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# MONITORING SYSTEMS CHANGE: A RAPID LANDSCAPING

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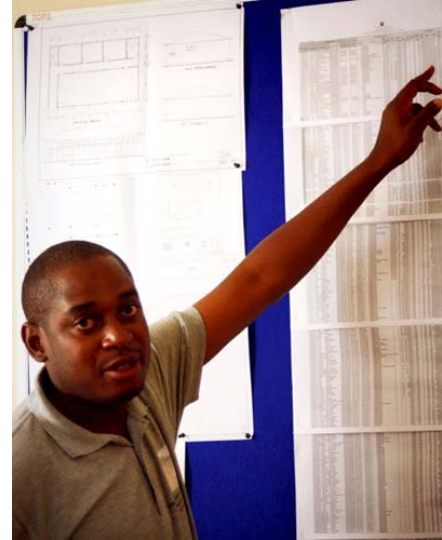
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Supporting water sanitation  
and hygiene services for life

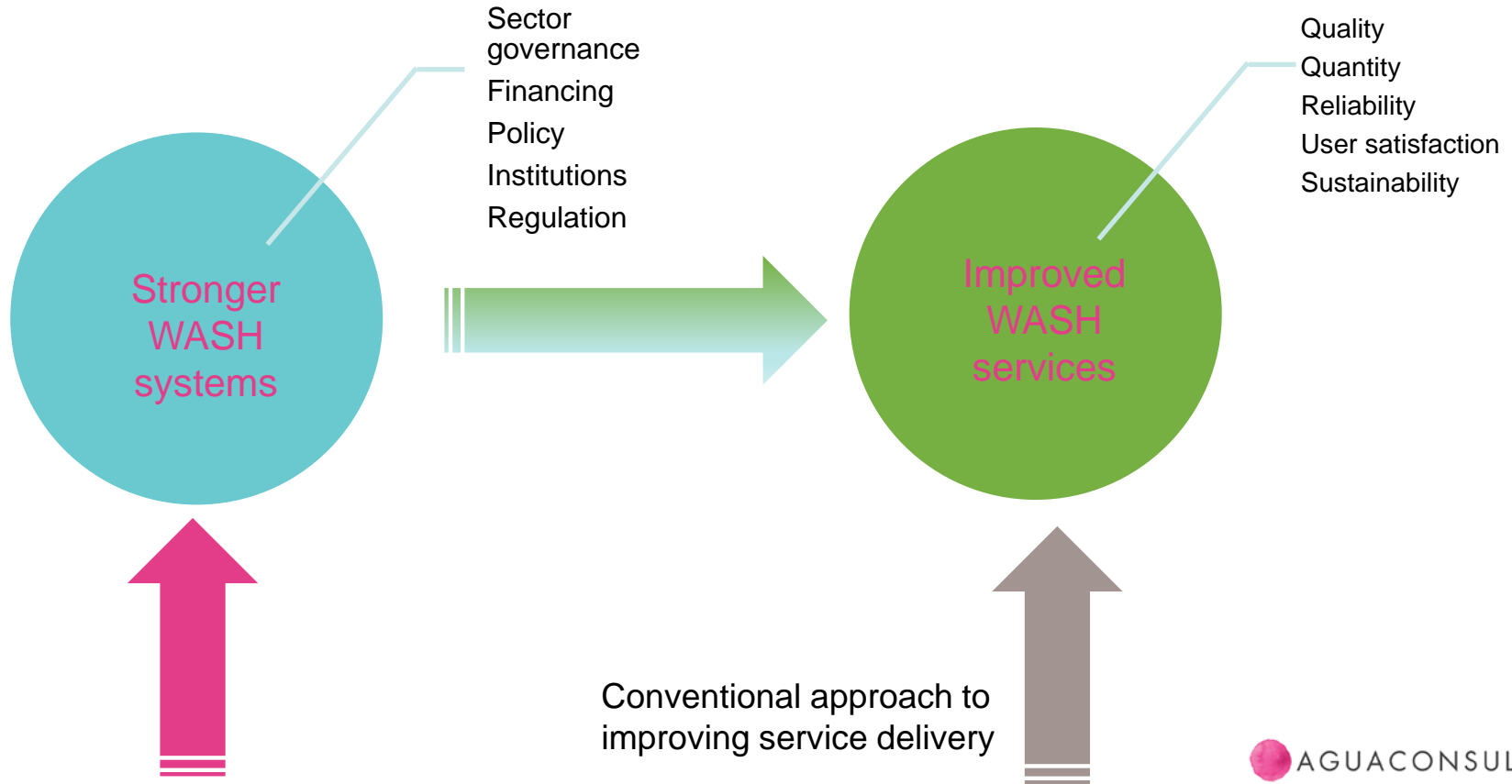
IRC Webinar  
17 August 2017

# GLOBAL CONTEXT: FROM INFRASTRUCTURE TO SERVICES

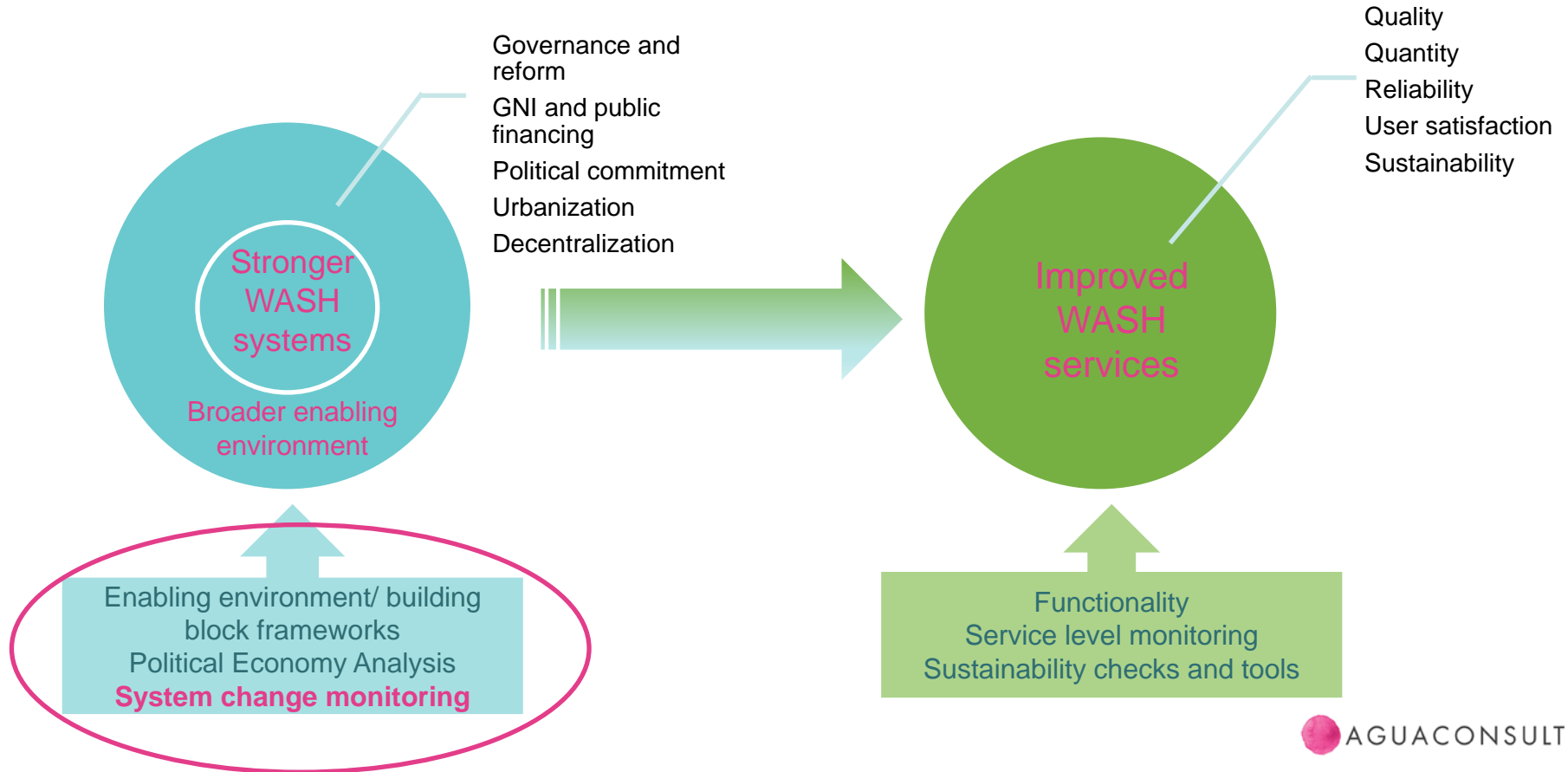
- Paradigm shift from mid-2000s – mid 2010s:
  - From infrastructure delivery to service delivery
  - Particularly for non-utility water and non-sewered sanitation in rural and peri-urban areas
- Reflected in transition from MDGs to SDGs - hugely ambitious and requires a step change in thinking and approaches around universality and sustaining service delivery
- Perceived failure of conventional, linear approach to deliver sustained benefits and returns on investment – led to growing interest in **systems thinking** and taking ‘systems-based approaches’



