



A report of the DEG-KM programme that provides a synthesis overview of achievements, lessons learned and the contribution towards the MDG targets of the Joint Programmes of MDG-F's thematic window entitled Democratic and Economic Governance

## JP SYNTHESIS

### *Review of Achievements, Lessons Learned and the Contribution Towards the MDG Targets*

*Knowledge Management – Water Supply and Sanitation  
MDG-F theme: Democratic and Economic Governance*



ENGLISH

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In what way has work on Democratic and Economic Governance (DEG) in the water supply and sanitation sectors contributed towards the achievement of the MDGs? This DEG Knowledge Management (KM) programme report provides an overview of the successes and lessons learned, and a discussion of the joint contribution of DEG programmes towards the MDG target on water and sanitation.

The programmes funded by the Millennium Development Goals Achievement Fund (MDG-F) have all been jointly implemented by UN agencies in partnership with governments and civil society organisations. There were 11 Joint Programmes (JPs) within the DEG thematic area; in Albania, Angola, Bosnia and Herzegovina, Ecuador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay and the Philippines. The programmes have worked with regulatory reforms and capacity development for improved services at both national and local levels, and strived to direct investments towards disadvantaged regions. Citizen awareness, participation, gender equality and the inclusion of marginalised populations, are important concerns that have been emphasised by the programmes.

This report concludes that the main contribution towards the MDGs by the DEG JPs lies in the realm of sustainability. Only a fraction of the programmes' resources has been invested in the direct provision of water and sanitation services. The purpose of governance intervention is to build social structures which ensure that water resources are protected, infrastructures are maintained, and that services are monitored by citizens and their governments. Emphasis has been put on rehabilitation rather than new construction, and on the direction of investments towards marginalised areas. In this vein, several JPs have engaged in the creation of structures for dialogue to enhance the influence of rural, often indigenous, populations regarding how services are organised and how resources are managed. At national and regional levels, clarification of roles, institutional support and capacity development have, along with the facilitation of partnerships within the water sector, helped to overcome fragmentation and to foster greater coordination. Normative frameworks have been revisited in some areas, often from a human rights perspective. An important contribution has been the fostering of processes for enhancing trust and fairness in the relationship between service providers and citizens/consumers, which have resulted in more just social contracts that emphasise the mutuality of rights and responsibilities.

The results of these multiple governance interventions are difficult to measure, partly because they take time to materialise and partly because they are qualitative in nature. While many of the aimed-for development changes are possible to detect and describe, the monitoring of results is still hampered by the lack of baselines and adequate follow-up of expected and unexpected changes. This monitoring challenge applies not only to the programmes, but also to the water and sanitation sectors as a whole.

Knowledge management aims to enhance the learning from the implementation process. Periodic progress reporting and evaluation can be valuable knowledge management tools as long as these processes allow for reflection, dialogue and the incorporation of new insights into programme design and on-going implementation. In relation to many of the JP interventions, knowledge has been well managed, as lessons learned from initial activities have helped improve the continued operations. Insights have been built upon to adapt programme work, particularly regarding gender and socio-cultural issues where several programmes have emphasised the need to build upon the existing social structures. Yet, much of the contents information is dispersed and not always easy at hand for future initiatives.

Generally, there is a tension between the tangible, quick results of investment programmes and the less tangible, longer-term results of governance interventions. The time frame of the JPs is short in the perspective of the challenge of good governance. In any case, there is inter-dependence in the way that infrastructure investments help ground governance interventions; and governance interventions institute the social structures for infrastructures to be well targeted, designed and maintained. There is a need to strike the appropriate balance between physical (hard) investments and social (soft) interventions to consistently improve water and sanitation services. Both parts are needed.

## Acronyms and Abbreviations

<b>AJAM</b>	Asociaciones de Juntas de Agua Municipales [Municipal Associations of Water and Sanitation Boards] (Honduras)	<b>INFOM</b>	Instituto de Fomento Municipal [Institute for Municipal Development](Guatemala)
<b>AMFI</b>	Asociación de Municipios Fronterizos de Intibucá [Association of Frontier Municipalities of the Intibucá] (Honduras)	<b>IWRM</b>	Integrated Water Resource Management
<b>CAPS</b>	Comité de Agua Potable y Saneamiento [Drinking Water and Sanitation Committee] (Nicaragua)	<b>JAAR</b>	Juntas Administrativas de Acueductos Rurales [Rural Water Scheme Management Boards ] (Panama)
<b>CLTS</b>	Community Led Total Sanitation	<b>JMP</b>	Joint Monitoring Programme
<b>COMAS</b>	Comités Municipales de Agua y Saneamiento [Municipal Commission] (Honduras)	<b>JP</b>	Joint Programme
<b>CONASA</b>	Consejo Nacional de Agua y Saneamiento [National Water and Sanitation Council] (Honduras)	<b>KM</b>	Knowledge Management
<b>CPC</b>	Consumer Protection Commission (Albania)	<b>LCE</b>	Local chief executives (Philippines)
<b>CSO</b>	Civil Society Organisation	<b>LCSC</b>	Localized Customer Service Code (Philippines)
<b>DAPSAN</b>	Dirección de Agua Potable y Saneamiento [Directorate of Water Supply and Sanitation] (Paraguay)	<b>LWGF</b>	Local Water Governance Forums (Philippines)
<b>DEG-KM</b>	Democratic and Economic Governance Knowledge Management	<b>MAFRON</b>	Mancomunidad de Municipios de la Frontera [Association of the Frontier Municipalities] (Honduras)
<b>ERCA</b>	Evaluación Rápida de la Calidad del Agua [Rapid Assessment of Water Quality] (Paraguay)	<b>MAGA</b>	Ministerio de Agricultura Ganadería y Alimentación [Ministry of Agriculture Livestock and Food](Guatemala)
<b>ERSAPS</b>	Ente Regulador de Servicios de Agua y Saneamiento [Regulatory Agency for Water and Sanitation Services] (Honduras)	<b>MAMUCA</b>	Mancomunidad de Municipios del Centro de Atlántida [Association of Municipalities of the Central Atlántida] (Honduras)
<b>ERSSAN</b>	Ente Regulador de Servicios Sanitarios [Regulatory Agency for Sanitation Services] (Paraguay)	<b>MANCORSARIC</b>	Mancomunidad de Municipios de Copán Ruinas, Santa Rita, Cabañas y San Jerónimo [Association of Municipalities of Copán Ruinas, Santa Rita, Cabañas y San Jerónimo] (Honduras)
<b>ESCASAL</b>	Escuela y Casa Saludable [Healthy Schools and Homes methodology]	<b>MANCOSOL</b>	Mancomunidad del Suroeste de Lempira [Association of Municipalities of the Southeast of Lempira] (Honduras)
<b>EU</b>	European Union	<b>MANCUERNA</b>	Mancomunidad de Municipios de la Cuenca del Río El Naranjo [Association of Municipalities of the Upper Naranjo River Basin] (Guatemala)
<b>FAO</b>	United Nations Food and Agriculture Organisation	<b>MARN</b>	Ministerio de Ambiente y Recursos Naturales [Ministry of Environment and Natural Resources](Guatemala)
<b>HRBA</b>	Human Rights-based Approach	<b>MDG</b>	Millennium Development Goal
<b>IDB</b>	Inter-American Development Bank	<b>MDG-F</b>	Millennium Development Goals Achievement Fund
<b>ILO</b>	International Labour Organisation		

<b>MINEA</b>	Ministério da Energia e Águas [Ministry of Water and Energy] (Angola)	<b>SANAA</b>	Servicio Autónomo Nacional de Acueductos y Alcantarillados [Autonomous National Aqueduct and Sewerage Service] (Honduras)
<b>MOPC</b>	Ministerio de Obras Públicas y Comunicaciones [Ministry of Public Works and Communications] (Paraguay)	<b>SEGEPLAN</b>	Secretaría de Planificación y Programación de la Presidencia [Presidents Secretariat of Planning and Programming] (Guatemala)
<b>MSPAS</b>	Minsiterio de Salud Pública y Asistencia Social [Ministry of Public Health and Social Welfare] (Guatemala)	<b>SENAGUA</b>	Secretaría Nacional del Agua [National Water Secretariat] (Ecuador)
<b>NASMAR</b>	Mancomunidad de Municipios del Sur [Association of the Southern Municipalities] (Honduras)	<b>SENASA</b>	Servicio Nacional de Saneamiento Ambiental [National Environmental Sanitation Service] (Paraguay)
<b>NAWASA</b>	National Waterworks and Sewerage Association (Philippines)	<b>SIWI</b>	Stockholm International Water Institute
<b>NEDA</b>	National Economic Development Authority (Philippines)	<b>STP</b>	Secretaría Técnica de Planificación [Technical Secretariat of Planning] (Paraguay)
<b>NGO</b>	Non-Governmental Organisation	<b>TEST</b>	Transfer of Environmentally Sound Technology [Transferencia de Tecnologías más Amigables con el Ambiente] (Honduras)
<b>NWRB</b>	National Water Resources Board (Philippines)	<b>UN</b>	United Nations
<b>NWRMO</b>	National Water Resources Management Office (Philippines)	<b>UNDAF</b>	United Nations Development Assistance Framework
<b>PAHO</b>	Pan-American Health Organisation	<b>UNDP</b>	United Nations Development Programme
<b>PIAR</b>	Planificación Integral de Acceso Rural [Integral Planning of Rural Access] (Paraguay)	<b>UNFPA</b>	United Nations Population Fund
<b>PSA</b>	[Water Safety Plan] (Panama)	<b>UNICEF</b>	United Nations Children's Fund
<b>RAAN</b>	Región Autónoma del Atlántico Norte [Nicaragua's Northern Autonomous Administrative Region] (Nicaragua)	<b>USAID</b>	United States Agency for International Development
<b>RAAS</b>	Región Autónoma del Atlántico Sur [Nicaragua's Southern Autonomous Administrative Region] (Nicaragua)	<b>USCL</b>	Unidades de Supervisión y Control Local [Local Supervision and Control Unit] (Honduras)
<b>RBM</b>	Results Based Management	<b>USD</b>	United States dollars
<b>RCO</b>	Resident Coordinator Office	<b>WatSan</b>	Water and Sanitation
<b>REDGIRH</b>	Red Interinstitucional para la Gestión Integrada del Recurso Hídrico [Inter-Institutional Network for Integrated Management of Water Resources] (Guatemala)	<b>WB</b>	World Bank
		<b>WGF</b>	UNDP Water Governance Facility
		<b>WHO</b>	World Health Organisation
<b>SALINTUBIG</b>	Sagana at Ligtas na Tubig sa Lahat Project [Abundant and Safe Water for All] (Philippines)		



Figure 1 – Location of the 11 Joint Programmes in the Democratic Economic Governance theme



The 11 Joint Programmes (JPs), see Figure 1, of the Democratic and Economic Governance (DEG) theme of the Millennium Development Achievement Fund (MDG-F) aim to democratise access to utility services and to improve the governance in the water and sanitation sectors. Programme work is divided between national level advocacy and policy work on the one hand and specific interventions directed towards disadvantaged regions and marginalised populations in the respective countries on the other. With the overarching goal to accelerate progress worldwide towards achieving the MDG water and sanitation target, the country programmes aim to

- strengthen governments' capacity to manage water provision and water quality;
- involve civil society representatives and enhance the role of women in planning and policies regarding water;
- support regulatory reforms, decentralisation and capacity development for improved services;
- establish mechanisms for increasing investments into the water sector.

The programmes started their operations during 2008 and 2009, and closed during 2012 and 2013. The DEG JP budgets add up to nearly USD60 million.

The present report takes stock of the achievements of the JPs; both tangible results and less tangible impacts, and the lessons learned from the implementation process. It also delves on how to monitor and report on progress and capture contributions towards the MDGs. The report builds upon on statements about achievements and experiences gathered by the country programmes (inspired by the 'Most Significant Change' Technique, see Davies and Dart, 2005), complemented with extracts from evaluation reports in some cases. The present report does not scrutinize stated achievements or delve into the cost-effectiveness of programme interventions, nor does it aggregate the quantified results.

Rather, it aims to incrementally build a substantive picture of the joint contribution of the DEG thematic area.

The achievements and experiences of the programmes are inserted into the context of global monitoring of MDG targets and that of project monitoring of impacts and outcomes. The conclusions emphasise the difficulties involved with regard to monitoring achievements and impacts from governance processes, but also stress the importance of focusing and monitoring the 'softer' side of investments into water and sanitation services. Qualitative change stories can potentially be used in a process of reflection to enhance the learning from the implementation process.

The DEG-KM initiative is one of eight Knowledge Management (KM) plans (one for each of MDG-F's thematic areas) to ensure that the experiences that emerge from the formulation, implementation and monitoring of the programmes are shared and used for future initiatives. The present report is one of the concluding contributions of the DEG-KM plan. The "first synthesis report," developed at the onset of the plan, focused on the contexts, objectives, strategies, cross-cutting themes and common concerns of the JPs (Kjellén and Segerström, 2011). This "second synthesis report" focuses on achievements, lessons learned and the contribution towards the MDG targets.

The remainder of this introductory section discusses the MDGs and the water and sanitation target associated to MDG 7, the global monitoring of progress on sanitation and drinking water service coverage, as well as the challenges involved in the monitoring of results and achievements.

## *The Millennium Development Goals and the Water and Sanitation Target*

The eight Millennium Development Goals (MDGs) range from the halving of extreme poverty rates and providing universal primary education, to the ensuring of environmental sustainability and the development of a global partnership for development, see Figure 2. They are a blueprint agreed to by all the world's countries and leading development institutions, officially established

following the Millennium Summit and the adoption of the Millennium Declaration (United Nations, 2000).

Access to water and sanitation services along with the sustainable management of water resources are crucial for the attainment of all the MDGs (United Nations World Water Assessment Programme, no date). The use of water for economic activities and to avoid water-related disasters is crucial for the eradication of extreme poverty and hunger (MDG

Figure 2 – The eight Millennium Development Goals (MDGs)



1). Girls' school attendance often depend on there being water secured for the home, and dignified sanitation at school (MDG 2). Women and girls tend to carry the greatest burden in water collection, and are hence those that stand to gain the most from improved water and sanitation services (MDG 3).

Both child and maternal health depend on safe sanitation, water and hygiene practices to effectively reduce infectious disease (MDG 4 and 5). Depending on how water is managed, it can be made to sever disease transmission pathways or, when not well managed; contribute to disease incidence (MDG 6). Environmental sustainability, including ecosystem and biodiversity conservation directly depends on how water flows through the landscape. Water is also the medium through which the effects of climatic change materialise (MDG 7). Development partnerships need to build on water's important and border-crossing role in development endeavours (MDG 8).

