

Systems strengthening toolkit¹

This document sets out a series of participatory exercises that can be used to design a WASH project that applies a system strengthening² way of working for improved WASH sustainability, improved WASH scalability and more inclusive outcomes. On average, it will take 4 days to complete all exercises, although this will vary depending on the depth of the discussions. Relevant institutions (national government, sub-national government, local private sector, service providers, regulators, utilities, civil society groups etc.) should participate in the project design process.

These exercises follow a ‘theory of change’ development process whereby participants identify blockages to achievement of sustained, inclusive, universal access. They then set out the change they want to see and identify outcomes and approaches to bring about this change.

Interventions are designed to respond to identified weaknesses in the WASH system. The WASH system is all the actors (people and institutions), factors (social, economic, political, environmental, technological) and the interactions between them that influence the achievement of inclusive, sustainable, universal access to WASH. (see figure 2).

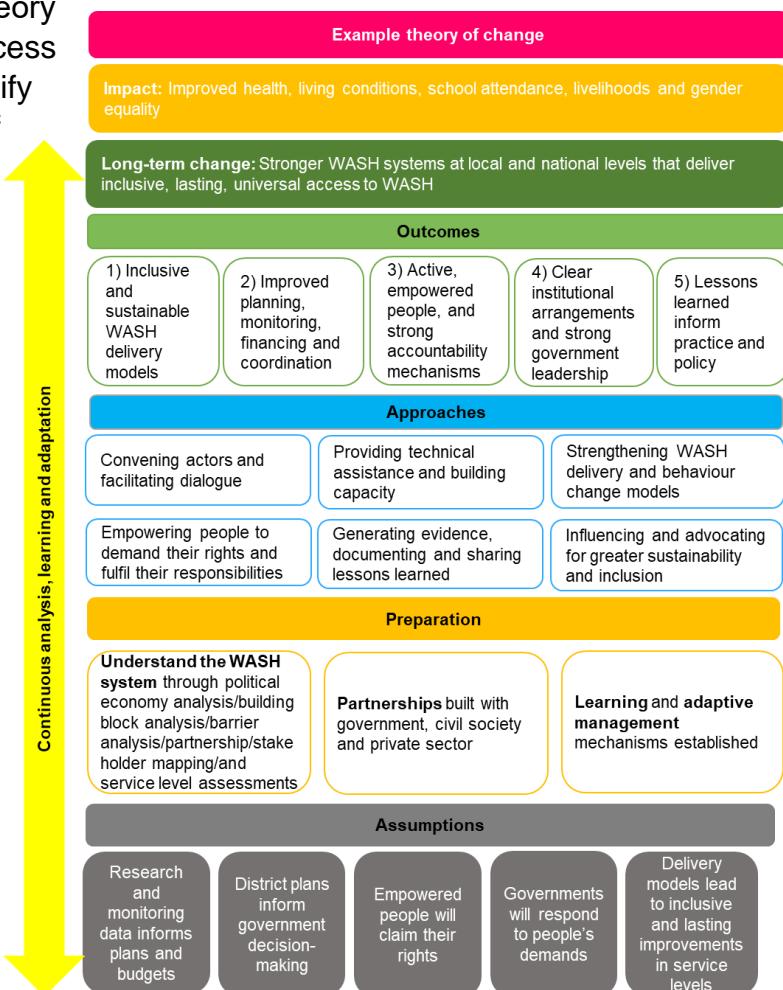


Figure 1: Example theory of change

¹ For more information about using this toolkit contact Vinny Casey at VincentCasey@wateraid.org, or Hannah Crichton-Smith at HannahCrichtonSmith@wateraid.org

² System strengthening is a process of analysis, implementation, adaptation and learning used to address the barriers to achievement of inclusive, sustainable, universal access to WASH, recognising that this access is the result of interactions between multiple actors and factors in a complex, dynamic system..

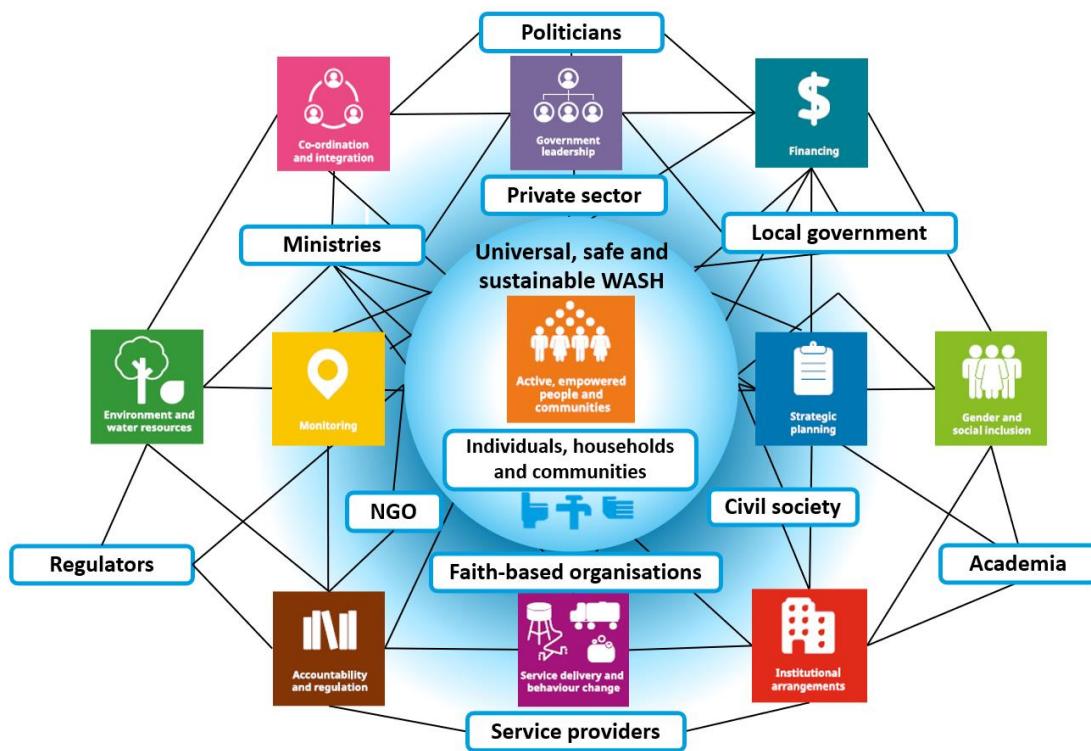


Figure 2: The WASH system with its complex network of actors, factors and relationships/interactions all of which affect the realisation of universal, safe and sustainable WASH. N.B lines are for illustrative purposes only and not all actors are featured.

