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# Democratic Economic Governance

*Review of MDG-F Joint Programmes Key  
Findings and Achievements.*

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# **Democratic Economic Governance**

## **MDG-F Thematic Study: Review of Key Findings and Achievements**

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*This independent study is a publication prepared by the consultant Damian Indij and commissioned by the MDG Achievement Fund. The analysis and policy recommendations of the report do not necessarily reflect the views of the MDG Achievement Fund or the United Nations Development Programme.*

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## Executive Summary

The MDG Achievement Fund is an international cooperation mechanism that seeks to accelerate progress on the Millennium Development Goals (MDGs) worldwide. Established in December 2006 with a generous contribution of €528 million (US\$710 million) from the Government of Spain to the United Nations, the MDG-F supports national governments, local authorities and citizen organizations in their efforts to tackle poverty and inequality.

The Fund operates through UN teams in each country and uses a joint programme mode of intervention, divided into eight thematic windows corresponding to the eight MDGs. They include the Democratic Economic Governance thematic window, which focuses on promoting democratic governance of public utilities, supporting interventions that enhance access to and provision of utility services, increasing their efficiency and affordability at the national and/or local level and taking into consideration how the poor participate and benefit from these services.

This window includes 11 joint programmes worldwide, with a total value of about US\$60 million. Most of the participating countries submitted proposals focused on water, with the exception of Albania, which also responded to development needs in the energy sector. The 11 Joint Programmes are being implemented in Albania, Angola, Bosnia and Herzegovina, Ecuador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay and the Philippines.

Thematically, the programmes present great similarities as they involve capacity building and support for regulatory revisions and decentralisation of responsibility for water supply and sanitation, along with strengthening sector governance. The strategies of all the Joint Programmes include participatory and rights-based approaches. Most programmes incorporate gender sensitivity.

Many of the programmes also set out to develop new and innovative mechanisms to finance water supply and sanitation infrastructure. Some programmes engage in direct financing and facilities construction, whereas others retain a facilitation role. Vulnerable groups and marginalised communities are addressed.

While there is a common focus on drinking water supply and basic sanitation services, some programmes also include watershed management, irrigation and hydro-meteorological hazards, while others address environmental sanitation more broadly, including solid waste management and energy.

## Key findings

All Joint Programmes have established a solid foundation enabling them to continue to make important contributions towards achieving the MDGs.

▪ **Sustainability:** Most of the activities implemented by the Joint Programmes are not isolated. Rather, they are part of larger strategies and programmes coordinated by national partners with support from other donors. This is a very important methodological aspect, as it:

- i) facilitates local ownership among stakeholders, including local, national and international partners;
- ii) facilitates activities that are in line with on-going projects, thereby increasing opportunities for impact and relevance and promoting linkages and collaboration;
- iii) facilitates sustainability of achievements as they are not isolated and usually maintain their local base, either through the capacities that are developed (at the individual or institutional levels) or the infrastructure that continues to be available; and,

ensures that the Joint Programmes' financial resources are used to support activities for on-going strategies and programmes that will continue when the Joint Programmes end

- iv) and facilitate co-funding and leveraging of contributions (in-kind and financial contributions).

- **Replicability:** the Joint Programmes offer remarkable achievements, which are worth noting and are summarized below.

**Capacity development:** the Joint Programmes have achieved strong results in terms of capacity development through replicable delivery mechanisms and activities. Tailor-made programmes implemented in a demand-responsive approach have been quite successful. Training staff as part of institution-strengthening has ensured that organisational change is supported with new or reinforced skills. Gender balance through training and support has also achieved results. The direct involvement of the beneficiary population in the capacity-building process is a successful practice that can be replicated. Valuing and incorporating cultural diversity has also helped to ensure that beneficiaries participate in the development processes and that their knowledge is incorporated. Specific methodologies, such as the Healthy School and Home methodology implemented in Honduras, are strong candidates for replication.

**Generating public-private and civil society dialogues:** the active engagement of local residents and target groups builds institutions and formal, legitimate settings. The development of referral models, which establish protocols for cooperation and communication among relevant institutions and organizations, is another replicable example. Open and inclusive strategies are important for replication and should be not taken for granted. They enable the Joint Programmes to achieve a greater understanding of the socio-cultural context, while building legitimacy, trust and commitment within the community and facilitating interaction with beneficiaries. The Programmes also include actions that can increase access to information and can be replicated. Networks are recommended settings for fostering dialogue, as the Joint Programme experience demonstrates.

**Promoting social contracts:** the design of model contracts and relationships in the sector represents progress in constructing social contracts. Revising licensing rules and requirements for water operators offers another constructive way to support social contracts. Efforts to establish Integrated Water Resources Management (IWRM) provide another path. Revising and promoting financial instruments offers another positive Joint Programme experience that can be replicated. Monitoring and evaluation systems can be replicated to facilitate progress and continuous learning and enable transparency. By empowering communities, the Joint Programmes made it possible for them to contribute labour and materials, demonstrating another replicable action to be considered in developing social contracts.

**Actions to support long-term strategies:** demand-responsive approaches and generating local ownership are fully replicable. They facilitate proper understanding of the problem, complementarities, continuity with on-going programmes, linkages at various levels and co-funding. Another strategy for replication relates to efforts to create an enabling environment, for example, by revising policies and legislation. By strengthening institutions, the Joint Programmes contribute to anchoring knowledge and making it available to achieve long-term impact and offer a range of positive experiences that can be replicated. By providing high-quality management instruments, the Programmes contribute to long-term strategies and constitute an area of work and specific outcomes that can be replicated.

## Recommendations

The analysis has identified valuable achievements in terms of quantifiable outcomes, methodologies and approaches. These achievements and positive elements include mechanisms that should be considered in moving forward with the MDGs. They are presented next as recommendations.

These apply not only to all joint programmes (present and future activities), but also to other development programmes and interventions, as they will benefit from the Joint Programmes' experience.

### Recommendation #1: Maintain a strong capacity-building component as a supporting instrument in all Joint Programmes

Capacity building at the individual, institutional, and society levels is critical to driving and sustaining change. Capacity building is not a "product" or achievement that is delivered or fulfilled, but involves an on-going, permanent effort. Another element is adopting a demand-responsive and knowledge management approach, in which materials are tailor-made and adapted specifically to each target group. This ensures appropriateness and ownership by end users.

