

A gateway for capacity development

# Capacity.ORG

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James Winpenny explains the capacity needs of local practitioners in the context of the broader enabling environment in which they work.

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## GUEST COLUMN

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Ravi Narayanan emphasises the importance of a broad organisational and institutional approach to capacity development.

## Capacity development for water and sanitation



## ORGANISATIONS, NETWORKS AND INITIATIVES

This section offers a selection of organisations, networks and initiatives concerned with capacity development. A more extensive list can be found at [www.capacity.org](http://www.capacity.org).

### The Water and Sanitation Program (WSP)

The Water and Sanitation Program (WSP) is a multi-donor partnership administered by the World Bank. Its goal is to help the poor gain sustained access to improved water supply and sanitation services. The WSP works directly with client governments at the local and national level in 25 countries through regional offices in Africa, Asia and America.

[www.wsp.org](http://www.wsp.org)

### Secretary General's Advisory Board on Water and Sanitation (UNSGAB)

Former UN secretary-general Kofi Annan highlighted the observance of World Water Day in 2004 with his announcement of the establishment of the Advisory Board on Water and Sanitation, intended to galvanise global action on water and sanitation issues, which are central to the world's hopes of eradicating poverty and achieving sustainable development.

[www.unsgab.org](http://www.unsgab.org)

### The Water Supply and Sanitation Collaborative Council (WSSCC)

The Water Supply and Sanitation Collaborative Council (WSSCC), a global multi-stakeholder partnership organisation that works to improve the lives of poor people, is hosted by the World Health Organization (WHO). WSSCC contributes to the broader goals of poverty eradication, health and environmental improvement, gender equality and long-term social and economic development.

[www.wsscc.org](http://www.wsscc.org)

### International Year of Sanitation

To put the spotlight on sanitation the UN General Assembly declared 2008 to be the International Year of Sanitation. The goal is to raise awareness and to accelerate progress towards the Millennium Development Goal (MDG) target of reducing by half the proportion of the 2.6 billion people without access to basic sanitation by 2015.

<http://esa.un.org/iys/index.shtml>UN

### International Water and Sanitation Centre (IRC)

The IRC International Water and Sanitation Centre is a non-profit organisation based in the Hague, the Netherlands. IRC develops and shares knowledge with water sector partners around the world and backs innovation and capacity development with Southern partners. It assists national and international aid organisations and donors to develop sustainable WaSH policies and strategies and supports integrated water management at the local level in developing countries.

[www.irc.nl](http://www.irc.nl)

### Research-inspired Policy and Practice Learning in Ethiopia and the Nile Region (RIPPLE)

RIPPLE is a five-year research programme consortium funded by the UK's Department for International Development (DFID). It aims to advance evidence-based learning on water supply and sanitation (WSS) focusing specifically on issues of planning, financing, delivery and sustainability and the links between sector improvements and pro-poor economic growth. Working in three regions of Ethiopia as well as the Nile region, RIPPLE will develop a new body of high-quality policy- and practice-relevant knowledge through the establishment of Learning and Practice Alliances (LPAs) at different levels.

[www.dfid.gov.uk](http://www.dfid.gov.uk)

### The Asia-Pacific Water Forum (APWF)

The APWF was launched after the 4th World Water Forum in September 2006. The initiative by the region's water ministers has sought to establish an effective mechanism to encourage more collaborative efforts on water resources management and to accelerate the process of effective integration of water resources management into the socio-economic development process of the Asian and Pacific region. The purpose of the APWF is to share knowledge and experiences.

[www.apwf.org](http://www.apwf.org)

## CD monitor

This section highlights news and recent developments in the area of Capacity Development. The CD monitor is compiled in collaboration with UNDP's Capacity-Net.

### Conference: Perspectives on impact evaluation

This conference took place in Cairo, Egypt from 29 March-2 April 2009. It addressed how evaluations could best be conducted and used to inform policies, strategies and interventions that benefit the poor. Participants included policy makers, practitioners and other stakeholders in evaluation and in development from all over the world.

<http://impactevaluation2009.org>

### New UNDP website focuses on capacity development

UNDP Capacity Development Group (CDG) has launched the new public website of the UNDP on capacity development. The new website reflects the current thinking of UNDP's approach to supporting capacity development. The site features improved structure for easy access to information and key knowledge resources.

[www.undp.org/capacity](http://www.undp.org/capacity)

### 'Call for strengthening state capacity now more compelling than ever'

Kemal Dervis, Administrator of the United Nations Development Programme on 26 January 2009 at the Joint Meeting of the Executive Boards of UNDP/UNFPA, UNICEF and WFP, New York, emphasised the importance of reinforcing state capacity. In his speech he indicated six priority areas where the UN must play an increasingly important role in supporting state capacity development. Read the full speech at:

<http://content.undp.org>

### Practice, evidence and policy: Closing the learning loop

The Learning Network on Capacity Development (LenCD) is an informal network of analysts and practitioners aimed at creating a global community of practice around capacity development. The network was established in 2004 and has grown steadily since. At a strategy meeting in Washington DC in December 2008 a steering group was put in place and a three-year strategy was determined. The strategy consists of two main initiatives. The first is to support the aid effectiveness agenda, and the implementation of the Accra Agenda for Action (AAA), which will remain a major anchor for network activity. Second, LenCD will maintain a more conducive platform for CD learning. The CD Learning Initiative is focused on 'closing the learning loops', which means to 'bring back' lessons from diverse practices on the ground, to distil, broaden and disseminate evidence, and to inform policy in concrete terms. In the months ahead LenCD will put in place the instruments and operational underpinnings to make it happen. Regional and thematic working groups will convene around common agendas. By its very nature LenCD is a partnership effort, and your ideas and engagement are welcome.

[www.LenCD.org](http://www.LenCD.org)

### The importance of public awareness: Toward a developing country model for capacity building in WaSH



The developed country model for building capacity in water supply, sanitation and hygiene (WaSH) is inadequate for Asia, Africa and Latin America. Developing countries require a different approach. You can read the full article on water and sanitation by Professor Eric Odada, member of the United Nations Secretary General's Advisory Board (UNSGAB), on the [capacity.org](http://www.capacity.org) website.

# Capacity needs for water and sanitation

Trachoma is an eye disease caused by poor sanitation and hygiene. Flies spread the disease in areas where people openly defecate. Trachoma can develop into trichiasis, which, without surgery, can cause blindness. In some regions of Ethiopia over 50% of the rural population is infected with trachoma, and over 5% suffers from trichiasis.

People can easily prevent trachoma by washing their hands and faces regularly. Latrine construction and use can also prevent trachoma. Eliminating trachoma and other diseases caused by lack of clean water, sanitation and hygiene would improve people's well being, reduce the costs of curative health care and help strengthen local economies.

Although the benefits are obvious and the remedy seems straightforward, reducing by half the number of people who lack sustainable access to safe drinking water and basic sanitation by 2015 – one of the Millennium Development Goals (MDGs) – is a formidable proposition in many countries. In spite of the International Drinking Water Supply and Sanitation Decade (1981-1990) and the International Year of Sanitation in 2008, nearly half of the people in developing countries still lack access to safe water, sanitation and hygiene. How can this be?

This issue of *Capacity.org* looks at the capacities that need to be developed in order for the water and sanitation targets for 2015 to be achievable. The main focus is on capacity needs at the intermediate and local levels, but links between macro-level policy making and local-level implementation are also addressed.

In the feature article, James Winpenny gives an overview of the capacity needs of local practitioners in the context of the institutional environment in which they work. Our guest columnist, Ravi Narayanan, also emphasises the importance of having a broad organisational and institutional approach rather than thinking of capacity development purely in terms of training people.

There is general consensus among policy makers at the international and national levels on the need for investments in water and sanitation. The challenge is to build institutional capacity to ensure that funds are allocated effectively through sector planning, budgeting and strategic financial planning. This is not an easy task, and the fact that donors do not adhere to the Paris Declaration does not help.