These exercises should give you a basic understanding of the context in which you're working in order to design an outline of your project. The exercises are sequenced in a way to ensure issues at national, sub-national and local levels are analysed. You should consolidate the findings from all of the exercises to inform your project design. This toolkit is not exhaustive; there are numerous other exercises and tools that can help to delve deeper into different areas of the WASH system to better inform your work, some of these are listed at the end.

Project design process

Ice-breaker encourages participants to discuss the willingness and ability of government to ensure sustainable, inclusive, universal access to WASH. This helps to get participants thinking about the balance of the intervention between strengthening government leadership and sector capacity versus supporting civil society to demand their WASH rights and hold government to account.

Exercise 1 helps participants to analyse and arrive at a common understanding of the overarching factors and actors that can drive and hinder change - moving beyond superficial symptoms, to more deep-rooted, systemic blockages.

Exercise 2 asks participants to identify the critical processes and functions required for WASH sustainability and inclusion. The facilitator positions these into groups which subsequently form the ‘building blocks’ of the WASH system (government leadership, empowered people, strategic planning, monitoring, coordination and integration, financing, institutional arrangements and capacity, gender and social inclusion, water resources and environment, accountability and regulation, service delivery and behaviour change).

Exercise 3.1 introduces the Building Block Analysis Tool. This exercise encourages participants to discuss the strength of the WASH system in the target district/city. This helps to identify which building blocks could be prioritised in the project.

Exercise 3.2 builds on exercise 3.1 by analysing the extent to which gender is considered across all of the building blocks of the WASH system. It helps to identify where in the WASH system gender-related issues should be strengthened to ensure more inclusive outcomes.

Exercise 4 helps to analyse the power relationships within and between different groups of people using four typologies of power. This helps to identify actions that might shift power dynamics and improve the participation of people who experience marginalisation.

Exercise 5 encourages participants to think about the other sector actors who are already working to strengthen the various building blocks in the district/city. This is to avoid duplicating ongoing efforts and to identify WaterAid’s added value.

Exercise 6 asks participants to identify activities for the project under each building block. To do this, participants should take into account the discussions from the previous exercises about the strength of the WASH system, the factors and actors that drive change, and what other organisations are already doing to strengthen the WASH system in the target area.

Exercise 7 invites participants to vote on the proposed activities to identify which ones are most achievable and impactful within the timeframe of the project.

Exercise 8 asks participants to reflect on the skills and resources required to deliver the project activities and achieve project outcomes.

Exercise 9 draws on the ‘Partnership Training’ exercises which encourage participants to think about the partnerships required for the successful delivery of the intervention.

This is a working document and will be regularly updated and revised.

Ice-breaker: Willingness & ability of government to deliver and sustain WASH for all

Time: 30 minutes

Objective: Participants express where their government is in relation to their willingness and ability to ensure everyone has access to WASH that lasts. This helps to understand how to balance our efforts between strengthening institutional capacity and government leadership versus supporting civil society and strengthening accountability for greater WASH sustainability and inclusion.



Method:

- Print out 4 x A4 copies with 'Willing & Able', 'Willing but unable', 'Unwilling but able' and 'Unwilling & Unable'.
- Mark a grid on the floor using thick white tape
- Position print-out headings into each of the quadrants (see image below)
- Ask participants to stand in the quadrant where they think their governments is
- Facilitate a discussion about why participants are standing where they are. Tip: you could use some of the guiding questions on [page 17 of the HRBA guidelines](#) to facilitate the discussion.

Resources:

- Thick white tape
- 4 x A4 sheets with one bearing 'Willing & Able', one with 'Willing but unable', one with 'Unwilling but able' and one with 'Unwilling & Unable'.

Willing and Able	Unwilling but Able
Willing but Not Able	Unwilling and Unable

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Exercise 1: Tactical Political Economy Analysis (adapted from PEA toolkit)

Time: 2+ hrs

Objective: to analyse and arrive at a common understanding of the overarching factors and actors that can drive and hinder change

Method: this exercise is made up of a number of steps (explained in detail in the [PEA toolkit](#)):

1. Step 1 – What is the issue we want to address? (The ‘Five Whys’). This step helps to go beyond the superficial visual symptoms of poor WASH sustainability and inclusion, to the more deep-rooted, systemic issues. This can help to identify WaterAid’s entry point.
 - a. Tip: Categorise the issues identified using the WASHTech dimensions of: social, economic, environmental, institutional and legal, skills and know-how, and technology (see photo).
2. Step 2 – What is the situation now? This step helps to analyse actors involved, legislation and policies, country characteristics, formal and informal ways of working, and ways of thinking.
3. Step 3 – Why are things this way? This step helps to assess the interests, power dynamics, constraints, historical legacies, ideas, issues of inequality that can drive or hinder change.
4. Step 4 – What does this mean for our desired change? This step helps to map how the issues raised in step 2 and 3 might affect the change we want to bring about (identified in step 1).
5. Step 5 – Where can we go now? This step helps to plot a route towards change by homing in on the key actors, factors and decision-makers that can drive change.



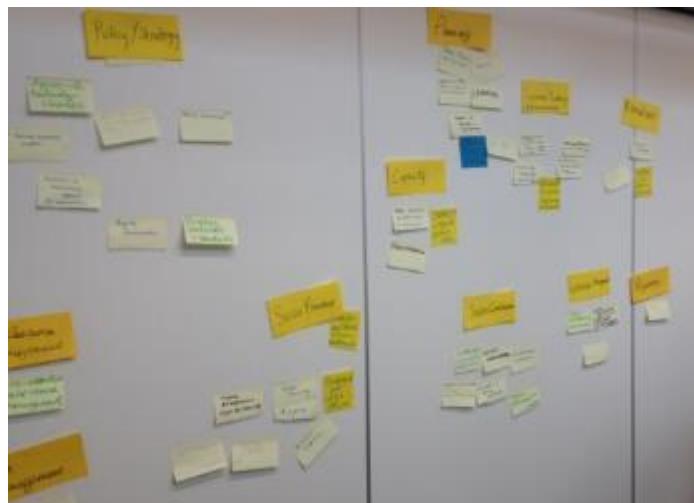
Resources:

- WASHTech symbols – printed in A4 in colour
- WASHTech category headings – printed in A4 in black and white
- White tape (for the WASHTech grid)
- Flipchart paper
- Marker pens x 3 colours
- Post-it notes or small coloured card x 3 colours
- Hand-outs (see [toolkit](#))

Exercise 2: What does an ideal WASH sector look like?

Time: 45 mins

Objective: Participants identify what critical processes and functions have to be in place to enable services, and hygiene behaviours, to be delivered to all, managed and sustained. This exercise starts to reveal the building blocks of the WASH system.