The water and sanitation target is included under MDG 7 aiming to Ensure Environmental Sustainability. Target 7.C reads to "Halve, by 2015, the proportion of the population without sustainable access to safe drinking water and basic sanitation" (United Nations, no date). Since 1990, over 2 billion people are estimated to have gained access to improved water sources. This implies that by 2010, 89 per cent of the world's population was using improved sources, compared to 76 per cent in 1990. The proportion of those without has hence been more than halved (from 24 per cent to 11 per cent) already five years ahead of the target (United Nations, 2012, page 52). However, it is likely that the number of people estimated to use improved drinking water sources is greater than those actually accessing safe drinking water. This is because the proxy indicator – use of improved drinking water

source – is not believed to capture sufficiently the quality or reliability of the water source (see below).

While the Millennium Declaration only resolved "to halve the proportion of people who are unable to reach or to afford safe drinking water" (United Nations, 2000, article 19), i.e. the water target, sanitation was included in the target at the World Summit on Sustainable Development in 2002 (United Nations, 2002). Despite an increase of sanitation coverage in developing regions from 36 per cent in 1990 to 56 per cent in 1990 an estimated 2.5 billion people still lack access to improved sanitation facilities (United Nations, 2012, page 55). The world remains off track to meet the sanitation target.

The MDG process has directed tremendous Effort and attention towards the goals and targets, most of which aim towards the year 2015. Building on this momentum, and with 2015 approaching, the UN system is now working on a Post-2015 development agenda. As an outcome of the Rio+20 Conference in June 2012, a process was launched that aim to inclusively and transparently develop Sustainable Development Goals to be agreed by the General Assembly.

### *Progress on sanitation and drinking-water service coverage*

The eleven countries of the DEG thematic window – seven of which are located in Latin America, two in Europe, one in Asia and one in Africa – face different challenges and are at different levels with regard to pace and distance towards achieving the MDG water and sanitation target. Global estimates on the national progress towards the target are presented regularly by the WHO/UNICEF Joint Monitoring Programme (JMP), see Table 1.

Table 1 - Estimated Share of Population Using Improved Water and Sanitation in 2011

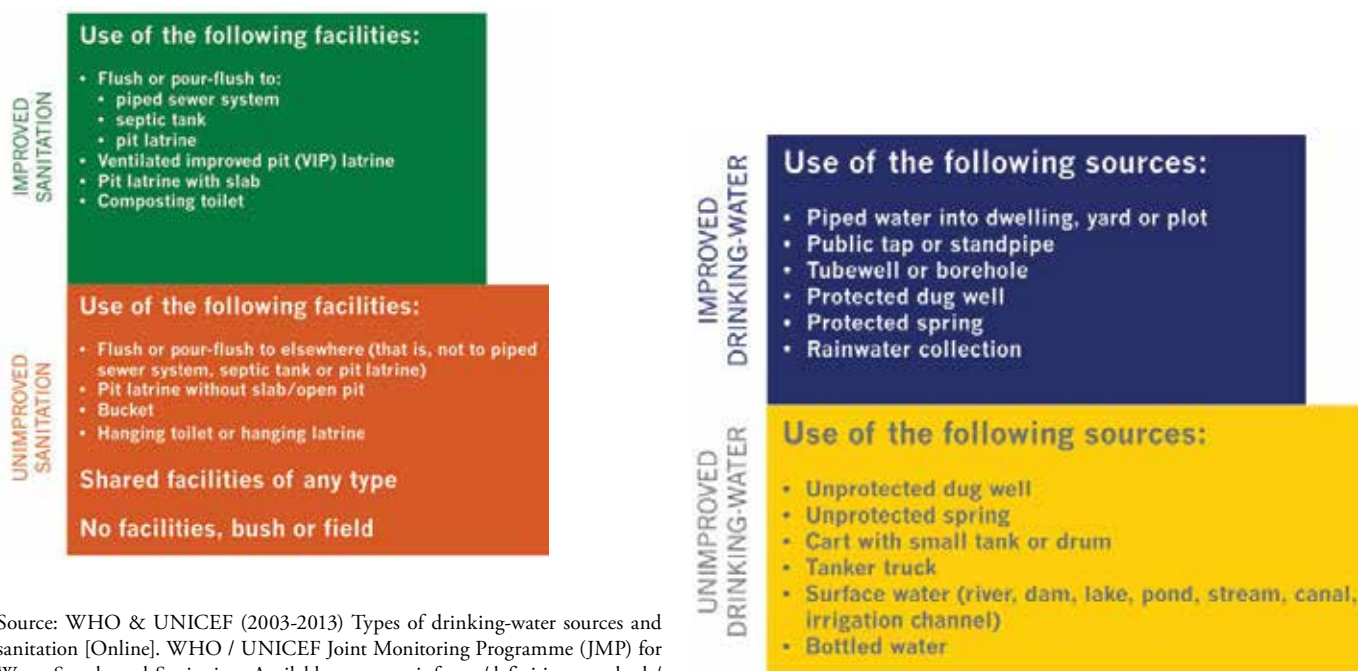
Country	Sanitation			Water		
	Percentage of population using improved facilities			Percentage of population using improved sources (and piped on premises)		
	Urban	Rural	National	Urban	Rural	National
Albania	95	93	94	95 (91)	94 (71)	95 (82)
Angola	85	19	59	66 (33)	35 (1)	53 (20)
Bosnia and Herzegovina	100	92	96	100 (94)	98 (71)	99 (82)
Ecuador	96	86	93	96 (95)	82 (68)	92 (86)
Guatemala	88	72	80	99 (98)	89 (73)	94 (85)
Honduras	86	74	81	96 (96)	81 (77)	89 (87)
Mexico	87	77	85	96 (94)	89 (75)	94 (90)
Nicaragua	63	37	52	98 (89)	68 (29)	85 (63)
Panama	77	54	71	97 (93)	86 (83)	94 (92)
Paraguay*	90	40	71	99 (85)	66 (35)	86 (66)
Philippines	79	69	74	93 (61)	92 (25)	92 (43)

Data source: WHO and UNICEF (2013) Progress on Sanitation and Drinking-water: 2013 Update ([www.wssinfo.org/fileadmin/user\\_upload/resources/JMPReport2013.pdf](http://www.wssinfo.org/fileadmin/user_upload/resources/JMPReport2013.pdf))

\* Paraguay data showing 2010 estimates from WHO and UNICEF (2012) Progress on Drinking Water and Sanitation: 2012 Update ([www.wssinfo.org/fileadmin/user\\_upload/resources/JMP-report-2012-en.pdf](http://www.wssinfo.org/fileadmin/user_upload/resources/JMP-report-2012-en.pdf))



Figure 3 – Improved and Unimproved Sanitation Facilities and Drinking-Water Sources



Source: WHO & UNICEF (2003-2013) Types of drinking-water sources and sanitation [Online]. WHO / UNICEF Joint Monitoring Programme (JMP) for Water Supply and Sanitation. Available: [www.wssinfo.org/definitions-methods/watsan-categories/](http://www.wssinfo.org/definitions-methods/watsan-categories/)

Among the DEG JP countries, Bosnia and Herzegovina enjoys the highest level of service coverage, with the whole urban population estimated to use improved water sources and sanitation facilities. Most countries show national water coverage figures around 90 per cent. The share of the urban population estimated to make use of improved water sources is above 90 per cent in all countries but Angola. Moreover, the urban service coverage, except in the Philippines and Angola, consists mostly of piped water to the premises of the household, reflected in the figures within parentheses. Rural figures are generally lower and with a lesser share being made up of piped services.

Sanitation coverage, or the share of the population estimated to make use of improved sanitation facilities, is at a considerably lower level. With regard to urban areas, most of the countries have 75 per cent or more of the population making use of improved facilities, implying the use of a reasonably safe toilet structure which is not shared with other households. Nicaragua, the poorest of the Latin American countries, however, only has two thirds of the urban population estimated to make use of improved sanitation facilities. The situation with regard to rural sanitation shows great variation. With figures above 90 per cent among the two European countries, the Latin American country figures range from 84 per cent in Ecuador down to 37 per cent in Nicaragua. Angola displays a major lack of rural sanitation facilities.

However, as the MDG target's indicators signal service coverage by estimating the share of the population that uses improved water sources and improved sanitation facilities there are discussions regarding the extent to which the JMP proxy indicators actually reflect the level of sustainable access

to safe water and basic sanitation.. Further, what constitutes an improved water source or sanitation facility depends on the type of technology, the number of users and the physical or time distance, as listed in Figure 3. Since 2008, the JMP employs a ladder metaphor to avoid the sharpness of the improved/unimproved dichotomy.

The level of service coverage estimated by the JMP tends to differ from nationally produced figures. These differences have several explanations: National governments and the JMP may use different sources and may use different definitions of coverage. There is also a systematic reason for why numbers differ. The JMP estimates are based on a lineal regression analysis of a series of data points derived from different surveys and censuses. One disadvantage of using trend lines in this manner is that rapid increases in actual coverage will not show. The use of lineal regression trend lines was opted for primarily because many countries being monitored initially had very few points of data. With much greater availability of data at present, future monitoring will permit more sophisticated monitoring methods (UNICEF, 2012).

Beyond these technical issues, there are also different purposes behind the presentation of service coverage estimates. The JMP was created to make estimates that are comparable between countries and over time. Other presentations of service coverage can differ in purpose, i.e. to show gaps as a way to solicit funding, or conversely to boast about achievement. A large share of national-level data and benchmarking serves to monitor performance of e.g. the water services industry rather than the actual access to water/sanitation services of individual citizens and households.

## Capturing results of governance interventions

The DEG JPs intervene to strengthen government and civil society capacities to regulate, provide and participate in water and sanitation services and the management of resources at several levels. The expansion of service coverage is indirectly supported through the building of governance structures for the management of systems and for funnelling finances into the sector. The cases of actual construction of physical water systems, which directly expand service coverage in the area of intervention, are exceptions. Thus, the contribution by the DEG JPs towards the achievement of the MDGs in general and the water and sanitation target of MDG 7 in particular can be seen in the sustainability (and democratisation) of access to safe drinking water and basic sanitation. The sustainability side of access or use of different water sources or sanitation facilities is at present not monitored by the JMP. Time is hence a crucial factor for understanding the achievements of water governance interventions; not only because the realization of outcomes and impacts take time in themselves, but also because the contribution of governance towards the water and sanitation target lies mainly in the sustainability of access to safe water and basic sanitation.

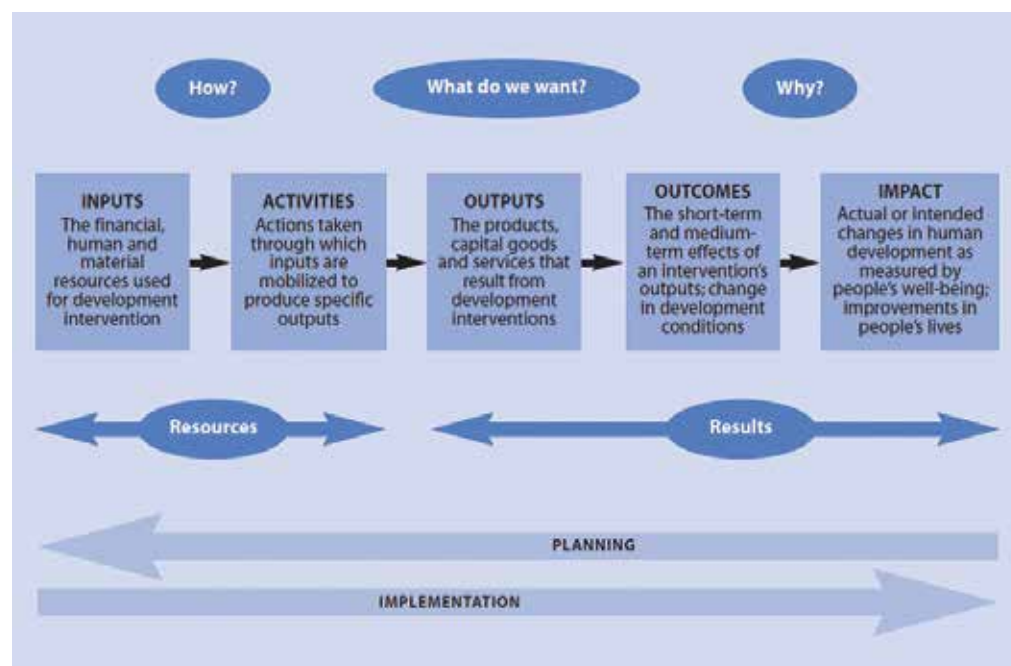
Cognizant of the above, partial achievements or results are continually produced at various levels. In the Result-Based Management (RBM) approach and terminology, a result is defined as a “describable or measurable development change

resulting from a cause-and-effect relationship” (United Nations Development Programme, 2009, page 55). Such development changes are continually monitored through progress reporting and evaluation exercises. The different types of project results – Outputs, Outcomes and Impact – are displayed in the results chain in Figure 4.

Whereas Outputs are to be achieved by the programme intervention within its time frame of operations, the Outcomes and Impact depend on other actors and take time to materialise. The distinction between outcomes and impacts is also affected by the position of the intervention. It partly relates to what are considered to be short- or medium term, and how changes in people’s well-being are seen to be constituted; i.e. by way of improved health or the actual access to or use of improved services. Indeed, in the accounts of achievements by the JPs in the following section; coverage increases are in some cases seen as impacts, and in others they are seen as outcomes.

The outcome/impact distinction is further complicated by the governance focus of the JPs: when the outcome of, say, improved monitoring of utility performance has been achieved, this is expected to lead to extended services as a long-term impact. Or is it only the health gain or convenience gained from not having to walk to collect water which is to be seen as the impact? The tracking of impacts from water governance interventions is discussed further *Reflections* section.

Figure 4 – The Chain of Results Envisaged in the Result-Based Management Framework



Source: United Nations Development Programme (2009) Handbook on Planning, Monitoring and Evaluating for Development Results. New York, UNDP. (<http://web.undp.org/evaluation/handbook/documents/english/pme-handbook.pdf>), Figure 9 The RBM results chain, page 55.

## Joint Programme Achievements

By improving governance and helping to direct investments towards the poor and marginalized, JPs are to contribute to meeting the MDG 7 target to halve, by 2015, the proportion of the population without sustainable access to safe drinking water and basic sanitation.

At the global level, this requires higher priority to be afforded and additional resources to be invested in the water and sanitation sectors. Above all, improved governance to ensure the efficient use and equitable distribution of resources, i.e. 'economic and democratic governance,' is needed for improving the access to water supply and sanitation services for those who currently lack such services.

At the local level, governance structures to enable the participa-

tion in and the monitoring of service provision and the maintenance of water resources and systems are to enhance equity and sustainability of the physical investments into the sector.

The following sub-sections display the achievements and lessons learned of each of the 11 DEG JPs, as summarised by the JPs in preparation for the DEG-KM workshop held in August, 2012 (Cortobius and Kjellén, 2012). The texts have been edited. Some sub-sections build on extracts from evaluation reports.