A recently published report by the IRC International Water and Sanitation Centre (see page 15) shows that only 29% of the European official development assistance (ODA) to the water sector in Africa is provided through budget support. The remaining 71% is



Lineair / Sean Sprague

channelled through separate programmes and projects, often with their own programme implementation units. Abebe Ayenew of the Ministry of Water Resources in Ethiopia explains how the Ethiopian government is addressing this problem.

But even those funds that are successfully channelled to the local level are not necessarily allocated to water and sanitation. Water supply usually ranks reasonably high on the political agenda, but sanitation and hygiene tend to get very little attention. This may seem odd, given the tremendous positive impacts that improved sanitation and hygiene can have. But in most cultures these are very private matters. You need a clever strategy and well-developed communication skills to discuss with people where not to defecate and the advantages of washing hands. In her contribution to this issue, Shyama Ramani tells a story of a unique approach she applied in India to encourage people to use and maintain their lavatories. It takes courageous leaders to put sanitation and hygiene high on the agenda. Carmen da Silva Wells, Patience Turyareeba and Brecht Mommen explain in their article how leadership, coordination and the willingness to learn are key factors of success in Uganda.

The importance of community participation at all stages of developing water, sanitation and hygiene has been long recognised. However, as Barbara van Koppen, Rudolph Glotzbach and Jackson Wandera show in their articles, astonishingly little headway has been made in this respect. There is still far too much top-down planning that is often based on wrong assumptions about peoples' needs. Their articles give clear guidance on how to engage in genuine and effective consultations with the people concerned.

Heinz Greijn  
 editor@capacity.org  
 Editor-in-Chief

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Cover photo: Lineair / Jorgen Schytte

# Achieving the MDGs



By James Winpenny  
 wychwood.consult@virgin.net  
 Independent economic consultant, water sector.

This issue of *Capacity.org* focuses on a practical and specific aspect of capacity development: what is needed to achieve the water and sanitation MDGs by 2015. The question is examined principally from the viewpoint of water supply and sanitation (WSS) and water, sanitation and hygiene (WaSH) workers at national, regional and district levels. This group includes government officials, NGO officers, community representatives and the like, with particular focus on the relationships across the different levels of the government hierarchy.

Donor governments are under political and moral pressure from vocal segments of their electorates, as well as pop stars and other celebrities, to give sufficient financial backing to achieve the water and sanitation MDGs. A number of governments have made commitments in response to this pressure, but actual spending has lagged. Donor governments complain of a lack of sound projects, delays in implementation, difficulties in coordinating with other donors or lack of political will on the part of recipient governments.

On the national level, ministries of finance and water desiring to provide more funding for water and sanitation development encounter obstacles such as bureaucratic delays and other blockages. Another challenge is that local priorities in rural areas often differ from those in cities, where typically there is greater focus on accessing electricity or reliable clean water than on sanitation. (See the article on page 14 of this issue). The fact that dozens of donors and hundreds of NGOs each have their own criteria and procedures to follow is another major challenge. As the dictum goes, if donors and NGOs are not part of the solution, they are part of the problem.

Meeting capacity needs is essential to achieving the Millennium Development Goals (MDGs). But these needs must be understood in the context of the wider environment in which practitioners work.

Locally, WSS and WaSH workers concerned with implementation at the community level are bombarded with messages, exhortations and lectures about the importance of developing water and sanitation services. Few of them need to be reminded of the benefits that improving access to water and sanitation would bring to their constituents, who pay daily in health and financial terms for the poor services they receive.

Budgets that are allocated by central government departments for WSS and WaSH are often difficult to access, and are frequently underspent or diverted for other local priorities. Responsibilities for water and sanitation services, which are now decentralised in many countries, have not been accompanied by a commensurate transfer of financial powers, or administrative and professional capacity.

The predicament of local workers is described in a recent report by an NGO field officer (who shall remain anonymous):

'Turning money into water and sanitation is no easy task. Simply getting money and expertise to where it is needed poses real geographical and logistical challenges. Funding to the sector is highly fragmented. There is very limited integration of planning or reporting among actors. Government procurement procedures are a significant brake on budget execution, private sector implementation capacity is very limited, and failed installations are common.'

## An enabling environment

Local officials, community workers and WSS and WaSH professionals are often caught between the high expectations of the international community and severely limited administrative, professional and financial resources.

WSS and WaSH workers must be empowered to deliver better services. This entails better access to resources and acquiring the skills to deal with the demands posed by the environment in which they operate. The changes that need to be made are not entirely, or even primarily, within the powers of local workers – some involve reforms to their environment that have to be made by others, particularly in the higher echelons of government.

The capacity that local workers need to create for themselves in order to operate more effectively cannot be developed in isolation. The wider environment in which they work must also be considered. 'Capacity' is interpreted as *empowerment*, which can be thought of in terms of the following three layers:

- Reforms to the *vertical* relationships between local workers and others, especially the systems of planning, budgeting and allocation, enable resources to flow more easily from the centre to regions and districts.
- Local workers need to be responsive in a *horizontal* dimension to the needs and demands of their clients, constituents and key local stakeholders.
- Local workers need to create appropriate administrative and professional systems and institutions, and to acquire relevant skills to work effectively within them. These attributes include some that are of general and universal application, but others will depend on the specific features of their working environment.

## Vertical relationships

Enhancing the downward flow of resources requires reforms in sector programming and national budgetary processes, strategic financial planning and the role each has in the delivery of better local services.

## Sector programming

The effectiveness of foreign aid is often limited by fragmented donor efforts that can put an enormous administrative strain on recipient governments and increase the transaction costs of aid. Sector programming through SWAPs (sector-wide approaches to planning) addresses this. The method involves leadership by the recipient country or organisation, the use of a single comprehensive programme and budget framework and a formalised process for donor coordination. It also entails the harmonisation of procedures for reporting and budgeting as well as financial and procurement management.

An important aim of a SWAP is to increase the use of local systems for programme design and implementation, financial



Young girls drink water from a canal in Pakistan, where the water is often contaminated.

management, monitoring and evaluation. Donors are encouraged to use common channels of finance and procedures for key matters such as procurement and technical standards.

For SWApS to be successful, experience suggests that a strong and independent ministry of finance should take the lead. This ensures that sectoral allocations, financial management and accountability rest with the organisation that is typically best positioned to carry out these functions. Recipient governments also need to ensure that their own systems and procedures are robust, transparent and accountable in the eyes of donors.

#### National budgetary processes

In addition to foreign aid, central government budgets will remain crucial for providing sufficient financing, both for capital and annual recurrent items. Yet there is often a chasm between allocations appearing in central government budget statements and the availability of funds for spending by the agencies for which they are intended. National budgetary processes are needed to ensure that the structure of budgets (budget lines and classifications) are aligned with the realities of institutions, strategic categories and functions. Budget processes need to be more of a collaborative effort involving relevant stakeholders, thus making allocations more relevant and the process more transparent to users. Such collaboration would make it possible to develop sector information systems that

enable budgets to be related to objectives, functions and performance measures in the water and sanitation sector, and to review problems and obstacles in end users' access to funds and developing ways of streamlining processes.

In recent years, in response to the urging of the Camdessus Report for more 'decentralised' funding targeted at the grassroots level, several facilities have been created, notably the EU Water Facility and the African Water Facility. Injecting funds at this level is often more effective. These funds are particularly suitable for NGO projects.

#### Strategic financial planning

The third process at the national level that affects the enabling environment at the local level is strategic financial planning (SFP). SFP takes a long-term look at the financial needs of a sector, the factors determining those needs, the main sources of funds and the balance between them, along with how these financial needs can be met.

SFP requires transparent policy dialogue and a sound analytical base that is acceptable to all stakeholders. It is important to have a comprehensive overview of data on existing WSS and WaSH, and their costs – both operations and maintenance and replacements needs – as well as financing sources and flows (current and future) and assessments of alternative future options for service level achievement and funding. The needs analysis can be done using tools such as the FEASIBLE model used by OECD in Eastern Europe, the Caucasus and Central

Asia, and the SWIFT model used by the World Bank's Water and Sanitation Program (WSP) in Africa.

#### Horizontal relationships

WSS and WaSH workers have to interact effectively with members of local communities. There are five aspects of this horizontal relationship: stakeholder consultation, community involvement, demand-responsiveness, engagement with civil society organisations and recognition of the role of the private sector.