Recommendation #2: Empower vulnerable groups for community development

Empowering vulnerable groups is essential to address inequalities. Without their involvement, which is best achieved through direct participation, these groups' knowledge would rarely be incorporated.

Recommendation #3: Facilitate and support the formation of Water Boards for local development

The formation of Water and Sanitation Boards (committees or councils) at the regional and municipal level has helped to establish cooperation and dialogue among stakeholders and the support the search for joint solutions. Capacity building and financial support are critical to their development and efficient operation. Responsibilities cannot be transferred without a comprehensive process to support and strengthen such entities, which includes active linkages and communication mechanisms.

Recommendation #4: Promote linkages and networking to overcome fragmentation and facilitate knowledge sharing and collaboration

Most water sectors in the Joint Programme countries are fragmented and take a sectoral-based approach. The current paradigms of Integrated Water Resources Management (IWRM) and Human Rights Based Approaches (HRBA) can promote sector reforms and linkages. Participating in networks can have a synergistic effect and foster coordination among interventions and investments.

Recommendation #5: Promote the use of monitoring and evaluation systems and indicators

M&E systems enable learning. They are also a valuable tool for ensuring information sharing, transparency and accountability. Monitoring and evaluation constitute social change that is based on agreements, trust, mutual feedback and learning, which are all part of a social contract approach. This constitutes good practice and should be incorporated at different levels of government.

Recommendation #6: Sustain local ownership and demand response practices

To ensure relevance and in-depth understanding of problems in order to address priorities and needs from various target groups and sectors, it is critical to propose, design and implement the programme in conjunction with local partners (different levels of government, the private sector and communities). Establishing activities that complement other initiatives strengthens local capacity and enhances the sustainability of interventions that are anchored at the local level.

Recommendation #7: Support governance through empowered institutions

Institutions (community, public and private) must be strengthened so that they can deal with policy, regulations and implementation and deliver in accordance with their roles and the institutional capacities they require in order to be effective.

Recommendation #8: Strengthen the sector via improved management instruments

Management instruments are elements and methods that enable and help decision-makers to make rational and informed choices among alternative actions. These include a wide range of methods and instruments, both quantitative and qualitative, based on various disciplines that are all relevant to democratic economic governance.

Recommendation #9: Maintain mechanisms and channels for linkages among UN agencies working in development programmes at the country level. Many Joint Programmes demonstrate effectiveness and an understanding of how to create linkages among the efforts and outcomes of many UN agencies working at the country level. The opportunity to create successful linkages was based on a correct understanding of the problem and recognition of the complex efforts required to achieve the Millennium Development Goals.

Recommendation #10: Develop strategies for sustainability

The Joint Programme vision must not be restricted to its own time-frame, but should incorporate the sustainability of achievements and the continuation of on-going activities, regardless of whether the Joint Programmes continue as such. This requires establishing specific plans and strategies.

## 1. Background

Meeting the Millennium Goals requires sustainable and pro-poor economic growth. Pro-poor growth requires the involving the poor and vulnerable in decision making on public policies that determine the rate and pattern of that growth.

The MDG Achievement Fund is an international cooperation mechanism whose aim is to accelerate progress on the Millennium Development Goals (MDGs) worldwide. Established in December 2006 with a generous contribution of €528 million (US\$710 million) from the Government of Spain to the United Nations, the MDG-F supports national governments, local authorities and citizen organizations in their efforts to tackle poverty and inequality. With 130 programmes in 50 countries spread across five regions of the world, we are helping more than 3.5 million people, with indirect impacts affecting another 20 million people. In September 2008, Spain committed an additional €90 million to the MDG-F<sup>1</sup> on the occasion of the UN High Level Event on MDGs.

The MDG Achievement Fund (MDG-F) supports countries in their progress towards meeting the Millennium Development Goals (MDGs) and other development goals by funding innovative programmes with an impact on the population and potential for duplication. The Fund operates through UN teams in each country and uses a joint programme mode of intervention that is divided into eight thematic windows corresponding to the eight MDGs, including the Democratic Economic Governance thematic window.

The Democratic Economic Governance thematic window is focused on democratic governance of public utilities, supporting interventions that enhance access to and provision of utility services, increasing their efficiency and affordability at the national or local level, and taking into consideration how the poor participate in and benefit from these services. This window includes 11 joint programmes worldwide with a total value of about US\$60 million. Most of the participating countries submitted proposals focused on water, with the exception of Albania, which also responded to development needs in the energy sector.

The work done in the framework of the Democratic Economic Governance thematic window makes a relevant contribution to several MDGs. The democratic economic governance of utilities is a critical challenge for developing countries because universal and affordable access to such services is crucial for progress towards the Millennium Development Goals (MDGs). The 2006 UNDP Human Development Report (HDR) highlighted how lack of access to safe drinking water and sanitation may constitute a barrier to achieving several MDGs. Enhanced access is also key for sustained economic growth and sustainable human development<sup>2</sup>.

The 11 Joint Programmes are implemented in Albania, Angola, Bosnia and Herzegovina, Ecuador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay and the Philippines.

### 1.1 A comprehensive approach to Democratic Economic Governance

As presented by the Terms of Reference for the Thematic Window on Democratic Economic Governance (Government of Spain-UNDP MDG Achievement Fund), democratic economic governance can be understood as the exercise of democratic principles and good governance practices in political and economic decisions involving the management of public funds, resources and affairs. Good governance ensures that the voices of the poor and vulnerable are heard. The interaction amongst all stakeholders – the state, private sector and civil society – influences the extent to which political and economic institutions and processes deliver for all, especially the poor.

There are four key dimensions to strengthening democratic governance in support of development and poverty reduction:

- i. First, to **strengthen the capacity and ability of the poor to participate** in and influence the processes of reform by which national development strategies aimed at poverty reduction are

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<sup>1</sup> <http://www.mdgfund.org/aboutus>

<sup>2</sup> Government of Spain-UNDP MDG Achievement Fund (MDG-F). Terms of Reference for the Thematic Window on Democratic Economic Governance.

designed and implemented. It is particularly important to empower the poor through **participatory processes** with real influence on policy design and implementation.