# NEW FOCUS ON BUILDING WASH SERVICES BY IMPROVING WASH SYSTEMS

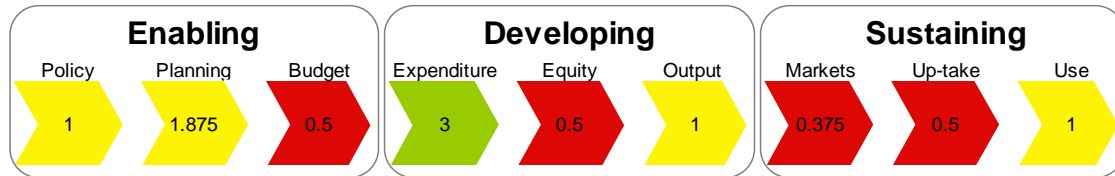


# BUILDING WASH SERVICES BY IMPROVING WASH SYSTEMS: IMPLICATIONS FOR MONITORING



# OVERVIEW OF LANDSCAPING

- **Rapid landscaping:** focus on development partner frameworks; not exhaustive, other frameworks out there
- **Frameworks reviewed:** looked at ~ 20 examples and focussed down on 13 from a range of examples
- **Focus of landscaping:** overview of scope, design, application and use; assessment of areas for monitoring (dimensions, indicators etc.)
- **Analysis:** common elements, gaps, trends based on available resources and our own interpretation



(Source: Water Supply and Sanitation in Lao PDR Service Delivery Assessment ; 2013)

# OVERVIEW OF FRAMEWORKS

| Frameworks  | Scale of Application                                    |                      | Source of data |                |                   |                  |                | Data Collection Methods |                |
|---|---|----------------------|----------------|----------------|-------------------|------------------|----------------|-------------------------|----------------|
|   | Experience to date                                      | Focus                | Focus groups   | Key Informants | Household Surveys | Document reviews | Secondary data | Scorecards              | Questionnaires |
| <b>SIT (USAID)</b>                                    | Limited application, 9 countries                        | WASH                 | ✓              | ✓              | ✓                 | ✓                |                | ✓                       |                |
| <b>Building Blocks (IRC)</b>                          | Still pilot   | WASH                 |                |                |                   | ✓                | ✓              | ✓                       |                |
| <b>EE Framework (UNICEF)</b>                          | Application newly developed                             | WASH                 |                |                |                   |                  |                | ✓                       |                |
| <b>SDA (old CSOs) (World Bank WSP)</b>                | Applied in over 40 countries                            | Water and Sanitation |                | ✓              | ✓                 | ✓                |                | ✓                       |                |
| <b>Building Blocks (World Bank)</b>                   | Applied in 16 countries                                 | Rural Water          |                | ✓              |                   |                  | ✓              | ✓                       |                |
| <b>TrackFin (WHO)</b>                                 | Limited application, 6 countries                        | WASH                 |                | ✓              | ✓                 | ✓                |                |                         | ✓              |
| <b>GLAAS (JMP)</b>                                    | Applied in 75 countries                                 | WASH                 |                | ✓              |                   | ✓                |                |                         | ✓              |
| <b>Shit Flow Diagram (World Bank/WSP)</b>             | Applied in 40 countries                                 | Urban Sanitation     |                | ✓              |                   |                  | ✓              | ✓                       |                |
| <b>WASH-BAT (UNICEF)</b>                              | Applied in 33 countries - New version 2.0 just launched | WASH                 | ✓              | ✓              |                   |                  |                | ✓                       |                |
| <b>District Sustainability Tool (WaterAid)</b>        | Still pilot   | WASH                 |                |                | ✓                 | ✓                |                |                         | ✓              |
| <b>Technology Applicability Framework (WASHTEC)</b>   | Limited application, 6 countries                        | WASH                 | ✓              | ✓              | ✓                 | ✓                |                | ✓                       |                |
| <b>Global Monitoring Framework (Water For People)</b> | New 2017 version; applied in 9 countries                | Water                |                |                | ✓                 |                  |                | ✓                       |                |
| <b>Collaborative Behaviours (SWA)</b>                 | Application in 8 countries (country studies)            | WASH                 |                |                |                   | ✓                | ✓              |                         |                |