The next section (Reflections) revisits the joint contribution towards MDG 7, as discussed at the aforementioned workshop, and the challenges of governance monitoring, as well as knowledge management and lessons learned from DEG interventions.

### ALBANIA

Ensuring the effective management, regulation and monitoring of key public utility sectors such as electricity and water is central to Albania's prospects for achieving the MDGs. Strengthening the voice of consumers to promote and protect their rights and encourage accessible and affordable electricity and water services is also essential to meet the requirements for accession to the European Union (EU). The Economic Governance, Regulatory Reform and Pro-Poor Development programme helped national stakeholders to develop the capacity required to meet these challenges.

The two-year programme was implemented jointly by the World Bank and UNDP in partnership with the Ministry of Economy, Trade and Energy and the Ministry of Public Works and Transport as well as other national partners.

Achievements

#### *Electricity sector performance monitoring*

For many years Albania has been subject to chronic energy shortages. The recent reform of the energy sector has much improved the situation, but the new energy market model is complex and requires close monitoring. The programme contributed to the capacity development of the Energy Regulatory Entity to monitor more effectively, and thus better regulate, the energy market, which ultimately will benefit the consumer. Electricity distribution has been privatized, but electricity is still produced and transmitted by two public companies. The programme helped the companies prepare business plans and performance indicators in order to introduce a new performance oriented management approach that is more in line with the spirit of the sector reforms.

#### *Water and sewerage sector management*

While Albania has made good progress in the achievement of the MDGs in the water and sewerage sector, many challenges remain. The programme aimed to strengthen the capacity of the General Directorate for Water Supply and Sewerage, located within the Ministry of Public Works, and Transport to perform

*Economic governance, regulatory reform, public participation, and pro-poor development in Albania*

#### **Duration**

14 Aug 2009-30 Jun 2012

#### **Programme budget**

USD 2,100,000

#### **Expected Outcomes**

1. Capacities of regulatory bodies enhanced to better monitor the provision and efficiency of service delivered
2. Consumer associations and state bodies strengthened to provide a strong national voice for costumers
3. Vulnerable groups, people in need, and those living in informal areas benefit from pro-poor utility policies

its sector management functions better. Part of the work with the General Directorate supported its Monitoring and Benchmarking Unit to address the lack of reliable data to measure the water utilities' performance. Support focused on studying the practices of the Durres water utility from which lessons learnt would be applied nationally through the Unit. This work was complemented by the assistance provided in the formulation of a methodology for the prioritisation of water infrastructure investments in rural areas. This was essential to ensure that investments reach communities that are most in need.

#### *Governance of the electricity and eater sectors*

Privatization in the electricity sector and decentralization in the water sector ultimately aimed to improve service quality. Better results are achieved when consumers have a strong voice. The programme, together with the Water Regulatory Authority, supported the implementation of a survey of consumers' perceptions of the quality of electricity and water services. This survey provided data on the current situation and aimed to foster a debate on improvements in service quality. This activity was complemented by a study of customer services within the water utilities to identify the measures needed to introduce a more client-oriented service. Another study on access to water in the informal settlements and rural areas of five districts of Albania, is documenting the challenges and constraints that utilities and local governments face in terms of addressing the access to water and sanitation problems in the informal settle-

ments. Assistance to the formulation of “model” contracts for electricity and water aimed at improving consumer protection in these two key sectors. The programme also supported the Government to build the awareness, understanding and ownership of the new water and sewerage strategy by local institutions, water operators and the public at large.

### ***Affordable electricity and water for the poor***

The inevitable tariff increases in the reformed electricity and water sectors particularly affect the poorest segments of the population. The programme offered advice on targeted tariff subsidies or compensation schemes to mitigate the impact of tariff adjustments on the poor. The support consisted of a number of studies to provide evidence-based policy options, such as a Poverty and Social Impact Analysis of Tariff Reforms, a National Study on the Effectiveness of Support to the Poor and an Analysis of Potential National Mechanisms for the Protection of the Poor from Tariff Increases. Support was also extended to remedy the issue of illegal water connections in informal settlements.

### ***National capacity for consumer protection***

The reform agenda under the Stabilization and Association Agreement which Albania signed with the EU in 2006 is extensive. It includes a gradual harmonisation with EU structures and directives in the areas of standards, certification and consumer protection. A mid-term review of the 2007-2013 Strategy on Consumer Protection and Market Surveillance supported by the programme showed that while progress has been made in transposing EU legislation, the capacity and experience to enforce this legislation are lacking. The programme helped to build enforcement capacity by exposing national institutions and consumer associations to EU member state enforcement practices and training them in the implementation of key areas of consumer protection legislation. A training of trainers’ curricula on consumer protection was developed with the support of the programme.

### ***Online consumer complaints management system***

The Consumer Protection Commission (CPC) which was established in 2009 was one of the enforcement mechanisms established by the Strategy on Consumer Protection and Market Surveillance. The programme supported the establishment of the website of the CPC which raises awareness about consumer rights and guides consumers on how to resolve disputes with traders. The website of the CPC also allows consumers to file complaints online. The complaints are processed by a Consumer Complaints Management System established with the support of the programme which produces complaints data and reports for market monitoring purposes and evidence-based policy making.

### ***Consumer rights awareness***

Awareness on consumer rights is low in Albania, leaving consumers particularly vulnerable to unfair commercial practices.

There is a broad consensus that building consumer rights awareness is a top priority to counter unfair commercial practices. The programme formulated and implemented a comprehensive public awareness strategy aimed at raising the awareness of Albanian citizens and the media on consumer issues. The programme supported activities such as regional workshops, a documentary and TV spots as well as TV talk shows. Intensive use is being made of the social media networks through the UN media group. Journalists, members of this group, have repeatedly prepared editorials, commentary or articles in different Albanian newspapers on consumer rights issues. This was the first comprehensive consumer rights awareness campaign ever undertaken in Albania.

### ***Results of the Joint Programme***

- An assessment of the energy market model was conducted and recommendations for effective monitoring of the market by the Energy Regulatory Authority were made
- Business plans and performance indicators for the public energy production company and for the public energy transmission company were prepared
- A capacity diagnostic of the General Directorate of Water Supply and Sewerage and its Monitoring and Benchmarking Unit was conducted
- 20 staff of the General Directorate and its Monitoring Unit were trained
- A methodology for the prioritisation of water investment in rural areas has been developed
- A citizens’ survey on the quality of electricity and water services was completed
- The “model” contract for water has been finalised and is being introduced in the 56 water utilities of Albania
- 10 workshops gathering 150 staff of the Albanian water utilities were organised to present and discuss the “model” water contract
- A study on the customer services of the Albanian water utility companies was completed
- A “Poverty and Social Impact Analysis of Tariff Reforms” was conducted
- A “National Study on the Effectiveness of Support to the Poor” (consumers of electricity and water) was conducted
- A mid-term review of the 2007-2013 Strategy on Consumer Protection and Market Surveillance has been conducted
- 15 staff of the Ministry of Economy, Trade and Energy and members of consumer associations have been trained in the enforcement of consumer protection law
- 10 staff of the Ministry of Economy, Trade and Energy and members of the Consumer Protection Commission have visited Italy and Romania to learn about consumer protection practices
- The web-site of the Consumer Protection Commission has been developed and is online
- A Consumer Complaints Management System has been developed and is operational
- 150 journalists from all over Albania are being trained in consumer protection issues



## ANGOLA <sup>1</sup>

Angola's water supply and sanitation sector has suffered seriously from four decades of persistent civil conflict. Whereas the country has made substantial progress in economic and political terms since the end of the war, it continues to face massive developmental challenges, including oil dependency, dilapidated infrastructure, low institutional capacity, lack of financial management systems and – last but not the least – the difficult living conditions of the population.

Angola has the highest rate of diarrheal disease in the world. Poor water, deficient drainage, and lack of even minimal sanitation facilities have resulted in high and steadily increasing rates of excreta-related diseases. Some of the worst sanitation in Angola can be found in its capital, Luanda, as well as in the hillside refugee camps surrounding the city where more than a million internally displaced persons still reside.

Governance is one of the main constraints to the expansion of water and sanitation services to reach more people, especially the poorest. A major issue is the poor sustainability of water standpoints managed by the state-owned utility. Other constraints include: weakness of the regulatory and normative framework, lack of community participation in decision-making processes, little investment in the capacity of WatSan institutions, and the lack of accountability.

The JP has conducted studies and worked towards the creation of a legal context with new policies and laws, combined with the direct provision of infrastructure and the creation of livelihood opportunities. The programme also aimed to transfer responsibilities from public or semi-public institutions to communities as autonomous service providers, to be accompanied by an increase in monitoring and control activities for the oversight of the infrastructure. This included a strong capacity building component to create autonomous community organisations.

### Achievements

#### *Enhancing access to water and sanitation and community management of water and sanitation*

Many people are estimated to have benefited from new or rehabilitated water systems: 62 new water points were installed and 72 were rehabilitated in Luanda and Moxico; 41 water supplies were installed at schools and eight in health centres; 118 Water and Sanitation Committees (Grupos de Água e Saneamento/Comissões de Moradores) were created or reinforced; with approximately 1,000 persons trained in community water and sanitation management. The Model for Community Based Water Management (Modelo de Gestão Comunitária de Água), developed by an Angolan NGO in partnership with UNICEF and the European Union, and widely applied by UNICEF during the JP implementation, has been officially endorsed by the MINEA for the management of water points in rural areas.

#### *Governance of Water and Sanitation in Angola's poor Neighbourhoods (Urban and Periurban water and sanitation Joint Programme Management in Angola)*

##### **Duration**

20 Mar 2009-20 Mar 2013

##### **Programme budget**

USD 7,600,000

##### **Expected (Programme) Outcome**

Community-oriented governance of peri-urban and rural water and sanitation sector promoted through autonomy-driven institutional, regulatory and accountability system

##### **Expected Outputs**

1. Policy and regulatory (existing) legal systems framework featuring community management of WatSan utilities in place
2. Autonomy-oriented community water structures ensuring sustainable access to WatSan facilities in 500 community groups (bairros or villages) across 30 municípios
3. Mechanism for monitoring and funding community-driven WatSan schemes put in place at municípios level
4. Mechanism put in place for the accountability of municípios in the provision of water and sanitation services to peri-urban and rural areas

Training materials developed for certain municipalities has been delivered to and also used by the Instituto de Formação de Administração Local, which is the institution responsible for municipal capacity development in Angola.

#### *Small businesses development activities*

The programme has supported the training initiative "Start your own Business" leading to the creation, improvement or expansion of micro enterprises of private water supply. Many business development activities were directed to Water and Sanitation Committees, with 59 projects implemented in Moxico Province and 56 were implemented in Luanda. 58 per cent of the persons that benefited were women and 23 per cent of the businesses are led by women.

#### *Contribution to sanitation improvement*

The Community Led Total Sanitation (CLTS) approach, aiming to eliminate open defecation by changing people's behaviour and promoting the demand for sanitation across entire communities, has been promoted by the programme. The approach uses simple, effective (and often shocking) demonstrations (triggering), where facilitators help highlight the link between open defecation and transmission of disease. With such insights (ignition), families are expected to make the decision to change their sanitation practices and build their own latrine using locally available materials. The approach builds on local committed volunteers. Among the newly acquired skills by the communities is the autonomy to solve their own issues related to WASH and being able to pass their knowledge to others as required. Over 68,000 persons were trained in CLTS, with some 3,663 new latrines constructed.

<sup>1</sup> The section on Angola is based on the Final Evaluation report (Caravilla, 2013) and results summarized in the DEG Thematic Review (Indij, 2013).

### *Contribution to National and Local Policy Frameworks*

The programme has been able to make some significant contributions to the development of the water and sanitation public policy framework that are in the process of institutionalisation, namely: (1) studies that complement and will facilitate the effective implementation of the Water Law; (2) Plano Nacional de Saneamento Ambiental; (3) Plano Estratégico Nacional de Gestão de Resíduos Sólidos, which was partially sponsored by the programme, and has been approved by the National Assembly.

A major achievement is the Master Plan for Water and Sanitation of the Municipality of Kilamba Kaixi (Luanda), which was developed with local authorities of this municipality, thus combining the creation of the Master Plan with capacity building. Through this initiative, the mechanisms for accountability of municipalities in relation to service provision, as well as the monitoring and financing of water and sanitation system are being established.

### *Sustainability*

There are serious problems of sustainability of the water systems installed and rehabilitated: 33 per cent of the water points in Luanda Province are not working and 41 per cent in Moxico are inoperative. However, in some cases, as in the water points rehabilitation in bairro Pedreira (Cacuaco Municipality, Luanda) the excellent level of community organization (Comissão do Moradores) appears to have overcome the multiple sustainability problems faced by these systems in Angola.

The sustainability of products and outputs related to the development of public policies and municipal development plans can be assessed as reasonably good. The process of institutionalisation is on-going, such as ministerial endorsement, approval by the National Assembly, and the elaboration of implementation decrees and budgeting.

### *Lessons learned*

- The programme has operated with limited effectiveness (37 per cent of the planned targets achieved). However, the targets were probably too ambitious - a situation that contributes to the perception of reduced efficacy
- An in-depth feasibility assessment could have developed a more realistic intervention proposal. (Some context issues that turned to adversely affect the development of the originally planned strategy were clearly identified in the design phase, but no alternative solutions were assessed)
- A gender needs assessment in the design phase could have yielded a more accurate picture of gender based inequities and gaps relating to the areas of the intervention



Source: [www.mapsofworld.com/angola/maps/angola-political-map.jpg](http://www.mapsofworld.com/angola/maps/angola-political-map.jpg)

- An in-depth assessments of existing community organisational structures could have helped design more effective organisational capacities development activities
- On water points in rural areas: systems are sustainable only when there is an active and continuous support from the users which includes financial contribution for maintenance. However, organising and motivating communities for this role is not an easy task.
- On water points in peri-urban Luanda: well-organised Resident Committees seem to have greater capacity to maintain their water systems in operation despite technical difficulties and weaknesses of the provincial and municipal administrations
- Behavioural change takes time –beyond the time scope of the programme to show results

## BOSNIA AND HERZEGOVINA

The programme aims at addressing the deficiencies in the field of water supply management and problems present in the infrastructure in Bosnia and Herzegovina, which threatens adequate provision of services in this very sensitive sector. Furthermore, there is insufficient citizen participation in decision making processes, which has a negative impact on communities and local development and leads to misunderstandings among different stakeholders in the management process.

The programme responds to the specific problems stated above by ensuring an integrated approach in terms of the technical, economic and social aspects, which has resulted in significant improvement of skills of local community staff and better understanding of different issues (social, water, development, environmental) among different groups of stakeholders. The programme has also supported active citizen participation in the water supply services management process in local communities; improved water supply/utility companies management and promoted capacity building for representatives of institutions responsible for decision making processes. All this aims at standardized provision of water supply services.