- ii. Second, to encourage a broad **public-private dialogue**, including civil society, when designing and implementing public policies and reforms aimed at pro-poor growth. It is essential to augment the range of voices that can influence these dialogues, enriching the representation of both private and public sectors. It is equally important, at both the local and national levels, that this varied participation be operational in nature and concentrate on specific policies and initiatives that include the perspective of the poor.
- iii. Third, to ensure the sustainability of political, economic, and institutional reforms via a “**social contract**” that focuses on generating pro-poor growth in which the poor participate and benefit. This involves enabling the poor to participate and intervene in the actual process of formulating public policies. Institutional and political reforms should be based on specific changes that benefit the poor.
- iv. Fourth, the reform process should be based on a **long-term programmatic strategy** to reduce poverty that is adopted by the government and supported by society at large. Poor people must have sufficient strength and ability to influence the definition of policies within national development strategies, without obstructing other social forces, to ensure that economic governance effectively contributes to reducing poverty and speeding the achievement of the MDGs.

## **1.2 Joint Programmes of the Democratic Economic Governance thematic window**

The 11 Joint Programmes of the Democratic Economic Governance theme of the Millennium Development Achievement Fund (MDG-F) aim to democratise access to utility services and to improve governance in the water and sanitation sectors. The overarching goal is to accelerate progress worldwide towards achieving the MDG water and sanitation target. Specifically, the programmes are to contribute to meeting the MDG7 target to halve the proportion of the population lacking sustainable access to safe drinking water and basic sanitation by 2015.

The country programmes' focus areas include:

- strengthening governments' capacity to manage water provision and water quality;
- involving civil society representatives and enhancing the role of women in water planning and policies;
- supporting regulatory reforms, decentralisation and capacity development for improved services; and,
- establishing mechanisms to increase investments in the water sector.

Most programme work is targeted towards disadvantaged regions and marginalised populations in the respective countries.

### ▪ ***Countries implementing Joint Programmes as part of the Democratic Economic Governance Thematic Window***

When the MDG-F was established in December 2006, 59 countries from Africa, Asia, Latin America and the Caribbean, the Arab States and Eastern Europe were considered eligible to participate in the eight rounds of calls for proposals. These 59 countries were determined by the Spanish Master Plan for International Cooperation 2005-2008. Forty-nine countries submitted successful proposals and received financing<sup>3</sup>.

The Spanish Master Plan 2005-2008 has traditionally emphasized Latin America and the Caribbean and this emphasis is reflected in the number of countries from the region that were eligible for the call for proposals. Active programmes are underway in 18 countries in Latin America and the Caribbean, followed by 11 in Africa (South Sudan was added in 2011), eight in the Arab States, seven in Asia and six in Eastern Europe.

<sup>3</sup> <http://www.mdgfund.org/wherewework>



**Latin American countries with active Joint Programmes as part of the MDG-F thematic window on Democratic Economic Governance**

Out of the 11 countries that are part of the DEG thematic window, seven are located in Latin America, two in Europe, one in Asia and one in Africa:

**Joint Programmes of the Democratic Economic Governance thematic window**

Country	Programme Title
Albania	Regulatory reform pro-poor development
Angola	Governance of water and sanitation in poor neighbourhoods
Bosnia and Herzegovina	Securing access to water through institutional development and infrastructure
Ecuador	Water and sanitation sector governance within the Millennium Development Goals' framework
Guatemala	Capacity-building amongst the Mam people for economic governance of water and sanitation
Honduras	Economic governance of water and sanitation
Mexico	Building effective and democratic water and sanitation management to achieve the MDGs
Nicaragua	Democratic economic governance in the water and sanitation sector in the RAAN and RAAS
Panama	Strengthening equitable access to reduce gaps in safe water and sanitation services by empowering citizens who belong to excluded indigenous groups in rural areas
Paraguay	Strengthening the ability to define and apply water and sanitation policies
Philippines	Enhancing access to and provision of water services with the active participation of the poor

**1.3 Shared elements from the contexts of the Joint Programmes<sup>4</sup>**

The MDGs can be a pathway to social justice. This requires dealing with the political dimension of change. It highlights the need to work towards new social contracts between states and their citizens

<sup>4</sup> Contents of this section are found in the report written by Naila Kabeer (2010): *Can the MDGs provide a pathway to social justice? The challenge of intersecting inequalities*. Institute of Development Studies. UNDP, New York.

to lay the foundation for more democratic and inclusive societies. Such contracts require responsive and accountable states, on the one hand, and responsible and active citizens, on the other.

All joint programmes call for a stronger knowledge base and greater public information about social exclusion in order to develop well-grounded policy responses. In addition, enabling macroeconomic frameworks are important in order to pursue such policies. Promoting the skills and productivity of marginalised groups is essential if they are to escape poverty.

- ***Poor people's access to basic services***

Most population groups with limited and/or poor quality of access to water and sanitation fall below the poverty line. A closer examination of these groups shows a direct link between poverty and minority status, with discrimination against indigenous people and other vulnerable groups still playing an active and negative role.

As stated by the UN Committee on Economic, Social and Cultural Rights (2001), "Sometimes poverty arises when people have no access to existing resources because of who they are, what they believe or where they live. Discrimination may cause poverty, just as poverty may cause discrimination."

More than any other group, the poor rely on basic public services to provide health care and education. The failure of such services to address their needs is a major factor in explaining the uneven pace of progress on relevant MDGs. Unequal spatial distribution of services, and the costs, quality and relevance of the services provided are factors contributing to this failure.

- ***The spatial concentration of poverty and social exclusion***

The spatial concentration of poverty and social exclusion means that certain areas of a country may face intersecting development deficits – in terms of infrastructure, services, markets – which set them apart from the rest of the country. These areas may be remote rural locations or urban slum neighbourhoods. National, sector-specific or targeted group approaches are unlikely to have much impact on their situation. A more comprehensive area development approach will be necessary to deal with the structural causes of disadvantage and tackle immediate problems. These may include roads, public transportation and household utilities such as water, sanitation and electricity and social services. Development should also include beneficiaries in planning, implementing and monitoring. This involves bringing excluded groups in and facilitating demand-responsive policies, while building local ownership in a home-based development process. This is one of the foundations of a longer-term social-contract strategy, as understood by the principles of democratic economic governance. Decentralised approaches and attention to local governance becomes increasingly important for area-based development, given the evident limitations of centralised, top-down planning, budgeting, implementation and administrative systems.