# ANALYSIS OF FRAMEWORKS

- Clear continuum between assessment of 'WASH system' → WASH services
- Identified two broad categories, or dimensions of indicators or factors, namely those that address:
  1. Enabling Environment factors (sometimes used as proxy for system change) – this can be either at local or national level, but tends to be mainly the latter
  2. Delivery of WASH services and institutional capacity for service delivery - mostly at local level

|   |                                | Dimensions                            |                              |            |                             |  |  |                                  |                              |               |                                   |          |  |                        |
|---|--------------------------------|---------------------------------------|------------------------------|------------|-----------------------------|--|--|----------------------------------|------------------------------|---------------|-----------------------------------|----------|--|------------------------|
|   |                                | Enabling Environment (systems change) |                              |            |                             |  |  |                                  |                              | WASH Services |                                   |          |  |                        |
| Framework name or Tool                        | Main Developer                 | Financial                             | Institutional (sector level) | Monitoring | Planning and Project cycles | Policy, Legislation, Regulatory Function | Accountability, Transparency, Advocacy | Knowledge & Capacity Development | Coordination & Communication | WRM           | Infrastructure & Asset Management | Learning | Governance/ Institutional (service delivery level) | Performance & Coverage |
|   |                                | SIT                                   | USAID                        | x          |                             | x  |  |                                  | x                            |               | x                                 | x        | x  |                        |
| IRC BB  | IRC                            | x                                     | x                            | x          | x                           | x  | x                                      | x                                | x                            | x             | x                                 |          |  | x                      |
| UNICEF EE                                     | UNICEF                         | x                                     | x                            | x          | x                           | x  | x                                      | x                                | x                            |               |                                   |          |  |                        |
| Service Delivery Assessment                   | World Bank / WSP               | x                                     | x                            | x          | x                           | x  |  |                                  |                              |               |                                   |          | x  |                        |
| WB BB   | World Bank                     | x                                     |                              | x          |                             |  |  |                                  |                              | x             | x                                 |          | x  |                        |
| TrackFin                                      | WHO                            | x                                     | x                            | x          | x                           | x  | x                                      | x                                | x                            |               |                                   |          | x  | x                      |
| GLAAS   | UN Water / WHO                 | x                                     | x                            | x          | x                           | x  |  |                                  | x                            |               |                                   |          | x  | x                      |
| SHIT Flow Diagram                             | World Bank / WSP               |                                       |                              | x          | x                           |  | x                                      |                                  |                              |               | x                                 | x        | x  | x                      |
| WASHBAT                                       | UNICEF                         | x                                     |                              |            | x                           | x  |  | x                                | x                            |               |                                   |          |  |                        |
| WA District Sustainability Tool               | WaterAid                       | x                                     | x                            | x          | x                           |  | x                                      |                                  | x                            |               |                                   |          | x  | x                      |
| WASHTECH - Technology Applicability Framework | WaterAid, IRC, Skat Foundation | x                                     |                              |            |                             | x  |  | x                                |                              |               |                                   |          | x  | x                      |
| Global Monitoring Framework                   | Water for People               | x                                     |                              | x          |                             |  |  |                                  |                              |               |                                   |          | x  |                        |