### Impacts

In total, it is estimated that 260,000 citizens has benefitted from the programme's activities, out of which 50,000 have received improved water supply services, including better water quality and quantity. This is inclusive of 200 refugee/returnee families.

USD 1.25 million investments in small infrastructure projects increased water supply coverage by 2 per cent, and have generated annual savings in the municipal/water utility budgets of USD 0.4 million.

### Capacity development

In order to increase human capacities in the communities capacity development activities at the local level have been one of the central components of the JP. Capacity development in the communities has been implemented through two sets of sub-activities:

a) Financial sustainability and management of water utility companies, and b) Social protection.

Results of the Capacity Development activities

- 13 projects focused on the improvement of the living conditions of the identified vulnerable groups;
- Water and sanitation projects in the schools in all partner municipalities (through GoAL WaSH);
- A Referral model for cooperation and communication between the relevant institutions and organisations, aiming to improve the multi-sector approach to social inclusion and the protection of children's rights in the water supply sector;

## Securing Access to Water through Institutional Development and Infrastructure in Bosnia and Herzegovina

### Duration

25 Nov-09-31 May 2013

### Programme budget

USD 4,450,000

### Expected Outcomes

1. Strengthened inclusion of citizens in the participative municipal governance of Water access
  2. Improved economic governance in water utility companies for better services to citizens in targeted municipalities
  3. Strengthened capacity of government(s) for evidence-based policy making and resource planning for equitable water related service provision
- Development and adoption by some of the partner municipalities of Suggestions on the Criteria and Measures of Social Policy within the Water Supply, which contains clear rules how to subsidise water cost for vulnerable;
  - Implementation of small infrastructure projects based on the Water Supply Studies which were developed as strategic documents for local governments in the partner municipalities.
  - Establishment of the Department for Water within the Ministry of Foreign Trade and Economic Relationship of Bosnia and Herzegovina.
  - Municipal Management Boards became permanent municipal commissions that continue to work on sustainable and integrated local development in other sectors.

### Knowledge management

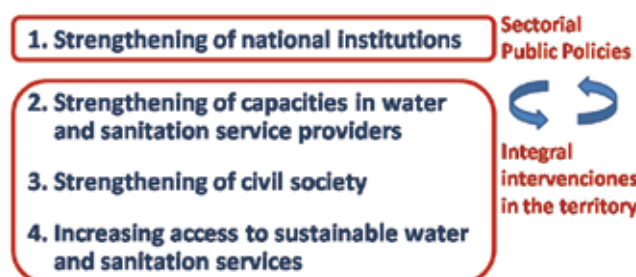
The project approach has been recognized by other initiatives in Bosnia and Herzegovina, and the JP Team has prepared its knowledge products as a tool to be offered to other local communities as a part of integrated local development programmes. Furthermore, the same integrated approach that includes social and technical issues could be used for other public services. In Bosnia and Herzegovina, public services (sewage collection, water supply, district heating, etc.) are under local/municipal responsibilities. Establishing better communication and networking among utilities from different municipalities could lead to improvements in their services to citizens.





## ECUADOR

The Ecuadorian JP contributes to democratic, sustainable governance of water supply and sanitation services by way of an integrated watershed management approach, promoting social, geographical and gender equity.



The JP has become a space for national and local-level inter-institutional work and dialogue, mainly to formulate sectoral public policies with a human rights-based approach focusing on implementing holistic interventions in rural communities.

### Quantifiable outcomes

As a contribution to national institution building, there is a complete version of the National Public Policy on Water, with a Human Rights-based Approach, ready for discussion within the national Government and in settings for citizen participation, and there are three new public policy instruments for integrated water management.

Based on the country's new institutional framework, the Citizen Sectoral Council on Water has been created as a new way to involve civil society and the public at large in the sector's democratic reform. Means for participation in water and sanitation service provision and oversight of water quality with a gender approach have also been created in 20 of the communities of intervention.

Access to water and sanitation services has improved, implying greater continuity, water quality and accessibility for 4,570 persons, which is expected to increase to 18,000 by October 2012, and to 31,000 by May 2013.

### Impact

At the national level, the Program has helped officials and authorities understand the overall importance of democratic governance to achieve the goals in coverage of sustainable water supply and sanitation services, and for integrated watershed management. Part of this understanding is the inclusion of a number of key aspects of the human rights based approach, such as citizen participation, gender relations and intercultural relations.

Locally, in addition to improving access to sustainable water supply and sanitation services, the Program has set a major precedent in joint work among institutions and in civil society participation. The integrated model has generated great interest among key stakeholders of the sector at the

## Governance in the Water and Sanitation Sector in Ecuador within the Framework of the Millennium Development Goals

### Duration

30 Jun 2009-27 Jun 2013

### Programme Budget

USD 5,810,000

### Expected Outcomes

1. Improved national and local capacities for the effective implementation of an agreed new regulatory and institutional framework for the water sector and the water and sanitation subsector, which contribute to the integrated and sustainable management of water resources, social, territorial and gender equality
2. Improved indicators of economic, technical, social, environmental and institutional sustainability of water and sanitation service providers in the four provinces selected for the Programme
3. Empowered civil society organisations and women's organisations influence the creation of regulatory frameworks governing water and sanitation services, the monitoring of water quality and the sustainable management of their services in the Programme's area of intervention
4. Improved access to sustainable, high quality water and sanitation services for the urban and rural population of the provinces of Esmeraldas, Bolívar, Los Ríos and Manabí

local level, creating opportunities for public policy advocacy at the national level and the local development planning. An important example of this impact has been the sensitization and learning achieved through environmental clubs formed in six of the Program's communities of intervention.

### Valuable experiences and lessons learned

The formulation of the Public Policies with a Human Rights-based Approach (HRBA) has made the JP part of a pioneering experience, even internationally. This exercise is becoming a learning process of great importance for the actors involved, mainly because of the increased awareness in regard to democratic planning and governance, and the methodology implicit in the HRBA.

Mainstreaming the gender approach in this JP is an unprecedented exercise in Ecuador and has been a huge challenge for the entire team. Collective learning has been very important, at the community, technical and the national and local institutional levels. The gender strategy has been adapted according to opportunities and has evolved naturally in response to the specific needs in the field, and later consolidating as a point of reference for other programs and institutions. A video and a detailed report on this experience have been developed by the programme.

With the creation and implementation of the Unified Training Plan an unprecedented qualitative leap forward has been taken in the sector. This plan not only provides integrated training, but also ensures sustainability by training community trainers, who can provide permanent training services at the local level. Although it requires great effort and dedication by participants, the course structure with





Source: [www.watergovernance.org/DEG-KM/gender](http://www.watergovernance.org/DEG-KM/gender)

university certification and the “learning by doing” methodology have generated great interest within communities and a very low dropout rate. The Plan is being implemented through alliances with public and private academic institutions with local presence, in order to institutionalize a permanent training service for service providers at the local level.

For staff, lectured classes have been replaced by “mentoring” as part of the “learning by doing” approach. Instead

expert consultants accompany select personnel to help them solve real problems and then create guides and public policy instruments based on these experiences.

There are on-going dialogues about ancestral knowledge regarding caring for water and using it responsibly. These dialogues are spaces for representatives of different indigenous peoples and ethnic nationalities and SENAGUA staff to understand one another. These groups have traditionally clashed because of unequal power relationships, mutual prejudices and subsequent discrimination, and as a consequence of the difficulty of understanding and uniting their different visions regarding water. The main point of contention has been the spiritual vision of the native peoples and the dominant technocratic vision of the government.

The six environmental youth clubs formed by the JP have achieved greater impact than expected, generating self-sustaining dynamics of collective learning. This type of initiatives has great potential for all social work in communities, a key factor in environmental sustainability and community development. A video on this experience has been produced.

## GUATEMALA

### Outcomes and outputs

The JP is contributing to accelerate achievement of the MDGs related to maternal and child health, especially with the Mam people, access to safe water supply and sanitation, productive uses of water (irrigation) to eradicate extreme poverty and hunger, and promote gender equity and women’s autonomy. The JP is an institutional responsibility of the Government, led by the Vice Presidency of the Republic and the Specific Cabinet for Water, which implements its actions under a joint modality among four public sector agencies (INFOM,

### Capacity-Building amongst the Mam People for Economic Governance of Water and Sanitation

#### Duration

31 Aug 2009-30 Jun 2013

#### Programme Budget

USD 5,949,000

#### Expected Outcomes

1. Sector policies and regulations for water use (human consumption and irrigation) and sanitation defined and promoted jointly by the SEGEPLAN, the governing institutions and local governments of the MANCUERNA
2. Improved capacities of the municipal governments of the MANCUERNA and civil society, especially that of the Mam population, allowing the effective and sustainable management of water (for human consumption and irrigation) and sanitation services
3. Experience and lessons learnt from public, private and public-private management of water and sanitation reported and documented in order to transfer knowledge that allows its replication as well as enrichment of public policies



MSPAS, MAGA and MARN), five United Nations agencies (PAHO, UNICEF, FAO, UNFPA, UNDP and RCO), and eight municipalities from the Association of Municipalities of the Upper Naranjo River Basin, MANCUERNA (San Marcos, San Pedro Sacatepéquez, San Antonio Sacatepéquez, San Cristóbal Cucho and Esquipulas Palo Gordo in the department of San Marcos, and San Martín Sacatepéquez, San Juan Ostuncalco and Palestina in the upper department of Quetzaltenango), see map illustration.



The JP sets out to support joint promotion of national and local policies and norms on water use and sanitation; capacity-building with municipal governments for effective, sustainable management of water and sanitation services, and; systematisation of experiences in public, private and public-private management of water and sanitation.

### *Quantifiable outcomes*

The JP has generated capacities for water governance with over 7,900 persons, including public officials, NGO technical staff, community members, associations of irrigators, and watershed protection groups. Their main quantifiable outcomes are:

- 218 public officials from the Ministries of Agriculture, Health, and Environment, the Municipal Development Institute and from the eight Municipalities of Mancuerná have received training in concepts and criteria for planning and programming of water governance at the national and local level.
- 600 inhabitants of communities have been strengthened in organisation and community participation in health and environmental education.
- 400 users of water for agriculture have been trained in applying good water use practices, association and representation for decision-making.
- 5,000 inhabitants (both the general public and municipal decision-makers) have benefitted from and participated in preparing micro-watershed management plans.
- 1,500 inhabitants benefitting from incentives to improve their agricultural practices, recovery of degraded zones and environmental conservation.
- 330 technical staff (central and municipal public servants, representatives of NGOs, international cooperation) have been trained and exchanged experiences Guatemala's First National Congress on Watersheds.

### *Impacts*

Water governance in Guatemala features huge gaps in institutional action and citizen participation regarding better



regulation of water movement, both in the water cycle and in structural measures and social involvement for domestic water supply and irrigation, and in treating waste water. Along this line of growing social and economic demand for water and the lack of water management and governance mechanisms, the JP's interventions are fundamental.

The JP's outcomes directly impact the policy and normative framework for water governance, with contributions that are undoubtedly substantial and long-term because they directly benefit Guatemalan society at the national and local level. The JP is working on approval of the "National Water Agenda" led by the Vice Presidency of the Republic and on water institution building in the eight municipalities of Mancuerná, by approving water policies in municipal councils.

### *Valuable experiences and lessons learned*

The JP has been developing a multi-sector working model and provided an example of coordination among stakeholders in water governance, to favour a holistic and integrated vision of water governance and citizen participation, especially for the Mam people, as the foundation for national and local capacity-building.

An issue of particular interest and possible replication is inter-institutional coordination based on the alignment of central and local actions with the national and local water policy framework. This way, both JP coordination mechanisms and their main specific outputs, activities and budgets have been organised around the four themes regarding water under the National Water Agenda and municipal water policy: a) water supply and sanitation for well-being; b) social participation and water governance; c) water for productivity; d) protection of water sources and watersheds.

To address local conditions regarding water governance, including the gender approach and multicultural interaction, the JP has pursued a specific strategy to reinforce these dimensions through the JP's own programmatic and thematic organisation.



To systematise this knowledge, the first two efforts have been completed to yield knowledge about the following experiences:

- Experience with and coordination mechanisms for the Specific Water Cabinet for national water governance, during the 2008-2011 period.

- Working mechanisms and progress by the JP on the basis of its redesigned structure.
- Formation of the Inter-Institutional Network for Integrated Management of Water Resources (REDGIRH) in the territory of the Association of Municipalities of the Naranjo River Basin.
- Participatory updating of municipal water policy in San Pedro Sacatepéquez, San Marcos.
- Disinfection of human water supply systems under the safe water strategy, in the Municipality of Upper Palestina, Quetzaltenango.

The JP is also generating more systematisations of knowledge involving three water management experiences for agricultural use and pesticide management and one experience in community organisation with a micro-watershed approach, and promotion of regional knowledge about water supply and sanitation through a capacity-building centre in the Mam zone. In 2013, additional work will systematise and popularise the knowledge generated by the JP.

## HONDURAS

### Outcomes and outputs

The Programme's direct outcome fits under the United Nations Development Assistance Framework (UNDAF) 2007-2011, agreed upon with the Government of Honduras, which states that: "By the year 2011, the people of Honduras will move toward equitable universal fulfilment of their rights to health care, water and sanitation, food, education, culture, and protection against violence, abuse and exploitation". Three lines of action are considered top priorities: sectoral policy; support for investment in excluded urban sectors and smaller cities, and; support for investment in excluded rural zones.

In the policy line, a sectoral policy proposal for water and sanitation has been designed, adjusted, and implemented with a social inclusion approach under the leadership of the national and local governments. Regarding investment in the sector, support mechanisms have been established for investments in the country's smaller cities, developing neighbourhoods, peri-urban areas and rural zones. This has been achieved by direct Program funding and other resources mobilized through strategic alliances with government institutions and other cooperation stakeholders.

The JP aims to support interventions that improve access to and the provision of public services and to enhance their effectiveness and make them more accessible, involving poorer population groups and benefits for them. The Program has attempted to build national and local capacities, to enhance the sector's management in favour of excluded sectors. These actions have directly resulted in expanded water and sanitation coverage with an inclusive approach.