- ***The Latin American context***

Latin America, where seven out of 11 Joint Programmes are based, falls into the middle-income category. Historically, it has been one of the most unequal regions in the world, with the poorest income quintile earning around 3 percent of the total regional income. But progress is evident. Poverty declined from around 44 percent in 2002 to 33 percent in 2008, while extreme poverty declined from 19 to 13 percent. Most countries in the region are on track to meet the goal of halving extreme poverty by 2015, but several the least-developed countries - Bolivia, Haiti, Guatemala, Honduras, Nicaragua and Paraguay – lag behind (the last four are currently implementing Joint Programmes (Kabeer, N.: 2010)).

As Kabeer's report (2010) shows, regardless of this recent progress, Latin America continues to be among the most unequal regions in the world. These inequalities have strong ethnic, racial and spatial dimensions. Extreme poverty is much higher among indigenous and Afro-descendant populations compared with the white/Latino population in most countries. In Latin America, membership in an indigenous group or being monolingual in an indigenous language constitutes a barrier to access to healthcare in at least five of the region's countries (Guatemala, Bolivia, Ecuador, Paraguay and Peru).

Kabeer's report (2010) points out how race and ethnicity, involving categories of white, indigenous, black and mixed race, are the key markers of social exclusion in the Latin American context. There are more than 50 million indigenous peoples and more than 120 million individuals of African descent (Afro-descendants). These groups are not uniformly distributed across the region. For example, more than 25 percent of the population of Bolivia, Guatemala, Peru and Ecuador are indigenous, while

more than 25 percent of the population in Panama, Brazil, Nicaragua and almost all the Caribbean countries are Afro-descendants. In addition, over 45 percent of the indigenous or Afro descendant population live in rural areas. Indigenous groups tend to live in the more remote and hard-to-reach parts of their countries, often pushed out of more productive areas by non-indigenous groups. When group-based inequalities are reproduced in the exercise of political power and access to public institutions, they undermine the confidence of different sectors of the population in the government's ability to rule fairly. Excluded groups are often minorities and little incentive exists for political parties to take their interests into account.

#### **1.4 The path towards Integrated Water Resources Management<sup>5</sup>**

The Integrated Water Resources Management (IWRM) process is a relevant in the water and utilities sector and should be considered and understood. As the report shows, many Joint Programme outcomes are aligned with key principles of IWRM, such as water governance, participation, and gender mainstreaming.

At its simplest, integrated water resources management is a logical and appealing concept, based on the notion that the many different uses of water resources are interdependent. For example, high irrigation demands and polluted drainage flows from agriculture result in less freshwater for drinking or industrial use, contaminated municipal and industrial wastewater pollutes rivers and threatens ecosystems and if water must be left in a river to protect fisheries and ecosystems, less can be diverted to crops. There are many more examples of the basic notion that unregulated use of scarce water resources is wasteful and inherently unsustainable.

Integrated management means considering all the different uses of water resources together. Water allocation and management decisions consider the effects of each use on other uses. They take overall social and economic goals, including the achievement of sustainable development, into account. This also means ensuring coherent policy-making related to all sectors. The basic IWRM concept has been extended to incorporate participatory decision-making. Different user groups (such as farmers, communities and environmentalists) can influence water resource development and management strategies. This brings additional benefits, as informed users are far more effective in achieving local self-regulation in relation to issues such as water conservation and catchment protection than is central regulation and surveillance.

The term "management" is used in its broadest sense. It emphasises that we must not only focus on development of water resources, but consciously manage water development to ensure long-term, sustainable use for future generations.

Integrated water resources management is therefore a systematic process for the sustainable development, allocation and monitoring of water resource use in the context of social, economic and environmental objectives. It contrasts with the sectoral approach that applies in many countries. When responsibility for drinking water rests with one agency, irrigation water with another and the environment with yet another, lack of cross-sectoral linkages leads to uncoordinated water resource development and management, resulting in conflict, waste and unsustainable systems.

#### **1.5 A snapshot of water resources management in Latin America**

Water resources management in Latin America faces many unmet needs, resulting in major gaps in access to safe water and basic sanitation. Approximately 70 million people lack access to safe drinking water and more than 110 million lack improved sanitation facilities. This situation restricts development, perpetuates poverty and leads to public health problems (Indij, D., Donin G, Leone A.: 2011).

Although Latin America is rich in water resources, the quality of that resource is deteriorating rapidly. Many freshwater and groundwater systems are highly contaminated by uncontrolled discharge from human settlements, industry and agriculture.

Water resource planning and management in Latin America usually comes into play after a crisis such as flood, drought, public health emergency or a broken water pipe. Stakeholder participation in developing projects is more the exception than the rule. In general, there are no stable and consistent water resource policies. Current policies are those of the "government of the day" and are not integrated into the State's policies. This leads to

<sup>5</sup> Cap-Net UNDP and Global Water Partnership (GWP). IWRM Plans, training manual. 2005.

inconsistency and does not produce the sustainability necessary to develop management plans and long-term sustainable investments.

Due to trends in population growth and urbanization, tourism and rural development, water consumption in Latin America will likely increase by 70% by 2025. This increased demand will have a direct impact on current and new conflicts among competing uses of water, including for environmental protection. The goal of achieving full coverage and reliable services by 2025 is an immense challenge for most countries in the region.

According to the *UN-Water Status Report on The Application of Integrated Approaches to Water Resources Management* (2012), Latin America is the only region in the world where none of the major plans that include an integrated approach to water resources management are fully implemented (UNEP: 2012).

The Status Report finds that stakeholder participation must improve significantly, as the level of full implementation is only 9 percent in Latin America. Capacity building is even less satisfactory, with only 5 percent of full implementation. In terms of investments, Latin America is the region of the world where the inclusion of water resources in national infrastructure investment is lowest, with only 5 percent of full implementation.