# FINDINGS

- Most of the frameworks have a greater focus on the enabling environment
- Two tools looked exclusively at EE (UNICEF framework and the WASHBAT ), but informed in part by evidence about WASH service delivery
- Majority of other examples look at the national system, but some also focus on local systems – new WaterAid district sustainability analysis tool, the USAID SIT (partly)
- Enabling environment mainly focussing on factors rather than actors and relationship between actors
- **SWA Collective Behaviours** framework is one of the only examples of trying to assess system dynamics rather than only Enabling Environment factors

| Framework name or Tool                        | Main Developer                 | Weighting (as %)                      |               |
|---|--------------------------------|---------------------------------------|---------------|
|   |                                | Enabling Environment (systems change) | WASH Services |
| SIT   | USAID                          | 50                                    | 50            |
| IRC BB  | IRC                            | 67                                    | 33            |
| UNICEF EE                                     | UNICEF                         | 100                                   | 0             |
| Service Delivery Assessment                   | World Bank/ WSP                | 83                                    | 17            |
| WB BB   | World Bank                     | 40                                    | 60            |
| TrackFin                                      | WHO                            | 80                                    | 20            |
| GLAAS   | UN Water/ WHO                  | 75                                    | 25            |
| SHIT Flow Diagram                             | World Bank/ WSP                | 43                                    | 57            |
| WASHBAT                                       | UNICEF                         | 100                                   | 0             |
| WA District Sustainability Tool               | WaterAid                       | 75                                    | 25            |
| WASHTECH - Technology Applicability Framework | WaterAid, IRC, Skat Foundation | 60                                    | 40            |
| Global Monitoring Framework                   | Water For People               | 40                                    | 60            |

# SWA COLLABORATIVE BEHAVIOURS

- Linked to SWA global partnership and accountability platform
- First round monitoring applied one time in 38 countries, but not yet publicly released
- Based on available data (reported via GLAAS), but major challenges with lack of data
- Monitors four sets of collective behaviours:



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**SWA COLLABORATIVE BEHAVIOUR COUNTRY PROFILES 2017**

**BANGLADESH**

OVERVIEW — SUMMARY OF COLLABORATIVE BEHAVIOURS

| BEHAVIOUR ●  | BEHAVIOUR ●                        | BEHAVIOUR ●   | BEHAVIOUR ●   |
|--|------------------------------------|---|---|
| ENHANCE GOVERNMENT LEADERSHIP OF SECTOR PLANNING PROCESSES | STRENGTHEN AND USE COUNTRY SYSTEMS | USE ONE INFORMATION AND MUTUAL ACCOUNTABILITY PLATFORM FOR ALL ACROSS ALL SECTORS OF PLANNING, MONITORING AND FINANCING | BUILD SUSTAINABLE WATER AND SANITATION SECTOR FINANCING INSTRUMENTS THAT RESPOND TO FINANCIAL GAPS FROM STATE, PRIVATE AND INTERNATIONAL CREDIT INSTITUTIONS' PORTFOLIO |
| GOVERNMENT DEVELOPMENT PARTNERS                            | GOVERNMENT DEVELOPMENT PARTNERS    | GOVERNMENT DEVELOPMENT PARTNERS   | GOVERNMENT DEVELOPMENT PARTNERS   |
| ★★★★★  | ★★★★★                              | ★★★★★   | ★★★★★   |

**glaas** Global Leadership in Accountability and Assessment for Sanitation and Water

<http://www.watnexus.org/india-health/glaas/>

# SWA COLLABORATIVE BEHAVIOURS: SUMMARY COUNTRY PROFILES

| SWA Collaborative Behaviours  | Ethiopia   |                   | Kenya      |                   | Haiti      |                   |
|---|------------|-------------------|------------|-------------------|------------|-------------------|
|   | Government | DPs               | Government | DPs               | Government | DPs               |
| 1. Enhance government leadership of sector planning processes         | ★★★★★      | Insufficient Data | ★★★★★      | Insufficient Data | ★★★★☆☆     | Insufficient Data |
| 2. Strengthen and use country systems                                 | ★★★★☆      | Insufficient Data | ★★★★☆      | Insufficient Data | ★★★★☆☆     | Insufficient Data |
| 3. Use one information and mutual accountability platform             | ★★★★★      | Insufficient Data | ★★★★☆      | Insufficient Data | ★★★☆☆☆     | Insufficient Data |
| 4. Build sustainable water and sanitation sector financing strategies | ★★★★☆      | Insufficient Data | ★★★☆☆☆     | Insufficient Data | ★★★★☆☆     | Insufficient Data |