Method:

- Introduce session objective and task. Make link from Step 1 of exercise 1 ('Five Whys') about root causes of poor WASH sustainability and inclusion.
- Group work. Participants discuss what processes, structures and characteristics need to be in place to enable services, and hygiene behaviours, to be delivered for all, managed and sustained. They write these on post its – just three words max. They try to come up with a minimum of 4
- Groups nominates a reporter to feedback on the identified processes – reporter comes to the front to share cards.
- Facilitator groups these under headings that effectively group the different processes. These headings are the 'building blocks' (government leadership, active and empowered people and communities, coordination & integration, strategic planning, financing, monitoring, accountability and regulation, service delivery and behaviour change, environment and water resources, institutional arrangements and capacity).
- Discussion follows about the different areas identified and others that don't fall neatly under a building block, and who leads on different areas of the system.
- Conclude by explaining what we mean by "WASH system" ("all of the people, behaviours, policies, processes, resources, interactions and institutions necessary for delivery of inclusive, lasting, universal access to WASH") and the utility of system strengthening to bring about inclusive, lasting, universal access to WASH.

Resources:

- Coloured post-it notes
- Large wall space
- Marker pens
- List of the eight building block headings (to help facilitator to group the identified processes)

Exercise 3.1: Building block analysis tool (annex 1)

Time: 1hr30

Objective: Participants position where their district/city is in relation to the WASH system building blocks. They discuss why the district/city is where it is.

Method:

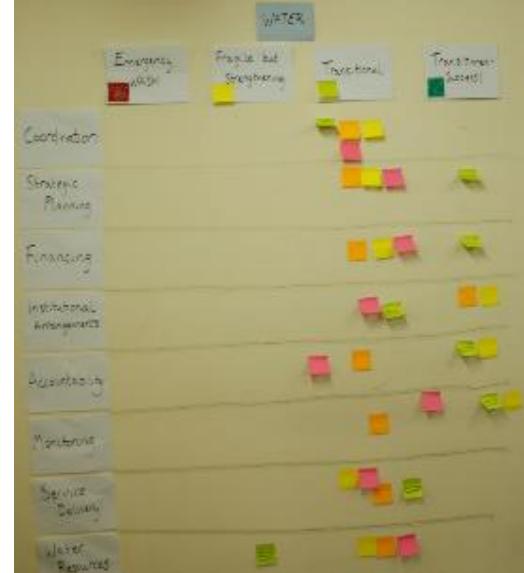
- Set up building blocks grid onto large wall space. Position building block headings down left-hand side of the grid. Position status headings along the top of the grid.
 - Split participants into groups
 - Ask each group to select a district and think about where their district is in relation to the different building blocks
 - Ask participants to stick post-it notes onto the grid on the wall
 - Discuss in plenary why participants have stuck post-it notes where they have and what other aspects of the system that lie outside this tool.

Service delivery & system change	Ad-hoc emergency interventions. Hyper-pragmatic focus on ensuring availability and knowledge translates interventions ad-hoc.	Fragmented, piecemeal responses, interventions, and programs. No clear strategic direction or leadership. Programme logic unclear. Focus on short-term fixes, making minor, incremental changes.	Central authorities and agencies mainly based on selecting, changing, "weak coalitions" and "ad hoc" approaches. Weak implementation support. Programme focus on short-term fixes, making minor, incremental changes but poor reinforcement mechanisms.	Multi-directional and cross-disciplinary approaches to risk addressed by data source. Robust, multistakeholder, multi-level, and multi-sectorial approach to risk management. Programme focused on sustained long-term change. Focus on long-term fixes, making major, incremental changes. The role of central authorities and agencies is primarily to facilitate and support the market and reward efficiency for delivery and leadership.
Water resources & environments	No water resource protection or management policies exist. No understanding of threats to water resources. Limited understanding on how climate change will affect water resources. Critical water resources are not identified. Sustainable water technology not considered.	Water Resource protection and management policies exist but are inadequate . There is limited understanding of threats to water resources. Critical water resources are not identified but no focus is given to threat analysis. No focus on changing water use patterns and reducing demand. Sustainable water technology often not considered.	Water resource protection and management policies exist but are inadequate . There is limited understanding of threats to water resources. Critical water resources are not identified but no focus is given to threat analysis. No focus on changing water use patterns and reducing demand. Sustainable water technology often not considered.	Water resource protection and management policies exist but are adequate . There is limited understanding of threats to water resources. Critical water resources are not identified but no focus is given to threat analysis. No focus on changing water use patterns and reducing demand. Sustainable water technology often not considered.
Gender & social resilience	Women interventions, limited gender perspectives due to par women & girls are not through lack of understanding of gender issues. Limited understanding of gender as a critical recovery context.	Women interventions, limited gender perspectives due to par women & girls are not through lack of understanding of gender issues. Limited understanding of gender as a critical recovery context.	Women interventions, limited gender perspectives due to par women & girls are not through lack of understanding of gender issues. Limited understanding of gender as a critical recovery context.	Women interventions, limited gender perspectives due to par women & girls are not through lack of understanding of gender issues. Limited understanding of gender as a critical recovery context.

