



Understanding the WASH sector

How to carry out an analysis of
the capability, accountability
and responsiveness (CAR) of the
water, sanitation and hygiene
sector in your country

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Written by Mari Williams

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Glossary

AfricaSan	The African Conference on Sanitation and Hygiene	JMP	Joint Monitoring Programme
CAR	Capability, accountability and responsiveness	MDG	Millennium Development Goal
CSO	Civil society organisation	NGO	Non-governmental organisation
DFID	Department for International Development (UK)	PRSP	Poverty Reduction Strategy Paper
DRC	Democratic Republic of Congo	SACOSAN	South Asian Conference on Sanitation
GLAAS	Global Annual Assessment of Sanitation and Drinking Water	UNDP	United Nations Development Fund
INGO	International non-governmental organisation	WASH	Water, sanitation and hygiene
		WHO	World Health Organisation

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1 Introduction

1.1 The water and sanitation crisis: a crisis of governance

There is a crisis in the water and sanitation sector. Globally, 2.6 billion people lack access to basic sanitation and almost 900 million people lack access to a safe water supply.

The causes of this crisis are many and complex. However, poor governance – at global, national and local levels – lies at its heart and is a significant constraint to progress towards improved water and sanitation delivery in developing countries.

The role poor governance plays in the water and sanitation crisis has not always been recognised. When analysing the failures in the sector and devising strategies to tackle these failures, the approach has largely been technological. While increasing attention has been given to environmental factors recently, political factors and policy have continued to be ignored to a significant degree. However, addressing **governance** is often very important for improved service delivery. The UNDP's *Human Development Report 2006* states: *'The world has the technology, the finance and the human capacity to remove the blight of water insecurity from millions of lives. Lacking are the political will and vision needed to apply these resources for the public good.'*¹

Governance is essentially about power: how power is used, how decisions are made and communicated and how the resources within a country are managed. Governments have power and authority. That power can be used responsibly and fairly, or it can be misused, through negligence, lack of capacity or deliberate actions. Poor governance in the water and sanitation sector has a disproportionate impact on the poorest people and those who are most vulnerable. They are the ones who continue to be denied access to safe water and basic sanitation.

The UK's Department for International Development (DFID) describes governance in the following way: *'Governance is about the use of power and authority and how a country manages its affairs. This can be interpreted at many different levels, from the state down to the local community or household. Governance analysis considers all the mechanisms, processes, relationships and institutions through which citizens and groups articulate their interests and exercise their rights and obligations. It concerns the way that people mediate their differences, make decisions and enact policies that affect public life and economic and social development.'*²

The United Nations Development Programme (UNDP) definition is also useful: *'Governance is the system of values, policies and institutions by which a society manages its economic, political and social affairs through interactions within and among the state, civil society and private sector. It is the way a society organizes itself to make and implement decisions – achieving mutual understanding, agreement and action. It comprises the mechanisms and processes for citizens and groups to articulate their interests, mediate their differences and exercise their legal rights*

1 UNDP (2006) *Human Development Report 2006*, UNDP, p28

2 DFID (2007) *Governance, development and democratic politics: DFID's work in building more effective states*, DFID, p6

and obligations. It is the rules, institutions and practices that set limits and provide incentives for individuals, organizations and firms.’³

1.2 Introducing the CAR Framework

In order to try to analyse governance, DFID has developed a framework by which **capability**, **accountability** and **responsiveness** (CAR) – core components of governance – can be analysed for a particular country.⁴

Components of the CAR framework:⁵

CAPABILITY The ability and authority of leaders, governments and public organisations to get things done.

ACCOUNTABILITY The ability of citizens to hold leaders, governments and public organisations to account.

RESPONSIVENESS How leaders, governments and public organisations actually behave in responding to the needs and rights of citizens.

The Framework has been developed for use by DFID country offices, so that the UK, as a donor government, can better understand the governance context in which it is working. See the Annex for the dimensions of governance DFID included within the three components. Initially, its focus was for general analyses of governance rather than looking at specific sectors such as water, sanitation and hygiene (WASH). However, some steps have been taken to look at how it could be applied specifically to the water sector.⁶

In 2008, Tearfund began using the CAR Framework in its WASH Disaster Management work (see box below), developing it in two ways:

- by taking the sectoral focus a step further and applying it to the water, sanitation and hygiene (WASH) sector, rather than just to water
- by approaching it from the perspective of a civil society organisation, rather than the perspective of a donor government.

Tearfund’s work in WASH and use of the CAR Framework

Tearfund has been working to provide WASH to poor communities for more than 30 years through our Disaster Management teams (DMT) in relief and post-emergency contexts and through our local church-based partner organisations in many countries around the world. In 2008, Tearfund embarked on a new five-year programme with both our DMT programmes and partners, focused explicitly on capacity building to improve humanitarian action in the WASH sector. In recognition of the important role of the state in delivering WASH services, there is a core policy and advocacy component in this programme. A key element of this policy work is to conduct an analysis of the WASH sector using the DFID CAR Framework.

3 UNDP (2007) *Governance indicators: a users’ guide (second edition)*, UNDP, p7

4 This construct was first introduced in the 2006 White Paper *Eliminating world poverty: making governance work for the poor* and then subsequently developed into a framework for analysis

5 DFID (2007) *Governance, development and democratic politics: DFID’s work in building more effective states*

6 Plummer J, Slaymaker T (2007) *Rethinking governance in water services*, Working Paper 284, Overseas Development Institute

Table 1 below takes DFID's definitions of the three elements of the CAR Framework, suggests definitions specifically relevant to the WASH sector, and proposes the key questions a civil society organisation is seeking to answer in conducting a WASH CAR analysis.