### Economic Governance of Water and Sanitation

#### Duration

28 Aug 2008-30 Aug 2012

#### Programme Budget

USD 6,500,000

#### Expected Outcomes

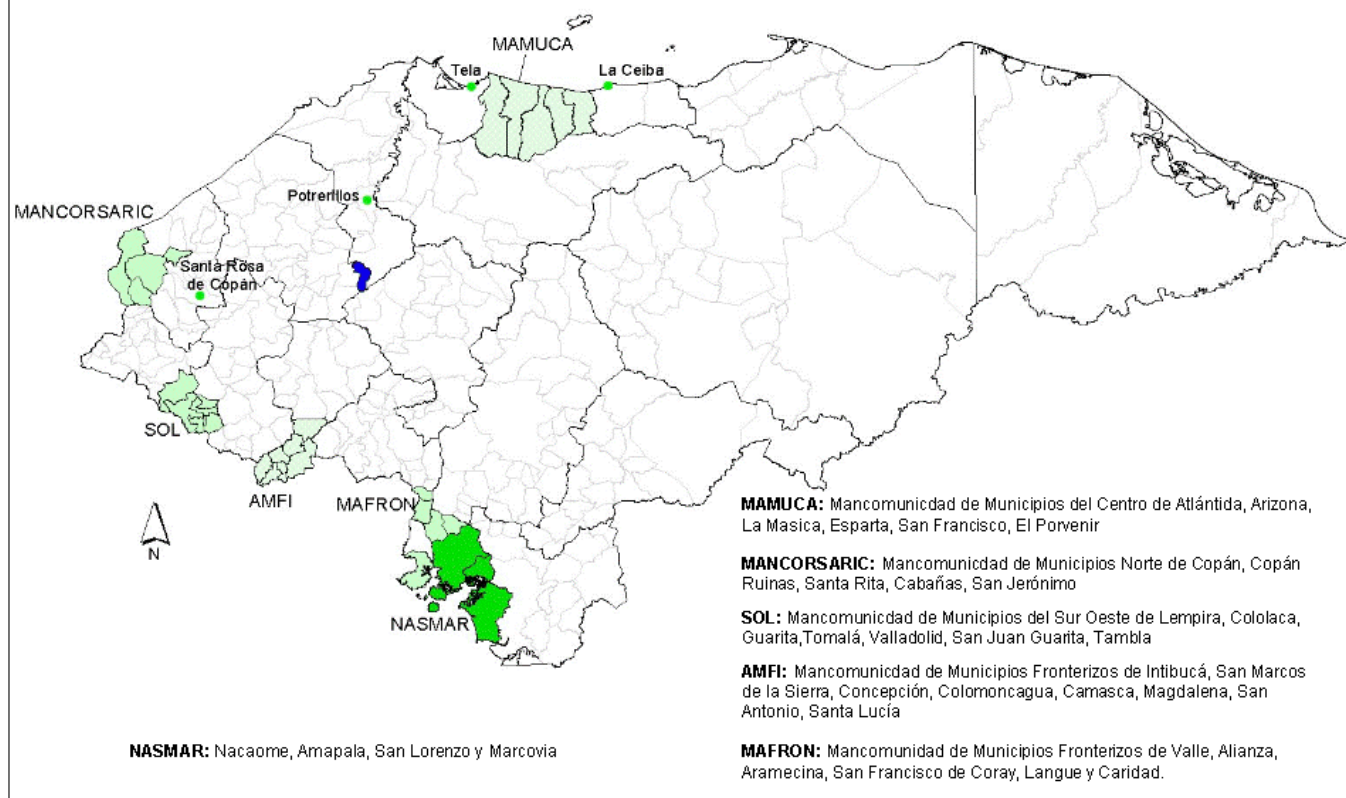
1. Water and sanitation sector policies designed/adapted and implemented, using a socially inclusive approach, under the leadership of the national government
2. Investment support mechanisms established in smaller cities and developing and peri-urban areas of the country, through direct financing from the Programme and other resources mobilised through strategic alliances with government institutions and other cooperating bodies
3. Investment support mechanisms established in rural areas of the country, through direct financing from the Programme and other resources mobilised through strategic alliances with government institutions and other cooperating bodies

The Programme has also worked to protect water sources; promote good hygiene habits in schools and communities; prepare municipal water and sanitation policies and plans and municipal settlement plans. It has also supported the development of municipal solid waste management systems, including the organisation and training of environmental microenterprises to manage solid wastes.

### Quantifiable outcomes

By proposing a National Water Supply and Sanitation Policy has the National Water and Sanitation Council (CONASA) been strengthened in its role as the governing body for policies and planning in this sector. The policy has been submitted to the Executive Branch for official enactment.





The Council's management has also been reinforced by the development of administrative manuals and a Website. Municipal water and sanitation policies have been formulated in 13 municipalities and land use zoning plans and urban development proposals have been made with an emphasis on water and sanitation in eight municipalities. A Strategy for Information, Education and Communication regarding duties, rights and sectoral policy has been implemented.

The Programme has worked to protect micro-watersheds, producing guides to risks reduction in water and sanitation service management. Studies and designs were prepared for 27 investment projects in the six municipal associations supported by the programme: MAFRON, NASMAR, MANCORSARIC, MANCOSOL, AMFI and MAMUCA. 16 water and sanitation projects in rural communities, two projects in medium-sized cities (La Ceiba, Santa Rosa de Copán) and two solid waste projects (Potrerillos and Santa Rosa de Copán) were implemented in these municipalities. Seven solid waste management microenterprises have also been organised.

The Programme has also leveraged nearly USD 4 million from the Central American Economic Integration Bank for rural infrastructure.

From these efforts nearly 35,000 persons obtained access to water and sanitation, including approximately 17,000 children. Some 3,330 homes were supported by promoting

adequate hygiene practices, through the Healthy Schools and Homes (ESCASAL) methodology, with household visits benefitting approximately 16,000 persons, including nearly 8,000 children. The waste management projects consisted of the construction of a landfill and a cell for hazardous wastes, to benefit approximately 80,000 persons in two medium-sized cities (Potrerillos and Santa Rosa de Copán). The seven solid waste microenterprises will improve sanitation conditions in three medium-sized cities (Tela, Potrerillos and Santa Rosa de Copán), creating employment to benefit 50 families.

## Impact

### Case 1

The Healthy Schools and Homes methodology enabled inhabitants of the rural community of Hicaque (258 homes, 1,039 inhabitants) in the Municipality of Arizona, on the Atlantic Coast of Honduras, to develop greater awareness of sanitation conditions in their community.

With support from the Autonomous National Aqueduct and Sewerage Service (SANAA), they mapped the risks related to sanitation conditions, and on the basis of the Community Action Plan prepared by ESCASAL, they have gotten municipal authorities to support solution for their main problems.



As a result of this action, the municipality supported construction of canals and sewerage to drain stagnant water, which had been breeding mosquitos that spread dengue fever and malaria. The streets in the neighbourhood were improved and the entire community took part in clean-up efforts, getting rid of the garbage littered in the community's streets and open areas. The Basic Sanitation Committee remains active and oversees the community's sanitation conditions.

### Case 2

The Noraves Company, which processes poultry for nationwide distribution and sales, and textile company Caracol and Caracol Knits, located in the Municipality of Potrerillos, have implemented 90 per cent of the recommendations established in the Cleaner Production Plan prepared using the TEST methodology. This reduced their water consumption by 20 per cent and 75 per cent respectively.

The NORAVES company is saving over USD 285,000 a year, through water, energy and waste recovery measures. Caracol and Caracol Knits save USD 90,000 a year by these same measures. Additionally, Caracol Knits contributed approximately USD 58,000 to the Municipality of Potrerillos and provided technical assistance to construct the landfill,

committing continued support for the Municipality to ensure the landfill's sustainability.

Health conditions in the Municipality of Potrerillos have improved considerably, by reducing the pollutants dumped into the Blanco River and also reducing unpleasant odours.

### Valuable experiences and lessons learned

The Program has built local management capacities in the least-served municipalities, including local policy-making, and municipal water and sanitation planning. Organisation and training of Local Supervision and Control Units (USCLs) under the leadership of the Regulatory Agency for Water and Sanitation Services (ERSAPS), as well as the Municipal Commissions (COMAS) and Municipal Associations of Water and Sanitation Boards (AJAM).

Municipal settlement plans emphasizing water and sanitation are an innovative proposal. These methodologies have been applied by the sector's organisations (SANAA, CONASA, ERSAPS), which enhances their sustainability. Further, they have been shared with other donors and funding agencies (European Union, Inter-American Development Bank, Swiss Cooperation), which have incorporated them in their current project funding, on the order of USD 60 million.

## MEXICO

### Outcomes and outputs

In Mexico, the Joint Program is oriented toward communities in marginalised rural and urban zones with low human development indices in the States of Chiapas, Veracruz and Tabasco in southeastern Mexico. These places are behind in coverage by water supply and sanitation services. For example, in rural zones, water supply and sewerage coverage average 71.5 per cent and 58.1 per cent respectively. There are still some isolated localities without services, and access to even just water supply is quite complicated and difficult. Nevertheless, this region has more available water than anywhere else in the country. Further, its vulnerability to hydro-meteorological phenomena and the frequency with which they cause damage to these three States is quite high.

The work and the main outputs have centred on:

- Facilitating access to information for beneficiaries regarding water and sanitation in regard to legal framework, transparency and access to information, gender and ethnic issues, education and communication, community development, vulnerability, risks and health;
- Providing participatory tools such as plans, programs, guides, and construction of demonstration models, to strengthen capacities of water and sanitation management beneficiaries;

### Building Effective and Democratic Water and Sanitation Management in Mexico for the Achievement of the MDGs

#### Duration

10 Dec 2008-8 May 2012

#### Programme Budget

USD 6,000,000

#### Expected Outcomes

1. Strengthened capabilities and developed mechanisms for monitoring, evaluation, dissemination and access to information about water and sanitation as well as hydro meteorological vulnerability, especially in poor populations from rural and peri-urban zones
  2. Strengthened institutional and citizen capabilities for the provision of water and sanitation services and for risk prevention due to extreme hydro meteorological events taking into account environmental sustainability, gender and ethnic equity and recognition of the economic value of services
  3. Democratic governability and civic participation strengthened for the formulation, management and implementation of water and sanitation policies within a framework of equity and transparency
- Develop and strengthen capacities of civil society, public servants at the state and municipal levels, so that, when the Joint Program concludes, these beneficiaries can apply the knowledge they have acquired and promote water and sanitation governance.

## Quantifiable outcomes

- Construction and delivery of a Demonstration Model of Healthy Homes, a School Sanitary Module and an exposition of alternative technologies for water supply, which is currently used for training and replication.
- Construction and delivery of 15 demonstration models of rainwater catchment using 5,000 litre ferro-cement tanks and 1,000-litre masonry tanks for water control, regulation and management.
- Improvement of water and sanitation services in six schools, constructing rainwater catchment, 20,000 litre ferro-cement tanks, water filters, drinking fountains, dry toilets, school cafeterias and bio-filter planters, with an educational strategy, benefitting a school population of 2,317.
- Promotion and collaboration in creating the Master's Program in Managing the Millennium Development Goals with the Autonomous University of Chiapas, having begun the third semester with the first group.
- Training 82 high school youth as local communicators in water, sanitation and environmental topics.
- Training two citizen groups called the Citizen Water and Sanitation Monitoring Initiative, to foster water and sanitation governance.
- State Documents (3), one document on Governance and a Toolbox compilation were prepared.
- Because of JP advocacy, Federal, State and Municipal

Governments, as well as organised civil society, are investing to:

- Construct 1,000 homes for Rural Cities in Chiapas under the healthy homes strategy.
- Over 5 million pesos to construct 177 five-thousand-litre ferro-cement tanks and one concrete 150-thousand-litre tank in the locality of Oniltic in Chiapas, benefitting 849 inhabitants.
- More than 4 million pesos to construct 543 ferro-cement tanks in the JP localities in Sitalá and San Juan Cancuc in Chiapas.
- Over 2 million pesos to prepare the Executive Project to expand and rehabilitate the water supply system in the municipal capital of San Juan Cancuc.
- 120 thousand pesos to construct fifty 1,000-litre masonry tanks in the locality of Tzumbal, Chiapas.



## Impact

The JP's intervention in Mexico has provided a series of knowledge, actions and contributions that have enabled major changes in quality of life for inhabitants benefitting from the JP. One case is the population of Oniltic in the state of Chiapas, which because of its geographical characteristics has no supply source, such as a spring or river, in order to build a water supply system. Therefore, the only way to provide water is by catching rainwater, which they trap in low-lying ponds, where water quality is low and they have to walk for several hours to fetch it. In other cases, some residents catch rainwater off their roofs in small containers.

The JP process in this locality worked to strengthen their organisation, starting with various workshops on participatory assessment, giving priority to sensitising the community. Further, in the primary school the JP took actions to improve water and sanitation services, hand-washing sinks and filters to disinfect water. These activities, both primary school improvements and JP training, built capacities for organisation and the community's vision of co-responsibility, so that, by the end of the JP, at the inhabitants' own initiative, through their authorities, they prepared their water agenda, with community commitments for better management and care of the environment and water, also set their priorities in these areas.

Finally, these capacities enabled them for advocacy with government authorities, achieving to date not only the school improvements, but resources to plan and construct 177 five thousand litre ferro-cement tanks and one 150 thousand litre concrete community tank, which will ensure the community's water supply. The state Government also provided disinfection equipment for each housing unit, which has changed the lives of community women and men. Another success factor was the intercultural adaptation and gender approach during community activities.

## Valuable experiences and lessons learned

The JP has provided knowledge, valuable experiences and lessons learned. At first, the greatest challenge was to coordinate activities among the eight agencies participating in the Programme and in turn coordinate with each of the three States and the nine municipalities selected. The es-



establishment of the JP State Coordinating Offices and State and Municipal Steering Committees and working groups improved the Program's organization. At the local level, the Steering Committees played a key role, as the forums for representatives of the three levels de government, to gather with academics, organised civil society and beneficiaries from localities, with a single purpose. In several cases, they will continue meeting, to keep reinforcing water and sanitation management.

The strategies of Healthy Schools and Homes, the Educational Program on human values-based Water, Sanitation and Hygiene and processes for technology transfer had a great impact, achieving ownership by governmental authorities, academic institutions and civil society. This has enabled them to use their own programs and resources, and raise other

funding sources, to replicate them, keep following up with the communities where we worked, to ensure sustainability and expand to new places, to continue implementing the experiences and successes to benefit more people who need support.

Finally, with the particular experience of Chiapas, where most work involved indigenous communities, with respect for their rights, uses, customs and traditions, a group of facilitators/interpreters was formed, whose contribution was key to the achievement of intercultural adaptation. This helped beneficiaries understand the topics in each training process and/or activity, with respect for indigenous peoples' rights and cultural values, achieving far more than the original expectations of the goals programmed by the JP.

## NICARAGUA

### Outcomes and outputs

Community empowerment has been promoted by creating Community Water Supply and Sanitation Committees (CAPS), which, in addition to contributing to system planning and construction processes, have the responsibility to administer and guarantee such systems' sustainability. Further, in social processes in the communities of intervention, community capacities have been built to prepare their Community Action Plans and they have been involved in constructing municipal development plans and municipal water and sanitation plans.

Access to basic water and sanitation services has improved significantly with the creation and implementation of water and sanitation investment funds as an instrument to harmonize and align interventions in the sector. Accordingly, this has complemented resources from different funding sources (regional, municipal and community) to implement some 35 water and/or sanitation projects.

Capacity-building to improve sector management at the different levels of government has been grounded in technical training, improved technical support and creating operational instruments to contribute to effectiveness and efficiency in managing that sector. In addition, institutionalizing Technical Water and Sanitation Units has achieved significant consolidation of the sector's management model in the Autonomous Regions.