Planning block	Weak	Medium	Strengthening	Desired
Coordination & integration	There is no clear action coordinated through WASH Cluster or UNICEF – one sees working alongside partners, but no leadership in Health & Education sectors.	No representation of agencies. Unfinished business of 2010-11 health education partnership.	Geographical coordination of agencies, partners and other stakeholders involved in health, water, sanitation, nutrition, education	A agencies aligned behind comprehensive health and development framework, with clear roles and responsibilities for WASH, health, education, education programme
Strategic planning	UNHCR Humanitarian Action Plan or government related documents do not have a clear section on WASH, and the documents contained within do not clearly link to WASH	There is little process to determine priorities for WASH, and there is no clear process to review and assess. Use of evidence based while setting priorities is not clear. There is no clear process to evaluate and monitor the implementation of WASH priorities.	To plan to set priorities but not to evaluate and monitor them. There is no clear process to evaluate and monitor the implementation of WASH priorities.	Clusters plan their actions considering intersectoral issues and link WASH to other sectors. WASH priorities are clearly defined and clearly linked to other sectors. Evidence based processes are planned to set and review and update strategic priorities.
Planning	Emergency spending directly through NGOs and UN agencies.	No clear documented Learning Center document on Disaster Plan (C1) UNHCR.	Future documentation and donor spending approach. UNHCR has a budget for 'Other' which is not clear.	For UNHCR, a budget for 'Other' is not clear. Future documentation and donor spending approach. UNHCR has a budget for 'Other' which is not clear.
Institutional arrangements	Focus on learning how best to provide assistance rather than focusing on long-term institutions. Institutional mandates are often not clear.	Participating in paper as a tool to understand what is happening in the vehicle and requires a lot of time.	Future Functional Institutions will use capacity. Roles and responsibilities not fully clarified. There is no clear mechanism of how roles and responsibilities are set.	Future UNHCR will have clear roles and responsibilities with clear allocation of resources. There is a clear mechanism of how roles and responsibilities are set.
Accountability & evaluation	Assurance mechanisms exist between service providers and users. There is no mutual accountability between service providers and beneficiaries. Crisis context is non-existent.	Analytical mechanisms – based on post-disaster needs assessments, and recovery needs assessments. Not used to improve service delivery. There is no clear mechanism of how to evaluate or measure performance of partners. Crisis context is non-existent.	Participate in monitoring and evaluation, and limited mechanisms and tools for monitoring and evaluation. There is no clear mechanism of how to evaluate or measure performance of partners. Crisis context is non-existent.	Participate in joint and rigorous performance evaluations. There is a clear mechanism of how to evaluate or measure performance of partners. Crisis context is non-existent.
Monitoring	Through WASH cluster and partners.	No continuous monitoring of response. Partners do not receive the programme information.	Continuous monitoring but no aggregated data to inform the programme information.	Participate in strategy planning, programme evaluation and monitoring, and reporting. Continuous monitoring and reporting of aggregated data to inform the programme information.
Service delivery & behaviour change	Diffuse emergency responses. Regress programs focused on hygiene and health knowledge improvement only. Stakeholders interests subsumed.	Further develop programmes to address gaps in hygiene, health and nutrition systems. More systematic approach to behaviour change.	Clarify interests and agencies mainly engaged on extending coverage. Weak post-disaster health and nutrition systems. Lack of systematic approach to behaviour change.	Clarify interests and agencies mainly engaged on extending coverage. Weak post-disaster health and nutrition systems. Lack of systematic approach to behaviour change.
Water resources & environment	The water resource protection or management policies are not clear. No understanding of needs vs water resources. The focus on critical areas for diseases prevention is not clear. There is no clear approach to settings up pathways for behaviour change. Disaster preparedness is not clear.	Further refine protection and management policies. Develop a water resource protection and management policy. Water resource protection and management policy should be developed for all countries.	Water resource protection and management policies. Water resource protection and management policy should be developed for all countries.	Water resource protection and management policies. Water resource protection and management policy should be developed for all countries.
Cluster & cluster-based initiatives	There are many different cluster groups. There is no clear leadership. There is no clear role for WASH cluster. There is no clear leadership in cluster-based initiatives.	Linking and linking to other clusters.	Linking and linking to other clusters.	Linking and linking to other clusters.
Health	There is no clear leadership in cluster-based initiatives. There is no clear role for WASH cluster.	Linking and linking to other clusters.	Linking and linking to other clusters.	Linking and linking to other clusters.

Resources:

- A3 size coloured print-outs of Building Block Analysis Tool - 2 per group (or 1 between 2 participants)
 - Building block headings (Coordination & integration, Strategic planning, Financing, Institutional arrangements, Accountability & regulation, Monitoring, Service delivery and behaviour change, Environment & Water Resources, Gender and social inclusion)
 - Status headings (Weak, Medium, Strengthening, Desired)
 - Thick white tape
 - Large wall space
 - Coloured post-it notes
 - Marker pens



To undertake more detailed analysis of each building block, see Annex 2 for sub-building blocks and guiding questions.

Exercise 3.2: Building block analysis – a gender perspective (annex 3)

Time: 1hr30

Objective: to gain a deeper understanding of whether gender equality has been considered within each building block and how to enhance gender equality in the WASH system.

Method:

- Replace the building block status headings of ‘weak’ ‘medium’, ‘strengthening’, ‘desired’ to ‘harmful’, ‘inclusive’, ‘empowering’ and ‘transformative’.
- Provide participants with a definition of each of the new status headings.
- In small groups, read the definitions and plot what ‘level’ the sector is currently at in terms of addressing gender across each building block.
- Facilitate a discussion on why this is the situation (see full gender and system strengthening guidelines for guiding questions and examples).
- Next, facilitate a discussion on what ‘level’ of gender equality the group is aiming for through its work/project. Groups can agree on what is realistically achievable in the project, and how these outcomes could be achieved.
- Document these discussions and bring them into the following exercises and design of the intervention.

EQUALITY, NON-DISCRIMINATION & INCLUSION	Harmful	Inclusive	Empowerment	Transformative
Coordination & integration				
Strategic Planning				
Financing				
Institutional arrangements				
Accountability & regulation				
Service delivery & behaviour change				
Monitoring				
Water resources & environment				

Resources:

- [Practical guidance document to address gender equality while strengthening water, sanitation and hygiene systems](#) (for definitions, guiding questions and examples to facilitate discussions).
- A3 size coloured print-outs of Building Block Analysis Tool - 2 per group (or 1 between 2 participants)
- Building block headings (Coordination & integration, Strategic planning, Financing, Institutional arrangements and capacity, Accountability & regulation, Monitoring, Service delivery and behaviour change, Environment & water Resources)
- Status headings (Harmful, Inclusive, Empowering, Transformative)
- Thick white tape
- Large wall space
- Coloured post-it notes
- Marker pens

Exercise 4: Power analysis

Time: 1hr45

Objective: to undertake a deeper analysis of the power relationships within and between different groups of people using four typologies of power. This helps to identify actions that might shift power dynamics and improve the participation of people who experience marginalisation.

Method:

- Split participants into small groups
- Provide each group with a pack of cards (see resources list)
- Provide each group with a print-out of the power analysis table from [pg. 71 of the ENDI toolkit](#)
- Ask each group to nominate a notetaker/rapporteur
- Ask each group to think about the 4 types of power (listed in the table print-out) in relation to the characteristic written on each card (40 minutes)
- In plenary, ask each group to present back the top discussion points for each characteristic listed (20 minutes)
- Facilitator to write down key points on a flip chart which has the power analysis table written on it
- In plenary, facilitate a discussion about what actions could be taken to shift power dynamics (30 minutes) Tip: you could use guiding questions on page 11 of the [HRBA guidelines](#)
- Facilitator writes down suggestions using different coloured pen on same flipchart

Resources:

- See [page 70-71 of the ENDI toolkit](#)
- Pack of small cards each with the name of a characteristic (appropriate to the context) e.g. person with disability, older/young person (age), gender, ethnicity, lower/higher caste, low/high education level, stronger/weaker health status, local government, national government.
- Flip chart with power analysis table
- 2 different coloured marker pens
- Pens

Exercise 5: What are others doing in the district?