TABLE 1

	General definition (DFID)	What it means for the WASH sector	The key question to consider
Capability	The ability and authority of leaders, governments and public organisations to get things done.	The ability and authority of leaders, governments and public organisations to ensure access ⁷ to WASH services for all people.	To what extent are leaders, the government and public organisations able to ensure access to WASH services for all people?
Accountability	The ability of citizens to hold leaders, governments and public organisations to account.	The ability of citizens to hold leaders, governments and public organisations to account if they are failing to ensure access to WASH services for all people.	Are there effective mechanisms by which leaders, the government and public organisations are held to account for their responsibility to ensure access to WASH services for all people?
Responsiveness	How leaders, governments and public organisations actually behave in responding to the needs and rights of citizens.	How leaders, governments and public organisations actually behave in responding to the needs and rights of citizens with regard to access to WASH.	To what extent do leaders, the government and public organisations make channels available for people to express their needs and claim their rights to access WASH services, and how do they respond to these needs and rights?

1.3 Benefits of using the CAR Framework

The use of the CAR Framework in this way (ie applied to WASH by a civil society organisation) has proven beneficial in several respects. First and foremost, the CAR Framework provides a means by which the governance conditions affecting the WASH sector can be analysed. It helps develop a much better understanding of the policy and political context in which an organisation is working, either programmatically or in advocacy. Furthermore, for those engaged in, or wanting to start engaging in, advocacy, it enables the gathering of information from which an advocacy strategy can be developed and on which informed communication with the government can be based. In the longer term, it provides a means of monitoring government performance in the WASH sector, and data collected in the first CAR analysis can provide a baseline for future monitoring of progress in advocacy work and in governance more broadly. Where governments are open to civil society engagement and participation in WASH policy issues, the CAR Framework can provide the basis for constructive dialogue between civil society organisations and government.

⁷ Throughout this guide we talk about 'access' to WASH services. By this we mean access to good-quality WASH services – access to an improved drinking-water source and access to an improved sanitation facility. For fuller definitions of what this means, see www.wssinfo.org/definitions/introduction.html

1.4 Using this guide

Given these benefits, this guide is intended for use by both international non-governmental organisations (INGOs), national NGOs and civil society organisations in analysing the level of the sector's capability, accountability and responsiveness, in the context in which they are working. The guide takes each aspect of the Framework – capability, accountability and responsiveness – and breaks them down into specific questions for research. For each key question, we try to provide advice on how to go about answering it, and list further questions to help answer the key question.

The guide is intended to be used flexibly so please choose an approach and methodology to suit your context. We would suggest reading through this whole guide first to see the breadth of areas it addresses. You may notice certain questions that you immediately know are not appropriate for the context in which you are working. We would then suggest that you do as much desk-based research as you can, using the internet, books and reports. In some contexts, there will be a lot of information available on websites and in public documents; in others, there will be little.

The next step may be to think about different people to whom you could talk in order to find the answers to some of the questions you have been unable to answer from the desk-based study. You may not have a full list straightaway; indeed, as you talk to individuals, they may then suggest several other people you could arrange meetings with.

You may want to draw up questionnaires so that you can ask all your questions of certain stakeholders in one go. We suggest that you address the capability questions first, as your experience in meeting government officials and trying to collect data for these questions may be helpful in shaping your answers to the accountability and responsiveness questions. You may want to decide which questions are your priorities in the event that the person with whom you are meeting has limited time available.

Your own time may also be limited. Conducting a full analysis and writing up all the findings may take about two to three months, sometimes more. If you are in a full-time policy or advocacy role, we would suggest this is a very worthwhile activity and a wise use of resources, and we would encourage you to set the time aside for it. If, however, that sort of timescale is not feasible, you may want to select certain areas of the CAR Framework to research, or perhaps you could employ researchers or volunteers to do the work for you.

Elements of these guidelines have been field-tested by Tearfund's Disaster Management teams (DMT) in Afghanistan, the Democratic Republic of Congo (DRC), Liberia and southern Sudan, and learning from these experiences has been incorporated. However, it is not expected that the questions in this briefing paper will be relevant or appropriate in all contexts.

1.5 Limitations of the CAR Framework

There are several limitations to the Framework that have been identified.⁸ These are listed in Table 2 below, accompanied by suggestions for how these might be addressed in terms of civil society advocacy work.

TABLE 2

Limitations of the CAR Framework	How these limitations might be addressed
The Framework provides a rather static picture in that it enables an analysis of what governance is and where it can improve, but it does not define the means to get there, or what is blocking or driving change.	The CAR Framework will provide baseline data, and help give a good understanding of the governance context. It will also provide a basis for identifying what improvements are needed. However, it won't provide answers to the question of why the situation is as it is. In order to understand this, further research may be needed. Alongside the CAR Framework, DFID has developed the use of 'Political Economy Analysis' which looks at the questions of why things are as they are, considering politics and the different actors involved. ⁹ In terms of this guide, once you have completed your CAR analysis, our suggestion is that a detailed advocacy strategy will need to be developed in order to articulate what changes are needed and how those changes might come about.
The Framework does not identify the linkages to help describe the power and political relationships between actors.	This could be addressed by conducting a stakeholder analysis (see Tearfund's <i>Advocacy Toolkit</i> ¹⁰) as part of the CAR Framework.
It emphasises the government aspects of governance and is insufficiently focused on those actors and aspects that are 'non-state'.	As we are using it for the purposes of informing advocacy work, this emphasis on government is less problematic. However, the role of non-state actors can be very influential in the WASH sector and so in our questions we do still try to analyse their role.
The Framework focuses more on a macro- and national level rather than on the regional or local levels which are particularly important for the WASH sector.	We have tried to adapt it so that it can be applied at the regional level.
The 15 dimensions (see Annex) of the original CAR Framework are not all fully relevant to the WASH sector.	We have tried to select areas that are relevant to WASH.
There is a great deal of overlap between the three areas of capability, accountability and responsiveness. Some issues could easily apply to all three.	This is certainly true. However, so long as the data is gathered and recorded, it is not so important which section it is recorded or analysed under.
The Framework is easier to apply in countries with stable governments. Using it in more fragile political environments can be challenging.	Seeking information from more fragile governments – even when there are few policies in place, institutions are weak and capacity is low – is still important, and any information gathered will be useful for future advocacy towards, and engagement with, the government.

