

# Developing SMART commitments for the 2014 High Level Meeting (HLM)

Guidance for governments and SWA partners in country

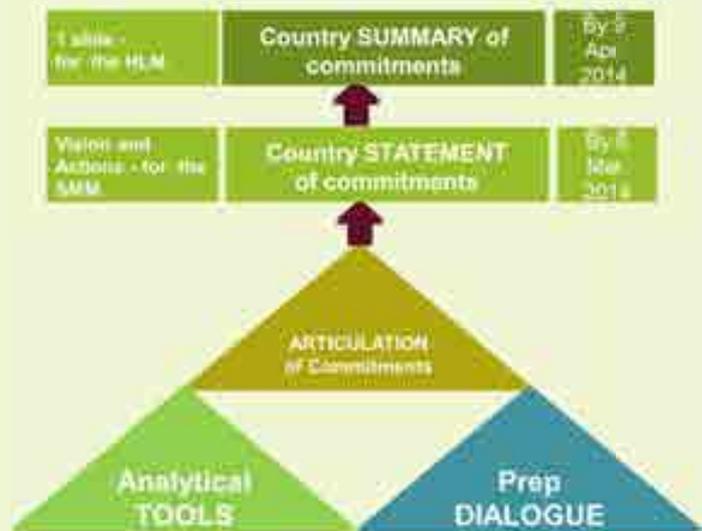


## Executive Summary

### Developing commitments for the 2014 SWA High Level Meeting (HLM)

The third Sanitation and Water for All (SWA) High Level Meeting (HLM) convening Ministers of Finance and Ministers of Development Cooperation will take place on 11 April 2014 in Washington in conjunction with the World Bank Spring Meetings. A preparatory WASH Sector Ministers' Meeting will take place on 10 April 2014.

This guidance is designed to support governments and SWA partners in country to develop a statement of commitments to be presented at the preparatory Sector Ministers' Meeting (SMM), and a summary to be presented at the High Level Meeting.



### Key principles to develop 2014 commitments:

- **OBJECTIVES:** Commitments should reflect a bold vision and aim to bring about a *step change* in achieving universal access to water, sanitation and hygiene by removing bottlenecks in areas that prevent progress; addressing inequality; and ensuring sustainability. Aid-effectiveness principles are essential elements in achieving this.
- **COUNTRY STATEMENT:** 2014 commitments should be delivered in a short statement (preferably no longer than two pages) summarizing progress made on the 2012 HLM commitments; key focus for 2014 - 2016; and commitments in the areas of action identified as key to removing existing barriers. A sample statement can be found in Annex 1.
- **ARTICULATION:** Commitments should be few, formulated according to SMART principles (Specific, Measurable Achievable, Relevant and Time-bound) and balance short term and medium-term structural changes.
- **PROCESS:** Commitments should be developed across ministries, in dialogue with stakeholders, including civil society, and in consideration of a country and region's priorities. High-level validation at a ministerial level is recommended.
- **TOOLS:** An analysis of barriers should be based on tools such as Joint Sector Reviews (JSRs), Country Status Overviews (CSOs), Bottleneck Analysis Tools (BATs), GLAAS and analysis of disparities using JMP or national data.



# Contents

<b>1. Framework for 2014 commitments</b>	<b>Page 3</b>
1.1 Three components of a vision (Universal access, Eliminating Inequalities, Sustainability)	
1.2 Eleven action areas to achieve this vision (Financing, Visibility, Global Monitoring, National monitoring, Transparency, Evidence, Linking monitoring to DM, Policy & Planning, Coordination & alignment, Decentralization, Capacity & Human Resources)	
<b>2. Structuring a Statement of Commitments</b>	<b>Page 7</b>
<b>3. Developing 2014 SMART commitments</b>	<b>Page 8</b>
3.1 Articulation of commitments	
3.2 Preparatory dialogue to develop SMART commitments	
3.3 Tools to develop SMART commitment	
<b>4. Support available from the SWA Secretariat</b>	<b>Page 11</b>
<b>5. Annexes</b>	<b>Page 12</b>
5.1 Example of a country statement of commitments	
5.2 Examples of SMART commitments (by category of action, by thematic area)	
5.3 Analytical tools available to support commitments development	
5.4 Calendar of Secretariat's support interventions	

# 1. Framework for 2014 Commitments

This guidance is designed to support governments and SWA partners in-country to develop a Statement of Commitments to be presented at the preparatory Sector Ministers' Meeting (SMM) and then in summary form at the High Level Meeting in April 2014. This note starts by describing the "framework for 2014" commitments and providing a sample structure for a Country Statement of Commitments. It then gives guidance on the articulation of commitments, as well as on the dialogue to develop them, and on tools available to support. The annexes contain examples of "SMART" commitments in the 11 proposed categories of action and a sample statement of commitments. Similar guidance is under development for donor countries.

At the 2012 HLM<sup>1</sup>, a large number of very diverse commitments were tabled. These were difficult to measure, aggregate and compare at a global level. Additionally, there was no direct relationship between the commitments made by developing countries and those made by donors. For example, some countries committed to strengthen their financial systems, but donors did not commit to increase funding through country's own financial systems. While it is important that each partner decides what commitments are relevant to their context, this document sets out guidance that will make the commitments more measurable and comparable. A similar framework will be shared with donors, to encourage 'mirroring' between areas of donors' commitments and commitments of developing countries.

**Step 1: Articulating a bold vision:** For the 2014 HLM, SWA partners have agreed that the preparatory dialogue in countries should focus on three topics: **achieving universal access to water, sanitation and hygiene; eliminating inequalities; and ensuring sustainability.** All of these topics are intertwined and mutually reinforcing.

**Step 2: Identifying areas of actions:** Countries should analyse the main barriers that are preventing progress in reaching this vision. Countries should propose specific actions that will lift these barriers and represent a *step change* in achieving the outcomes. Eleven suggested key areas of action have been identified to guide this process.