As part of the creation of a more suitable legal and institutional framework, the Regions' management model have contributed to the development of national policies linked to the sector (National Water Resources Policy and National Water Fund), which take the consolidation of the autonomous system of the Caribbean Coast as a starting-point. From the levels of government coexisting in the regions, progress has been made with official status and operation of the two regional and four municipal working groups. Significant progress has also been made with Sectoral Strategic Planning in both regions, and instruments and procedures

### Democratic and economic governance in the Water and Sanitation sector in the RAAN and RAAS

#### Duration

12 Mar 2009-12 Nov 2012

#### Programme Budget

USD 7,700,000

#### Expected Outcomes

1. Poorest sectors of the population (with priority to indigenous peoples and afro-descendant communities) of the RAAN and RAAS empowered and participating in an informed way in the decision-making processes and control over investment in the Water and Environmental Sanitation Sector
2. Regional, municipal and communal management of the drinking water and sanitation sector, including information systems and/or statistics, made more efficient, equitable, culturally appropriate benefiting the poorest and most disadvantaged groups, with priority to indigenous peoples and afro-descendant communities
3. Access to and quality of water and environmental sanitation services improved through the creation and implementation of seed fund
4. More appropriate institutional, legal and regulatory framework, in the framework of national decentralisation and regionalisation policies, facilitating the right to efficient and equitable access to water and sanitation in the RAAN and RAAS







have been developed to regulate sector management on the Caribbean Coast.

### ***Quantifiable outcomes***

Community empowerment has helped develop Community Action Plans in 31 communities of intervention, establishing concrete actions to solve the problems granted priority in their communities. The Program has also promoted formation and/or strengthening of 40 CAPS and five municipal CAPS networks, to improve coordination among them and more effectively influence sector decision-making. Establishing three Community Multimedia Centers and strengthening three community radio stations is facilitating disclosure of and access to public information for community members. Two regional and four municipal water and sanitation work groups have been formed, to contribute to coordination and dialogue among stakeholders in the sector. The different training processes are building technical capacities for some 67 regional and municipal officials in water and sanitation, as well as generating major outputs for sector management in their municipalities. 109 community members have been trained to construct and maintain water and sanitation systems, with 81 of them certified as Water and Sanitation Masonry Entrepreneurs.

The 35 water and/or sanitation projects implemented in communities and schools on the Caribbean Coast have facilitated access to improved water supply sources for 16,680 persons, whereas 7,479 persons have accessed improved sanitation services. In the urban sector, solid waste management systems have been improved in Bilwi and Bluefields, indirectly benefitting 78,051 persons in the two localities, as well as supporting improvement and expansion of the urban water supply network of Bonanza, benefitting 8,143 persons from this locality.

### ***Impact***

As for impact, the proportion of the population in priority municipalities who have access to improved water supply has increased by 12.8 per cent of which approximately 7.8 per cent are indigenous and Afro-descendant population. Further, the proportion of the population in priority municipalities who have access to improved sanitation services



has 5.8 per cent of which at least 2.8 per cent are indigenous and Afro-descendant population.

In addition to the JP's direct contribution to improving sustainable access to water supply and basic sanitation services, the Program has also contributed to MDG 4 to reduce mortality in children under age five. At least an estimated 9,200 children under age 12 are accessing improved water supply in their homes and/or schools, whereas some 4,700 have access to improved sanitation services.

Creation of the Water and Sanitation Investment Fund has established a management mechanism promoting harmonization and alignment of sectoral interventions, as well as reaffirming the human rights-based approach to access to water supply and sanitation.

Finally, community empowerment lays the groundwork for greater public participation in decision-making and oversight regarding water and sanitation investments, as well as guaranteeing sustainable administration and operation of the systems built.

### ***Valuable experiences and lessons learned***

- The JP's contribution to defining a management model for the water and sanitation sector on the Caribbean Coast, with different levels of government (regional, municipal and community) interacting and defining roles and competencies for each of these, represents one of the main achievements.
- Sociocultural adaptation of the instruments, tools and technologies for water, sanitation and hygiene constitute achievements that can be replicated in geographic areas where different indigenous peoples and ethnic communities coexist.
- Development of water and sanitation investment initiatives among indigenous and ethnic peoples must be grounded in a sociocultural analysis of these population groups and involve broad consultation about the technologies used, to ensure ownership and effective participation by the community throughout the project cycle.
- To implement the JP, community organisation regarding water, sanitation and hygiene in indigenous communities, begins with their traditional forms of organisation and decision-making.



## PANAMA <sup>2</sup>

In Panama, rural people, especially in indigenous regions, face a critical reality in human development, including scanty access to improved water and basic sanitation services. The scarcity of basic services in these geographic areas is explained by population dispersion in remote, difficult-to-access areas, particularly those communities and districts which can be reached only on foot, by sea or by river ways.

The JP has an integrated strategy seeking solutions in the water and sanitation sector in the short- medium- and long term. The importance of this JP proposal lies in community participation, with an intercultural approach, based on an assessment of their needs, then training community members to construct their own water systems to generate local capacities.

Investment in infrastructure is vital for governance processes to be relevant. The two initiatives go hand-in-hand, understanding that physical investment without social-institutional empowerment is not sustainable and does not create a feeling of ownership; on the other hand, processes of participation, empowerment and governance without tangible short- or medium-term solutions can be equally frustrating and unsustainable.

### Results achieved

The JP had positive impacts on improving the health of targeted communities. According to data from the Bureau of Epidemiology and the JP monitoring plan, there have been major reductions in gastrointestinal diseases. This shows the JP's immediate impact on families' health conditions of having safe water to drink.

Increased access to water and sanitation coverage has also been noteworthy. Infrastructure solutions favoured a total of 1,128 family homes, benefitting a total of 5,874 persons in nine communities. This has significantly improved their quality of life.

The JP promoted social undertakings, favouring economic development by families, organisations and communities. During the Program implementation seven microenterprises involving men and women were created. These microenterprises worked with the construction of water and sanitation systems, general construction, food marketing and supply. The JP's logic of intervention with a local approach has also had repercussions on the construction companies, which have hired social workers to improve their community relations, a novelty for private engineering firms. They have also engaged local brick-masons for other projects thanks to the capacities they have acquired as local labour under the JP. Regarding sanitation, men and women trained by the JP have handled construction of their own waste water treatment systems, showing that trained and empowered indigenous communities can implement their own solutions. This opportunity has also yielded economic improvements for

### *Strengthening of Equity for the Reduction of Gaps in the Public Services of Safe Water and Sanitation through Citizen Empowerment in Excluded, Rural and Indigenous Areas*

#### Duration

17 Jul 2009-31 Dec 2012

#### Programme Budget

USD 4,500,000

#### Expected Outcomes

1. Health improvements through the empowerment of the beneficiary population to successfully extend the coverage of and access to water and sanitation services
2. Strengthening of water resource sustainability through local and institutional actions

them, because their own masons and assistants get hired. Another achievement is the process of sensitisation and empowerment of communities, where increased willingness to pay for access to water, to provide maintenance and oversee the care for the systems show clear progress in valuing "safe water".. Throughout society, there is increased trust, but also demands for accountability and information. Previously indigenous communities in this region were hesitant to attend meetings or mobilize, but the evaluation showed a strong increase in participation and interest. During the JP, the indigenous communities have formed political groups and candidates within beneficiary communities.

Organisation-building by the JAARs (Rural Water Scheme Management Boards) is a positive impact by the Program with major benefits for targeted communities. Before the JP, these boards had insufficient or no trained personnel to maintain existing systems or perform the board's functions. They almost always had only one person serving as chairperson and board operator, with little training, funding or motivation for this work. Thanks to the JP, there is now an organisational structure with a chair, treasurer, secretary, operators and other members, which all have their specific functions and responsibilities to perform for the community. Additionally, there are PSA (Water Safety Plan) teams, community organizations supporting the JAAR management, fostering participatory consensus-building and decision-making. Thirteen water boards have their legal status as a result of the JP's support per cent, as JAARs have strengthened and improved water maintenance / access late payment rates, which previous to the programme were 80 -90 per cent has dropped drastically to 10-20 per cent. Levels of arrears were high because boards were not equipped to manage communities' water and sanitation. Accordingly, the lack of organizational capacity is a consequence of diverse factors such as intermittent service, irregular system maintenance, little community sensitisation, boards' lack of administrative capacities, poor user records and late payment records, poor management of collection, lack of community organisation and payment agreements, etc.

<sup>2</sup> This section is based on extracts from the Final Evaluation Panamanian JP (Huertas Díaz, 2013)

Now with the JP, the JAAR and its staff have plenty of technical knowledge, skills for accounting, managing accounts and books, and reporting, which has enabled greater legitimacy and authority for communities. Experience is also exchanged among the JAARs of different communities, with subsidy or funding agreements, such as for example support for the board in Sirain Arriba, which is weak because it is a very small community, but strategically located at the water source, so the boards of Kankintú and Bisira have volunteered technical and financial support to help manage their work. Boards have not only strengthened organisationally, but have also been empowered in their role as leaders of water and sanitation in their communities. Thanks to the JP, the JAARs took part in designing their water systems and overseeing building firms to provide feedback on the construction process. Board members have prepared their own water system blueprints, becoming acquainted with building contracts, community members have worked and gotten training in the projects, even sometimes requesting clarifications and making demands regarding design specifications. The community of Bisira had access to the blueprints and contractual terms of their water system; and on that basis demanded compliance with technical requirements regarding the capacity of the reservoir tanks and materials quality.

One noteworthy impact has been women's empowerment and effective implementation of the gender approach in indigenous communities. The impact on women and their differentiated living conditions is outstanding because the gender approach is a complex process in traditionally patriarchal indigenous communities. If the training and sensitization process are done insensibly, they can generate negative effects for women. In this case, significant results have been achieved by implementing effective training and very simple processes of sensitizing both men and women. The gender approach contributed positive messages about women's role and the value of women's participation, instead of technical discourses with exhortations about women's rights.

The JP has raised women's consciousness that they have the same rights as men so they will venture to express their opinions. The JP found that the prevailing imbalance in men's and women's participation was due to women's lack of knowledge about their rights or shyness about public speaking due to a lack of experience. With the JP's support and as they lost their shyness, women spoke with their husbands and have convinced them that women's participation is important, without upsetting family unity. They were also trained by the JP in topics involving water and sanitation, and as they take part in meetings on these topics, men value women's contributions, take them into account, and have elected them to leadership positions on their JAAR boards. A total of 25 women, with the JP's support, are officers on their JAARs.

Organising and involving women is remarkable because of the communities' ethnic nature, where traditionally women are not protagonists in social issues. The JP has trained women's groups successfully to sensitise them about their capacities, rights and above all in aspects of leadership. This

has been done through training in theoretical workshops along with on-going mentoring, whereby the promoter trains them in practice with meetings and also by taking women to speak about their lessons learned in other communities, at meetings of their own communities, with their families, etc. This on-going coaching was a key success factor in the JP's gender approach and during evaluation there were public testimonies by men about their sharing in housework as meaningful, honourable support for their families and wives.

The gender approach has not only provided equitable conditions for men and women but has also favoured water boards with women's inputs. Women had little knowledge of their boards' issues. Now women are in leadership positions on most boards, so gender equity has gone beyond a simply number-count participation approach to achieve truly positive results in the water sector. A total of 80 women trained in human rights, leadership and water and sanitation are providing leadership in their own communities and in other neighbouring communities.

The JP has provided key support to legitimise the area's traditional authorities. Although Law 40 recognises JAARs as the local authority for water and sanitation, the JP provided support for traditional authorities by giving them the preponderant role in the water and sanitation governance arrangement, with the power to both speak and vote on the Regional Coordination Unit, attending committee meetings, mobilising resources and interacting with communities; the JP also made agreements with local authorities to provide them with physical space to operate. In sum, the area's governance is complex but the JP has handled this situation smoothly, understanding arrangement and valuing traditional authorities' role, balancing water and sanitation sector power among the different parties.

The Programme also made significant achievements with youth in these communities. One achievement was training and involving youth in supporting organisation-building. This is significant, since these communities have had only older leaders, usually leaving the youth out. Youth received support from ILO and UNICEF, coordinated with innovative, instructional methodologies involving attractive elements for them such as videos, multimedia and play-based materials.

### *Lessons learned*

- Sustainability of water and sanitation projects in indigenous remote, hard-to-access communities is grounded in the community's involvement so they feel ownership from beginning to end.
- As projects begin, on-going consultation and communication with communities is vital to convey the scope, parties' commitments, roles or responsibilities and expectations. It is very important for the design phase to have enough time to involve all parties.
- Training processes must be continuous, with local promoters in distant indigenous communities. Training must be practical rather than all theory, "learning by doing".

- Engaging local labour not only enhances community empowerment and sustainability of projects, but also lowers costs and provides local employment.
- Contracts with companies must include clauses on prior consultation and approval by communities, to guarantee work quality and relevance to their satisfaction.
- In remote zones, the only way to oversee project implementation is by directly involving the community, because other institutional capacity is limited.
- Avoid political distortion of projects so there will be no party interests affecting work contracts and performance.
- The coordination role and capacities are fundamental for the Program's success. It is essential for the coordina-

tor's profile to include technical capacity, commitment, charisma, rapport and empathy with the community, transparency and willingness to travel in order to be meaningfully present in the field.

- Before beginning programs, it is very important to define success factors and measure them on a baseline calculated at the outset and thereafter. These factors may include aspects of health but also qualitative social aspects such as community participation, women's empowerment and organisation-building. This all makes it possible to compare the initial and final situation.

## PARAGUAY

The Programme has developed capacities in central government institutions and in communities to apply participatory management models in water and sanitation services, on the basis of an integrated strategy incorporating increased public sector capacities and citizen interaction with design, management and implementation of sectoral policy.

### *Effects of the joint programme*

Issues involving gender and inter-cultural relations have been positioned through discussion to include them in the sector's public policies and in training tools.

Actions have been implemented to strengthen local governments, civil society and central government institutions responsible for providing water and sanitation service, by training human resources, preparing methodological tools to assess, plan and implement public policies. A common ground has been generated for technical and political stakeholders from the water and sanitation sector to come together and discuss with each other.

Actions to empower the citizenry have aimed to promote and protect their rights, involving them in decision-making and in national and international exchanges. At the community level, demonstration models for water supply and sanitation service provision are being implemented using a participative approach, including their formulation, implementation and evaluation among communities and public sector institutions.

### *Joint programme outputs*

The Joint Programme has systematised and generated significant information to contribute to public policy-making, becoming the referent for subsequent analyses. This has contributed to debate and review of the regulatory and administrative framework by preparing proposals to improve the legal-institutional system and construct a plan and a national policy for the sector.