Time: 1hr30

Objective: Participants identify which other actors are already working to strengthen the building blocks and shift power dynamics within the district to avoid duplication, ensure efforts are complementary and aligned, and identify WA's added value is.

Method:

- Set flipchart paper on the wall
- Write one building block on each flipchart paper and draw a line across the middle (On the top half write 'water', on the bottom half write 'sanitation' and 'hygiene'). Write up two additional flipchart papers for 'Government leadership' and 'Active, empowered people & communities'.
- Introduce activity (high level objectives)
- Split participants into groups to discuss what others are doing to strengthen each building block of the WASH system
- Groups write down 2-3 words per post-it note about who is doing what in the district
- Groups nominate 1 person to stick up post-it notes onto relevant building block flipchart paper and relevant section (water/ sanitation & hygiene)
- Each group rapporteur presents what they've written on their post-it notes. If activities have been mentioned before, no need to mention them again.
- Group discussion to answer following question: Is everything captured here? Where are there gaps? Based on this, and the previous exercises, where could WaterAid's added value be? Guide questions about trends in who is doing what and where WA can add value/support etc.



Resources:

- Flipchart paper
- Marker pens
- Post-it notes of 1 colour

Exercise 6: Activity identification

Time: 2hr+

Objective: Participants identify what gaps there are and where more work needs to be done to achieve sustainable, inclusive, universal access to WASH.

Method:

- Use same flipchart papers as previous session.
- Split into groups
- Groups discuss what more needs to be done under each building block to strengthen WASH sustainability and inclusion.
- Write down on post-it notes possible activities under each of the building blocks (max. 3 words)
- Stick post-it notes on relevant flip chart building block
- Plenary discussion to follow on what and why certain activities have been identified

Resources:

- Flipchart paper
- Marker pens
- Coloured post-it notes



Exercise 7: Activity prioritisation & feasibility

Time: 30 minutes

Objective: To identify which proposed activities are achievable within a set timeframe.

Method:

- Introduction to activity (5mins)
- Give each participant 4 sticker dots
- Ask each participant to stick one dot on the four activities they think are most feasible and impactful within the set timeframe of the planned project.
- Wrap-up plenary discussion – identify clusters of activities/outliers (and ask people to explain their decisions) (20mins)



Resources:

- Small sticker dots or marker pens (to identify priority activities)

Exercise 8: Mapping resources & skills required for successful implementation

Time: 1hr

Objective: Participants identify what internal resources are required to deliver the identified activities and achieve project aims

Method:

- Project list of resources/skills required to deliver planned activities:
 - Good understanding of national level policy environment
 - Good working relationship with district/national level government and other key stakeholders
 - Dedicated and experienced project manager who understands systemic blockages to WASH sustainability and inclusion
 - Sufficient finances to cover activity and staff costs
 - Ability to convene multiple stakeholders and facilitate discussions for improved coordination
 - Ability to support government to collect baseline of service levels and asset registry data
 - Understanding of and ability to use data collection and analysis tools (e.g. mWater, Excel)
 - Understanding of and ability to conduct life-cycle costing analysis
 - Ability to support district planning processes
 - Understanding of and ability to support district governments to contextualise national policy, strategy and plans
 - Understanding of and ability to support district governments to adapt and apply global/national monitoring indicators to the district level
 - Understanding of and ability to improve/optimise contracting and procurement processes (particularly for drilling)
 - Understanding of and ability to support local government to improve quality of implementation and selection of appropriate service options
 - Understanding of and ability to mainstream issues of gender and social inclusion into programmes
- Split participants into groups to consider the skills/resources and identify those which are available/required for effective delivery of activities.
- Plenary discussion
- Write down list of resources/skills still required.

Resources:

- Flipchart paper
- Marker pens

Exercise 9: Partnership mapping

Time: 1hr 30mins

Objective: Participants are clear on who they need to partner with to undertake specific activities and what the nature of those partnerships are.

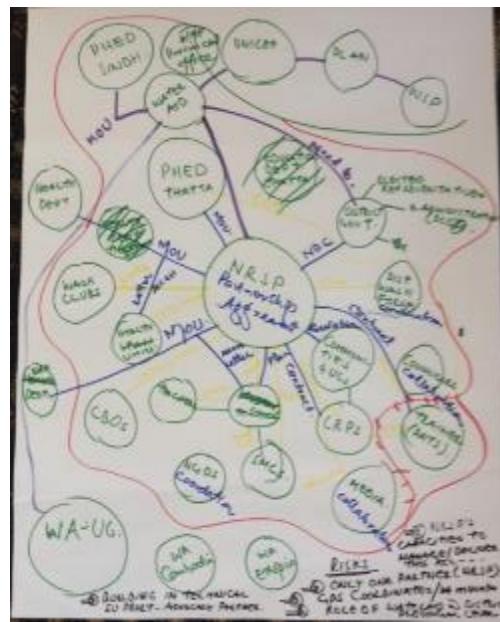
Method:

- Identify all of the partners whom you think you will need to partner with to help deliver your activities.
 - Write these down on a flipchart paper
 - Draw a circle around the partners who are directly involved/central to the achievement of the project (primary partners)
 - Partners outside of the circle are secondary partners
 - Draw lines to connect the partners with one another, write along the lines the kind of agreement required and the resources that each partner brings to the work (for example, money, time, expertise, profile/reputation etc.)

(See the partnership training for full method & resources)

Resources:

- Flipchart paper
 - Marker pens



Additional resources

Political Economy Analysis Toolkit

The PEA toolkit provides a structured approach for analysing how change happens; from the national to the local level. It can help shape our country strategies, programmes and even ‘everyday’ decisions. The toolkit consists of four different tools. These are complementary, but can be used separately as a stand-alone exercise, too. Each tool includes facilitation guidance, a set of core questions and discussion points, and participatory exercises to help visualise the political economy features being analysed. They are intended to help produce rapid good quality analysis, to increase our understanding of which strategies, tactics or decisions may be appropriate in the different contexts in which we work.

Equality, non-discrimination and inclusion (ENDI) toolkit

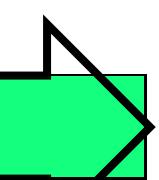
The ENDI toolkit gives practical guidance and support on reducing inequalities in our programme and advocacy work. It introduces the most important equality, non-discrimination and inclusion (ENDI) principles, and includes practical activities, development tools and checklists for you to apply to your work with partners and communities.

Guidelines on embedding and integrating a human-rights based approach

A Human Rights-Based Approach (HRBA) can help to analyse the issues around inequitable power relations that prevent the poorest and most marginalised people from realising their right to safe WASH. This document provides guidelines for integrating the principles of an HRBA into programme design, and spells out some of the practical implications of adopting this approach, both at operational and organisational levels.