## 1.1 Three components of a bold vision:

### Universal access:

Universal access to sanitation and water is the ultimate goal of the Sanitation and Water for All Partnership. Universal access to water, sanitation and hygiene is essential not only because water and sanitation have been recognized as fundamental human rights, but also because evidence

<sup>1</sup> The 2013 Progress Update on 2012 HLM Commitments can be downloaded at <http://sanitationandwaterforall.org/commitments>

shows that access to WASH has a significant impact on economic growth, and is crucial to achieving child survival, universal education, sound nutritional status and good health.

Several countries already have met the water Millennium Development Goal (MDG) target of reducing by half the population without access to water, but the challenge remains reaching the other half. For sanitation, the MDG target is off-track globally, and many countries lag far behind in sanitation progress. Additionally, evidence shows that long-term changes in social norms and impact on health are only achieved when sanitation coverage is at scale.

### Eliminating inequalities:

Eliminating inequalities is essential both in terms of human rights and in terms of ensuring investments have the greatest benefits. Countries cannot progress to universal access unless they develop strategies that specifically target the poorest and most marginalized people.

Achieving universal access will require an understanding of the current disparities in access. Disparities in access to WASH services may exist between people from different wealth categories, geographical areas or ethnic or social backgrounds. For example, the majority of those without sanitation (71%) live in rural areas, where 90% of open defecation takes place.

### Areas of action to specifically accelerate progress on eliminating inequalities can include:

**Visibility:** Provide arguments for WASH to be prominent in poverty elimination strategies

**Policy, strategy and planning:** Establish realistic minimum standards and roadmaps to universal access. Establish targeting criteria aimed at eliminating disparities

**Financing:** Calculate marginal costs of reaching the unserved and develop a financing strategy

**Evidence:** Carry out poverty analysis to increase the understanding of where and who the poor and vulnerable are and which barriers they face in achieving WASH access.

**Monitoring:** Develop indicators to monitor disparities and progress in eliminating them (e.g. By wealth category, gender, geography, ethnic/religious/social, geographical location)

**Decentralization:** create stronger local structures and allocate resources that are specifically aiming at eliminating geographical disparities

### Sustainability:

Gains in access to WASH services ultimately only matter if they can be sustained over time. Sustainability is not just a function of technical design but, more importantly, a function of the robustness of the institutional arrangements to deliver these services, of the transparency and the viability of the financial mechanisms that generate revenues for the services and the long-term behavioral changes that sustain demand for services. Strong systems and good governance (clear roles and responsibilities) are key to sustainability. Internationally agreed aid-effectiveness principles (see box on aid-effectiveness on page 6) aim at ensuring that aid supports, rather than undermines, the strengthening of national institutions.

### Areas of action to specifically accelerate progress in sustainability could include:

**Financing:** Develop financing mechanisms for service delivery with realistic cost-recovery targets and clearly defined, coherent tariffs, that protect the poorest and most vulnerable, and robust asset management.

**Visibility:** Display political commitment to support the elimination of open defecation and the creation of a social norm for the universal use of latrines/toilets.

**National Monitoring:** Monitor functionality and indicators of sustainability.

**Transparency:** Develop transparency and accountability measures for financial management bodies.

**Policy:** Include in policies and strategies the concept of long-term service delivery and costing rather than a project-based approach

**Decentralization:** Assess and develop local government capacity to deliver and regulate service in demand-responsive manner

**Coordination:** Clearly define roles and responsibility between regulators, services and maintenance providers and users

**Capacity:** Plan for sufficient capacity and human resources to implement relevant policies and strategies, and to maintain service

## 1.2 Eleven areas of action to achieve the vision

The three priority areas for SWA are: 1) Increase political prioritization; 2) Promote the development of a strong evidence base; and 3) Strengthen national planning processes. In line with these priority areas, there are eleven areas of action that partners are encouraged to consider when articulating their commitments, as follows:

- 1. Improve financing:** Actions to increase sector financing *and to better target financing*. This area includes commitments to increase budget allocations, create separate budget lines, and mobilize sector financing, including redesigning of sector financing mechanisms and leveraging private sector resources.
- 2. Increase prioritization of WASH:** Actions to position WASH as priority in development plans and strategies, especially poverty reduction strategies; integrate WASH into other sectors; design strategies that recognize the link between WASH and outcomes in gender, health, nutrition, education; set targets to eliminate open defecation; and advocate for WASH to be included as an integral part of the post-2015 agenda.
- 3. Strengthen global monitoring:** Actions to support global monitoring tools and processes, such as ensuring dialogue among stakeholders and ministries to collate data for global monitoring tools.
- 4. Strengthen national monitoring:** Actions to strengthen national information systems, to , to assess performance against national sector development strategies, to build capacity specifically to monitor, to mainstream the monitoring of WASH in other sectors, and to systematically include stakeholders in performance assessments.
- 5. Improved transparency:** Actions to track expenditures of budget, to increase the overall transparency of the financial systems, and to improve communications to users and stakeholders.
- 6. Increased evidence:** Undertaking poverty analysis to increase the understanding of where and who the poor, marginalized and vulnerable are; as well as actions to strengthen knowledge of approaches that work to accelerate progress and target the unserved.
- 7. Linking monitoring and evidence to planning:** Setting up and utilizing systems to link planning and allocation of resources to evidence of needs, capacity.
- 8. Robust policies, strategies and planning:** Actions to develop and implement comprehensive policies and strategies, which set clear standards of delivery, focus on long term sustainability, and look into issues of equity and overcoming barriers, accompanied by detailed, costed plans.

**9. Strengthened coordination and alignment:** Creating mechanisms for coordination among ministries and other relevant stakeholders (e.g. task teams) and introducing longer-term reforms to clarify roles and responsibility and improve cooperation.