8 Plummer J, Slaymaker T (2007) *Rethinking governance in water services*, Working Paper 284, Overseas Development Institute

9 For more information, see: www.dfid.gov.uk/Documents/publications/howto-pol-econ-analysis.pdf

10 <http://tilz.tearfund.org/Publications/ROOTS/Advocacy+toolkit.htm>

2 The WASH CAR analysis

Before starting

There are a few things to be aware of before starting work on a WASH CAR analysis:

- It is important to note that the CAR Framework is attempting to measure something that is extremely difficult to define, let alone measure, because government institutions, policies and structures, particularly within the WASH sector, are extremely complex, and analysing them is challenging. However, just because something is challenging does not mean it is not worth doing! Indeed, for advocacy, it is important to get as clear a picture as possible of the context within which an organisation is working, in order to be informed and effective in our work.
- Other people, for example in other NGOs or in donor governments such as DFID, may have already done similar research. It is worth checking this so that you don't spend valuable time 'reinventing the wheel'.
- How government officials respond to civil society engagement will vary dramatically between countries and even within governments. Some government officials will understand the important role that civil society plays in the WASH sector and value your input into policy discussions. Some will see the role of civil society as being limited to technical implementation, and may not understand why an NGO is interested in policy. Others may be hostile to NGOs and feel threatened by your engagement in the policy arena. It is important to be aware of this and to use appropriate language when approaching officials for information. For example, if a government is fairly new, perhaps trying to establish itself after years of conflict, it may be inappropriate to use the term 'advocacy' with them, or to say to them that you're conducting an analysis of the state's capability, accountability and responsiveness. It may be better to say that you are doing an 'analysis of the policy environment' or use other language that would not be perceived as threatening.
- The end product will be a narrative report. While much of the evidence you gain will be descriptive (ie data that is looking more at 'quality' rather than 'quantity'), it is also useful to try to collect some quantitative (ie numerical) data to form statistical indicators that can be monitored over time. Some areas lend themselves better than others to collecting quantitative data, but, where possible, do try to record clear information that can be measured over time.
- Sometimes data can be very hard to get hold of. Information on sanitation and hygiene may be harder to come by than information on water due to political and financial neglect of this issue historically. Tearfund's experience in DRC, southern Sudan and Afghanistan revealed a real lack of statistics and data in the public realm. While frustrating, this lack of data is actually an important indicator and needs to be recorded.
- Relationship building is very important in advocacy work. Doing this analysis can be a useful way of meeting government officials for the first time and building relationships with them. You may wish to have an introductory meeting with them before you meet them again to ask lots of questions for your research.

- You may be based far from the capital city and be considering whether to conduct this study at the regional level. Our advice would be to focus initially on national policy where possible. This will help you understand the larger framework within which regional, decentralised institutions and structures must operate.

There is a general trend to decentralise service provision, so it is also important to try to understand how national policy is implemented within your country's regions. If you are based in a country where service provision has been fully devolved to the regional level, it may be appropriate to conduct the analysis at a regional level, but we think that for most contexts a national-level study will be the most appropriate. Ideally, it is good to get input from the whole spectrum of WASH providers – government, NGOs and private sector – in order to understand the context fully.

C

Analysing CAPABILITY

Capability concerns the ability and authority of leaders, governments and public organisations to ensure access to WASH services for all people through effective policy and sound implementation practices. This requires:

- enough people (human resources) and money (financial resources) for activities
- effective government institutions, with clear roles and responsibilities for different stakeholders
- good information and management systems
- the willingness of politicians and others in authority to act
- good rules to regulate how WASH should be delivered.¹¹

*'Put simply, getting things done requires resources, information and management systems, and political will, backed by an agreed set of rules.'*¹²

GOVERNMENT POLICY

C1 What international commitments has the government made on WASH?

The vast majority of governments have signed up to the Millennium Development Goals (MDGs), which include targets on WASH. Goal 7, target 10, is to halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation, using a 1990 baseline. See www.un.org/millenniumgoals for more information.

Your government may have also made other commitments, for example at an African Conference on Sanitation and Hygiene (AfricaSan) or a South Asian Conference on Sanitation (SACOSAN).

Has your government joined *Sanitation and water for all: a global framework for action*? If so, have they attended a High-Level Meeting? What commitments did they make? See www.sanitationandwaterforall.org for more information on this initiative and for details of commitments made. End Water Poverty¹³ is a global civil society coalition

11 Adapted from Plummer J, Slaymaker T (2007) *Rethinking governance in water services*

12 DFID (2007) *Governance, development and democratic politics: DFID's work in building more effective states*, p15

13 www.endwaterpoverty.org

doing advocacy around *Sanitation and water for all*. For useful resources for NGOs, see: <http://sites.google.com/site/globalframeworkforaction/home>

Spend some time searching websites (such as the African Union's – www.africa-union.org) to find regional and international declarations on WASH that your government has signed up to.