### **1.6 An initial approach to Joint Programmes outcomes**

As the report will show, the 11 Joint Programmes are achieving valuable results in many areas. These are found widely and include, but are not limited to:

#### ***Improving access to water and sanitation:***

- 260,000 citizens benefitted from Programme activities in Bosnia and Herzegovina. Water supply services, including water quality and quantity, have improved for 50,000 people.
- Access to water and sanitation services has improved in Ecuador with continuity, water quality and accessibility for 4,570 persons, which is expected to increase to 18,000 by October 2012 and to 31,000 by May 2013.
- In Honduras, nearly 35,000 persons obtained access to water and sanitation, including approximately 17,000 children. Some 3,330 households received services promoting adequate hygiene practices, benefitting approximately 16,000 persons, including nearly 8,000 children.
- In Mexico, water and sanitation services improved in six schools, with the construction of rainwater catchment systems, installation of 20,000 litre ferrocement tanks, water filters, drinking fountains, dry toilets, school cafeterias and bio-filter planters, with an educational component, benefitting 2,317 students.
- In Nicaragua, the 35 water and/or sanitation projects implemented in communities and schools on the Caribbean Coast have facilitated access to improved water supply sources for some 16,680 persons and 7,479 persons have accessed improved sanitation services. In the urban sector, solid waste management systems have been improved in Bilwi and Bluefields, indirectly benefitting 78,051 people. The urban water supply network in Bonanza was improved and expanded, benefitting 8,143 people in this community.

#### ***Infrastructure investments:***

- In Bosnia and Herzegovina, US\$1.25 million investments in small infrastructure projects increased water supply coverage by 2 percent and have generated annual savings of US\$0.4 million in municipal/water utility budgets.
- The Joint Programme in Honduras leveraged nearly US\$4 million from the Central American Economic Integration Bank for rural infrastructure.
- In Mexico the Joint Programme implemented 15 demonstration models of rainwater catchment.
- In the Philippines, the 36 Joint Programme municipalities have been prioritized under the government's Sagana at Ligtas na Tubig sa Lahat (SALINTUBIG) program, which will provide a maximum of US\$0.23 million per municipality to develop water supply systems; another 36 Joint Programme areas have agreed to contribute a total of US\$0.81 million in co-funding to SALINTUBIG for sanitation activities.

### ***Including vulnerable groups and gender mainstreaming:***

Empowering vulnerable groups is essential to address inequalities. The Joint Programmes have achieved significant results in the areas of gender balance and inclusion of youth, indigenous, and Afro-descendants groups. Examples include: increased participation and leadership among women in water projects in Angola; active participation of women and community youth groups in municipal management boards in Bosnia and Herzegovina; gender mainstreaming and participation in Ecuador (water and sanitation); incorporating a gender perspective in Mexico; assigning priority to ethnic, minorities, indigenous, and Afro-descendants groups in Nicaragua; organisation and participation of women in Panama; increasing women's leadership roles in Guatemala.

### ***Revising licensing rules and policy frameworks:***

Joint Programmes such as those implemented in Albania, Angola, Ecuador, El Salvador, Guatemala, Honduras, Mexico, Paraguay and the Philippines are all actively improving their enabling environments by revising policy frameworks, legislation, and other rulings that seek to improve sector performance.

### ***Strengthening governance and capacity building (community organisations, water boards, sector plans and training):***

The Joint Programmes are making positive contributions to improved governance at various levels and through diverse strategies and tools. The report will show effective outcomes in these regards in Albania, Angola, Bosnia and Herzegovina, Ecuador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay, and the Philippines.

## **2. Achievements and key results**

### **Overview of the Joint Programmes**

The programmes present significant thematic similarities as they involve capacity development and support for regulatory revisions, decentralisation of water supply and sanitation responsibilities and strengthened sector governance.

Many of the programmes also set out to develop new and innovative mechanisms for financing water supply and sanitation infrastructure. Some programmes engage in direct financing and construction of facilities, whereas others retain a facilitation role. There is a focus on vulnerable groups and marginalised communities.

While there is a common focus on drinking water supply and basic sanitation services, some programmes also include watershed management, irrigation and hydro-meteorological hazards, while others address environmental sanitation more broadly, including solid waste management, and energy.

The strategies of most Joint Programmes include participatory and rights-based approaches. Most embrace gender sensitivity. As specified in the original Terms of Reference of the MDG-F, most of the Joint Programmes have reviewed previous experience and lessons learned in their respective countries. These insights have been important in designing the Joint Programmes and are expected to continue to influence implementation.

### **2.1 Achievements and results: capacity development**

This first dimension of achievements and key results refers to the contribution of the Joint Programmes in strengthening the capacity and ability of the poor to participate and influence the processes of reform by which national development strategies seek to reduce poverty. It is particularly important to empower the poor through participatory processes with real influence on policy design and implementation.

The Joint Programmes have achieved important results in the area of capacity development via different outputs:

- ***Consultation processes:*** design and dissemination of public policies in Guatemala and development of a water strategy in Albania.
- ***Capacity building delivery:*** enhancing water governance, rational water use, and improved sanitation habits in Ecuador; improved water governance, planning, community organisation, health and environmental education and micro-watershed plans in Guatemala; increased

level of responsibilities and demonstration projects in Mexico; managing potable water services in the Philippines.

- **Enhanced management systems and capacity building for consumer protection:** developing institutional and individual capacity in Albania to improve management of water, energy, and consumer protection sectors.
- **Inclusion of vulnerable groups and gender mainstreaming:** increased participation and leadership among women in water projects in Angola; active participation of women and community youth groups in municipal management boards in Bosnia and Herzegovina; gender mainstreaming and participation in Ecuador (water and sanitation); incorporation of a gender perspective in Mexico; priority to ethnic minorities, indigenous people and Afro-descendant groups in Nicaragua; organisation and participation of women in Panama; increased leadership roles among women in Guatemala.
- **Community action plans and community development:** healthy school and home methodology and community action plans in Honduras; clean production processes in Mexico; strengthened community organisation and adapted methodological tools in Nicaragua; participatory management models in Paraguay; progress at the community level in Angola through infrastructure development and rehabilitation.



### 2.1.1 Consultation processes

Programmes such as the Joint Programmes in Guatemala and Albania are aligned with the promotion of participation and consultation. In Guatemala, the Joint Programme made it possible to update, complete and disseminate public policy proposals at the national and territorial levels through participatory consultation processes (National Water Policy and its Strategy, National Policy on Water and Sanitation, Water Policy Territorial Dumbbell, Municipal Water Policy). In Albania, with support from the World Bank, the government was involved in developing its water strategy during 2010-2011. That process involved some public consultations, but there were no resources available to conduct those consultations. The Joint Programme resources were used to support them consultations and allow the partners to finalize the strategy on time. This produced two categories of achievements. The first and most direct was the consultation process itself. The second was the capacity of the Joint Programme to create linkages with other organisations (in this case, the World Bank) and leverage existing funding to support full implementation of a relevant process (here, the development of a water strategy).