**10. More effective decentralization:** Actions for legal devolution of power, capacity building, transfer of funds and building of procurement systems, to make decentralization of delivery and control of services more effective. Closeness to demand is an important element of sustainability.

**11. Capacity, including human resources:** This includes developing or strengthening institutions, strengthening capacity and availability of human resources (including staff recruitment, training and retention), and establishing partnerships with private sector to both leverage and support development of private sector capacity.

**Aid-effectiveness principles are essential to deliver a bold vision**

“Aid effectiveness” refers to five principles agreed by the international community in order to maximize the returns in each dollar invested in aid: **ownership, alignment, harmonization, results, and mutual accountability**. Aid-effectiveness principles ultimately aim to strengthen country systems and long-term capacity to deliver and sustain services by focusing on country ownership and alignment of aid with national systems.

To ensure that sustainable access is achieved, it is important that partners (both developing countries and donors) apply aid-effectiveness principles when developing actions to implement their vision.

<b>1. OWNERSHIP</b>	Developing countries set their own development strategies, improve their institutions and tackle corruption.
<b>2. ALIGNMENT</b>	Donor countries and organisations bring their support in line with these strategies and use local systems.
<b>3. HARMONISATION</b>	Donor countries and organisations co-ordinate their actions, simplify procedures and share information to avoid duplication.
<b>4. MANAGING FOR RESULTS</b>	Developing countries and donors focus on producing – and measuring – results.
<b>5. MUTUAL ACCOUNTABILITY</b>	Donors and developing countries are accountable for development results.

**How could aid-effectiveness principles be reflected in SWA commitments?**

**Financing:** Commit to develop financing strategies that clarify how service costs will be sustainably financed through national tax revenues, tariffs and external transfers (Ownership)

**National monitoring:** Commit to strengthen monitoring by putting in place regular performance assessments, such Joint Sector Reviews that bring sector agencies and donors together around agreed benchmarks of success (Monitoring for results)

**Transparency:** Commit to improve tracking of funds and financial management systems in order to encourage donors to channel WASH aid through country systems.

**Policy and planning:** Commit to sector strengthening (including policy development and implementation and comprehensive planning to extend access to sustainable WASH services) and strengthening of national systems for improved financial management and procurement. Commit to defining minimum levels of service in policy and strategy documents.

**Coordination:** Commit to demonstrate leadership in coordinating sector investments behind the achievement of national development goals and on deep understanding of poverty and inequalities (Ownership and Monitoring for Results).

## 2. Structuring a 2014 Statement of Commitments

A country statement of commitments should be no longer than two pages. It is proposed that the statement contains the following components:

### 2014 STATEMENT OF COMMITMENTS

**Key sector indicators:** Coverage and disparities (rural vs. urban, wealth quintiles, geographical, ethnic)

**Long term vision and focus for 2014 - 2016:**

- Indicate a clear roadmap for scaling up to achieve universal access and how this fits into national priorities
- Indicate the focus achievements for 2014 - 2016
- Indicate how the roadmap will address the key issues of eliminating inequalities and sustainability

**Key bottlenecks identified and sources:**

1. Identify the key bottlenecks and barriers that you want to tackle
2. Identify the sources of the analysis. This could include Joint Sector Review (JSR), Country Status Overview (CSO), Service Delivery Assessment, MAPAS, Bottleneck Analysis Tool (BAT), your country's inputs to the Global Assessment and Analysis of Sanitation and Drinking Water (GLAAS), or other sources
3. Indicate how the bottlenecks and barriers you have chosen to address fit into your country's long-term plans and strategies
4. Describe the process of identification of bottlenecks, including stakeholders' involvement

**Summary of progress on 2012 HLM commitments:**

Including indicating which unaccomplished commitments will be carried over to 2014

**Key 4 to 6 SMART commitments:**

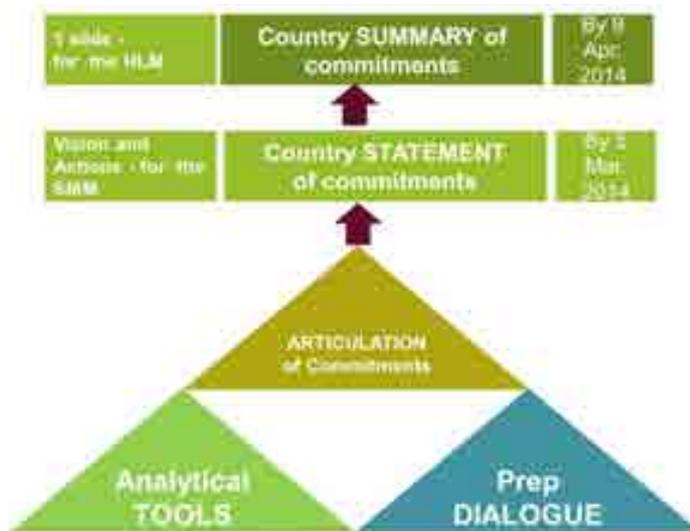
- **Specific:** identify clear actions and indicate the lead / supporting ministries
- **Measurable:** indicate how you will monitor progress
- **Achievable:** check that it's based on previous progress
- **Relevant:** include key commitments that can unblock the identified bottlenecks
- **Time-bound:** 2016 as completion date or an important milestone

**Validation:** Indicate which ministries/ ministers validated this statement

A Sample Statement of Commitments, from a fictitious country can be found in Annex 1.