# SWA COLLABORATIVE BEHAVIOURS: COUNTRY PROFILES SUB-INDICATORS

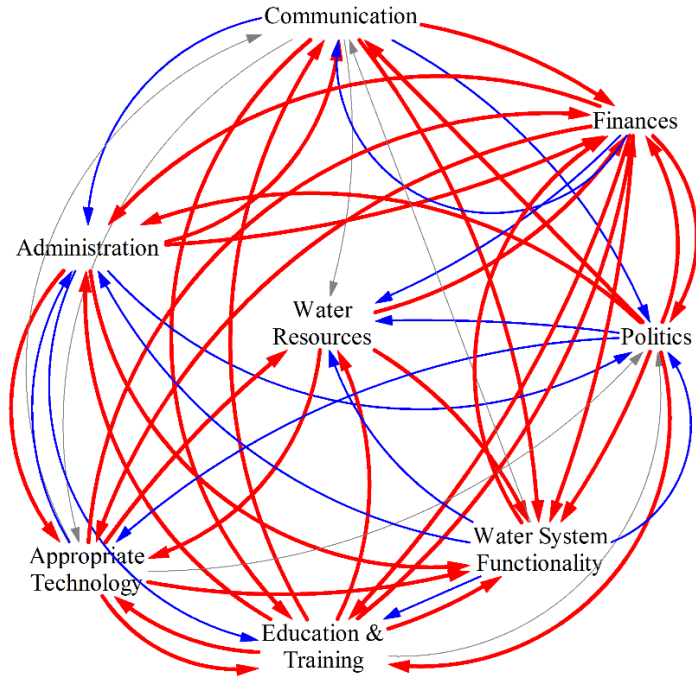
**Haiti: Collaborative Behaviour 3** - Use one information and mutual accountability platform built around a multi-stakeholder, government-led cycle of planning, monitoring, and learning

| Indicators  | Government | DPs                |
|---|------------|--------------------|
| <b>3.1a A formal government-led multi-stakeholder review mechanism exists</b>   | ★★★☆☆      | Data not available |
| 1. A national assessment for drinking-water, sanitation, and hygiene is available (year of latest assessment)   | X (no)     |                    |
| 2. A review mechanism is in place to assess progress on a regular basis and results are acted upon  | ✓ (yes)    |                    |
| 3. The mechanism applies evidence-based decision-making, including consideration of agreed indicators (e.g. access, WASH related disease, WASH finance) | • (partly) |                    |
| 4. Development partners that indicate being part of a mutual assessment exercise  |            | Data not available |

# CONCLUSIONS AND IMPLICATIONS

- Increasing examples of how to monitor WASH service delivery (JMP indicators for the SDG 6.1 plus others)
- Fairly high level of convergence around defining elements or dimensions of Enabling Environment – similar building blocks and frameworks in use
- But most monitoring frameworks still focus on factors of a system (i.e. building blocks) rather than mapping actors, relationships and paths of influence
- Perhaps because of cost and complexity the Enabling Environment is taken as a proxy for strength of system (*the system of systems*)?
- **To date, there is little at scale experience explicitly with systems-based monitoring** – including defining, mapping and monitoring WASH systems, either at national or local levels

# NEED FOR RESEARCH AND MORE CONCERTED EFFORTS TO UNDERSTAND SYSTEMS CHANGE



"Participatory Systems-based Planning and Evaluation Process" (Walters et al, 2017)

- New USAID-funded Sustainable WASH Systems Initiative running for five years
- Explicit aim of learning about WASH systems and monitoring of change over time
- Uses systems based tools and approaches to define, understand and monitor (local) systems
- Going forward – need to share experiences and lessons in a more systematic way

# THANK YOU

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**IRC**

Supporting water sanitation  
and hygiene services for life

The logo for AGUA CONSULT features three colored circles (teal, pink, and dark teal) stacked vertically to the left of the text. The text 'AGUA' is in a large, thin, sans-serif font, and 'CONSULT' is in a smaller, thin, sans-serif font below it.

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