#### Stakeholder consultation

In a sense everyone is a stakeholder in WSS and WaSH. Lip service is paid to the importance of stakeholder consultation and dialogue, but often this does not work well (see the article on pages 10 and 11 of this issue). Many stakeholder meetings are full of government nominees, present to add legitimacy to decisions that have already been made. At the other extreme, stakeholders may be self-appointed and self-serving agitators with their own agendas. It is important to consider a broad range of local interests in the planning and management of local WSS and WaSH services, but they should be clearly defined, and the people invited should be those with genuine interest and dedication.

Serious stakeholder consultation can take time, and the justification for it is the value – and sustainability – it can add. The successful reforms in Senegal's water services over the last decade have relied on



Lineair / Jorgen Schytte

Local private enterprise in Ghana: women pay for buckets of clean drinking water.

the careful building of a consensus on objectives and policies. A concerted effort by all major stakeholders on the basis of this consensus resulted in the successful turnaround of the water sector. An important element was a financial model endorsed by stakeholders and used to support an iterative, participatory process of sector planning that has continued for the last ten years.

**Community involvement**

Most communities have a high level of collective responsibility for water services. Water systems are commonly owned and managed by a public authority or utility, which may have local accountability. Management and operations may also be delegated to private agents, and communal or cooperative management has been successful in some cases. In the Philippines, for example, low-income families in Manila rely on water provided in bulk at the local community level and then distributed to individual households by collective arrangements.

In sanitation a number of initiatives depend on a high level of community involvement. In South Asian countries and elsewhere, the Community-Led Total Sanitation Movement (CLTS) has been successful. Its model relies on local community initiatives, appropriate technology and strong peer-group pressure to achieve 100% latrine coverage in villages to replace the prevailing practice of open defecation. In different circumstances, the condominal systems of local sewerage networks in some cities in Brazil and Pakistan depend heavily on community involvement in their planning and implementation.

**Accountability and demand-responsiveness**  
A notable correlation exists between the quality of services provided and the attitude

of the supplier to the population served. In systems dominated by a prescriptive and technocratic mentality, users are rarely consulted about their service, or closely involved in decisions about implementation. In short, there is little real accountability of providers to their customers, and the concept of WSS and WaSH users as customers or clients (with choice and purchasing power) would appear a radical step. However, as services expand, consultation and involvement with potential customers will become important. For sanitation in particular, demand-responsiveness is becoming the preferred paradigm, replacing the former supply-oriented, hardware-fixated attitudes.

**Involvement of civil society organisations (CSOs)**

In developing countries a high proportion of WSS and WaSH programmes in rural and peri-urban areas are undertaken with the involvement of civil society bodies such as NGOs, community-based organisations, church groups, charities and other

philanthropic bodies. Many of the largest NGOs have an international origin, but most of these have strong local 'ownership' and act as channels for decentralised donor funds (for example, they have been major recipients of funds from the EU Water Facility).

CSOs can operate in regions where official governments have little presence. They are active in programmes such as sanitation that have not been official priorities. CSOs tend to be flexible operators, adapting to what the situation requires and able to form 'fit for purpose' partnerships with other local bodies as needed. Their staff are often able to work in situations that are no-go areas for government officials or official donor agencies. Conversely, CSO projects may be successful in their own terms but may not be replicable (or 'scaled up'). One of the most successful water supply projects in Ethiopia has been the Rural Water Supply and Environment Program in the Amhara region, supported by the Finnish International Development Agency (FINNIDA). The programme, based in a remote region, has minimal reliance on central administrative and financial systems. It is strongly demand-driven with full local ownership, relies on substantial financial contributions from participants and uses a local microfinance bank for holding and disbursing funds.

Another potential problem with CSOs is the fragmentation of administrative and professional efforts. Governments and NGOs must make a difficult choice: channel resources through official means to build sustainability and ensure replication – or allow a large number of semi-autonomous projects and programme to go ahead, many of which are likely to be successful in their own terms, but which add little to the collective capacity.

**Engagement with the local private sector**  
Many plans omit or minimise the role of profit-earning individuals or businesses. This may be due to cultural factors –

**District involvement in strategic financial planning in Uganda**

SFP has proven helpful in the development of a national sanitation and hygiene programme in Uganda, with the active involvement of district managers. In the 1990s, integrated WSS projects were launched to ensure that both water and sanitation needs were met in rural areas. It was quickly recognised that hygiene promotion was a key ingredient, particularly as water supply was in higher demand than sanitation and in most cases more heavily subsidised. Health and sanitary inspectors employed at the district level were in the best position to carry out and maintain this type of extension service. As salaries and motivation were very low, and transport and allowances almost non-existent, the projects provided generous payments and transport.

In 2000 rural WSS was fiscally decentralised, and the special project arrangements came to an end. Sanitation and hygiene had to compete with health services such as HIV/AIDS and malaria. As a result, expenditures on hygiene promotion and environmental health education fell rapidly. The SFP was instrumental in exposing this drastic fall in expenditure and some of the reasons for it, and triggered the creation of earmarked funds. In the short term these funds revived the morale of existing networks and gave them a new lease on life. This enabled them to prove their cost-effectiveness in the prevention of water-related disease and stake a firm claim on district health budgets.



Drawings are used for health education to illiterate villagers, in Um El Kher, Sudan.

officials and NGO workers inhabit different worlds than entrepreneurs, but there may also be ideological hostility. Actually, 'private' involvement is unavoidable, whether in the form of 'in-kind' efforts by individual households or people selling water to neighbours, local artisans and small businesses, local operators and the like. In particular, the important role of existing small-scale operators could be recognised and they could become part of the solution.

It is estimated that small-scale operators (SSOs) serve 50% of urban populations across Africa. SSOs are typically financed by personal equity, profits from other businesses, community contributions, or short-term credit from local banks or microcredit agencies. They face a number of constraints on their expansion, and they commonly lack legal recognition, which amongst other things prevents them borrowing from commercial banks. The award of legal status may be essential for scaling up. In Uganda SSOs are formally part of the solution for water supply in small towns, and local authorities are required to enter management contracts with private operators. Mauritania has a similar arrangement.

Apart from formal recognition, water authorities could also offer SSOs contracts for the sale of bulk public water at agreed prices, agreements on the tariffs charged for publicly obtained water sold on privately, the adoption of technical and water safety standards, and so on. Governments may find it easier to deal with associations of

SSPs – hence the German Technical Cooperation Agency (GTZ) support for the Association of Private Water Operators of Uganda.

### Building the capacity of local institutions

Local WSS and WaSH managers and workers are on the front lines of delivering services to their communities. They need effective local institutions for them to operate in, and personnel must have appropriate skills for their tasks. There is a two-way interaction: institutions are shaped by the people working in them, and the people in turn are affected by their institutional homes.

Institutions are very context-specific, but if they are to relate effectively to the vertical and horizontal forces depicted earlier they need certain general qualities: demand-responsiveness, a collaborative work ethic, some flexibility and resourcefulness in coping with unpredictable events, sufficient authority in the local community and among peer organisations, a framework of accountability for results, a capacity to take the long and broad view and so on.

If this is an accurate portrayal of the institutional environment in which they operate, then typical local WSS and WaSH managers and workers should have an understanding of the following issues (among others):

- National and local budgetary processes, and how to make a good case for official allocations.
- Basic elements of accounting, financial management, stock control and personnel management.

- Presentation of project proposals to external donors and NGOs.
- Management of stakeholder consultation exercises and processes
- Knowledge about how to conduct surveys of potential users and customers to determine their needs and preferences.
- Relevant issues pertaining to discussions with other closely related professions, especially in education, public health and agriculture.
- What local private businesses can bring to service delivery, what their potential contributions are, and how can they be managed, contracted and regulated.

In a just and ideal world for such skills they should be paid like kings. In reality, they are more likely to be paid as paupers. <

### Further reading

- Wimpenny, J. (2003) *Financing Water for All*. Report of the World Panel on Financing Water Infrastructure. Global Water, Partnership/World Water Council.
- WaterAid Ethiopia. (2006) *Private sector participation in water supply and sanitation*.