Making Rights Real tools

Making Rights Real (MRR) tools help to introduce the human rights concepts to local government officials and can be used as part of an ongoing process of engaging them. Making Rights Real tools aim to help you have constructive, solution-focused conversation about challenges local government officials face and inspire them to do better, using human rights concepts. Experiences of using Making Rights Real show that local government have not just shown willingness to address problems but have also taken action as a result.

Annex 1


Building block	Weak	Medium	Strengthening	Strong
Coordination & integration	Humanitarian actors coordinated through WASH Cluster by UNICEF – no one working on long-term development. Integration in Health / Education/ nutrition / Social services	No coordination of agencies. No/limited integration of WASH into health, education, nutrition	Geographical coordination of agencies within the district. Pilot initiatives to integrate hygiene into health, nutrition, education	Agencies aligned behind comprehensive district level strategy/policy. Integration of hygiene into ongoing health, nutrition, education programme
Policy, strategy and planning	OCHA Humanitarian Action Plan or government relief plans, no development plan. Hygiene components included without rigorous planning	Plan responding to donor priorities – sustainability / resilience building not addressed. Weak use of evidence based while planning for WASH components	Plan in place to extend services but not to sustain them or build resilience. Plan included to conduct FR and creative process but partially operationalise	Credible plan to deliver sustained universal access and long term resilience. Thorough formative research and creative process are considered to plan and design WASH intervention
Financing	Emergency spending directly through NGOs and UN Agencies	No fiscal decentralized spending. Donor spending on District Plan ("On Plan") – not covering lifecycle costs	Fiscal decentralization and donor spending on capital costs. "On Budget" but not covering lifecycle costs.	Full fiscal decentralization, external support agencies channel funds through District accounts ("On Treasury"). Private sector investing in WASH. Lifecycle costs matched to sources of finance. Mechanism to ensure regular available of behavioural products ensured.
Institutional arrangements and capacity	Focus on saving lives by providing access rather than on building life-saving institutions. Institutional mandates are often not clear	Institutions exist on paper but not functional. Overlapping, unclear roles and responsibilities for WASH.	Partially functional institutions with weak capacity. Roles and responsibilities not fully clear for WASH. Absorption capacity of institutions are weak.	All necessary institutions and capacities are in place with clear roles and responsibilities with proper allocation of budget for WASH eg regulator, health, education, nutrition, HR, IT systems.
Accountability and regulation	No accountability mechanisms exist between service authorities/providers and users. There is no mutual accountability between government and development partners. Civil society is non-existent.	Accountability mechanisms (...) exist on paper but few are used in practice. Feedback is often tokenistic and not used to improve service delivery. Civil society is weak, and there is little or no accountability of development partners. No national hygiene standards are set	Mutual accountability for sector progress is emerging, and limited mechanisms exist for user feedback. Feedback is not systematically used to improve service delivery/behaviour change. Civil society gaining strength. National hygiene standards available but not used	Accountability mechanisms are institutionalised, with government and development partners demonstrating and demanding mutual accountability for sector progress. Feedback is used to inform and improve service delivery/behaviour change. Strong civil society with duty bearers held to account. National guidelines on WASH standards operationalised.
Monitoring	Through WASH cluster and to donors	No common monitoring or review process. No plan to assess the programme effectiveness	Common sector targets and multi-stakeholder monitoring but no aggregated reporting. Small scale evaluation but no national baseline	Government owned, regularly updated monitoring process feeding into strategic planning. Large-scale evaluation system established and key indicators incorporated. Before and after assessment done. Evidence of learning and process improvement

Service delivery and behaviour change	Ad hoc emergency interventions. Hygiene programme focused on emergency kit distribution and knowledge improvement only. Sanitation interventions subsidized.	Fragmented project/approach interventions, multiple missions, and reporting systems. No post implementation support. Programme only focuses on awareness raising rather than behaviour change	District authorities and agencies mainly focused on extending coverage. Weak post implementation support. Programme focus both awareness raising and behaviour change but poor reinforcement mechanism for sustainability.	Both coverage and post implementation support to all users fully addressed by duty bearer. Routine institutions capacitated to continuously delivered / reinforce behaviour change. Programme focused on sustained behaviour change. A menu of service delivery approaches are available and are applied contextually. The right approaches are defined for each context within the district and applied effectively for change and sustainability
Water resources and environment	No water resource protection or management policies exist. No understanding of threats to water resources. No focus on critical pathways for diseases transmission. Limited understanding on how change in settings push/pull for behaviour change. Disaster resilient technology not considered	Water resource protection and management policies exist but are not implemented. Threats to water resources are poorly understood. No monitoring of water resources. Critical pathways for diseases transmission understood but no focus intervention to break pathways. No focus on changing social norms and behavioural settings. Disaster resilient technology often not considered	Water resource protection and management policies exist but are poorly implemented. Threats to water resources are well understood but not responded to in plans. Monitoring is weak. Critical pathways for diseases transmission understood and key behaviours identified but intervention poorly designed and implemented.	Water resource protection and management policies are implemented and there is coordinated management across sectors. Threats to water resources are monitored and inform resilience planning. All critical pathways for disease transmission addressed focusing on key behaviours. Intervention focused on changing physical and social environment and disturbing behavioural settings with the provision of behavioural products. Disaster resilient WASH.
Gender and social inclusion	WASH interventions reinforce gender stereotypes and / or put women & girls at risk through lack of consultation with women & girls and lack of understanding of gender-related country context	Women physically represented in decision-making, and sex & age disaggregated data (SAAD) is required for all WASH interventions	Women actively involved in decision-making, and sex & age disaggregated data (SAAD) is required and used for planning	Women hold leadership positions and are actively involved and responsible for WASH services & decision-making.
Government leadership	Government has little involvement or oversight of WASH interventions in the area. WASH programmes are largely led and implemented by humanitarian actors or INGOs.	Government has some oversight of WASH programmes/agencies, but few align with government processes, plans or policies.	The government plays an active role in coordinating and providing oversight to WASH agencies/programmes. Government co-finance certain interventions and participate in their monitoring and evaluation.	Strong government leadership ensures WASH investment is well-coordinated, planned, financed, inclusive, aligned to national policy and regulation, and reaches the most marginalised and has lasting benefits.
Active and empowered people and communities	People in the community/district do not know their rights to water and sanitation and play no active role in demanding access or improvements to WASH services.	Some people in the community/district feel empowered to demand their rights to water and sanitation and call on service providers/authorities to make improvements using informal channels. However, marginalised community members are not empowered to demand their rights.	Many people in the community, including some marginalised people, actively participate in community feedback mechanisms and demand their rights and improvements to water and sanitation services.	Empowered people, including marginalised members of the community/district, are aware of and demand their rights to water and sanitation. They actively engage in planning, monitoring and provide feedback on WASH services to ensure their rights are met.