C2

Does the government have a national policy and implementation strategy for WASH?

Start by looking at your government website, where a policy may be available. However, if you can't find a recent policy online, this would provide a good reason to try to meet with a government official. Find out whether a policy has been written. If not, is one in the process of being developed or are there plans to develop one? If there is one, when was it written? What process was followed to develop it? Were stakeholders outside government given the opportunity to take part? Did civil society engage? Is the policy still relevant?

Is there any implementation plan for the policy? Who is leading the process of implementation? At what stage in the process of implementation is the government?

Is there a plan for meeting the water and sanitation MDG targets or their equivalent?

www.WASHwatch.org is a platform for civil society organisations (CSOs) to monitor government commitments and financing in the WASH sector. It is an extremely useful website for CSOs. If information on your country has been uploaded, it will prove a useful resource for answering a number of the questions in this guide, including this question (C2). If information on your country isn't yet on this website, you might wish to add it in yourself!

If your government does have a policy, get hold of a copy and read it, as it will be important in answering some other questions in your analysis.

C3

Is WASH included in other government strategy documents?

For example, does the government have a Poverty Reduction Strategy Paper (PRSP)? If so, is WASH included? It is useful to see what priority, if any, is given to WASH in the PRSP, particularly in comparison with other sectors such as health and education.

You may be able to access the PRSP from your government's website, or from another NGO, or from a government official. There may be a dedicated department within government producing annual updates on progress towards PRSP targets. You could try to arrange to interview the individual/team responsible for collating the water statistics: they may be a very good source of information.

If your context is one of post-emergency or post-conflict, you could look to see whether WASH is included in any recovery and reconstruction strategies. What priority is it given, compared with other issues?

C4 Is the government taking steps to integrate climate risk and climate change adaptation into WASH policy and programming?

Climate change is having, and will have, significant impacts on the water sector. Governments need to be aware of climate risk, and ensure that their water sector is able to adapt to climate change. The best way of answering this question will be to talk to government officials. The information you can try to find out includes: is there a working group within government on water and climate change? Are water officials involved in any national adaptation planning processes? Are they aware of them? What information exists on what risk climate change poses for your country and how this might affect the water sector? Are water officials aware of any modelling of climate change impacts that have been undertaken in your country? Has any attempt been made to improve the climate-resilience of WASH infrastructure? Is there any plan to incorporate climate-resilience into WASH policies and strategies?

In many contexts, the answers to these questions is likely to be 'no'. However, it is vital for the WASH sector to take these issues on board if WASH targets are to be met and sustained.

For more information on *how* governments can integrate climate change adaptation into national-level policy and planning in the water sector, see Tearfund's resource *How to integrate climate change adaptation into national-level policy and planning in the water sector: a practical guide for developing country governments*.¹⁴

COVERAGE

C5 What targets has your government set for water and sanitation, and what progress is it making in achieving them?

There are country-specific MDG targets on water supply and sanitation. These may be included in the Poverty Reduction Strategy Paper, or in the national WASH policy. Your government may also have set itself different targets, more or less ambitious than the MDGs, and possibly with a different timeframe. Again, the policy should include these.

In order to know how much progress is being made, you need to find out the coverage statistics for WASH in your country.

Statistics for both water and sanitation can be found on the UNICEF/WHO Joint Monitoring Programme (JMP) website: www.wssinfo.org This is a well-recognised, reliable source. See also www.mdgmonitor.org You will be able to see from these sources whether your country is on-track or off-track to meet the MDG targets.

Your government statistics office may also have its own figures for water and sanitation. The government website may publish these, or you could try to speak to someone in the statistics office.

If the government statistics on sanitation are different from the JMP figures, this could be because a different definition is being used. The most common definition for adequate

¹⁴ <http://tilz.tearfund.org/Research/Water+and+Sanitation+reports/Water+adaptation+guide.htm>

sanitation is 'improved sanitation'. The JMP defines improved sanitation as the *use of the following facilities in a home or compound*:

- *Flush/pour-flush to piped sewer system, septic tank or pit latrine*
- *Ventilated improved pit (VIP) latrine*
- *Pit latrine with slab*
- *Composting toilet*

It does not include shared facilities, even if these are 'improved' according to the above definition. Some governments, however, do consider shared facilities of a certain standard to be 'improved sanitation'. This difference in definition may mean that your government statistics are different from the JMP's. However, there are also other reasons why statistics may differ. Some governments only count the coverage in areas where people are 'registered' or legally allowed to live. There may be other differences in data sets and analyses, and sometimes governments may want to present a more positive picture than is actually the case!

C6

How adequate are the systems for recording and monitoring the WASH sector, and to what extent is data accurate and publicly available?

You should be able to answer this question by talking to government officials and also by talking to people who may use WASH data, such as NGOs implementing WASH programmes. Questions you might want to ask are: Is there a system for recording and monitoring the WASH sector? For example, is there a database of basic information about water resources and infrastructure? How is information gathered? Is the database sufficient? Is civil society involved? How is data made available to stakeholders outside government?

In addition to asking these questions of other people, it will be important for you to record your own experiences of trying to find data to complete this CAR analysis.

Institutional arrangements

C7

Which government ministries, departments and utilities are involved in the WASH sector at national and local levels, and how are responsibilities divided between them? Which is the lead ministry for sanitation?