### Links

- The EU Water Initiative offers relevant material including a useful guide, *Financing water infrastructure and services: an introductory guide for practitioners in developing countries*: [www.euwi.net](http://www.euwi.net)
- To contact the EU Water Facility: [europaaid-water-facility@ec.europa.eu](mailto:europaaid-water-facility@ec.europa.eu)
- The Water and Sanitation Program (WSP) is a multi-donor partnership administered by the World Bank. (WSS) [www.wsp.org](http://www.wsp.org)



**Mr Abebe Ayenew**

Director of research and development at the Ministry of Water Resources, Addis Ababa, Ethiopia.

Coordinating multi-stakeholder efforts

# Water access and sanitation in Ethiopia

Heinz Greijn talks with Mr Abebe Ayenew about Ethiopia's efforts to achieve the water and sanitation targets of the Universal Access Plan by 2012.

**Mr Ayenew, more than 250,000 Ethiopian children die each year from diseases related to poor sanitation and hygiene – the causes of 60% of the overall disease burden in the country. On average, access to safe water supply in rural areas is 49%. Given the pace at which water, sanitation and hygiene (WaSH) programmes in the country are being implemented, do you believe the water and sanitation targets of the Universal Access Plan will be achieved by 2012? Which specific capacities require strengthening most urgently?**

I believe we will achieve the targets of 98% water and 100% sanitation coverage set for 2012. However, capacity development is particularly required at the *woreda* (district) level. Capacity needs at this level include procurement and financial management, as well as technical knowledge. The Ministry of Water Resources has just conducted a mid-term evaluation of our progress, which resulted in some adjustments to our strategy. We will now focus more on low-cost technologies that are suitable to local conditions and will require substantial community involvement. These include hand-dug wells, roof water catchment systems and spring development. We have discussed these strategic adjustments with the regional bureaus and the donors.

**Fragmentation of donor support can also be a major obstacle. Ethiopia is supported**

**by dozens of donors and hundreds of NGOs, each with its own criteria and procedures. How is the Ethiopian government addressing this issue?**

This is certainly a problem in Ethiopia. The government has established a multi-stakeholder forum at the national level in which donors, NGOs and CSO participate. The Ministry of Water chairs the forum together with the Ministries of Health and Education. The purpose is to coordinate and prevent duplication of efforts. This forum is essential for tackling this problem of donor fragmentation. In the future similar forums will be established at the regional and *woreda* levels.

I want to highlight the Research-inspired Policy and Practice Learning in Ethiopia (RiPPL) programme. Although the focus of RiPPL is learning, the programme is also helping to improve coordination of multi-stakeholder efforts. Learning and Practice Alliances (LPAs) have been established in selected *woredas* and in three regions, and one LPA has been established at the national level. At all levels RiPPL brings together groups of stakeholders from various organisations to discuss issues of joint interest. Participants may be professionals working at the national, regional or *woreda* level. The RiPPL programme encourages these professionals to stay in touch with each other and exchange views and experiences, during and also between meetings.

The first phase of the RiPPL programme provided some important insights about governance, financial planning and sanitation. The goal of the second phase is the implementation of two long-term action research studies in close collaboration with institutional partners from the regional LPAs.

**When I visited Ethiopia about a year ago I found that, at the regional level, data on water, sanitation and hygiene were scattered, and some crucial information seemed to be missing. Typically, the Department of Water Supply had data about water supply coverage, the Department of Education had information on sanitation in schools, and the**



Alamy / Neil Cooper

Women and children at village water taps installed by a western charity in Shoa, Ethiopia

**Department of Health had information on the incidence of disease. Data were kept separate from each other. Nobody had a complete overview of resources, or data about disease prevalence, so it was very difficult to determine where investments and interventions were most urgently needed. As a result, some communities had many development agents, while others with high disease incidence received no support. How is the Ethiopian government tackling this problem?**

The government has recognised this problem and has initiated the development of computerised monitoring and evaluation management information systems (M&E-MIS) for water supply, sanitation and hygiene programme consultancy services. This project is supported by the World Bank. When the system is in place, policy makers and practitioners at the Ministry of Water Resources, the regional water resources Bureaus and representative *woredas* and towns can access all the information they need. The RiPPL programme has also done a lot of good work in the area of collecting data from different sources and bringing these together in maps. <

## The mapping component of the RiPPL program

The guiding principle for the mapping component is that organising and displaying information on maps is useful for planning and implementing WaSH services, particularly in engaging different stakeholders. Making maps that combine different datasets, such as rainfall, geology, water points and population density can be a good starting point for discussions among stakeholders about improving WaSH services.

Source: [www.rippleethiopia.org](http://www.rippleethiopia.org)

Promoting the use of sanitation facilities in India

## A beauty contest for toilets

Providing sufficient toilet access is key to meeting health and sanitation targets. But it is difficult to ensure the proper use and maintenance of facilities.

An innovative post-tsunami project in a remote Indian village has provided a timely reminder that behavioural change is a slow process requiring local ownership and 'out of the box' thinking.

In the aftermath of the 2004 Asian tsunami, two non-profit organizations were created – Friend-in-Need (FIN) Trust in India and its partner organisation, Association Un Ami, in France. Their purpose was to initiate rehabilitation projects in the isolated village of Kameshwaram, along the Tamil Nadu coast in southeast India.

In collaboration with UNICEF and SCOPE, an Indian NGO, FIN Trust mobilised resources to build approximately 250 toilets. These toilets would provide sanitation coverage for 20% of the village.

### Elevating the status of sanitation

During a monitoring mission three months after the toilets were built, we noticed a distinct gender divide in the use of the toilet facilities. Although women appreciated the security and privacy, the majority of the men continued to use the open fields, just as they had always done.

It was clear to us that we would need to have frank and open discussions on this subject in order to improve sanitation practices in the village. During home visits we had noticed that the prized area in many houses was the corner dedicated to the

television. The television cabinet was often decorated with pictures of gods, ancestors and other family knick-knacks, so that it resembled the prayer and ancestor worship area in a traditional home. As can be expected, no one said, 'you must come see our new toilet, I'm so proud of it'!

This simple observation led to an idea: what if we could make villagers as proud of their toilet as they are of their TV areas?

### A beauty contest for toilets

This is how the idea for a Kameshwaram beauty contest for toilets came about. The first contest, held in July 2007, was only open to families in which both men and women used the toilets. Substantial cash prizes were awarded to winners, which were equivalent to an average monthly family income of about Rs.4000.

The next step was to develop criteria on which the toilets would be judged. The project had promoted the construction of the simple but effective EcoSan toilet system, in which dry waste is separated from liquid and converted into fertiliser for the garden. To enhance this holistic approach we came up with three interrelated 'sub-contests': the productivity and layout of the kitchen garden, the external appearance and cleanliness of the toilet and its immediate surroundings, and any innovation introduced in the functionality or structure of the toilet.



Shyama Ramani

shyama\_ramani@yahoo.com

Friend-in-Need (FIN) Trust, India

Three prizes would be awarded for each sub-contest: a first prize of Rs.5000 and runner-up prizes of Rs.2500 and Rs.1500. All other participants would receive Rs.150.

### Successful outcome

Even before judging began, it was clear the competition had succeeded in raising the profile of sanitation issues. The participation rate of 71% families revealed record numbers of men using toilets.

A year after the end of the first competition, it was more common for men to use toilets, and toilets were viewed as an essential part of a home. There has been increased demand for toilets, with an additional 100 toilets built so far. The project is raising additional resources to ensure complete coverage in the village. Because of the increase in toilet use, the government has designated Kameshwaram a model village, and the EcoSan toilets attract regular visitors. The next contest is scheduled to begin in May 2009. Given the enthusiasm they have generated, it is clear that the toilets are now widely regarded as tools for gaining social visibility and prestige.

It is important to keep in mind that maintaining toilets is an added burden, especially for women and poor households. It is necessary to focus on communicating the long-term health and economic advantages of good hygiene, and to use competitions to reinforce good practices.

Linked to this is the need to ensure a fair and objective competition that is not influenced by social class and political dynamics within the village. The use of unbiased judges from outside the village is an important element of building the trust of participants.