### *Strengthening the ability to define and apply water and sanitation policies*

#### **Duration**

11 Feb 2009-31 Dec 2012

#### **Programme Budget**

USD 3,642,000

#### **Expected Outcomes**

1. Enhanced, gender-sensitive capacity to provide quality services of drinking water and sanitation
2. Strengthened citizenry for the promotion and protection of their rights, participation in decision-making and control over the actions of the public sector
3. A mid- and long-term infrastructure financing scheme for potable water and sanitation services designed and implemented
4. Improved access and quality of drinking water and sanitation service provision in rural areas and indigenous communities in the interior of the country



In select communities, capacities were built for participatory design and implementation of investment plans and water security plans. Further, the capacities of Sanitation Boards and Associations of Sanitation Boards have been strengthened to provide services with efficiency and quality. Surveys among users and providers of water and sanitation services identified their expectations, needs and predisposition regarding access to this service. At the same time, there have been consultancies in technical areas to design technologies that are culturally better suited to the different regions of the country.



Innovative medium- and long-term financing arrangements have also been identified for water supply and sanitation system infrastructure and operation, to provide investment instruments that are integrated into the national financial system.

### *Quantified outputs*

22 officials from national and local public institutions have been trained in Integrated Rural Access Planning (PIAR) methodology, which has been done in a participatory way in 28 communities. Another 22 officials were trained in Rapid Assessment of Water Quality (ERCA). 45 public officials were trained in Water Security Plans (PSAs) and PSAs have been implemented in three communities assisted by the Program. With the manuals for sanitation boards, members of these community organisations were trained in managing and maintaining water supply systems, including 112 Sanitation Boards, 14 Sanitation Commissions in indigenous communities and four Associations of Sanitation Boards.

### *Impacts*

The document making a “Sectoral Analysis of Water Supply and Sanitation” was a landmark for the sector and has helped create the Directorate of Water Supply and Sanitation (DAPSAN) in the Ministry of Public Works and Communications (MOPC), thereby defining the sector’s authority to formulate and apply public policies. This document updates information on the sector and has provided guidelines on public policies for the sector which are fundamental to construct the national plan and policy on water supply and sanitation.

The Programme’s Steering Committee has consolidated as a mechanism for coordination among the sector’s institutions and is expected to become the referent once the Program meends. The Programme has strengthened the leadership of the Technical Secretariat of Planning (STP) in overseeing national policies; the Directorate of Water Supply and

Sanitation (DAPSAN), as the agency overseeing the sector; the Regulatory Agency for Sanitation Services (ERSSAN) and the National Environmental Sanitation Service (SENASA) to implement services for the rural and indigenous sector. This coordination has gone beyond the Program, coordinating actions with international cooperation (World Bank, IDB) and complementing interventions with other related programs.

### *Valuable experiences and lessons learned*

The Programme has generated and published valuable information about water and sanitation:

- Water and Sanitation Sectoral Analysis for 2009.
- Training Manuals for Sanitation Boards.
- Regulation and Provision of Water Supply and Sanitation Sector Services.
- Manual on Basic Sanitation for Governor’s Offices and Municipalities.
- Legal Mechanisms and Long-Term Investment Instruments to Finance Water Supply and Sanitation Policies.
- Analysis of the National Specialized Survey on Water Supply and Sanitation Coverage in 2009.
- Analysis of the User Survey on Water and Sanitation Service Quality in 2011.
- These technical documents were also presented in simpler language in flyers about safe water, the analysis of the results from the Water and Sanitation Service Quality Survey with Suppliers and Users, the Indigenous Community Survey and more. Flipchart posters presenting Toward a Healthy Indigenous Community and summaries of the executive summary of the Sectoral Analysis were also produced.

Within the Programme, experience exchange among joint programs of the region involved indigenous leaders and representatives from Paraguay, Panama and Nicaragua.

All of the methodologies used in the tools developed by the JP bear in mind participation, inter-cultural relations, the gender perspective and a rights-based approach, can be replicated in other rural localities and indigenous communities. Examples of these tools are:

- Water Security Plan (PSA).
- Integrated Rural Access Planning (PIAR).
- Training Manuals for Sanitation Boards.



### Outcomes and outputs

The JP aims to enhance the provision of and access to water services in 36 waterless communities (i.e. in communities with less than 50 per cent access) through a combination of improved policy environment and increases local capacities.

Outcome 1 (see above) includes a comprehensive review of the current policy frameworks and practices that may have an impact on investments inflow and on the quality of services provided by the country's water services. The review looks especially at how the policy frameworks affect the delivery of basic services for disadvantaged groups and poor communities.

Outputs include (i) development and enhancement of incentive mechanisms and partnership modalities for public and private investment in waterless communities; (ii) review and amendment (as necessary) of financing and programming policies for waterless communities; (iii) organisation of local Water and Sanitation Councils and water users' associations; and (iv) adjustment of tariff-setting guidelines for small water service providers.

Outcome 2 supplements the reforms that are introduced through Outcome 1: enhancement of local capacities on sector planning and monitoring, management, operation and maintenance, tariff-setting; formulation of customer service codes to ensure that the interventions provided are demand-based, and; the promotion of ownership, accountability and transparency.

Outputs include (i) transfer/sharing of skills and knowledge through institutionalisation of local mentoring mechanisms; (ii) enhancement and roll out of the water and sanitation Toolbox; (iii) formulation of sector plans and establishment of monitoring mechanisms; (iv) formulation of the Localized Customer Service Code (LCSC); and (v) information, education and communication campaign.

### Quantifiable results

1. The 36 JP municipalities have been prioritized under the Sagana at Ligas na Tubig sa Lahat (SALINTUBIG) program of the government, which is to provide a maximum of USD 0.23 million per municipality for the development of water supply systems.
2. The 36 JP areas have agreed to contribute a total of USD 0.81 million as counterpart to SALINTUBIG for sanitation interventions.
3. SALINTUBIG has been utilising the capacity building outputs (tools, practices, methodologies) for the capacity building of the remaining 419 waterless municipalities programmed under it. For 2011 and 2012, about USD 1.16 million was allocated by the national government for capacity building of 221 waterless communities.

### Duration

1 Jun 2009-1 Dec 2012

### Programme Budget

USD 5,375,000

### Expected Outcomes

1. Establish investment support mechanisms to improve efficiency, access, affordability and quality of water services in poor communities provided by utilities at the local/ community level
2. Enhance local capacities to develop, operate and manage water utilities by fostering inclusive participation in decisions relating to water service provision



4. Capacity building initiatives were extended to an additional seven municipalities (19 per cent higher than target of 36), while community organising was done for 65 users' associations (80 higher than target of 36), while community organ higher than target of 36).
5. The presentation of a policy declaration to President Benigno S. Aquino III during World Water Day 2011 reinforced discussions in the NEDA Committee on Infrastructure on the need for the creation of an apex body, the National Water Resources Management Office (NWRMO), to address the institutional fragmentation in the sector, recognised as one of the major obstacles to universal access.
6. The following complementary financing have been realised: USD 0.19 million from World Bank (WB) for the creation and operationalization of the NWRMO



USD 1,000 from USAID for capacity building of SALINTUBIG major partners in project appraisal

- USD 40,000 from UNDP to develop guidelines for anti-corruption in water, pilot testing in Sibagat, Agusan del Sur (a JP area), which will be integrated in the JP Toolbox

7. Local chief executives (LCEs) declared and signed their commitment to increase or allocate a minimum percentage of their development fund for water supply provision during the Local Water Governance Forums (LWGF).

8. Other commitments made by local stakeholders during the LWGF include protection of watersheds, regulation of mining and logging activities in their areas, improvement of solid waste management, intensifying information and education campaigns, etc. Local stakeholders also expressed support for the policies on, among others,

- adoption of the IWRM principle;
- the creation of satellite offices of the National Water Resources Board (NWRB) and eventually, a single economic regulatory body;
- benchmarking and ring-fencing; and
- revisiting the financing guidelines for water projects in waterless communities

9. Communications and advocacy activities yielded the following:

- Partnership with Veepo (private company) for the provision of interim water supply sources for select remote JP areas. Veepo donated Lifestraw water filters for the Sendong disaster relief operations.
- Two interviews with GMA News network and 1 with Philippine Daily Inquirer done, and one TV guesting for JP partners to talk about the water supply situation in the country.
- About 200,000 local stakeholders, particularly the schoolchildren and the youth, mobilised for the advocacies on providing water supply to Filipinos in waterless areas.
- The National Waterworks and Sewerage Association of the Philippines (NAWASA), umbrella organisation of small water service providers, resolved to adopt the HRBA in water supply sector planning.

## Impact

The JP is not meant to actually deliver water supply as it focuses only on the soft component of water supply provision. Nevertheless, it was instrumental in the following impacts in Sibagat, Agusan del Sur:

- Schoolchildren in Sibagat Elementary School are now enjoying clean water in each classroom. The local water district in Sibagat prioritized connection of the school to the system after officials of the utility heard of the Ripples of Hope Postcard Campaign of the JP participated in by the schoolchildren.
- Implementation of the LCSC and mentoring in Sibagat gave rise to increased membership/customers (about 50 per cent to about 100 per cent increase), implementation of reasonable tariffs, increased collection efficiency (from 40 to 90 per cent), upgrade of level of service from communal taps to household connections for willing customers, active involvement of consumers in the operation and maintenance of the system (community members acting as tap watch for communal taps), and improved quality of supply. The imposition of tariffs, the involvement of community members and the upgrade to household connections paved the way for more efficient use of water which in turn resulted in longer availability of supply and alleviation of pressure on water sources.

## Valuable experiences and lessons learned

Some of the valuable experiences and lessons learned from the implementation of the JP activities are:

- Meaningful and active involvement of communities is crucial to the sustainability and further improvement of water supply systems
- Documentation of actual results, as well as issues in implementation, is important for improvement and selling of future interventions/replication/up-scaling. This is now being adopted in the implementation of the SALINTUBIG and the Bottom-Up Planning and Budgeting Program to ensure sustainability of investments provided by the National Government.
- Adoption of the human rights-based approach (HRBA) in the design and implementation of activities allows for better targeting and more meaningful results.

The JP is now looking at expanding the application of HRBA to local planning and the implementation of the LCSC in more communities using the Water and Sanitation Toolbox and testimonials from actual beneficiaries of the JP.

This section reflects upon the joint contribution by the JPs towards the MDG 7 water and sanitation target and related issues of measurement and monitoring. The 'soft' nature of governance interventions, compared to the 'hard' nature of infrastructure investments, adds to the challenge of results reporting. This report emphasises the need for qualitative – yet systematic – investigations into the processes of change in order to uncover progress as well as the lessons to be learned and insights to be gained.

### *On the joint contribution towards the MDG 7*

The JPs have in varying ways, and by different approaches and activities, contributed to improved access to water and sanitation services, predominantly in areas with marginalised groups. The main achievements have been sifted through processes of impact story-telling and discussions of joint contributions at the DEG-KM workshop in August, 2012 (Cortobius and Kjellén, 2012, pages 12, 15-17). The resulting contributions towards the water and sanitation target, which mainly are at the level of programme expected outcomes, are summarised here:

- Strengthening of institutions through capacity building and actor coordination has increased sector investment and partnerships for improved regulation and infrastructure,
- Sector coordination has made international and national investments more focused on system maintenance and improvement.
- Strategic alliances between local/regional/national government, international agencies, private sector and civil society organisations (CSOs) have accelerated the achievement of the MDGs by promoting joint efforts,
- Increased public participation in decision-making and monitoring – especially by previously marginalised groups – has contributed to better performance by services providers and greater trust between users and providers,
- Promotion of gender and interculturality as cross-cutting themes has empowered and put emphasis on the specific needs of women and ethnic minorities in local, regional and national governance institutions and sector regulation,
- Direct interventions into marginalised areas – institution-strengthening and in some cases infrastructure investment – has increased service access for groups previously not adequately attended to by the national or regional government,
- More adequate tariff setting and revenue collection has enhanced economic sustainability of water and sanitation systems.
- The groups also concluded that, in addition to the contributions to the water and sanitation target, JPs have furthered the achievement of the MDGs concerned with Poverty and Hunger, Universal Education, Gender Equality and Child Health.

The summaries of the specific contributions by the groups are displayed in boxes 1 through 3.

Box 1 – Comment on Joint Contribution towards the Achievement of MDG 7

#### **JOINT CONTRIBUTION TOWARDS THE ACHIEVEMENT OF MDG-7 WATER AND SANITATION TARGETS BY DEG THEMATIC WINDOW**

1. The MDG-F programs make a small but valuable contribution towards the goal 7C, however the focus of the MDG-F is not the coverage itself, but the governance of the sector in different countries. Infrastructure works are part of a pilot exercise of inter-institutional work.
2. With the target being "to halve the proportion of people without sustainable water and sanitation services", efforts have focused on the concept of sustainability. The evidence supporting this effort is the fact that all programs are investing most of its resources on the rehabilitation of existing systems.
3. Efforts have focused on the inter-institutional coordination and of key actors and as an essential prerequisite for countries to achieve the goal.
4. Creation of new mechanisms and generation of the conditions for state investments and those of international cooperation to be efficient and effective.
5. Through their innovative approach, the programs are showing the way for other government and donor programs to follow towards achieving the 7C target.
6. Indicators of "accessibility to sustainable services" which are very simple in the MDGs have been made more comprehensive; for example, much work has been done on water quality, continuity and proximity of services to the home.
7. There has been work towards geographical equity, dealing with areas traditionally neglected by the state and development cooperation, mainly dispersed rural areas.
8. It has also contributed to MDG 1 (hunger), 2 (education), 3 (gender), and 4 (infant mortality).

Source: Sanchez, J. (2012) Resumen de diálogo de grupo: Contribución conjunta hacia el logro de los ODM-7 metas de agua y saneamiento por ventana temática GED. Presented at 2nd Knowledge Management Workshop 22-25 August 2012 Stockholm. UNDP Water Governance Facility at SIWI.



**GOVERNANCE CONTRIBUTION TO MDG 7 ACHIEVEMENT**

The impact of governance in the achievement of MDG 7 is difficult to quantify given that its nature is “soft”. To be able to really achieve the targets in water and sanitation, the other half, that is, the hard infrastructure is of equal importance. We have established that the contribution of governance in infrastructure of governance is in terms of the following:

1. Increasing/facilitating investments and partnerships in water supply and sanitation infrastructure;
2. Enhancing the sustainability of water supply and sanitation systems, including ensuring implementation of appropriate/fair tariffs;
3. More targeted/meaningful investments;
4. Establishing trust between the service providers (duty bearers) and the users of water services (claim holders) through tools such as the service contract (Albania) and Localized Customer Service Code (Philippines);
5. Improved and efficient delivery of water services;
6. Increased involvement of communities, particularly marginalized groups, in water services provision; and
7. Improved performance of water service providers by providing [an enabling] environment and tools (e.g., Citizen Scorecards) for improved monitoring/benchmarking.