This question will help you to understand which stakeholders are involved in the WASH sector, and what their role is. Both piped water supply and sanitation generally involve many ministries (compared with other sectors, such as education, which have one core ministry). Examples for water supply might include the ministry of public works, the ministry of finance, the ministry of the environment, the ministry of planning, the ministry of agriculture, and even the ministry of water! You need to understand the roles and relationships between each of the ministries involved. Some of this may be detailed in policy documents, or you could try to find it out from government officials. You may find that the responsibility for rural water supplies (ie community-based supplies) is fairly simple – maybe residing solely with one ministry. Often urban water supply tends to be driven largely by one or more utilities.

The large number of ministries involved in the supply of both water and sanitation is one of the reasons that the sector suffers from capacity problems as it is very difficult to ensure their actions are coordinated. Sanitation is hampered further as it often suffers from the lack of an institutional lead within the government. Which ministry is supposed to be the lead for sanitation in your country?

UN Water's Global Annual Assessment of Sanitation and Drinking Water (GLAAS) may have useful information to assist you in answering this question, if your country has taken part. See www.who.int/water_sanitation_health/glaas/en for more information. See also www.WASHwatch.org which has a lot of information on this area for certain countries. You could also ask government officials to explain the roles and relationships to you.

C8**Is there a sector coordination mechanism, either for WASH or for water and sanitation separately?**

UN Water's GLAAS report (www.who.int/water_sanitation_health/glaas/en) or www.WASHwatch.org may have this information, or you could ask government officials or other NGOs.

If there is a coordination mechanism, is it functioning well? Does it include civil society? It would be useful to get the perspective of different ministries and external stakeholders (eg NGOs, UN agencies, donors) here.

C9**What role does the health sector play in sanitation and hygiene promotion?**

Does the ministry of health have any responsibility for sanitation and hygiene? How are hygiene promotion and health integrated with water and sanitation?

The health sector has a role to play both in extending access to sanitation and hygiene services and advocating for greater attention (politically and financially) to sanitation and hygiene across governments. However, while sound evidence exists about the negative impact of poor sanitation and hygiene on public health, and conversely the health benefits of improved sanitation and hygiene, the health sector (globally and nationally) has not always responded to this evidence. In many countries, sanitation and hygiene have yet to be included as priorities within the health sector.

It would be good to assess the situation in your country. You could do this by talking to government officials but you could also look at health policy documents. Do they mention sanitation and hygiene? Is the health sector involved in any coordination mechanism that exists for either sanitation or WASH more broadly (see question C8)?

Ideally, sanitation and hygiene should be recognised as an environmental determinant of health, and some aspects of sanitation and hygiene should be integrated within health policy and programming. Is this the case? To what extent?

C10 Does the government have adequate human resources to address the WASH situation?

This is a difficult question to answer and will depend on what the government's approach is towards non-state providers and thereby what government sees as its primary role (provider, enabler, regulator etc). However, if you can, it would be good to gauge the situation with regard to human capacity in the government. Are you able to find out how many government officials work on WASH, and the level of resources they have to work with? Perhaps this is something that a government official may be able to tell you, although don't worry if you're not able to find this out. If you are able to get some estimate of the human resources involved, this will be a useful indicator to monitor over time.

UN Water's GLAAS report includes this issue and asks developing country governments to answer the question: 'Are human resources addressed in national strategies or in annual sector reviews?' You could look at this report to see whether your government has contributed data and, if so, what its observations are with regard to human resources. See: www.who.int/water_sanitation_health/glaas/en

C11 Is a decentralisation agenda being pursued and how is it impacting the WASH sector?

Is decentralisation taking place? If so, how are responsibilities divided between the national and sub-national levels? Is there clear division of roles, or is there room for confusion? How are information and budget transferred to the sub-national level? Are adequate information and budget being transferred to enable staff at the sub-national level to fulfil their duties? Are staff at the sub-national level aware of policy developments at the national level? You may be able to find documentation detailing how decentralisation should work in practice, but it would also be useful to talk about this to government and NGO staff at both the national level and the decentralised level to find out how it is working in practice.

BUDGET

C12 How much of the government's overall budget is allocated to water and sanitation? (Try to disaggregate between water and sanitation.) How has this changed over time?

Is there national budgetary data available that can give you this information? Water officials may know the answers to these questions, or may be able to suggest someone in the ministry of finance whom you could ask.

Is your government monitoring the budget on water and sanitation separately or together? Ideally, they should monitor them separately, otherwise sanitation risks being neglected and overlooked.

It may be interesting to compare spending on water and sanitation with spending on other basic services such as health and education. Sadly, WASH often receives less funding. You could also compare with other expenditure such as defence and security budgets.

UN Water's GLAAS report is also a good place to look for information if your government has taken part: www.who.int/water_sanitation_health/glaas/en See also www.WASHwatch.org

C13 **Where is most of this money channelled? Is it mostly to large-scale urban projects or is it targeted instead towards poor people who do not currently have access? Is it improving connections that already exist or connecting the unserved, or both?**

As with the previous question, the answers here may be included in publicly available budgetary data, or you may need to ask government officials in either the lead water ministry or the finance ministry.

If your government has taken part in the GLAAS report, it is included in here: www.who.int/water_sanitation_health/glaas/en

C14 **What is the government policy on tariffs and user fees?**

Does the water policy say anything about tariffs (usually used in urban areas) and user fees (mostly used in rural areas)? What principles are employed?

You could also ask for a copy of the tariff structure of the public utility or utilities and see if there is social tariff (subsidy for the poor) and establish how many households are on that tariff.

SERVICE PROVIDERS

C15 **Who else is providing water and sanitation services in addition to the state?**

To answer this question, you could try to access the results of a household water usage survey. You could ask operational NGOs or UN agencies such as UNICEF if they have conducted any surveys. You are likely to find that individual households use a mix of private supplier, self-supply, utility supply (in urban areas) and community supply.