Finally, it is essential to document and publicise the innovations or best practices introduced by the winners. Future competitions will incorporate preparatory workshops to give villagers an opportunity to share improvements, and to learn about good sanitation practices. <

### Links

[www.friend-in-need.org](http://www.friend-in-need.org)



# Involving communities



By **Ruud Glotzbach**  
rglotzbach@snvworld.org  
Netherlands Development Organisation (SNV)

**Jackson Wandera**  
jwandera@snvworld.org  
SNV

Agencies and national governments are increasingly involving local communities when developing water and sanitation systems. Despite this, the functionality of systems in East and South Africa remains weak.

Experts believe that community involvement is necessary for the development of water and sanitation systems. But increasing the involvement of local communities has not had a significant impact on the success of these systems. Most systems do not supply water on a large scale, and their prospects for long-term sustainability are weak.

The issue of sanitation has received far less attention from policy makers than has water supply access. In most cases, the development and management of sanitation facilities takes place at the household level, whereas a water supply facility is often a communal concern.

This article, based on SNV's experiences in Ethiopia, Kenya and Tanzania, describes ways to improve management of both water and sanitation facilities. We make a case for an integrated approach to water and sanitation that can improve health conditions in communities.

## Community participation: water supply

A 2008 water point mapping study undertaken by SNV in ten rural districts of Tanzania reveals that 43% of 6109 existing water points are no longer operational. Only two thirds of people in the ten districts have access to safe drinking water. However, the number drops to one third when functionality is taken into account.

The study concludes that access is limited by such factors as poor location of the water source, inappropriate technology, substandard quality and uncertainty about the ownership of the water source. Most community members were not consulted during the preparation phase of water supply development, yet the facilities were built and subsequently handed over to the communities to operate and maintain. In cases where consultations did take place, only community leaders were involved. Those most affected by the lack of a functional water supply system, notably women, were not included. In spite of decades of experience in developing systems for water and sanitation, genuine community involvement during all stages of water supply development leaves much to be desired. What communities need – including technology, level of service, access to spare parts – are all too often ignored.



Children from the Karimojong tribe at a waterpump, in East Africa.

## Improving community participation in Tanzania

To give more voice to communities, Tanzania has established District Water and Sanitation Teams (DWSTs). A DWST facilitates community meetings and discusses the benefits and limitations of different options so that communities can make informed choices. A DWST also trains community members in required skills and provides support for major repairs or expansions of water supply systems.

In the late 1980s, a gravity flow water supply was constructed in the Mvomero district, to provide drinking water to three villages. But as the population of the villages increased, the supply was no longer sufficient. The local water committee tried to find a solution by setting up a distribution system. This system provided water from a tap at specific hours. Although this temporarily solved the problem, a long-term solution would involve increasing the water flow. This meant a major expansion of the project.

The community lacked the technical knowledge to undertake the work, and in 2008 sought support from the DWST in Mvomero. Several meetings between the community and the DWST were held. The result was an action plan, whereby the DWST committed technical assistance and materials (cement, pipes and fittings), and the community provided local materials and labour for excavation and transporting materials to the sites.

Although work is still in progress, the situation has improved vastly. More water is available, and users have shown increased willingness to pay for the operating costs of their water supply. The project also helped the DWSTs gain recognition and hence credibility as a government agency.

## Community involvement in sanitation

Communities also make sanitation a lower priority than water supply access. Water supply is considered a communal concern, whereas sanitation and hygiene are seen as having much more to do with an individual's behaviour. Throughout East and South Africa, the focus of sanitation programmes has largely been on latrine coverage at the household level, which is only part of the solution.

Sanitation programmes should focus more on community involvement, and they should go hand in hand with water supply programmes. Communities lose the benefits of safe drinking water if they do not also have proper sanitation.

This is the rational underlying the Community-Led Total Sanitation (CLTS) approach, which is currently gaining popularity in a number of African

countries. CLTS seeks to 'shock, shame and encourage' action to create a clean and hygienic environment. Hand washing with soap or ash and other hygiene-related behaviours are encouraged. During the community planning and assessment process of CLTS, other aspects of hygiene behaviour change are identified. The focus shifts from mere toilet construction for individual households to the creation of open defecation free (ODF) villages. Over time, ODF villages move up along the sanitation ladder, improving the structure and design of their toilets. The boxes (right) describe the outcomes of three CLTS initiatives that took place in 2008.

Another promising approach is to start WaSH programmes in schools which consist of establishing water supply, toilets and hand washing facilities where there is a serious lack. For example in ten schools in Mwanza, Tanzania, 8,453 pupils share 57 latrines. This amounts to approximately 1 latrine for 150 pupils, whereas the Tanzanian standard is 1 latrine for 20 girls and 1 for 25 boys. One advantage of WaSH programmes focusing on schools is that they directly reach out to large numbers of children. Hygiene promotion and awareness creation as part of the broader education curriculum can positively influence the behaviour of children. These children can become change agents spreading sanitation and hygiene messages in their communities.

## Conclusion

During the International Drinking Water Supply and Sanitation Decade (1981-1990) governments were encouraged to '*increase the attention devoted to health education and community participation and to the need for close operational linkages between health and water supply agencies*'. Nearly 20 years later, genuine community participation is still lacking, and the links between water supply programmes and sanitation programmes are often weak. On a positive note, we see that in ESA countries integrated approaches with serious community involvement are gaining ground. However, the pace of adopting these approaches is too slow to achieve the Millennium Development Goals (MDGs) by 2015. With the current trend it is estimated that by 2015 in sub-Saharan Africa 234 million people will still lack water and 317 million will lack sanitation. <

## Further Reading

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## CLTS approach in Southern Ethiopia

In 2008, SNV Ethiopia supported local government authorities in six districts of Southern Ethiopia to implement CLTS in 52 villages and help them achieve ODF status. SNV, together with six local capacity building institutions (LCBs), trained 250 government staff and seven NGOs.

The following lessons were learned:

- Strong facilitation skills are crucial. The change process requires effective communicators who need not necessarily be technical people.
- The participation of outsiders in the launch and follow-up sessions is essential to evoke behavioural change.
- Sustaining the process and participation of the community requires recognition of community efforts by peer communities and government authorities.
- Involvement of LCBs and local NGOs deepens the community understanding of the CLTS concept, sustains the process and assists in scaling up the process across the wider community.
- Including local leaders in comprehensive advocacy sessions at the district level fosters participation.
- School and village representatives should be members of the local CLTS team and participate jointly in all steps of the CLTS exercise. The village community should transect where pupils defecate, calculate the volume of fecal matter from the school and discuss its impact on the village. In the village CLTS action plan the school should be considered as a household in the village with special needs.
- Commitment of local leaders of key social institutions such as churches, mosques and so on must be obtained to enhance an active role in CLTS implementation and follow up.

## WaSH programme, Isiolo, Kenya

Water, sanitation and hygiene (WaSH) programmes have also helped improve sanitation in Kenya. School WaSH facilities (water supply, toilets, hand washing facilities and disposal of cleaning materials) in many rural and urban schools do not meet the required standards, or don't exist at all.

An SNV Kenya School WaSH programme in the Isiolo district of Kenya had the following three components:

- Initiating CLTS in seven schools.
- Organising school management committee (SMC) action planning workshops (SMCs identified problem areas in their school and prepared plans to address them).
- Monitoring the implementation of the SMC action plans in the schools.

The schools, selected by the district education office, were based in areas where communities practiced open defecation and placed no priority on sanitation and hygiene. Because facilities in the schools were dirty and inadequate, the students had turned to open defecation. This practice was also rampant at home, because the majority of the homesteads didn't have latrines. The students revealed the defecation areas, which caused embarrassment to the SMCs and parents.

Further discussions took place with the SMC, parents and students about the links between what happens at home and what happens at school. Because many students practiced open defecation at home, they were likely to do so at school as well. Most of the parents have now resolved to construct latrines at home. The SMCs have developed plans and submitted budgets to meet the Kenyan standard of 1 latrine for 25 girls and 1 for 35 boys

## CLTS approach in Schools, Eldoret, Kenya

In Eldoret, a 2008 'routine' assessment of 42 public and 94 private primary schools by the municipal education department identified the lack of school sanitation and hygiene as one of the key issues affecting school performance of 47,000 enrolled pupils.