Annex 2:

Building blocks	Building block description and, Suggested 'Desired' building block state (to be contextualised)	Sub-building blocks	Guiding questions to analyse strength of building block
Policy, strategy and planning	<p>Description: Policies, strategies and strategic plans at the national and local government levels aim to achieve sector targets and help to mobilise resources, aligning stakeholders around a common vision.</p> <p>Suggested 'Desired' state (to be contextualised): Coherent policies endorsed by Government have a clear poverty focus designed to address country specific challenges and priorities. Policies are supported by implementation strategies and plans are routinely developed and used by stakeholders. An enabling legal framework provides regulatory guidance.</p>	<ul style="list-style-type: none"> • Policy Development and/or review • Strategy Development and/or review • Plan Development and/or review • Standard Setting 	<p>How well do WASH-related policies adequately address the critical challenges faced, including issues of inequality and sustainability?</p> <p>To what extent are sector policies transparent, inclusive, equitable and gender sensitive?</p> <p>To what extent are strategies for achieving policy objectives clearly defined and operational?</p> <p>Are annual plans developed through a participatory and inclusive process to achieve policy targets?</p> <p>How well do policies/plans establish realistic targets for service coverage and quality standards that progressively eliminate inequalities in access and ensure sustainability?</p>
Institutional arrangements and capacity	<p>Description: Institutional arrangements and capacity typically refer to institutions at all levels having clear roles and responsibilities set out in government policy, with adequate human and financial resources available to fulfil these roles and responsibilities. This includes capacity in terms of available skills and staff available to fill roles.</p> <p>Suggested 'Desired' state (to be contextualised): Progressive decentralisation of sector functions to WASH institutions with clearly defined roles and responsibilities. Institutions possess the human, technical and financial resources required to deliver on their responsibilities.</p>	<ul style="list-style-type: none"> • Clear roles and responsibilities • Staff performance management 	<p>Are institutional roles and responsibilities for WASH in different locations (rural/urban; household/community; schools; health care facilities) clearly defined?</p> <p>To what extent has decentralisation been achieved? Has both financial and decision-making responsibility been decentralised?</p> <p>Do the institutions responsible for WASH have the capacity and resources to carry out their roles and responsibilities effectively?</p> <p>What skills and knowledge need strengthening to ensure the workforce have the required competencies and capabilities?</p>
Coordination and integration	<p>Description: Coordination and integration. Government-led coordination of WASH actors around one plan is necessary to avoid duplication of effort and fragmented interventions that do not adhere to national standards. Integration of WASH across health, education and other sectors is necessary to achieve scale, sustainability and gender inclusive outcomes.</p> <p>Suggested 'Desired' state (to be contextualised): Sector-wide approach to development planning, donor harmonisation, multi-stakeholder platforms enabling meaningful participation of non-state actors at different levels. Full integration of Water, Sanitation and Hygiene and integration into Health and Education Sectors.</p>	<ul style="list-style-type: none"> • Sector coordination mechanisms • Sector working groups • WASH integration • Cross-sector coordination 	<p>How well do stakeholders (including NGOs) align their approaches with national policy and guidelines?</p> <p>Is there a mechanism to support collaboration and coordination between stakeholders in the sector (including rights groups, small scale private sector, media etc)?</p> <p>Is there an effective annual review process that tracks progress towards sector plans and targets? Are all relevant stakeholders involved in the review process?</p> <p>How well do government ministries responsible for WASH coordinate with each other (including the Ministry of Finance, Ministry of Education and Ministry of Health)?</p>
Financing	<p>Description: Financing. Sector financing strategies that cover all WASH lifecycle costs are critical for realisation of inclusive, lasting, universal access. Low public and private sector investment, inadequate fiscal decentralisation, ineffective processes for timely release of funds and low prioritisation of revenue for capital maintenance, ongoing support and behaviour change mean WASH targets are not met or sustained.</p> <p>Suggested 'Desired' state (to be contextualised): Clearly defined sector budgeting process linked to a medium-term sector investment plan, joint</p>	<ul style="list-style-type: none"> • Life cycle costing analysis • Financing strategies • Budget advocacy • Budgeting 	<p>How well are the life cycle costs of service delivery known and budgeted for by national and sub-national government and service providers?</p> <p>Do criteria exist for determining equitable allocation of funds and are they applied?</p> <p>Are there strategies to provide financing for ongoing costs, including large-scale capital and maintenance expenditure and replacement costs? Are there national guidelines on affordable tariff setting and tariff collection; and are these enforced?</p> <p>Has an adequate budget for the proposed scope of work set out in the annual WASH plan been agreed? What proportion of the budget was currently utilised?</p>