Often, the small-scale private sector is playing an important role in delivering access to water and sanitation. At times, it will offer water at whatever price people are willing to pay. (However, it's important to note that if people pay high prices, this doesn't mean they can afford to pay for it. Payment will often be made at the expense of another vital household good.) However, the private sector is often providing a good service at a fair price, as many providers are local business people in the community who can be held to account more easily than distant utilities.

It would be good to find out the role of small-scale private providers, and whether the amount they charge for water differs from that of the state-owned utility. It is often the case that state-owned utilities keep tariffs artificially (and unsustainably) low.

You don't need detailed national data for this, but it is useful to get a fairly good sense of the different stakeholders involved in WASH delivery as they will all have an interest in the policy agenda.

C16 What is the relationship between the state and the state-owned water supply?

You could start by finding the Act of Parliament (or law) that formed the state-owned body responsible for supplying water and sanitation (the utility) and discover what the duties of the utility are (ie who it is intended to serve, what level of service it should supply etc).

You are trying to gauge the level of political involvement in the day-to-day operation of the utility. Is the utility run from the level of central government or do regional authorities run their own utilities?

What indicator of achievement has the utility adopted, eg number of households with a safe water connection, hours of supply per day etc.

What level of subsidies does the utility get, both from national and regional government? You might be able to find this out from government documents or from talking to people who work for the government or utility.

C17 How effective is the water utility at supplying piped water?

There are seven components to supplying piped water successfully:

- 1 A water source
- 2 A treatment plant
- 3 A transmission system (ie big pipes)
- 4 A distribution system (ie smaller, secondary pipes and household connections)
- 5 A billing system (ie what percentage of customers are billed)
- 6 A revenue collection system (ie what percentage of those customers billed actually pay)
- 7 A management system, with clear accountability and clear responsibility

You could try and find out typical billing figures and revenue collection rates in one local area and compare them. Revenue collection will most likely be lower than billing rates. If this information is unavailable, then it is worth recording that fact in itself.

Most utilities will have suffered from under-investment for years, will run at a loss, have few resources to carry out repairs and may well be in debt.

Try to assess the level of service the utility is able to offer (number of customers, hours of service per day). The best way to find this out is to visit some communities served by the utility and ask them about how often they received piped water, how much they pay, the quality of service etc.

C18 **What is the condition of rural water supply?**

As rural water supply is often handled by different and fewer line ministries than urban, piped water supply, government coordination in delivering rural supplies can be better than for delivering urban supplies. However, in many countries, NGOs and other non-state actors will also play a big role in providing rural water supply. Obviously, the condition of rural supply will vary across the country, but are you able to get an overall picture of the situation?

Is the rural population adequately served? What is the strategy of operation and maintenance of rural water supply? Is there a functioning spare parts supply chain in rural areas?

What is the situation with regard to sanitation? How do coverage levels (see question C5) differ between rural and urban areas?

Talking to officials in the ministry responsible for rural development as well as to NGOs and churches involved in WASH provision in rural areas should give you answers to some of these questions.

A

Analysing ACCOUNTABILITY

Accountability is about leaders, the government and public organisations being answerable for what is done. For good accountability, civil society organisations, citizens and the media must be able to assess public institutions and governments and to hold them to account. Governments need to understand the reasons why accountability is important and how accountability can be improved, and they need to respect civil society's role in this. On the other hand, civil society also needs the ability to hold its government to account: it needs the skills and confidence to play this role and should not fear unfair repercussions in so doing. Communities need to understand their rights with regard to WASH and the quality and level of services to which they should be entitled.¹⁵

*'Accountability is vital if effective and long-lasting change is to be achieved. People should be able to question their leaders and public officials, in government and elsewhere, and expect to receive truthful answers without fear of recrimination. This only happens where there is respect for civil and political rights, including transparency and access to information, and where citizens and civil society have the skills, resources and incentives to play their part.'*¹⁶

A1

Does civil society have freedom of information and association?

Before looking specifically at WASH, it may be useful to think more broadly about the freedom that citizens and civil society organisations have to carry out advocacy in your country. What advocacy is taking place? Find out about a few of the main campaigns or areas of policy that NGOs are seeking to influence. Which NGOs are involved in advocacy? It may be worth speaking to a few of them, particularly if your organisation does not have much experience in advocacy. Find out about their experience of doing advocacy. What challenges do they face? Do they face any constraints in information-sharing and networking? Do they have any examples of where they have achieved a change in government policy or practice? How did this come about?

Are there any laws that impact upon this element of civil society work? An increasing number of governments are now adopting laws that put constraints on organisations doing advocacy work, and you need to be aware if your government is going down this route.

15 Adapted from Plummer J, Slaymaker T (2007) *Rethinking governance in water services*, Working Paper 284, Overseas Development Institute

16 DFID (2007) *Governance, development and democratic politics: DFID's work in building more effective states*, p16

A2 Is civil society able to participate in planning, budgeting, monitoring and evaluation in the WASH sector?

If a WASH policy exists in your country (see question C2), what involvement did civil society have in influencing its content? Are CSOs involved in the sector coordination mechanisms? Do they input into budgeting and monitoring processes? Are CSOs asked to input into or review government statistics on WASH? Are they invited to government meetings to discuss policy?

Is there an effective framework for performance-monitoring in the WASH sector? Are CSOs involved?

You should be able to find out this information by speaking to CSOs. However, you could also ask these questions of government officials and compare the two sets of data. Also, in answering this question, think about what challenges or opportunities you have encountered in trying to find out the information to analyse state capability. Was the government open to your questioning? Did you experience any resistance or suspicion towards your questions?