The municipal education and public health departments, the water and sanitation company (ELDOWAS), Uasin Gishu District Environment (NEMA) office and members (including NGOs and PSOs) of the Eldoret 'Green Town' initiative hosted a stakeholder meeting. The purpose was to assist 30 participating public schools in leading the development of WaSH improvement plans.

As well as focusing on water and sanitation facilities, training events targeting SMC, pupils and parents address the contributing factors to behavioural change. These include hygiene education (content and approaches), hygiene practices, greater appreciation of sanitation facilities (environments conducive to proper usage) and linking hygiene practices in pupils' homes to the community at large.

To monitor performance and provide an incentive to participating schools, the scope of the school environment competition (for the best progressing and performing schools) has been widened to include:

- water: quantity, quality, distance to source, conservation, utilisation and maintenance;
- sanitation: gender-specific pupil/toilet ratio, minimum design standards, cleanliness and innovation; and
- hygiene: hand washing and disposal of sanitary towels.



**Barbara van Koppen**  
 b.vankoppen@cgiar.org  
 Southern Africa Regional Program  
 International Water Management Institute  
 Pretoria, South Africa

### Multiple-use water services

# 'More MDGs per drop'

Top-down approach water programmes assume people use water for a single purpose. A 'multiple-use water services' approach can unleash massive productive capacity in households and communities.

People use water for many purposes, including drinking, cooking, washing, farming and small-scale enterprises. This is especially true for people in rural and peri-urban areas whose livelihoods depend on diverse, agriculture-based activities that require water.

But the mandates of government water departments and the top-down approach of many international water programmes often assume people use water for one purpose, and sometimes prohibit people from using water for anything else. The domestic sector focuses only on meeting people's basic water needs for drinking, cooking, personal hygiene, sanitation and other domestic uses. The productive water sectors focus on watering plants and supplying water to animals for food security and income. They tend to think large-scale and ignore that the homestead is often the preferred site for small-scale production. This single-use approach of the water sector fails to match people's multiple water needs.

#### Reality check

Everywhere, people use systems designed for a single use – as either a 'domestic' system or a 'productive' system – for multiple purposes. Cattle drink from and people bathe in irrigation canals. Water from domestic pipes is used for homestead cultivation, livestock watering and small-scale enterprises. These uses provide vital livelihood benefits. However, they may damage canals or deprive users of the same piped system of their basic domestic needs.

The distinction made between 'domestic' and 'irrigation' water does not fully match the reality on the ground. Taking into account these realities has various advantages. Planning for how people actually use water can help prevent damage to and deregulation of systems. Building on people's own needs and practices increases the likelihood that systems will become more sustainable. Last but not least, livelihood benefits of investments in water services are higher. Multiple-use water services not only contribute to achieving access to safe water for domestic uses and sanitation, but directly

and indirectly contribute to all the MDGs, provided they are well targeted at the poor. This provides 'more MDGs per drop'.

It does not take much to understand multiple-use water services and consider all uses from a livelihoods perspective. According to Johny Hernández of Honduras' national water utility Sanaa, 'multiple-use service is all about changing perspectives. Once you would see someone irrigating tomatoes and you would think he is wasting water. Now you would say he is making a good and economic use of water'.

This article focuses on two forms of multiple-use water services: homestead-scale multiple-use water services and community-scale multiple-use water services.

#### Homestead-scale multiple-use water services

Homestead-scale multiple-use water services have perhaps the most potential to contribute to achieving all MDGs. The domestic sector often uses a 'water services ladder', which relates water uses with service level: the access to safe water that is sufficiently near to homesteads. This ladder

assumes that up to 100 litres per capita per day (lpcd) is used for domestic purposes.

But the reality is different, particularly in rural and peri-urban areas, as was found in the action research by the CGIAR Challenge Program on Water and Food (CPWF). This study found that, wherever water is reliably available and sufficiently near to the homestead, people use it for domestic and productive purposes. A 'multiple-use water ladder' better reflects reality. The table on page 13 shows which domestic and productive water needs are met at different service levels.

#### Benefits offset higher costs

The far-reaching policy implications of the multiple-use water ladder are that service levels for homestead-scale water uses should be double or triple the quantities that are usually considered when setting targets in largely unserved areas in sub-Saharan Africa or South Asia. These higher service levels allow for productive as well as domestic uses. Thus, multiple-use water services that ensure 50-100 lpcd (intermediate-level MUS)

### Southern Africa Development Community (SADC)

As an example of community-scale multiple-use water services, the Southern Africa Development Community, supported by the Danish International Development Agency (DANIDA), has piloted such an approach in seven communities in Malawi, Mozambique, Namibia, Swaziland and Zambia (where it was called 'community-driven water resource management'). With this approach, a participatory process is facilitated in which communities make their own spatial assessments of all existing water resources, informal and formal technologies, and their uses and users. Problems are identified and a long-term vision is formulated of the desired water resources development and management situation in their community. This generates a number of options for short-term interventions. Then, representatives of all women and men, the poor, crop cultivators and cattle owners, irrigators and farmers of rainfed land, members of the traditional chiefs' clans, and elected political party members in local government negotiate the ranking of these priorities. Activities are then selected within the available budget. After elaborating concrete action plans with price tags, the budget allocations are finalised and implemented.

The seven communities prioritised a wide range of interventions: new boreholes with hand pumps, rehabilitation of existing boreholes and wells (such as excavation), new construction and rehabilitation of cattle dams, rehabilitation of a dike in a flood plain for water retention, upgrading village reservoirs, a new weir in a hill stream, new irrigation schemes, improved toilets, piped water supplies to homesteads for multiple uses, electric boreholes for both homesteads and gardens, a communal solar pump and individual petrol pumps for field irrigation, invasive tree species eradication and commercialisation, market linkages and training in conservation agriculture.

or more (high-level MUS) allow households to use water for significant productive activities. Of course, it is more expensive to provide water for more than just basic domestic needs. However, calculations have shown that the income gained makes quick repayment of the hardware and software investment costs possible. Net income is usually sufficient to repay within a six months to three years. Also, there are innovative ways to use more sources of water, such as harvested rooftop water, which is stored for drinking purposes, while homestead ponds, irrigation canals or piped systems for domestic uses are used for purposes that do not require such high water quality. Such water can also be used for productive purposes.

Who pays for the investments is a different question, and is not specific to multiple-use services. In both the domestic and productive sectors, most or all capital investments in infrastructure tend to be subsidised, while operational costs should be borne by the users. This can also be agencies' preference in delivering multiple-use services. As water needs for productive uses tend to vary according to the size of the farm or enterprise in which water is used, diversity in access to water tends to grow under multiple-use water services. Offering more choice in service levels to individual community members can address this. Subsidies would be targeted to the poor for intermediate-level MUS, while wealthier people who want more water should get this on a full cost-recovery basis. Subsidisation remains essential to reach the poor.

### Pro-poor and gender equitable

Homestead-scale MUS is particularly pro-poor and gender equitable. The land surrounding homesteads is often all that is available to resource-poor farmers. Youth-headed households, the elderly or sick often lack the capacity to produce elsewhere. Women tend to have a stronger say over the use of produce at and around homesteads than at distant fields. These food security and income benefits add to the well-known importance of domestic water uses for health of the family and the alleviation of the burdens of especially women and girls. Women can use the time freed up for productive activities, family care, or leisure, and their daughters can attend school. Moreover, use and re-use of water, soils and organic matter at homesteads significantly enhance productivity. In sum, provided that services effectively reach the poor, homestead-scale multiple-use water services ensure 'most MDG per drop'.