### 3. Developing 2014 SMART commitments

This section gives guidance on the articulation of “good” commitments; how to develop them; and the tools available to support the process



#### 3.1 Articulation of commitments



- **'Communicable in 90 seconds'**: few, but focused
- **'Game changing'**: carefully ambitious
- **'Balancing'**: existing plans with new priorities
- **'Sequencing'**: short term and structural
- **'SMART'**: Specific, Measurable, Achievable, Relevant, Time-bound

The processes of monitoring both the 2010 and the 2012 HLM commitments have generated much learning around what could be called “*creative tensions*” of HLM commitments, as follows:

1. **Having too many commitments** (which are hard to advocate for, monitor and implement), or too few commitments (which is perceived as not being ambitious enough).
2. **Following up on old commitments** (that are rooted in national plans/existing commitments, and enable tracking by national systems), or having newer ones either to replace the old ones or to implement at the same time (which can shift the agenda, or change the scale of projects).
3. **Focusing on quick wins** (that are more feasible, visible and reportable), or giving priority to longer term more structural changes (that can be harder to achieve and difficult to keep momentum around).
4. **Having broad commitments** (that focus on the large picture, can be aggregated, but are more challenging to monitor), or more specific ones (that are actionable, speak to context, and more monitorable, but harder to aggregate).

These tensions will inevitably exist in most countries. Therefore, in order for countries to strike the right balance and create the best commitments for the 2014 HLM, what follows are some recommended principles for the articulation of commitments:

**90 second rule:** The commitments of any country should be read and understood in 90 seconds. Aim at having a maximum of **five** commitments that tell a story about the situation in your country and what will be done to make it better.

**Game changing:** Commitments should be bold and designed to bring about a *step-change* on the three component areas of the vision (sustainability, eliminating inequalities, and universal access).

**Balanced:** Commitments should be rooted in existing plans so that they reflect the bottlenecks of unfinished agenda items and, at the same time, they reflect any shift in priority required to achieve the vision (sustainability, eliminating inequalities, and universal access).

**Sequenced:** Commitments should have an appropriate time frame, depending on whether they relate to short-term or structural longer-term actions. It is suggested that countries taking part in the HLM for the first time start with some “quick wins”, and then move towards more focus on structural long-term changes.

**SMART – “SWA-SMART”:** The “SMART” rule stands for commitments that are Specific, Measurable, Achievable, Relevant, and Time-bound. However, this needs to be applied within the context of SWA frameworks.

- **SWA Specific:** It is recommended that each commitment indicates both an **action** and specifies **who** is responsible for its achievement. It is also important for such actions to be compatible with country level priorities and address the country’s needs; whilst at the same time fit into one of the 11 SWA categories.
- **SWA Measurable:** There is no set of global or common indicators that can be applied for all countries. However, every country should state upfront the indicators to be used and how they will be measured, including measurability by *national systems*.
- **SWA Achievable:** Commitments should be consistent with the level of progress achieved on previous commitments and also consistent with what other countries do/have done; while anticipating all levels of effort required.
- **SWA Relevant:** It is recommended that commitments reflect the key sector bottlenecks and address outstanding challenges in the sector. This also includes tackling the broader priorities of each country and its existing/outstanding commitments in SWA and/or other regional and global forums.
- **SWA Time-Bound:** Ideally, commitments made at an HLM would have a two year time-frame for achievement, so that they would be achieved by the subsequent HLM. However some commitments can be longer term and focus on more structural changes that are either on-going or need a longer period to achieve. It is important in all cases to specify a realistic time frame for achievement with key milestones.

### 3.2 Preparatory dialogue to develop SMART commitments



- Getting **stakeholders** together
- Analyzing **bottlenecks** and **previous progress**
- Balancing **old and new** priorities
- Aligning with **regional** processes
- Linking **Post-2015 country consultations**

**Getting stakeholders together:** Bring together several actors and several voices. Several occasions can be created: by phone, in person or integrated into other meetings. The dialogue process should be government-led and should bring together a wide range of voices, including development partners, civil society and representatives of other relevant sectors, such as health and education. Where possible, existing national fora and coordination mechanisms should be used to foster an on-going and cyclical dialogue.

**Analyse barriers:** Use sector analytical tools to identify barriers to progress in the sector (explained in next section)

**Balance national/sector priorities:** Consider current national priorities that can be picked up by national systems but also consider emerging priorities and ambitious targets (e.g. if the old priorities include strengthening institutional capacity and the new identified bottleneck is developing human resources for rural sanitation, then creating long-term capacity for rural sanitation is a good compromise).

**Align with regional processes:** Look to regional processes (you can use the HLM to complement the commitments that your country made as part of the eThekweni or SACOSAN process, or be more specific in terms of removing barriers that prevent the achievement of eThekweni or SACOSAN commitments).

**Link to Post-2015 consultations:** Discussing 2014 commitments might be an opportunity to think about priorities for Post-2015 and to link up to the Post-2015 consultations at country level. For the water sector, these will be often led at country level by the Ministry of the Environment or of Water Resources. The Ministry of Foreign Affairs will also have a role as they deal with your country's engagement with the UN.

### 3.3 Tools to develop SMART commitments



- Joint Sector Reviews- **JSR**
- Progress report on **2012 HLM** Commitments
- Country Status Overviews- **CSOs**
- WASH Bottleneck Analysis Tools - **BATs**
- **GLAAS**
- **Poverty analysis**

Analytical tools can help develop commitments by identifying and analysing key bottlenecks in the sector and prioritizing which ones to address. Most countries will have the following tools available to use in framing their 2014 HLM Commitments: 2013 National Joint Sector Reviews, 2013 and 2014 Progress Report on 2012 HLM Commitments, and the 2013 Global Assessment and Analysis of Sanitation and Drinking Water (GLAAS). Many countries will also have WASH Bottleneck Analysis Tools (WASH BATs), Country Status Overviews (CSOs), Service Delivery

Assessments (SDAs) and analyses of disparities and poverty. A detailed description of these tools and how they can be used to develop SMART Commitments is presented in Annex 3.

#### **4. Support from the SWA Secretariat**

To support the ‘developing countries’ dialogue, the SWA Secretariat has developed a plan of support actions, which include:

- **Webinars**
- **Teleconferences**
- **Linking people and organizations across regions**
- **Guidance notes**
- **2014 Progress Update on the 2012 HLM commitments**
- **Technical assistance in reviewing the 2014 Statement of Commitments to be presented at the Sector Ministers’ Meeting**
- **Assistance in reviewing the ‘summary slide’ to be presented at the High Level Meeting**

A complete calendar of interventions can be found in Annex 3.