Try to come up with a picture of the level of participation of civil society in government WASH policy activities. It may also be interesting to analyse whether NGOs consider they have the knowledge and skills to input effectively.

A3 How useful is the media in achieving government accountability?

What are the main newspapers, radio stations and television stations in your country? Who owns these?

Freedom House is an organisation that has a *Freedom of the Press* index that it develops from a survey of media independence in 195 countries and territories. See how your country is rated: www.freedomhouse.org

In terms of WASH, you could look at how many articles on water and sanitation issues have appeared in the national press over the last 12 months. This will be much easier to find in some contexts than others. You could also see whether civil society organisations are invited to attend press conferences.

A4 Are there mechanisms for complaints and redress in WASH projects and operations? If so, are they effective?

Government officials should be able to let you know if these mechanisms exist, but you may need to explore elsewhere to analyse their effectiveness.

If these mechanisms exist, the information should be publicly available. Look for specific examples of cases where a WASH project was seen as controversial (for example, it might have been technically flawed or it might have led to water resources being depleted, people relocated etc). You could try to see if the information you find tells you how the issues were addressed.

A5 Has the parliament discussed WASH issues over the last year?

To answer this question you could try to look at the parliamentary records from the last year, and if possible try to talk to some parliamentarians. There may be a specific committee of Members of Parliament on WASH, or on basic services more broadly (health, education, water and sanitation). It would be good to find out whether they are active and what they are doing. Try looking to see if your parliament has any information online, or asking a member of staff at the parliament.

A6 What information is available on citizens' entitlements to WASH services?

How effective is the government in ensuring that all citizens, including poor women and men, are well informed about their entitlements and rights to WASH services?

You can answer this question by observation. What information is available on websites, on the radio, in public leaflets, on posters and in reports about citizens' entitlements to WASH services?

What effort is made to get information to citizens, and particularly to the poorest and most vulnerable people?

A7 What mechanisms (if any) are in place to track WASH financial flows?

Are there any Public Expenditure Tracking Surveys (PETS) in your country? See www.u4.no/themes/pets/petsdefinition.cfm for more information on PETS. Other NGOs may know the answer to this, particularly NGOs that are involved in budget-tracking or in anti-corruption work. Do any NGOs or CSOs act as watchdogs? You are unlikely to find any that are specific to WASH, but there may be ones working on a broader set of themes.

A8 Are there any actors undertaking activities to stimulate accountability in the WASH sector?

Are there any actors already doing advocacy on WASH? Different organisations may use the word 'advocacy' slightly differently, but you want to find out if anyone is trying to influence the government to become more accountable in the delivery of WASH. This may be through 'non-public' activities such as meeting with government officials, engaging in policy processes and sharing good practice, or through mobilising people in more public campaigning.

The use of Citizen Report Cards (CRCs) may also be a good way to enhance accountability (see www.citizenreportcard.com).¹⁷ Are any NGOs or CSOs involved in such activities?

If your country is in a post-emergency context, civil society actors may have focused more on the implementation of WASH technical programmes rather than on advocacy work. However, in many countries there are already organisations undertaking advocacy on WASH. See, for example, members of the End Water Poverty campaign: www.endwaterpoverty.org/members Are there any WASH networks engaged in advocacy? See www.freshwateraction.net for information on WASH networks around the world.

17 For an example of how Citizen Report Cards were used in Kenya, see www.irc.nl/docsearch/title/155093

R

Analysing RESPONSIVENESS

Responsiveness is about how leaders, the government and public organisations take account of the needs of citizens and uphold their rights. It is about ensuring that governments recognise and move towards ensuring a human right to water and sanitation, that policy is pro-poor and that it includes a strong gender perspective.¹⁸

*'Responsiveness refers to how leaders and public organisations behave in response to the claims and interests of individuals and groups in society. A government or public authority is responsive if it identifies and then responds to the legitimate needs and rights of everyone, ensuring equal and fair treatment of all groups, regardless of their status. Responsiveness also involves adopting an approach to economic and social policy that focuses on equity within society and aims to reduce disparities.'*¹⁹

R1

Does the government promote pro-poor policies regarding water and sanitation supply?

Does the government have a policy on the equity of investments in the water and sanitation sector? How are major investments designed – for rehabilitation and improvements for those already being served, or for expansion to those who are currently unserved (see question C13)?

Does the WASH policy, if one exists (see question C2), highlight particular vulnerable and poor groups to target? Do you think this is adequately addressed in the policy and in the actions of the government?

R2

Is the government using an approach that increases demand from poor people for adequate and affordable services?

This is particularly applicable to sanitation. A demand-led approach to sanitation is important to ensure use and sustainability of sanitation facilities. Is the government promoting a demand-led approach (such as Community-Led Total Sanitation) or is it adopting a more supply-driven approach (which often includes subsidising latrines). This should be clear from the policy and from conversations with government officials. It would also be good to observe (or talk to those who have observed) what is happening in practice with regard to demand-led approaches.

18 Adapted from Plummer J, Slaymaker T (2007) *Rethinking governance in water services*, Working Paper 284, Overseas Development Institute

19 DFID (2007) *Governance, development and democratic politics: DFID's work in building more effective states*, p17

R3 What laws or regulations are in place to safeguard and regulate WASH service delivery?

Independent regulation is potentially a very powerful way of creating accountability, although it can be vulnerable to political interference. Often, but not always, when the body to supply water is formed, a regulator is established at the same time. Is there such a regulatory body in your country? Is that body funded? What powers does it have? Can it and does it impose sanctions such as fines? How effective is it? Officials in one of the ministries responsible for water supply may be able to answer these questions.