The quantification and the attribution of the impact to the soft and the hard component is a challenge. What will be an appropriate basis? And if a basis can be established, the following should be resolved to implement monitoring and evaluation:

1. Establishing baselines that are a. Based on consistent statistics – in some cases (e.g., Albania, Bosnia and Herzegovina and the Philippines) reported WHO/UNICEF figures are different from national figures b. Based on common definition of access – quality, availability (pressure and number of hours), distance of supply from household, etc.
2. Ensuring availability of reliable data
3. Synchronising frequency of data collection
4. Building institutional capacities and developing mechanisms/tools to monitor these governance aspects since most agencies in water are currently focused on the technical aspects (coverage, quality, pressure, etc.)

It is also worthy to note that in most cases, like the Philippines, the absence of a central body that would drive policies, plans and programmes in the sector will continue to be an impediment to achieving substantial improvements in the sector, including the aforementioned requisites to monitoring and evaluation.

In some cases such as Albania, MDGs have served more of a reference tool rather than a driving political instrument. With the European Union accession being the top priority, MDGs somehow lost the appeal they may have in other developing countries. MDGs are aligned with the national development strategy and are often being mechanically reported in the annual strategic progress reports.

Source: Mangune, K. (2012) Report from Group Discussion: on Governance Contribution to MDG 7 Achievement. Presented at 2nd Knowledge Management Workshop 22-25 August 2012 Stockholm. UNDP Water Governance Facility at SIWI.

**CONTRIBUTIONS BY JPS TOWARDS THE ACHIEVEMENT OF THE MDGS**

- Sort out the water and sanitation sector around themes of policy-making, financing, investment etc.
- Improve the quality of life and reduce the gap in the care for the most vulnerable populations.
- Improve access to water and sanitation services.
- Coordinate activities inter-institutionally and inter-sectorally.
- Reduce infant mortality rates.
- Intervene in vulnerable areas and excluded groups, which were not addressed by governments (dispersed rural, peri-urban, indigenous).
- Incorporate gender and interculturality as a crosscutting theme.
- Establish strategic partnerships between different actors (governments: local, regional, national - aid agencies - private sector - civil society organisations / non-governmental organisations) joining forces to achieve the MDG targets.
- Facilitate the exchange of experiences.

Source: Mancuello, M. (2012) Resumen de diálogo de grupo: Contribuciones de los P.C. para el logro de los ODM. Presented at 2nd Knowledge Management Workshop 22-25 August 2012 Stockholm. UNDP Water Governance Facility at SIWI.

Regarding long-term impacts it was suggested that governance processes may have become more sensitive to marginalised groups, as a result of the emphasis on human rights, gender and cultural diversity. Governance systems at several levels have in any case been impacted, either through changes in sector regulatory frameworks or through new social contracts like in revised tariff systems. Additional avenues for increased funding have been opened, as have new ways for insight and influence through monitoring and participation. Along with this, governments are seen to have been strengthened in their leadership role. Yet, the need for increased empowerment and strengthening of the role of consumers and water users remains as a challenge, especially with regard to the poor.

***On the tracking the results of Water Governance Interventions***

In this report, the results by DEG JPs and their contributions towards the MDG 7 water and sanitation target have been captured through a process that has collected and discussed accounts from those involved in programme implementation. The process was inspired by the ‘Most Significant Change’ Technique (Davies and Dart, 2005), which has been developed for collecting evidence on change processes instigated by development interventions. However, given that there has been no rigorous process of verification of stories, there is an inherent risk of exaggeration of the significance of achievements. Hence, the cost-effectiveness of the programmes or the DEG thematic window would not be possible to assess



this way. However, the selection of what to bring forward is interpreted as a judgement on what worked from the perspective of the programme.

In the exercise of distilling the results, a range of issues related to the understanding and showing of the outcomes and impacts from governance interventions became apparent: there is a lack of adequate methods to monitor and to measure governance-related progress (Cortobius and Kjellén, 2012, page 16).

A frequent problem with regard to project and programme monitoring in general is the common-place absence of baselines; the lack of descriptions or measurements of the pre-intervention state. If data exist it is often not specified how and when it was established. Partly behind this problem is the pernicious issue of quantification and choice of indicators. Particularly in relation to governance interventions, what is actually aimed to be achieved – either as output, outcome or impact, tends not to lend itself to easy quantification. To the contrary, human, organisational and societal capacities are generally unquantifiable.

Yet, there are aspects of improved capacities or changed states that are sufficiently tangible and lend themselves to description (if not measurement) and monitoring.

A confounding factor in monitoring of higher-order goals is that indicators are proxies, i.e. measure only selected aspects of what is to be achieved. A resulting challenge for programme managers and policy makers is to keep focus on the goals rather than the indicators. Adding to these complications, the intended and actual uses of monitoring results differ greatly.

The DEG-KM workshop discussions indicated the political nature of coverage statistics. An indication of low coverage can be an argument for additional funding to be directed towards such areas. Hence, while benchmarking and comparative monitoring may aim to provide reference and ‘healthy competition’ it may be obstructed by tactics aimed at showing needs as a way to justify further assistance. At the same time, the near universal coverage in Bosnia and Herzegovina, as indicated by JMP figures, masks the remaining challenges to achieve an acceptable situation there. In this case, the mere use of ‘improved’ sources is seen as an insufficient benchmark to signal service coverage.

The problem of comparing countries or regions with very different contexts was also highlighted at a World Water Week (WWW) seminar on the Tracking the Impact of Governance Interventions. At the seminar it was highlighted that the increased requirements on development assistance to show evidence of tangible impacts can make the neediest cases, e.g. low-income and marginalised areas or fragile states, too risky for interventions. Indeed, aid effectiveness is bound to be hampered by poor institutional environments. How can such adverse conditions be taken into account while at the same time “cherry-picking” is avoided when interventions are increasingly compared across the same board?

In spite of many problems related to monitoring, the seminar discussions highlighted the possibilities and power of monitoring, for accountability towards beneficiaries as well as financiers, as well as for learning from the implementation process, see Box 4.

#### Box 4 – Conclusions from Seminar on “Tracking the Impact of Water Governance Interventions”

- The challenges of measuring results of water governance intervention increase the farther out we go in the impact chain (Outputs, Outcomes, Development Impacts)
- Use monitoring to galvanize support from and ownership by beneficiaries
- Monitoring can be used to improve accountability both to programme beneficiaries and funders
- Monitoring of impacts, such as establishing baselines and impact tracking systems, can enhance programme implementation. Hence, view monitoring as a part of programme implementation and not something that you only do to satisfy funders when the programme is about to close down
- Make monitoring a part of learning to ensure better use and dissemination of results.
- Acknowledge that the depth of monitoring also depends on context, such as in fragile states
- Exploit new technologies to facilitate monitoring
- Direct monitoring of consumer satisfaction of water services is a powerful tool

Source: Tropp, H. (2012) Conclusions. Presented at World Water Week Side Event: Tracking the Impact of Water Governance Interventions, 27 August 2012 Stockholm.

The WWW seminar recommended monitoring to be viewed as an integral part of programme implementation. Yet, in order to capture longer-term results, monitoring would have to continue after the close of the specific intervention. This issue of timing also speaks for the need for the institutionalised and generalised monitoring, on which specific interventions may rely to establish baselines, and to monitor progress and eventually track the longer-term impact. The three and a half to four years duration of most JPs is a short time in this context.

Monitoring and evaluation tend to become complicated when it moves from the establishment of a causal link between the intervention and the result (contribution) to the determining of the extent to which the actual intervention – rather than other factors – has contributed to the specific change in development (attribution).

In the case of Panama, health indicators formed part of the baseline and were also possible to follow-up through the health system already in place before and beyond the scope of the JP. Hence, reduced diarrhoeal disease has been stated as an impact of the programme (Huertas Díaz, 2013, page 16). However, the problem of attribution remains: Whereas the evaluation compares the lowered diarrhoeal incidence to other similar communities that have not benefitted from JP interventions the baseline is not timed, which makes it impossible to judge whether the improvement over time is attributable to the evaluated JP or to previous interventions.

Thus, as an alternative to the establishment of due credit of specific interventions in a competitive environment, insights can be gained and lessons learned from a more secure and open-ended scrutiny of interventions. This takes us out of the realm of evaluation, into the realm of knowledge management: What can we learn from our successes and mistakes?

## ***On knowledge management: insights gained and lessons learned***

Insights are gained and lessons are learned throughout programme implementation. However, if they are not captured, reflected on and shared, such valuable knowledge risk being unavailable for future interventions. The JPs have produced a plethora of ‘knowledge products,’ such as manuals, documents, reports and videos with substantive contents of concern to democratic and economic governance of the water and sanitation sector. A significant number of such tangible outputs were presented at the final session of the DEG-KM workshop in Stockholm, August 2012 (Cortobius and Kjellén, 2012, page 19).

In order to capture substantive findings from the JP experiences, both DEG-KM workshops have been directed towards the sharing of ‘valuable’ experiences between the JPs. At the first KM workshop in Ecuador they were shared through conversations at mini-seminars (see Kjellén *et al.*, 2011) and through substantive presentations at the second KM workshop (see Cortobius and Kjellén, 2012). Some of the valuable experiences have been documented and posted on the DEG-KM website and more recently on the MDG-F wiki.

As suggested in the section about Joint Programme Achievements, several programmes have been specifically concerned with knowledge management.

The JP in Paraguay has produced a range of manuals and information products on water and sanitation. Methodologies are very conscious of participation, inter-cultural relation, gender and human rights. An important achievement was the sector analysis, which has become a landmark and baseline for the structuring and coordination of sector activities.

In Ecuador the process of public policy making with a Human Rights-based Approach has been an awareness-raiser nationally and an international pioneering experience. The implementation of gender work was another learning experience, where new knowledge was possible to continuously incorporate into the JP implementation process. “Learning by doing” and “mentoring” was successfully incorporated into the Unified training plan, where the experiences on the ground are being documented.

Conversations on ancestral knowledge on water and related resources are important meeting spaces for different groups with different roles in the management of water: Technocratic visions of government staff has tended to clash with the more spiritual visions of native peoples. Discrimination and power inequalities have made it difficult to understand and overcome these differences in perspective.

In Guatemala, a multi-sector working model helped coordinate stakeholders to foster a holistic and integrated vision of water – including the government and Mam people representatives – and inter-institutional coordination helped align central and local policy frameworks, budgets and actions. This programme has systematised knowledge around agriculture and pesticides, community organisation and watershed management, and regional knowledge sharing and capacity building.

The Mexican programme made great strides in coordinating actions at various levels. It has also made a great collection of its knowledge products into an attractive tool-kit. In the state of Chiapas, the intercultural approach was continually developed: Starting from language interpretation, the approach evolved into intercultural adaptation of information and key messages. This helped to respect indigenous people’s rights and cultural values, and also spurred activities going far beyond programmed expectations.

Socio-cultural adaptation is highlighted also in Nicaragua, where broad-based consultations around technologies have been found to aid ownership and effective participation by communities throughout the project cycle. The importance of building on existing organisational structures for decision-making is emphasised.

In Panama, community ownership has been fostered through dialogue, with contracted companies obliged by contractual clauses to consult and seek approval from communities for quality of their work.

The JP in Bosnia and Herzegovina has focused on providing the needed tools for local communities as part of local development programmes of various public services. Further, utilities from different municipalities have been connected through peer learning exercises.

In the case of Angola, the evaluation found that more in-depth feasibility studies, particularly of organisational capacities, could have contributed to a more realistic intervention design. Also, it highlights that behavioural changes at individual, household and community/organisational levels, require much time to take a hold.

## ***On “hard” and “soft” components***

An overarching conclusion regarding the intervention into governance relates to the two-way relation between soft (governance) and hard (infrastructure) interventions: This was well expressed in the evaluation of the Panamanian JP: “Investment in infrastructure is vital for governance processes to be relevant. The two initiatives go hand-in-hand, understanding that physical investment without social-institutional empowerment is not sustainable and does not create a feeling of ownership; on the other hand, processes of participation, empowerment and governance without tangible short- or medium-term solutions can be equally frustrating and unsustainable” (Huertas Díaz, 2013, page 9). In the case of the Philippines a seamless collaboration with investments has been achieved through the close collaboration with the national SALINTUBIG investment programme. Several other JPs, notably Honduras, have also managed to leverage funds from other sources. Yet, a closer connection between physical investments and the strengthening of governance would most likely have made the governance interventions of the DEG programmes seem more meaningful to the counterparts, and hence easier to implement.

## Conclusions

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From the achievements reported and the ensuing discussions by the JPs, as presented in this report, it can be concluded that the main contribution by the DEG JPs towards the MDGs is beyond the direct provision of services and access to safe water and sanitation. The main contribution of the governance interventions in the water and sanitation sectors lies in enhancing the sustainability, quality and equity aspects of the water and sanitation service provision.

To increase the equity in whom to be reached by water and sanitation services, the programmes have helped direct both attention and investments towards excluded groups in marginalised regions. JPs have also engaged in the creation of structures for dialogue and means to enhance the influence of rural, often indigenous, populations regarding how services are to be organised and how resources are to be managed.

Regarding the quality and sustainability of services, capacity development has helped improve the performance of utilities. Several processes for enhancing trust and fairness in the relation between service providers and citizens/consumers have been supported. With the idea of making existing systems more durable, JPs have emphasised rehabilitation rather than new construction, and supported the establishment of systems for monitoring of water quality as well as operational performance.

The clarification of roles, institutional support and capacity development, along with the facilitation of partnerships has helped overcome fragmentation within the water sector and has fostered more coordinated action.

These results of governance interventions are difficult to measure, partly because they take time in materialising and partly because they are qualitative in nature. However, to the extent that the aimed-for development changes are possible to detect and describe, the monitoring of results is still hampered by the lack of baselines and adequate systematic qualitative and/or quantitative follow-up of results.

The challenge of monitoring applies to the programmes themselves as well as their operating environment. Indeed, as one way to enhance sustainability of water and sanitation sector interventions, JPs have worked towards improved sector monitoring, particularly with regard to the performance of service providers, and to some extent regarding the access to services. Systems for engaging with the public and allowing citizens to monitor has been emphasised in many instances.

The tension between the tangible results of investment programmes and the less tangible and longer-term results of governance interventions is ever-present in the DEG thematic area. This tension may stand to be relieved by an adequate balance between physical (hard) investments and social (soft) interventions to improve governance. Whereas infrastructure investments help ground and create a tangible purpose for governance, governance interventions in turn help ensure that infrastructure investments are properly designed, targeted and maintained.

In order to enhance the learning for future interventions – knowledge management – many insights and findings have been documented. JPs have produced a plethora of manuals and guiding documents. Yet, these are not always easy to access, which speaks for the importance of structuring information and knowledge management well at the onset of programme endeavours, and potentially integrate with government and/or agency repositories. Indeed, a major finding of many JPs is the importance of building on existing structures, both physical and social.

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