## Annex 1: Sample country statement of commitments

### Republic of <Sampleland>

#### 1. Key sector indicators

**Water:** <Sampleland> has made great strides in increasing access to and use of improved sources of drinking water. According to the Joint Monitoring Programme on Water and Sanitation (JMP), <Sampleland> achieved its MDG target for drinking water in 2010 and over 85% of the overall population has now access to an improved water source.

**Sanitation and hygiene:** However, limited progress has been made in the sanitation and hygiene sub-sector, with only 30% of the population having access to improved sanitation and 40% of the population still practicing open defecation. Less than 20% of the population practices hand-washing with soap or ashes.

**Disparities:** Additionally, large disparities exist in access, especially to sanitation. Open defecation rates are over 70% in the poorest rural districts in the Northern, Upper East and Upper West Regions. Even in drinking water, where much progress has been made, there are still huge service gaps between urban areas (95% access) and rural areas (60% access). Further, within the urban setting there are inequities between formal settlements and informal areas, including peri-urban settlements, which are home to 20% of <Sampleland>'s current population.

**Impact on health, economy, poverty and other sectors:** WHO has estimated that <Sampleland> loses USD 2.4 billion a year (equal to 3.5 % of GDP) because of poor sanitation. The most recent MICS (2011) and DHS (2012) indicate that child mortality and morbidity were the highest in the three regions with highest rates of open defecation.

#### 1. Long- term vision and focus for 2016

**Long term vision:** <Sampleland> is determined to achieve universal access to water and sanitation. <Sampleland> aims to eliminate open defecation nationwide by 2020 and to provide a minimum standard WASH package to 100% of the population by 2030. <Sampleland> will prioritize the delivery of basic services to the poorest rural districts with highest malnutrition rates, as well as to informal settings in urban dwellings.

**Focus between 2014 and 2016:** Between 2014 and 2016 <Sampleland> will focus on increasing political prioritization and capacity for eliminating open defecation and promoting delivery of low - cost integrated packages in the North, North East and North West areas. It will focus on creating financial, institutional and human resources capacity to scale-up community based sanitation programmes in priority districts and to promote sanitation as the entry point for delivering integrated WASH and nutrition services. It will also work on developing evidence on which sanitation approaches work for the urban poor.

**Fit with national priorities:** Strengthening the capacity of local government is in line with the national priority of decentralization and devolution of powers in other sectors (health and education). Focusing on sanitation is also directly related to the national priority of eradicating poverty and fighting malnutrition.

#### 2. Key bottlenecks

The Government of <Sampleland> has worked in consultation with stakeholders to identify the main bottlenecks in the WASH sector, and sanitation specifically, both during the 2012 Global Assessment of Sanitation and Water (GLAAS) and the 2013 WASH Bottleneck Analysis Tool (BAT) processes.

Nationally the main bottlenecks for sanitation were identified as: lack of dedicated government funding for sanitation and in particular for rural sanitation, lack of a clear strategy and large scale programmes in rural areas, and lack of coordination among the institutions responsible

In the poorest rural districts, identified as priorities, the main bottlenecks were lack of dedicated and trained human resources and lack of funds for local government, to whom responsibility had been decentralized.

Additionally, the peri-urban settings have not been targeted by sanitation programs by government and there is a lack of understanding of which approaches work best for the urban poor. However scattered approaches have been introduced by partners during a cholera epidemic in 2010, and there seems to be private sector initiatives that can be further explored.

#### **4. Summary of progress on 2012 HLM commitments**

**Commitments on increasing political prioritization:** some progress on commitments to increase funding for the WASH sector, however sanitation did not benefit from this increase. This commitment needs to be carried to 2014, but changed to focus on sanitation and to evolve into long term financing.

**Commitments on promoting the development of a strong evidence base:** Good progress has been achieved in water point mapping in the rural areas. New commitments in the area of evidence-based decision making will focus on sanitation and the peri-urban settings.

**Commitments on strengthening national planning processes:** Some short-term improvements in sector coordination, but a longer-term reform of roles and responsibilities, especially for the sanitation sector, should be sought. This set of commitments will be carried to 2014, but changed to focus on long term changes.

#### **5. 2014 SMART commitments**

- **Visibility of sanitation:** The Ministry of Public Works will work with the Ministry of Planning and Ministry of Health to include the elimination of open defecation in the 2014-16 Poverty Reduction Strategy and in the 2015 National Health and Nutrition Plan.
- **Financing of sanitation:** Ministry of Finance will work to create a sustainable Sanitation Fund for Sanitation, by 2015.
- **Costed strategy to eliminate open defecation in priority districts:** The Ministry of Sanitation, Ministry of Finance and the Department of National Planning will develop by 2014 a strategy to eliminate open defecation in priority districts and a financing plan that is integrated into the national medium term expenditure framework which sets specific investment targets for FY2016.
- **Decentralization;** The Ministry of Public Works will work with Ministry of Local Government to develop a capacity building plan for local government in priority districts in the North, Upper East and Upper West, by 2015 .
- **Capacity:** The Ministry of Public Works will work with the Ministry of Health to integrate Community Led Total Sanitation (CLTS) training into the training package for health extension workers in the priority districts in the North, Upper East and Upper West.
- **Evidence:** The Ministry of Health will carry out a comparative study of sanitation approaches for the poor in the urban areas in order to develop evidence of what works

#### **6. Validation**

The Ministers of Finance, Water Resources, and Health validated this statement. The Director Generals for Education, Local Government and National Planning Development Commission participated in the validation exercise, as did the civil society groups.