### 2.1.2 Capacity building delivery

The Joint Programme in Ecuador is based on the notion that capacity building is critical to water governance. Activities include creating awareness of rational water use and developing improved sanitation habits. Capacity-building activities targeting institutions and local organizations in the areas of health and environmental education and emphasizing methodologies focused on children, youth

and adults are showing good results. Working through officials in communities and with the local population, the Joint Programme is facilitating change in basic sanitation habits (latrines and waste management), which has reduced the incidence of disease.

In Guatemala, the Joint Programme has created water governance capacity among more than 7,900 persons, including public officials, NGO technical staff, community members, irrigator associations and watershed protection groups.

Participants in the capacity-building delivery process in Guatemala include 218 public officials from the Ministries of Agriculture, Health, and Environment and the Municipal Development Institute. Eight municipalities received training in concepts and criteria for planning and programming water governance at the national and local level. In addition, 600 community residents participated in organizing and community involvement in health and environmental education; 400 agricultural water users were trained in good water use practices, creating associations and representation in decision-making; and, 5,000 residents (both members of the general public and municipal decision-makers) benefitted from and participated in preparing micro-watershed management plans. In terms of knowledge sharing, 330 technical staff members (central and municipal public servants and NGO representatives) were trained and exchanged experiences at Guatemala's First National Congress on Watersheds. As part of a social approach, 55 young and adult women from Women's Municipal Offices were trained in population dynamics, multicultural awareness and project design, with emphasis on water and sanitation.

The main capacities and skills consolidated in the Joint Programme framework in Guatemala relate to leadership and strategic management, and take into consideration the representation roles that many participants play in their communities, committees and institutions. Main target groups have been municipal staff and boards of directors from committees dealing with water resources management. Specific skills relate to planning, information management, water quality monitoring and finance and infrastructure administration. In addition, INTECAP, a public institution, formulated specific water and sanitation training programmes.

These capacity-building processes enabled institutional change in Guatemala, shifting the prevailing sectoral approach towards an integrated, updated vision. One of the outcomes is the commitment taken by the *18 de abril* water users group in Vista Hermosa village. They voluntarily established a system for making environmental services payments to the municipality to support water conservation investments in recharge zones.

As a result of capacity building among the beneficiary population, the Joint Programme in Mexico organized social ownership and participation, with the potential to increase responsibility for water management and sanitation at local levels. Promoters in rural and indigenous communities had a "demonstration effect" within the population for prototypes built within the Joint Programme framework, including clean schools, healthy housing and community and individual filter systems.

Other results related to capacity building delivery within the Joint Programme framework in Mexico include: i) promoting and collaborating to establish the Master's Programme in Managing the Millennium Development Goals with the Autonomous University of Chiapas (UNACH), currently starting its third semester with the first group; ii) training 82 high school youth as local communicators on water, sanitation and environmental issues; iii) training two citizen groups, the Citizen Water and Sanitation Monitoring Initiative, to foster water and sanitation governance; and, iv) preparing documentation and a water governance toolbox.

In the Philippines, the Joint Programme facilitated capacity development for managing potable water services. Outputs include (i) transfer/sharing of skills and knowledge by institutionalizing local mentoring mechanisms; (ii) enhancing and rolling out the WATSAN Toolbox<sup>6</sup>; (iii) formulating sector plans and establishing monitoring mechanisms; (iv) formulating the Localized Customer Service Code (LCSC)<sup>7</sup>; and (v) implementing an information, education and communication campaign.

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<sup>6</sup> The Joint Programme is now considering expanding the application of the Human Rights-Based Approach (HRBA) to local planning and the implementation of the Localized Customer Service Codes (LCSC) in more communities, using the local Water and Sanitation WATSAN Toolbox and testimonials from actual Joint Programme beneficiaries.

<sup>7</sup> The LCSC is among the outputs achieved to enhance the capacities of 36 Local Government Units (LGUs) and 36 Water Service Providers (WSPs) in the area of developing, operating, and managing potable water services.

### **2.1.3 Enhanced management systems and capacity building for consumer protection**

Most activities supported by the Joint Programme in Albania focus on developing the capacity of people and related institutions to manage the water, energy and consumer protection sectors. For instance, the Joint Programme supported an assessment of the current power market model and made recommendations for improving monitoring functions. Two study tours in Italy and Romania were organized to examine consumer protection systems, complaint management systems and cooperation with consumer protection associations. Two mid-term reviews of non-food and food products, both components of the Strategy for Consumer Protection and Market Surveillance, were conducted. In these cases, individual and institutional capacities were strengthened.

The Joint Programme in the Philippines also addressed consumer protection by introducing local capacities in sector planning and monitoring, management, operation and maintenance, tariff-setting and customer service code formulation to ensure that the interventions are demand-based and promote ownership, accountability and transparency.

### **2.1.4 Mechanisms and capacities for including vulnerable groups and gender mainstreaming**

Empowering vulnerable groups is essential to address inequalities. Without taking them into consideration, which is best achieved through direct participation, the knowledge that vulnerable groups possess would rarely be incorporated. This knowledge includes mapping and understanding their needs and respecting and valuing their methodologies and practices. The latter must be taken into consideration as these groups will usually have experiences and skills that are relevant to local schemes. In addition, even if a need for change is identified, that change must begin based on the current reality, which cannot be ignored. Long-term impact will be best achieved by anchoring capacities at the local levels.

The Joint Programme in Angola focuses particularly on women with regard to decision-making processes. Field visits showed that women's role in management committees remains relatively secondary and the Joint Programme is addressing this need. Among the 109 sustainable livelihood projects implemented in the provinces of Moxico and Luanda, 25 percent are led by women. Creation of the Water and Sanitation Committees (GAS, *Grupo de Agua e Saneamento*) encouraged women's participation in managing water points.

In Bosnia and Herzegovina, the Programme ensured women's active participation in the Municipal Management Board (MMB). This opportunity allowed the Joint Programme to address the problems, which are of primary importance for women, and to incorporate women's knowledge into the overall programme and MMB outputs.

The Bosnia and Herzegovina Joint Programme also addressed the dilemma of vulnerable young adults, both directly and indirectly by including community youth groups' representatives in Municipal Management Boards, thereby directly engaging them and giving them a voice in water sector decision-making processes, and by addressing the needs of vulnerable young people through the programme's social protection component.