	financing agreements between government and donors, strategies for sustainable sector financing. Effective financing mechanisms release adequate funds for delivery of plans on a timely basis. Joint financing agreements between government and donors, strategies for sustainable financing which covers new and existing services and behaviour change interventions.		Are medium-term funding commitments for WASH sufficient to meet targets?
Service delivery and behaviour change	<p>Description: Service delivery and behaviour change. WASH should be available to all on an ongoing basis. Service options, management arrangements, technologies, procurement processes, quality control processes and behaviour change strategies are necessary to deliver inclusive WASH and sustain it.</p> <p>Suggested 'Desired' state (to be contextualised): Defined models, approaches and standards for extending coverage / uptake and maintaining quality of services and behaviours. Models for service delivery could include working with utilities, private sector providers through market systems, through local NGOs, government extension workers, rights groups or other mechanisms appropriate to context.</p>	<ul style="list-style-type: none"> Management models for inclusive service delivery and post-implementation support Quality control, contracting and procurement processes Asset management Private sector engagement 	<p>Are there nationally accepted / approved technology options and approaches for promoting behaviour changes that should be used in different locations (rural/urban; household/community; schools; health care facilities)? Are inclusive and accessible technology options available?</p> <p>Are there nationally accepted / approved design and construction standards to ensure the quality of infrastructure in different locations (rural/urban; household/community; schools; health care facilities)?</p> <p>Are service levels and performance criteria clearly defined and understood by service providers and consumers?</p> <p>How appropriate are models for supporting service delivery in different locations? How effectively are the models being applied in practice?</p> <p>Are post-construction support mechanisms in place to develop and support service providers?</p> <p>Are roles and responsibilities for all components of defined service delivery models clear (e.g. design, installation / implementation, monitoring, maintenance, repair etc)?</p> <p>Are end-users / communities involved in planning the type of service to be provided (or technology to be adopted)?</p>
Monitoring	<p>Description: Monitoring of sector performance enables progress to be tracked against targets and helps to inform where course correction is necessary. Ongoing service level monitoring using harmonised indicators, helps government to develop strategic plans identifying where they and others should invest in new WASH and target support to sustain existing WASH delivery.</p> <p>Suggested 'Desired' state (to be contextualised): Sector information management capacity, agreed framework for performance assessment (equity, sustainability), access to information and independent monitoring mechanism of sector performance strengthened/established. Effective, regular and inclusive monitoring, evaluation and review of sector performance.</p>	<ul style="list-style-type: none"> Joint Sector Review Harmonisation of indicators Data collection Data updating mechanisms Data analysis Data into decisions 	<p>Are there nationally agreed indicators and standards for service delivery and behaviour change that are consistently monitored?</p> <p>To what extent is data on gender and disability incorporated into national indicators and standards?</p> <p>How well is monitoring data on WASH access being used to inform decision making?</p> <p>Is there a national monitoring system which records WASH data and other relevant sector information?</p> <p>How is monitoring data used to inform sector coordination and planning processes?</p>
Accountability and regulation	<p>Description: Accountability and regulation. Governments are responsible for developing policies, laws and regulations and making decisions that affect their citizens. Whilst WASH commitments may exist on paper, they may not be implemented unless governments are held to account. Similarly, service providers, WASH users, donors, non-governmental organisations (NGOs) and civil society actors have responsibilities that may not be exercised unless they too are held to account.</p>	<ul style="list-style-type: none"> User feedback / engagement mechanisms Regulation Enforcement Budget tracking Access to information 	<p>Are regulatory mechanisms for WASH at a national, sub-national and local levels in place and operational? To what extent do they enable governments to hold service providers to account?</p> <p>How are users / citizens able to hold service providers to account for the quality of WASH services?</p> <p>How effective are mechanisms that enable users / citizens to hold governments accountable for WASH decision making?</p> <p>How diverse is the range of users / stakeholders providing feedback through accountability mechanisms?</p>

	Suggested 'Desired' state (to be contextualised): A clear legal and regulatory framework is in place that articulates the accountabilities of the respective providers of WASH services and service users. The framework is used to hold the providers, authorities and users to account. Transparent accountability mechanisms enable users to hold government and those responsible for service provision to account; as well as enable government to hold service providers accountable. Accountability mechanisms are used to explain decisions, allocations or performance, as well as inform future work.		
Gender and social inclusion	<p>Description: Gender and social inclusion. In all countries, there are population groups and people who are excluded from services because of where they live, the group they belong to or their individual identity. Ingrained power imbalances and cultural barriers must be tackled to ensure everyone's WASH needs are met.</p> <p>Suggested 'Desired' state (to be contextualised): Marginalised population groups and people are not excluded from services because of where they live, the group they belong to or their individual identity. Investment in WASH is prioritised towards most marginalised/in need populations/locations</p>	<ul style="list-style-type: none"> Participation of women and/or marginalised people in WASH decision-making/coordination mechanisms Sex/economic disaggregated data captured in WASH MIS / indicators Capacity of women and/or marginalised people to engage in WASH decision-making/demand WASH rights 	<p>How well are the barriers to achieving greater gender equality and social inclusion being addressed?</p> <p>How are women participating in sector forums, including coordination processes?</p> <p>How well is sex and age disaggregated data being monitored and used?</p> <p>To what extent do service delivery models address the needs of marginalised and vulnerable people?</p> <p>To what extent is investment in WASH prioritised/targeted towards most marginalised/in need populations/locations?</p>
Environment and water resources	<p>Description: Environment and water resources. Access to WASH is dependent upon there being reliable access to sufficient quantities of good quality water. This in turn is dependent upon well-managed, climate-resilient water services, well managed, climate resilient water resources and ecosystems, and disaster risk management.</p> <p>Suggested 'Desired' state (to be contextualised): Water resource protection and management is coordinated and threats to water resources are monitored and inform resilience planning.</p>	<ul style="list-style-type: none"> Hydrogeological assessments Water resources monitoring (water quality, groundwater levels, rainfall, surface flows etc.) Allocations Catchment protection 	<p>How are threats to water security identified and what process is in place to assess them?</p> <p>Are plans to monitor priority threats developed and to what extent are monitoring plans used?</p> <p>How effective has monitoring data been in managing and / or addressing realised threats?</p> <p>Are water allocations determined in line with sustainable use, social equity and economic efficiency?</p>
Active and empowered people and communities	<p>Description: Active, empowered people and communities are needed to ensure government and service providers are held to account for the realisation of the human rights to water and sanitation. If marginalised communities do not know their rights and are not empowered to claim them, there are limited incentives for the government to ensure rights are realised.</p> <p>Suggested 'Desired' state (to be contextualised): Empowered people and communities are aware of and demand their rights to water and sanitation. They actively engage in planning, monitoring and providing feedback on WASH services to ensure their rights are met.</p>	<ul style="list-style-type: none"> Rights awareness and empowerment CSO strengthening 	<p>To what extent do people / communities have access to information about WASH e.g. coverage, water quality, budgets, planning processes?</p> <p>How actively are users/communities engaged in planning and monitoring of WASH services to ensure their rights are met?</p> <p>To what extent do users / communities know of and demand their rights to water and sanitation?</p> <p>To what extent do marginalised people know of and demand their rights to water and sanitation?</p>
Strong government leadership	<p>Description: Strong government leadership is needed to ensure sustainable WASH is prioritised for investment, WASH interventions are coordinated and reach the most marginalised. Without government leadership, WASH interventions will be fragmented; unaligned to government policy and may not scale up.</p> <p>Suggested 'Desired' state (to be contextualised): Strong government leadership ensures WASH investment is well-coordinated, planned, financed, inclusive, aligned to national policy and regulation, and reaches the most marginalised.</p>	<ul style="list-style-type: none"> Influencing/ advocacy Capacity development Assessment and analysis 	<p>To what extent are government leaders ensuring WASH is well coordinated, planned, financed and monitored?</p> <p>To what extent do government leaders engage and listen to most marginalised people?</p> <p>To what extent are WASH interventions aligned to government policy and plans?</p> <p>To what extent do government leaders spearhead and/or initiate WASH interventions/programmes?</p>

Annex 3

EQUALITY, NON-DISCRIMINATION & INCLUSION	Harmful	Inclusive	Empowerment	Transformative
Coordination & integration				
Policy, strategy and planning				
Financing				
Institutional arrangements and capacity				
Accountability & regulation				
Service delivery & behaviour change				
Monitoring				
Water resources & environment				