### Community-scale multiple-use water services

Although homestead-scale multiple-use water services are likely to be communities' first choice, particularly for women, water is also used to irrigate crops or trees at distant fields. Further, people use water by directly accessing open water bodies such as streams,

## Multiple-use water ladder\*

Service level	Volume (litres per capita per day)	Distance to homestead/time roundtrip	Water needs met
High-level MUS	>100	At homestead	All domestic needs; combination of livestock, garden, trees, and small enterprises
Intermediate MUS	50-100	<150 m; < 5 min	All domestic needs; livestock, garden, trees, or small enterprises
Basic MUS	20-50	<500; < 15 min	Most domestic needs; some livestock, small garden or trees
Basic Domestic	< 20	>500; > 15 min	Very few domestic needs; basic livestock

\* See Capacity.org website for a comparison to the single-use ladder.

For each step on the multiple-use water ladder, 5 lpcd should be safe for drinking. With point-of-use treatment technologies (filtration, chemicals) one can safeguard the quality of such quantities of water, even if the larger quantities of water are not of potable quality.

lakes, village reservoirs or irrigation canals, also if it is 'illegal'. Open water is used for livestock watering, fisheries, laundry, enterprises and so on. Community-scale multiple-use water services moves up to this higher scale of the level of one or more hamlets, communities or even a sub-basin. It considers all sources, water uses, and sites of use in a holistic manner within the spatial lay-out of communities' land- and waterscapes.

This is also the scale at which communities themselves have historically developed and managed their multiple water resources. Many water projects tend to ignore communities' existing water arrangements. They focus on a single end-use and also on one single site of use. All too often, projects create another layer of infrastructure, without building on existing infrastructure and institutional arrangements and on people's ideas and priorities. The project conditions and time pressure to 'deliver' often render a participatory process impossible, even though this often affects the sustainability of the support provided. In 'community-scale multiple-use water services' the planning and design of water infrastructure is done in a participatory way.

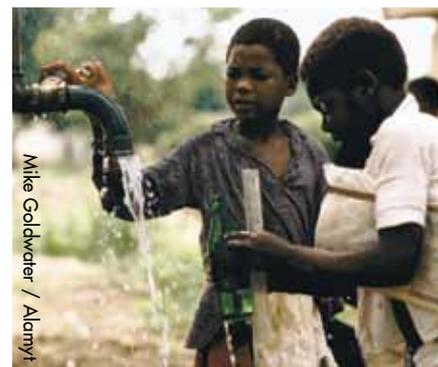
### Local government

Local government is pivotal for delivering both homestead-scale and community-scale multiple-use water services for many reasons. These reasons include its permanent presence; knowledge of local needs; networking with community leaders for mobilisation, ensuring inclusiveness, own contributions, and conflict resolution; its ability to call upon technical expertise from line agencies where needed (such as dam safety); coordination of donor and government funds allocation; synergies in

monitoring of various development initiatives; shared use of expensive building equipment; and timely maintenance and repair of infrastructure to ensure sustainability. Empowering local government, while ensuring accountability to communities is, therefore, an important step to realise multiple-use water services. <

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Mike Goldwater / Alamy

# Improving district level leadership



**Carmen da Silva Wells**  
 dasilvawells@irc.nl  
 IRC International Water and Sanitation Centre, the Netherlands

**Patience Turyareeba**  
 pturyareeba@snnworld.org

**Brecht Mommen**  
 bmmommen@snnworld.org  
 SNV Uganda

Improved water supply and sanitation services are key priorities of Uganda's Poverty Eradication Action Plan. Statistics show there is a lot of work to be done. Latrine coverage stands at 62% nationally, and 79% of these latrines lack hand-washing facilities. In schools, there is an average of 69 students per latrine.

Sanitation and hygiene are not priorities at the district level. Limited funding (budgets for sanitation lag far behind those for water supply), the low profile and priority of sanitation and hygiene and the division of responsibilities and funding among departments that have other key priorities hamper progress.

Since 2001, responsibilities for hygiene and sanitation have been divided between district-level water, health and education departments. This has resulted in the fragmentation of activities and budgets. The Primary Health Care Grant (PHCG) and the Water and Sanitation Conditional Grant (WSCG) are the main funding sources for sanitation and hygiene, but neither have clear earmarks for these issues. Because of this, some districts have largely ignored sanitation and hygiene problems. After distribution of earmarked funds for medication, all other public health interventions, administrative and other recurrent costs, on average as little as 2% of the PHCG is allotted to sanitation and hygiene. WSCG funds are limited to water source protection rather than excreta management.

An additional constraint is the lack of manpower at district and subdistrict level to effectively implement and monitor sanitation

Uganda is a frontrunner in East Africa in water and sanitation reforms, but it is struggling to achieve its sanitation and hygiene-related Millennium Development Goals (MDGs). More district level leadership is needed.

and hygiene programmes. As a result, outreach to households, sanitation awareness raising and hygiene monitoring – vital for achieving the MDGs – are neglected.

## Learning at the district level

Conditions vary substantially across Uganda's 80 districts, and official coverage statistics do not reflect the condition or use of latrines. Outbreaks of fecal-related diseases such as cholera continue to occur. To address these issues in districts with particularly poor sanitation, the IRC International Water and Sanitation Centre, the Netherlands Development Organisation (SNV) and the Network for Water and Sanitation (Netwas Uganda) launched the Learning for Policy and Practice in Sanitation and Hygiene (LeaPPS) programme. The programme has been implemented in the districts of Kyenjojo, Kamwenge, Arua and Koboko.

LeaPPS brings together groups of people who work in hygiene and sanitation improvement, which includes politicians, local government staff, community members, donors, researchers and private sector providers. Many of these groups have operated in an uncoordinated way, in isolation from each other. Many lacked access to information and guidelines developed in Kampala or practical lessons learned elsewhere. LeaPPS aims to foster stronger coordination and information sharing for improved hygiene and sanitation at the household and community level and in primary schools.

In 2007 and 2008, six multi-stakeholder learning sessions were attended by local politicians, district level staff, NGOs and CBOs, the private sector and representatives from two subcounties in each district. These sessions provided an opportunity for joint analysis of challenges and learning needs, which were then addressed through capacity building activities such as training, action research and case studies. Participants' interests and capacity building needs determined the learning agenda and were addressed through presentations, group work, discussions and field visits. Subjects included social marketing and participatory methods, effective bylaws and

enforcement, low-cost innovative technologies such as Ecological Sanitation (EcoSan), the links between HIV/AIDS and water, and raising the profile of sanitation and hygiene.

## Lessons learned

LeaPPS participants have developed their capacity to set performance targets, monitor and analyse their achievements and be innovative in their approaches. Although some progress has been made improving coordination and information sharing between local governments and civil society organisations, this remains a challenge.

Participants in the LeaPPS sessions learned the following conclusions:

- The LeaPPS model helps stakeholders identify their capacity needs.
- Learning is most effective when it builds on existing needs and programmes.
- Information needs to be better trickled down to the subcounty level. <

## Links:

- Water and Sanitation Resource Centre, Uganda: [www.watsanuganda.watsan.net](http://www.watsanuganda.watsan.net)
- IRC International Water and Sanitation Centre: [www.irc.nl](http://www.irc.nl)
- SNV: [www.snnworld.org](http://www.snnworld.org)

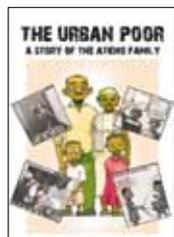
## Further reading:

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## PUBLICATIONS

This section offers a selection of publications related to capacity development. A more extensive list can be found at [www.capacity.org](http://www.capacity.org).

### The Urban Poor: A Story of the Atieno family



Kenyan Artists Joseph Nzomo and Salim Busuru created this comic strip that tells the story of the characters' lives in the slums. The story was prepared for the IRC Symposium Sanitation for the Urban Poor, 19–21 November 2008. The publication can be downloaded from the IRC website.

[www.irc.nl/page/45011](http://www.irc.nl/page/45011)

### Handbook on Community-Led Total Sanitation (CLTS)

K. Kar with R. Chambers, 2008



This handbook on Community-Led Total Sanitation (CLTS) aims to enable communities to analyse their sanitation conditions and collectively understand the impact of open defecation on public health and their environment.