In addition, research on the impact of water utility regulation on households in Bosnia and Herzegovina focused on the gender dimension, among other variables. This made it possible to adequately plan at the community and policy levels to address three main objectives: i) to contribute to women's empowerment, thus making progress on achieving MDG #3; ii) to develop women's understanding of how and their capacity to impact political processes overall with regard to poverty and water-related issues; and, iii) to increase the ability of water utility companies and municipalities to provide improved water services to rights-holders and design social protection and mitigation measures ensuring the equal status of women and girls within households.

These Joint Programme actions and approaches are valuable, as they ensure and provide active mechanisms for including women's knowledge, while empowering them to take an active role in policy design and management.

In Ecuador, methods taking a gender approach to participation in water and sanitation service provision and oversight of water quality were also created in 20 of the intervention communities. As a

result of the Joint Programme, women are now represented thanks to their membership in the *Juntas* (water boards). In addition, Ecuador's National Policy on Water Culture (developed and awaiting approval by SENAGUA) seeks to recognize cultural diversity in relation to water (collective memory, cultural practices and traditions) and is part of the integrated approach to river basin water management.

The Joint Programme in Mexico included transversal components – dialogue and participation. The Programme gave special attention to gender issues and inclusion of indigenous groups, two key issues for change and national development. Workshops focused on transparency and access to information from a gender perspective and gender, water, and sustainability.

Also with regard to ethnic groups and minorities, the Joint Programme in Nicaragua gave priority to ethnic regions with large indigenous and Afro-descendant populations. Sixty-seven regional and municipal officials expanded their technical capacities in water and sanitation and major sector management outputs were generated in their municipalities. Training was provided to 109 community members in building and maintaining water and sanitation systems and 81 of the participants were certified as Water and Sanitation Masonry Entrepreneurs.

The Joint Programme in Panama made significant achievements in the area of women's organization and participation. This is a remarkable achievement, given the short time allocated for the Programme to be developed there. In addition, the communities' ethnic identity traditionally provided no role for women in social affairs. The Joint Programme successfully trained groups of women by increasing their awareness of their abilities, rights and, in particular, aspects of leadership. This was accomplished through theoretical training workshops and on-going support from a promoter in practice sessions where the women were trained to speak in other communities, at community meetings and with their families. This self-esteem, which enables women to express themselves and speak, is a key indicator of capacity development. They develop their own voice by speaking and are able to express their needs, concerns, and equally importantly, to share their knowledge. This is a precondition to and a first step towards participating in decision making and, subsequently, in management. Without their participation, their knowledge is lost and their needs ignored and unaddressed.

One important achievement of the Joint Programme in Guatemala relates to women's participation in the political realm. Women hold leadership roles in more than 65% of the groups. Another achievement in the area of capacity development relates to gender mainstreaming. With the strengthening of the Municipal Offices for Women, women can now formulate projects that include population and gender issues. In addition to gender balance, the added value is the incorporation of knowledge and participation, which would otherwise have been ignored.

#### **2.1.5 Community Action Plans and community development**

One of the primary achievements of the Joint Programme in Honduras is the anchoring of the Healthy School and Home (ESCASAL) methodology in the community. It enabled inhabitants of the rural Atlantic Coast community of Hicaque (258 homes and 1,039 inhabitants) to develop greater awareness and improve sanitation conditions in their community.

With support from the Autonomous National Aqueduct and Sewerage Service (SANAA), Honduran communities mapped risks related to sanitation conditions and, based on the Community Action Plan prepared by ESCASAL, persuaded municipal authorities to support solutions for their main problems. As a result, the municipality supported the construction of canals and sewerage to drain stagnant water, a breeding ground for mosquitoes that spread dengue fever and malaria. The community's streets were improved and the entire community undertook clean-up efforts, removing garbage from streets and open areas. The Basic Sanitation Committee (CSB) remains active and oversees the community's sanitation conditions.

This process involves Water and Sanitation Technicians (TAS) from SANAA, who meet with water board leaders and plan trainings targeted to community residents. These trainings include management and maintenance systems, calculation and revision of tariffs, plumbing, legal framework, water disinfection and watershed protection, all followed by practical examples. The technicians also help to organize (or reorganize) the water boards, which are encouraged to join the Association of Municipal Water Boards (AJAM).

The TAS also organizes community committees to implement the ESCASAL methodology. Committee members go house-to-house, sharing good hygiene practices, using the Healthy School and Home methodology to significantly reduce the rates of waterborne diseases, particularly in children. Personal hygiene, home sanitation, drinking water and use and maintenance of latrines are emphasized. All trainings involve water board members, community members, and direct beneficiaries.

In Mexico, capacity building has helped to create a better and healthier environment. As a result of the workshops, two companies in Veracruz, four in Tabasco, and two in Chiapas have installed clean production processes. A small business in San Juan Canuc was established to collect, process and sell recycled plastic bottles. In addition, a biodigester is being built in the municipality of Cunduacán to reduce the volume of organic waste thrown directly into the river.

The Joint Programme's intervention in Mexico has provided knowledge, actions and contributions that have led to major changes in quality of life for beneficiaries. For example, because of its geographical features, the town of Oniltic, in the state of Chiapas, lacks a natural water supply, such as a spring or river. The only way to provide water is to catch rainwater, which residents capture in low-lying ponds, where water quality is poor. They must walk for several hours to fetch it. In other cases, some residents capture rainwater from their roofs in small containers. The Joint Programme process in this locality thus worked to strengthen their organization, starting with workshops on participatory assessment, giving priority to creating awareness within the community.

The specific experience of Chiapas, Mexico also deserves consideration. Most of the work there involved indigenous communities, based on respect for their rights, uses, customs and traditions. A group of facilitators/interpreters was established; its greatest contribution was achieving intercultural adaptation. This helped beneficiaries understand the topics in each training process and/or activity. By ensuring respect for indigenous peoples' rights and cultural values, this achieved far more than the original expectations set forth in the Joint Programme's goals.

The Joint Programme in Nicaragua takes a bottom-up approach, where lines of action are determined with the regions. This approach embraces civil society communities as they can contribute their knowledge and help prioritize actions and decisions. As part of the Programme, beneficiaries were transformed from recipients to protagonists and assumed an active, purposeful role. A positive characteristic of the Joint Programme in Nicaragua is the availability of teams working on the ground, close to the beneficiaries. This placed the Programme close to many stakeholders, supporting innovative remote communities composed of indigenous and Afro-descendants and providing solutions that support access, participation, and decentralization.