Are there any publicly available records of cases that the regulator has dealt with? This will show you the types of issues it is dealing with and how effective it is in addressing them.

Also, what systems, if any, are in place to regulate small-scale private providers in the WASH sector? You could ask both government officials and a small-scale private provider this question.

R4 Are there any regulations in place on water pollution?

You may be able to find this out from public information in a library or on your government website. Or you may need to ask government officials.

R5 How willing is the government to learn from others?

An interesting indicator to measure would be whether government officials attend NGO meetings or training activities when invited. What level of responsibility is held by the officials who do attend? Do officials respond when CSOs present information or advice to them?

Obviously, this may well differ between the different individuals, teams and departments within the government, but it would be good to document some observations on this issue.

R6 Are government policies on WASH gender- and child-sensitive?

Does the government policy and any implementation plan (see question C2) take account of the different needs of men, women, girls and boys in accessing WASH services? Are there specific measures in the policy or implementation plan for addressing the interests of women?

Do government amenities (hospitals, schools, local administration offices) have adequate water and sanitation facilities that take into account the different needs of men and women? You can assess this by observation and by talking to other WASH stakeholders such as UNICEF or NGOs.

Is women and children's participation in decision-making and user groups encouraged? Other NGOs may be able to help answer this question.

R7 Do government officials attend NGO events such as those organised for Global Handwashing Day or World Water Day?

You will only be able to answer this question if such events have been held in your country. Find out first whether they have taken place and who organised them. UNICEF or other NGOs may

be able to give you this information. Then ask the organisers whether government officials were invited to attend and, if so, how they participated.

R8**Are any processes in place to try to tackle misallocation and diversion of resources intended for WASH services? How is the misallocation of finances within the sector tackled?**

This is linked to question A7 above. If there are PETS in your country, then there may well be processes linked to these to try to address any situation when misallocation of funds occurs. There may also be anti-fraud or anti-corruption mechanisms in the sector (although there are sometimes questions about the effectiveness of these bodies even where they do exist). Again, it may be best asking other NGOs about these sorts of issues, unless you have a good relationship with, and trust, the government officials you are questioning.

R9**Is the government prioritising the anti-corruption agenda within WASH?**

It is probably best to find this out from other NGOs rather than asking your government directly. There are some NGOs, such as Transparency International, that focus on the issues of governance and corruption. Other NGOs may include this as one of their work areas. To look at what activities Transparency International is conducting in your country, see www.transparency.org/regional_pages and follow the appropriate links. See also the Water Integrity Network: www.waterintegritynetwork.net

R10**Has the government taken any steps towards recognising human rights relating to water and sanitation services and making plans for progressive implementation?**

Does the government recognise the human right to water in its constitution or in government laws? What about the right to sanitation? What information is available from the government or other actors on the right to water? How does the government ensure its citizens are aware of their right?

See www.righttowater.info for more information about the right itself.

3 Next steps

Writing your report

After you have done the research into the questions that are applicable to your context, you will need to write up your findings into a narrative report. There are a lot of questions in this guide and you may end up with a vast amount of information! It is important to try to present this clearly and succinctly in a report format. We recommend that you keep the raw data and information you gathered so you can refer back to it if you need to. There are various ways of structuring a report, and you will need to decide which is most appropriate given the information you have found.

One option is to structure it in the same way as this guide, with three main sections entitled Capability, Accountability and Responsiveness, and to use the questions that are written in bold in the guide as sub-titles with your answers beneath them. You could leave out any questions that were not applicable. However, remember that, if you were not able to find the answer to a question, that is useful information in and of itself, and so please record that fact.

Another option is to keep the three sections looking at Capability, Accountability and Responsiveness but to write a general summary of all the information you found in that area choosing your own sub-headings. Ensure you include specific indicators that can be monitored over years to come.

A third option is to decide upon your structure depending on the information you were able to find. For example, you could discuss the policy first and all of the questions related to this, and then look at other areas such as implementation, coordination, regulation etc.

The process of researching and writing this report is primarily to help you and your organisation to understand further the political and policy environment in which you are engaging. In some contexts it may not be appropriate for the report to be shared publicly. However, in others, you may choose to disseminate it outside your organisation.

Writing an advocacy strategy

As we identified in Section 1.5 above, a limitation of the Framework is that it can present a rather static picture of the situation without defining the means by which improvements can be made, or examining what is blocking or driving change.

However, you can now move forward to address these areas and prepare to influence your government and other stakeholders by developing an advocacy strategy. The CAR report will give you an excellent basis on which to build this strategy. From it you will be able to identify the key stakeholders in the sector, what is working well and what needs to change. You will then be able to identify the activities you wish to undertake to bring about that change.

See Tearfund's *Advocacy Toolkit* <http://tilz.tearfund.org/Publications/ROOTS/Advocacy+toolkit.htm> for advice and resources to help you write an advocacy strategy.

Share your learning with Tearfund

Please share any learning you have in using this guide and going through the process of the CAR Framework. We are keen to hear feedback on how our resources can be most useful.

APPENDIX Fifteen dimensions of the original CAR Framework (DFID)

State Capability

- Political stability and personal security
- Economic and social policy management capability
- Government effectiveness and service delivery
- Revenue mobilisation and public financial management
- Conditions for investment, trade and private sector development

Accountability

- Political freedoms and rights
- Transparency and media
- Political participation and checks
- Rule of law and access to justice
- Civil society

Responsiveness

- Human rights and civil liberties
- Pro-poor policy
- Inequality, discrimination and gender equality
- Regulatory quality
- Corruption

Understanding the WASH sector

How to carry out an analysis of the capability, accountability and responsiveness (CAR) of the water, sanitation and hygiene sector in your country



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