## Annex 2: Examples of SMART commitments

### 3.1 By Categories of action

#### Increasing political prioritization

##### 1- Financing

- *The Ministry of Finance and Planning will establish a minimum annual allocation to sanitation and hygiene of 2% of national expenditure by 2016, with support of the Ministry of Sanitation.*
- *The Ministry of Finance will create clear and distinct budget lines for water, sanitation and hygiene within the National Budget by 2016, with the help of Ministry of Water and Sanitation.*
- *The Ministry of Sanitation, Ministry of Finance and the Department of National Planning will develop financing plan for sanitation that is integrated into the national medium term expenditure framework, and sets specific investment targets for FY2016.*
- *Prioritize Sanitation and Drinking Water within a Sector Wide Approach in the Poverty Reduction Strategy Paper, Long Term Development Framework and Long Term Expenditure Framework.*

##### 2- Visibility

- *The Ministry of Water and Sanitation to convene a donors' platform on innovations in the WASH sector to be attended by all sector partners during 2014/2015.*
- *Ministry of Sanitation to include sanitation as priority in the Growth Strategy for Poverty Reduction Document (2014-2018) and Government Priority Actions Program (2014-2018) or national equivalents.*

#### Promoting the development of a strong evidence base

##### 3- Global monitoring

- *The Ministries of Water, Sanitation, and Health to take the lead and convene sector stakeholders to carry out the GLAAS process in the country.*

##### 4- National monitoring systems

- *The Ministry of Water and Sanitation to take the lead on annually evaluating and tracking rigorous Sector indicators in close collaboration with the Technical and Financial Partners (PTF) including WHO and UNICEF.*
- *The Ministry of Water and Sanitation to design and operationalize a sector-wide monitoring and evaluation system for the drinking water and sanitation sector by 2016.*

##### 5- Transparency

- *Set up a task team within the Ministry of Water and Sanitation to strengthen communication within the stakeholders' community.*
- *The Ministries of Water, Health, and Sanitation, in collaboration with the Ministry of Finance to hold regular public expenditure reviews to monitor the actual budget expenditures from domestic resources allocated to the Drinking Water and Sanitation Sector.*

## 6- Evidence

- *The Ministry of Water and Sanitation to collaborate with the Ministry of Planning to undertake, by 2015, a country level poverty analysis to identify disparities of access to water and sanitation services and address major constraints hindering the achievement of equitable access to sanitation and water supply.*
- *Publish annual reports backed with figures on water and sanitation to be accessible to the general public on the Ministry of Water and Sanitation's official website.*

## 7- Linking monitoring to planning

- *Ministries of Water, Health, and Sanitation to jointly set clear targets for 2016 national level resources as well as indicators based on coverage monitoring data published through JMP.*
- *Ministry of Water to establish a national facility to benchmark performance of water service providers and link it to applied financing mechanisms.*

## Strengthening national planning processes

### 8- Policy and plans

- *Ministry of Water to establish self-supply as a service delivery mechanism for rural water within the national WASH program – and alongside community-managed approaches - in order to reach more than 30% citizens without safe water access by 2016.*
- *Create a directorate for Rural Sanitation in Ministry of Municipalities by 2015.*

### 9- Coordination and alignment

- *Ministry of Water and Sanitation to continue providing leadership in the national coordination of the sector and provide a platform for sector partners to engage in dialogue to maximize synergies by conveying a monthly meeting chaired by the Secretary of the Ministry.*
- *Establish, over the next two years, a fully formal coordination mechanism for partners jointly provided by Ministry of Health and Ministry of Public Works.*
- *Ensure that one principal accountable institution, which is the Ministry of Health, takes clear leadership of the national sanitation portfolio, and establish a coordinating body with specific responsibility for sanitation and hygiene.*

### 10- Decentralization

- *Ministries of Water and Sanitation, in coordination with the Ministry for Local Government to implement by 2015 the National Decentralization Policy, delegating responsibility and funds for WASH service provision to District Local Authorities.*
- *Ministries of Water and Sanitation to fully transfer, by 2016, the operational capacities to decentralized government structures in charge of supervision of activities taking place in the field in the Water and Sanitation Sector.*

## 11- Capacity (including HR)

- *Assess capacity building needs for staff at both the central and external services of the ministry in charge of sanitation by 2014, as HR is the main bottleneck identified by GLAAS.*
- *Ministries responsible for Water and Sanitation to establish by 2017 dedicated vocational water and sanitation training centres in all districts in order to mainstream WASH into curricula.*
- *Sector ministries to implement Water Supply and Sanitation Policy (WSSP) to ensure the presence of a functioning National Water Resources and Sanitation Board responsible for addressing sector fragmentation and initiate long-term reforms.*
- *The ministry responsible for water and sanitation to support municipalities, especially rural ones, to develop a minimum service package that will allow them by 2016 to play their role in service delivery (by helping them with human resources, encouraging sharing of resources among municipalities and, in the long term, developing dedicated water and sanitation technical services at the municipal level).*

### 3.2 By thematic areas

#### Sanitation:

- *The Ministry of Sanitation to develop, by 2015, a strategy which will lead to the elimination of open defecation by 2018, in collaboration with the Ministries of Finance, Water, and Local Government.*

SWA Focus area: Political Prioritization or National Processes

SWA Category: Visibility or Planning

#### WASH in Schools:

- *Ministry of Education to collaborate with the Ministries of Water, Health, and Youth; to integrate M&E of WASH in yearly M&E of the education sector by 2016.*

SWA Focus area: Evidence based decision-making

SWA Category: Strengthening monitoring

#### Water safety:

National WASH budget support water safety planning

Inclusion of Water Safety Plans in government speeches and bulletins, including local government newsletters

- *The Ministry of health and the Ministry of Water will jointly ensure documentation of good practices and benefits of implementing Water Safety Planning at the community level by 2016*

SWA Focus area: Evidence based decision-making

SWA Category: Strengthening monitoring

## Annex 3: Analytical tools available to support commitments development

**Joint Sector Reviews (JSRs):** Joint Sector Reviews (JSR) are annual meetings designed for government and partners to jointly review the implementation of sector plans or to assess sector performance and to agree on actions to address constraints in implementation and to improve performance. JSRs were established in the early 1990s as part of implementing sector-wide approaches (SWAp). They have also been found useful in countries where no SWAp is in place. Joint Sector Reviews are normally part of the annual M&E cycle of governments and, although do not focus on long term issues, should link into national Mid-Term Reviews.