[www.plan-international.org](http://www.plan-international.org)

### Towards Effective Programming for WaSH in Schools: A Manual on Scaling Up Programmes for Water, Sanitation and Hygiene in Schools

IRC and UNICEF, 2007

This manual deals with school water, sanitation and hygiene education. It describes many of the elements needed for scaling up programmes for water, sanitation and hygiene in schools while ensuring quality and sustainability. The manual is meant for government, UNICEF and other NGO staff responsible for programming WaSH in schools.

[www.irc.nl/page/37479](http://www.irc.nl/page/37479)

### Tackling a global crisis: International Year of Sanitation 2008

International Year of Sanitation organisation

This publication provides an overview of the issues related to providing basic sanitation to all and includes a bibliography of cited references.

Around the world, 2.6 billion people do not have a clean and safe place to use for performing their bodily functions - they lack that basic necessity, a toilet. This hidden global scandal constitutes an affront to human dignity on a massive scale.

To put the spotlight on sanitation, the UN General Assembly declared the year 2008 the International Year of Sanitation. The goal was to raise awareness and to accelerate progress towards the Millennium Development Goal (MDG) target of reducing by half the proportion of people without access to basic sanitation by 2015.

For more information visit the International Year of Sanitation website at <http://esa.un.org/iys/>

or UN-WATER: [www.unwater.org](http://www.unwater.org)

### Safer water, better health: Costs, benefits and sustainability of interventions to protect and promote health

World Health Organization (WHO), 2008

The first report depicting country-by-country estimates of the burden of disease due to water, sanitation and hygiene, and highlights how much disease could be prevented through increased access to safe water and better hygiene. This comprehensive overview provides the epidemiological evidence and economic arguments for fully integrating water, sanitation and hygiene in national disease reduction strategies – a prerequisite to achieving the Millennium Development Goals (MDGs). It also provides a basis for preventive action by all relevant sectors responsible for managing critical water resources and services in support of public health efforts. Lack of safe water, sanitation and hygiene remains one of the world's most urgent health issues.

<http://whqlibdoc.who.int>

### Working together to improve aid effectiveness in the water sector

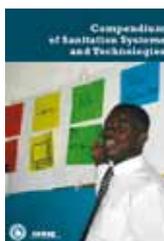
C. Fonseca and C. Diaz, IRC International Water and Sanitation Centre, 2009

This mapping exercise was initiated by the Africa Working Group of the European Union Water Initiative to assess levels of European Union Member States' funding to water supply and sanitation. The study concludes that 30% of European ODA to the WaSH sector in Africa is allocated to sanitation and hygiene. Still, sanitation is the most off-track MDG target. The study also reveals that only 29% of European ODA to the water sector is provided through sector budget support. The remaining 71% is channelled through separate programmes and projects – often with their own programme implementation units, which is not in accordance with the resolutions and spirit of the Paris Declaration.

[www.irc.nl/page/46228](http://www.irc.nl/page/46228)

### Compendium of Sanitation Systems and Technologies

Swiss Federal Institute of Aquatic Science and Technology (Eawag) and the Water Supply and Sanitation Collaborative Council



(WSSCC), 2009

This book pulls together in one volume the abundant information that exists about sanitation solutions and technologies scattered throughout hundreds of books and journals. This compendium is intended to be used by engineers, planners and other professionals who are familiar with sanitation technologies and processes. It is not a training manual or stand-alone resource for people with no experience in sanitation planning.

You can download the publication as a PDF here: [www.wsscc.org](http://www.wsscc.org). A hard copy can be ordered by writing to [info@sandec.ch](mailto:info@sandec.ch).

### Change of water and sanitation services management model in small towns with a participatory approach

J.L. McGregor (2008)



A management model provides the framework that defines the roles and responsibilities of all participants in the water supply and sanitation services sector. To help make service providers more accountable and to empower local institutions, most of the Latin American region is decentralizing responsibility for key areas of service delivery to the local level. This document presents the lessons learned from the process carried out in small Peruvian towns, where the local authorities are empowering local institutions so that the actors are more involved in decision making.

[www.wds.worldbank.org](http://www.wds.worldbank.org)

### Visit [www.capacity.org](http://www.capacity.org)

Knowledge about capacity development is fragmented. A comprehensive overview of the main agents who are further developing the capacity on development body of knowledge is lacking. As a result, the capacity development knowledge base is difficult to tap into, especially for those based in developing countries where internet access is often limited and slow. The Capacity.org website aims to be a resource where practitioners and policy makers in capacity development can find information on a range of topics related to capacity development. Currently the website features resource corners on five topics

- Producer organisations
- Leadership in development
- Evidence-based learning
- Fragile environments
- Accountability

You can also subscribe to Capacity.org's e-magazine via the website.

# Beyond training



**Ravi Narayanan**  
Vice chair of the Asia-Pacific Water Forum (APWF) and former chief executive of WaterAid.

Capacity development is a commonly used term that holds different meanings to different people. However, it is generally considered essential to achieving the Millennium Development Goals (MDGs) relating to water and sanitation. The slow spread of safe water and sanitation is commonly attributed to a shortage of skilled people. Hence capacity development is predominantly associated with training staff in constructing physical assets such as toilets and water systems, particularly but not only in rural areas.

## Strong organisations are needed...

Training is certainly a necessary component of capacity development. However, more is needed if we are to find a long-term solution the water and sanitation problem. Trained workers can only deliver if they are supported by an enabling environment at the organisational and institutional level, meaning the legal systems, policies, customs and practices of a society.

The challenge for organisations in urban areas is to retain skilled personnel and ensure that they deliver. This requires adequate remuneration levels and a system of rewards and accountability to get the best out of workers. The greatest challenges are in rural areas where the move to devolve responsibility for the construction and maintenance of water and sanitation systems from the central to the local government level is often not accompanied by the necessary transfer of human and financial resources.

## ...and enabling institutions

But for delivery to be sustainable and expandable beyond the MDGs, there is a need to overcome other factors at the institutional level, which are often left out of discussions

on capacity development. In the following sections I will highlight two very important institutional-level capacities that require strengthening.

## Banking capacity

First is the ability to ensure adequate and timely finance, to develop and sustain the momentum to increase coverage. This has less to do with the availability of development aid and more to do with the lack of capacity of the formal banking sector and, indeed, the informal sector to direct resources to the water and sanitation sectors at the household level. The lack of bank finance is not always about the high transaction costs of dealing with small loans; often it is about the lack of exposure, and the risk-averse orientation, of loan officers to new mechanisms to deliver small loans backed by group guarantees. And while there has been a remarkable growth in microfinance institutions, it is only available in patches and tends to be slanted toward finance for 'income generating' activities. In both these areas there are notable exceptions that can pave the way for broader capacity development to provide finance to the water and sanitation sectors.

## Water sources

The second institutional-level capacity that requires attention relates to the growing threat to the sustainability of water sources and the issue of deteriorating water quality. Institutional weaknesses, policy gaps and the inadequacies in the relevant science and technology exacerbate these threats. Multiple demands and the use of water for irrigation and industrial and individual consumption put an intense pressure on surface and groundwater sources, both in terms of adequate quantity and quality. Yet most mechanisms for water use policy development, consultation across government ministries and conflict resolution among stakeholders are weak.

## Systemic solutions and mitigations strategies

The capacity to provide systemic solutions and mitigation strategies that can be applied quickly and broadly is a serious gap to be filled. It is in part because the science of groundwater is either inadequately developed or imperfectly understood. Overcoming capacity gaps in institutional cross sector planning and policy development, aided by accessible groundwater science and water quality measurement and mitigation approaches, is needed if these problems are to be solved. Fortunately there are number of good examples in all these areas that can point the way ahead. <

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**Editor-in-chief:** Heinz Greijn,  
[heinzgreijn@yahoo.co.uk](mailto:heinzgreijn@yahoo.co.uk)

**Editorial board support:** Niels Keizer and Tony Land

**Editorial board:** Niloy Banerjee, Volker Hauck and Jan Ubels

**Contributors to this issue:** Abebe Ayenew, Ruud Glotzbach, Barbara van Koppen, Brecht Mommen, Ravi Narayanan, Eric Odada, Shyama Ramani, Patience Turyareeba, Jackson Wandera, Carmen da Silva Wells, James Winpenny

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