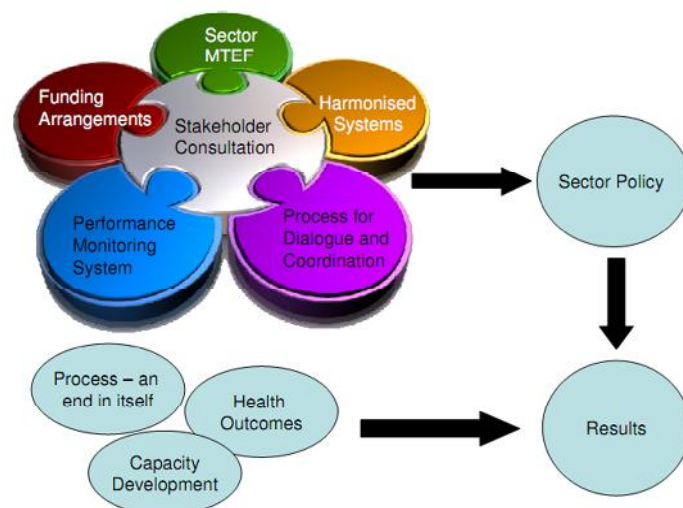
2. Key elements of a SWAp

The literature on SWAp generally lists the following six key elements that reflect government goals and orientation (Anson & Pfaumann , 2006):

- Leadership and ownership by government institutions, in collaboration with private sector and civil society.
- Alliances with international donors, private sector and civil society, and use of formal and informal collaboration mechanisms to promote enhanced cooperation and impact (for instance, using sector-based roundtables).
- Sector policy and strategy (at least mid-term), based on agreed vision and priorities, and preferably a differentiated strategy, according to the typology of rural households and territories.
- A sector program and multi-annual public expenditure framework, preferably, as part of a macro-level or multiannual public expenditure program, i.e. “Medium Term Expenditure Program”/MTEP, incorporating territorial issues.
- Increasing alignment and coordination of resources, within an multi-annual sector budget framework, with attention to territorial aspects.
- Harmonized implementation mechanisms and increasing
- Use of existing national systems and procedures; especially for disbursement, procurement, reporting and fiduciary aspects (generally accompanied by capacity building actions), emphasizing reduction of transaction costs among government and international cooperation agencies

The components of a SWAp are set out in Figure 1. These include the funding arrangements (or use of aid instruments), the presence of a sector MTEF, the adoption of harmonised systems, process issues such as frameworks for dialogue and coordination and stakeholder consultation and a performance monitoring system.

Figure 1: SWAp Components



The assessment of the impact of a SWAp poses particular methodological challenges. In terms of the individual SWAp components, we know too little about how important each component is and how they interact. Additionally, there is often ambiguity on the extent to which the key components are actually in place. (For example, there could be a sector MTEF, but there may still be doubts as to how effective this might be if there is no government-wide MTEF, where there is significant off-budget funding and also doubts about whether the process actually supports a rational resource allocation process).

It is also extremely difficult to measure the extent to which intermediate outcomes such as capacity development are achieved; though it should, in principle, be easier to attribute any such improvements to a SWAp process. It is further far from certain that capacity development will improve outcomes even in the long-term, although the expectation is that it will. Finally, and more controversially, one could argue that a SWAp is an end in itself and, if done well, represents a civilised way of doing business and is a good thing to do irrespective of whether it improves health outcomes or not. (Pearson, 2010)

3. SWApS in the water sector: a complex challenge

The SWAp was initially implemented in the social sectors such as health and education. SWApS have become common to address sector reforms and sector wide policy planning and implementation. However, in the water sector SWApS are less common until very recently. This is partly because the water sector is not so easy to categorise as either a 'social' or 'productive' sector. The water sector also has special characteristics:

- It deals with a vital and contested resource
- It includes multiple stakeholders at all levels, with different interests
- it combines community, public and private sector investment
- It uses various service provision arrangements including community based organisations, private sector service providers, municipalities, other public utilities, and non-governmental entities
- Institutions in the water sector have overlapping boundaries (administrative and catchment boundaries) and often unclear mandates
- The water services and water resources interface is not well understood particular in terms of local water resource management
- At national or central level, water is relevant across many line ministries, such as water, finance, health, education, agriculture, and energy.
- Water is critical to sustainable growth. It is an input to almost all forms of production such as industry, mining, agriculture, transport and so on.
- Water involves regional and international organisations where often there is competition for a limited resource.

Water is also especially vulnerable to climate change, and food shortages add to the complexity. However, lessons from the water sector show that when a SWAp is approached as a flexible and pragmatic process, it can address some of the complexities of the water sector. The SWAp provides opportunities to strengthen capacity to: negotiate competing interests; coordinate, make policy; plan; improve systems, allocate resources, implement and account. (de la Harpe, 2010)

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