JSRs are useful for choosing and framing HLM commitments since they cover the following:

- Achievements and performance against previous sector objectives: HLM commitments might focus on scaling some of the best practices.
- Challenges/ barriers/ lessons learned: This can be drawn upon to decide how to use the 2014 HLM commitments to move forward and avoid previous mistakes and build upon successes.
- Priorities for action which need to be addressed through new commitments.

**Progress Update on 2012 SWA HLM Commitments:** Partners report yearly on progress on commitments tabled at the High Level Meetings and the SWA Secretariat prepares a global update. The 2013 global and country progress updates are available on the SWA website.

In preparing for 2014 commitments, it is important to review progress on the 2012 HLM commitments. Progress updates give the following information:

- General level of progress on previous commitments.
- Milestones of progress for each commitment
- Reasons for slow progress

If commitments from previous years have not been fully achieved, an assessment should be made on the reasons for slow progress. If action areas of the old commitments are no longer relevant, because the context has changed, these commitments should not be re-proposed in 2014. If the action areas of the commitments are still relevant, then analysing the barriers to achieving them might help reformulate the same commitments to pinpoints focused action and make them more realistic

# SWA Website: Country profiles



Commitments	Progress Stage	Priority Area	Category
<p>PROGRESS: ● COMPLETED ● ALMOST COMPLETED ● IN PROGRESS ● MAJOR BARRIERS ● NOT STARTED</p>			
<p>Modify: outside financing necessary to reach the MDGs (net financing needs: USD \$123 million annually for Sanitation Sector and USD \$206 million per year for Water Sector Drinking according to ESS2 document)</p>		Political Prioritization	Financing
<p>Scale up programs to national level by generating demand for Sanitation and Hygiene Services to benefit of 21.5 % of the population</p>		National Planning Processes	Planning
<p>Regularly review (on average every 2 years) the situation of Drinking Water Supply, Hygiene and Sanitation Sector</p>		Evidence Based Decision Making	Monitoring
<p>Set up before 2013 a Monitoring and Evaluation system for regular reports on progress at local and national levels</p>		Evidence Based Decision	Monitoring

39

# SWA Website: Global comparisons



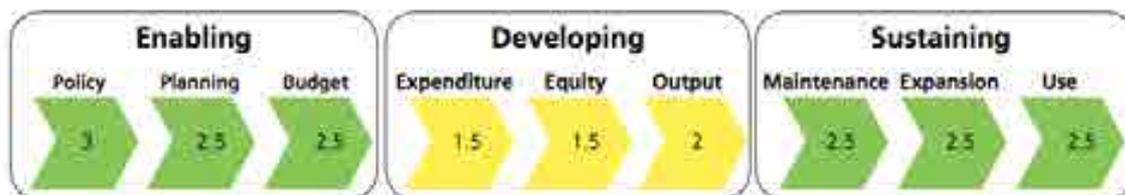
All Countries	Number	Priority Area	Sort by
<p>PROGRESS: ● COMPLETED ● ALMOST COMPLETED ● IN PROGRESS ● MAJOR BARRIERS ● NOT STARTED</p>			
Afghanistan	1		
Angola	10		
Bangladesh	4		
Bhutan	3		
Burkina Faso	4		
Burundi	4		
Cameroon	21		
CAH	4		
Chad	4		
Cote d'Ivoire	10		

### Country Status Overviews (CSOs), Service Delivery Assessments (SDAs) or MAPAS:

These are country bottleneck analyses supported by the World Bank's Water and Sanitation Program (WSP) through a process of consultation, data gathering using local sector experts, detailed discussion with country sector stakeholders, and endorsement by lead government sector agencies. They examine countries' level of preparedness to meet the targets, the financing requirements and gaps, and the sustainability of the sector. A unique feature of the resulting document is the "scorecard" which is an assessment tool providing a snapshot of reform progress along the service delivery pathway. This scorecard looks at nine building blocks of the service delivery pathway, classified in three categories: enabling conditions for putting services in place (policy development, planning new undertakings, budgeting); developing the service (expenditure of funds, equity in the use of these funds, service output); sustaining these services (facility maintenance, extension of infrastructure, use of the service). They can be used in formulating

2014 HLM commitments as follows:

A CSO Scorecard – Source: WSP, Country Status Overview



Scorecard areas where a country is indicated as "Red" or "Yellow" can be a starting point to develop HLM commitments. Most areas indicated in the scorecard can be easily linked with the proposed SWA categories:

- *Enabling Factors:* Policy and Planning fall under the SWA categories of Policy and Plans, and Budget falls under Financing.
- *Developing Factors:* Expenditure falls under the SWA categories of Transparency/tracking and/or Financing, while Equity can fall under Evidence and/or Linking Monitoring to Policy, whereas improvement in Outputs would usually fall under the SWA category of Decentralization or Capacity.
- *Sustaining Factors:* Improvements in maintenance would fall under the SWA Capacity category, Expansion falls under Planning or Financing

**WASH Bottleneck Analysis Tool (BAT):** This tool was developed by UNICEF (based on the WSP approach taken in the CSOs) in order to prioritize actions on eliminating inequalities. It facilitates a detailed and comprehensive assessment of the enabling environment in the water, sanitation and hygiene subsectors. It provides countries with very useful information for framing 2014 HLM Commitments as follows:

- A detailed assessment of sector enabling factors.
- An identification of bottlenecks and activities for their removal.
- A costing of activities and available funds allocation.
- Prioritization, planning and sequencing.
- The expected impact of removing bottlenecks.

**Global Assessment and Analysis of Sanitation and Drinking Water (GLAAS):** The UN Water GLAAS report is prepared by the World Health Organization (WHO). Its goal is to monitor the inputs going into the WASH sector; financing, human resources, and institutional resources. A secondary goal is to analyse the factors associated with progress, in order to identify drivers and

bottlenecks, to identify knowledge gaps and to assess strengths and challenges across countries. These reports, and the country profiles that are prepared from them, have proved to be essential in framing HLM commitments as they provide countries with important data on the following:

- Main sector statistics and coverage data.
- Overview of sector status.
- Overview of WASH impacts which maps country progress on both SWA commitments as well as GLASS results in different areas.
- Governance data which is very important for framing commitments as it draws upon data relating to elements of sustainability in policies and levels of implementation, as well as the distribution of responsibilities amongst sector ministries, and the overall coordination between WASH actors.
- Information on monitoring that outlines the existence of national assessment tools and mechanisms for different WASH areas. This is very useful for framing commitments on national monitoring systems (SWA category #4).
- Human resources information including a mapping of existing HR systems and financing in the sector and the main challenges; which is essential information for framing SWA capacity commitments (category #11).
- Sector finance data relating to availability of financing to meet MDG targets, the existence of Finance Plans, the main sources of available funding, as well as the difficulties encountered by the country in terms of finance, and the geographical allocation of available funds (urban vs. rural). This is also useful in framing SMART commitments on financing (category #1).

**Poverty or Inequalities Analysis:** These are a range of analysis tools that are carried out with the support of partners such as UNICEF and World Bank. They can provide the country with information on:

- Disparities in service provision between different poverty groups over different spans of time as well as comparing inequalities which is useful for making commitments on Financing, Transparency, Evidence, and/or Coordination and Alignment.
- Public Policy insufficiencies which can be used to define which policy areas take priority for making commitments on Policy and Plans.

These analyses are useful for designing poverty reduction strategies and commitments. They are therefore important tools to be used by countries to frame commitments that serve the HLCD vision on elimination of inequalities in the sector.

## Annex 4: Calendar of SWA Secretariat support to the HLCD, Developing Countries

### Webinars:

- 1- Engaging with the political level / Minister of Finance**
  - COMPLETED on Friday December 6<sup>th</sup>, 2013 – 7:00 am NY (11:00 AM Accra/London; 12:00 GVA; 13:00 JB; 14:00NBO). Recordings available in the SWA website
  - COMPLETED on Wednesday December 4<sup>th</sup> 2013 – 11:00 pm NY (for Asia) (Thursday, December 5, 2013 - 8:30 AM AFT, 10:00 AM BST, 11:00 AM ICT, 9:30 AM IST)
- 2- Developing SMART 2014 commitments**
  - COMPLETED on Thursday December 12<sup>th</sup>, 2013 – 9:00 am NY (13:00 Accra/London; 14:00 GVA; 15:00 JB; 16:00 NBO) Recordings available in the SWA website
  - COMPLETED on: Thursday December 12<sup>th</sup> 2013 – 11:00 pm NY (for Asia) (Friday, December 13, 2013 - 8:30 AM AFT, 10:00 AM BST, 11:00 AM ICT, 9:30 AM IST)
  - REPEAT Thursday February 7<sup>th</sup>, 2014 – 9:00 am NY (13:00 Accra/London; 14:00 GVA; 15:00 JB; 16:00 NBO)
  - REPEAT Thursday February 7<sup>th</sup>, 2014 – 11:00 pm NY (for Asia) (Friday, February 7, 2013 - 8:30 AM AFT, 10:00 AM BST, 11:00 AM ICT, 9:30 AM IST)
- 3- 2014 tracking of 2012 HLM commitments to develop 2014 ones: process and deadlines**
  - Thursday January 9<sup>th</sup>, 2014 – 9:00 am NY (13:00 Accra/London; 14:00 GVA; 15:00 JB; 16:00 NBO)
  - Thursday January 9<sup>th</sup>, 2014 – 11:00 pm NY (for Asia) (Friday, January 10, 2013 - 8:30 AM AFT, 10:00 AM BST, 11:00 AM ICT, 9:30 AM IST)
- 4- Good practices in sector-wide preparations for the 2014 HLM**
  - Thursday February 6<sup>th</sup>, 2014 – 9:00 am NY (13:00 Accra/London; 14:00 GVA; 15:00 JB; 16:00 NBO)
  - Thursday February 6<sup>th</sup>, 2014 – 11:00 pm NY (for Asia) (Friday, February 7, 2013 - 8:30 AM AFT, 10:00 AM BST, 11:00 AM ICT, 9:30 AM IST)

### Guidance documents available on the SWA website:

- **Basics of High Level Commitments Dialogue (HLCD)** circulated in August
- **Advocacy around the High Level Meeting Commitments Dialogue**
- **Concept Note on 2014 HLM** to be circulated in January 2014
- **Engaging with Ministers of Finance** circulated in December 2013

<http://sanitationandwaterforall.org/partner-workspace/high-level-commitments-dialogue>

### Support activities:

1. **Encouragement letter to Heads of State/Government, co-signed by HE Kufuor and UN Deputy Secretary General Jan Eliasson** – Sent in November 2013
2. **Save the Dates to Ministers**- sent in December 2013
3. **Official Invitations to Ministers**- To be sent in February 2014
4. **Format/template for 2014 tracking of 2012 commitments** – To be sent in January 2014
5. **Review of 2014 commitments** - On request - up to 15 March 2014
6. **Commitment Tracking Update - 2014 Country Progress Updates** - Available on the SWA website as PDF by 15 March 201