Interventions developed in communities in Nicaragua include infrastructure development and are part of a strong social component aimed at strengthening community organization and participation and promoting behaviour change with regard to hygiene and safe water consumption. To develop this component, the Joint Programme adapted methodological tools that ensure active community participation in implementing projects and defining intervention plans in their communities.

In terms of quantifiable outcomes, community empowerment in Nicaragua has helped develop Community Action Plans in 31 communities of intervention, establishing concrete actions to solve the communities' priority problems. The Program also promoted the formation and/or strengthening of 40 Water Supply and Sanitation Committees (CAPS) and five municipal CAPS networks, to improve coordination among them and more effectively influence sector decision-making. By establishing three Community Multimedia Centres and strengthening three community radio stations, there is greater disclosure of and access to public information. The 35 water and/or sanitation projects implemented in communities and schools on the Caribbean Coast have facilitated access to improved water supply sources for 16,680 people and 7,479 people have access to improved sanitation services. In the urban sector, solid waste management systems have been improved in Bilwi and Bluefields, indirectly benefitting 78,051 people in the two localities. The urban water supply network Bonanza has been improved and expanded, benefitting 8,143 people.

The Joint Programme in Paraguay has developed the capacities of central government institutions and communities to apply participatory management models in water and sanitation services. The focus is based on an integrated strategy which incorporated increased public sector capacities and citizen interaction in policy design, management and implementation.

Members of community organizations in Paraguay were trained in managing and maintaining water supply systems, using manuals for sanitation boards. Training provided to 112 Sanitation Boards, 14 Sanitation Commissions in indigenous communities and four Associations of Sanitation Boards. In addition, 45 public officials were trained in Water Security Plans (PSAs) and PSAs have been implemented in three communities assisted by the Programme.

The Joint Programme in Paraguay is working closely with 28 communities, with particular focus on strengthening their organisations and addressing the needs of indigenous communities. All the methodologies developed within the framework of the Joint Programme incorporate participation, inter-cultural relations, gender perspective and a rights-based approach. For example, the following tools can be replicated in other rural localities and indigenous communities: Water Security Plan (PSA); Integrated Rural Access Planning (PIAR); and, Training Manuals for Sanitation Boards.

The Programme has improved livelihoods in the communities in a variety of ways: (i) improving the situation of children and women by reducing the risk of accidents, reducing the need to travel to obtain water, reducing forced labour and increasing the time available for study and leisure; (ii) increasing levels of hygiene and reducing skin diseases and fatal diarrhoea; and, (iii) improving the economic situation by reducing the cost of access to water and access to development projects.

In Angola, important community-level achievements included: the installation of 50 new water points and five new water systems; rehabilitation of 72 public water points; rehabilitation of 41 water systems in schools and eight in health centres; and, capacity building among 118 members of the Water and Sanitation Committees (Grupo de Agua e Saneamento GAS), with 258,000 beneficiaries.

The installation of water systems in Angola has gradually helped to reduce the prevalence of diarrheal diseases, due to the combined effect of behaviour change, improved sanitation and interventions in water infrastructure. The installation of water points has also helped to reduce the distance that women and adolescent girls must travel to fetch water. These improvements were combined with 59 projects for sustainable livelihoods in Moxico, intended to create income-generating opportunities for community members so that they could pay for water. In addition, 50 projects were implemented in target areas in Luanda leading to the creation, improvement or expansion of private water supply micro-enterprises.

Additional important Joint Programme achievements in Angola included community participation in developing activities, with the integration of all Water, Sanitation, and Hygiene (WASH) components and encouragement for political commitments at provincial and municipal levels. The creation of Water and Sanitation Committees (GAS) helped to support women's participation in managing water points.

The Angolan government recently adopted MOGECA, a model for community water management, as an official tool for Community Management of water points in rural areas. Community-Led Total Sanitation (CLTS) is one of the Programme's most important achievements. It is an umbrella term applied to a set of non-subsidy-based approaches which aims to eliminate open defecation by changing people's behaviour and promoting the demand for sanitation across entire communities. Target groups participated in baseline studies in partnership with the government, reaching the most vulnerable members of the population.

## **2.2 Achievements and results: generating public-private and civil society dialogues**

This second component of the achievements supporting democratic economic governance refers to the extent in which the Joint Programmes encourage broad public-private dialogue, including civil society, in designing and implementing public policies and reforms aimed at pro-poor growth. The range of voices influencing these dialogues must be expanded, enriching the representation of both private and public sectors. This varied participation must also be operational in nature and concentrate on specific policies and initiatives that include the perspective of the poor at both local and national levels.

Positive results may be found in various Joint Programmes: in Albania, where inclusive and participatory decision-making is fostered; in Bosnia and Herzegovina, through the formation of municipal management boards; in Ecuador and Nicaragua, by empowering Water Boards and Water

and Sanitation Boards; and in Panama, Paraguay, Angola, and Guatemala, via linkages and networking.

### **2.2.1 Strategies driven by participation and dialogue**

In Albania, the Joint Programme strategy is to ensure that important decisions concerning utility decentralization and privatization, tariff changes, regulatory reform in the energy and water sectors and measures to strengthen market surveillance and consumer protection benefit from inclusive and responsible participation of user groups. The model water contract, which has been finalized and is being introduced in Albania's 56 water utilities, is one key result.

The Joint Programme in Bosnia and Herzegovina ensured that residents were actively engaged in forming participatory action groups (PAG), establishing municipal management boards (MMBs), identifying vulnerable households in their respective communities and training MMBs to continue the work in the future.

The Programme has assisted partner municipalities to establish MMBs in all 11 targeted municipalities and cities. The basic MMB principles are based on a multi-sector and multidisciplinary approach, using a human rights-based approach to programming (HRBAP) to address local water supply issues in the field of social protection. Six out of the 11 MMBs are now formalized as permanent municipal structures. The governments now recognize the importance of such local structures.

The Joint Programme in Bosnia and Herzegovina also created and adopted 13 protocols on cooperation to implement the referral model developed for social, family and child protection and inclusion with regard to water supply, which will be signed in targeted municipalities.

The Joint Programme in Ecuador helped to empower new Water Boards (JAAP) in the 26 communities where the Programme is working. This has strengthened the social fabric and allowed them to take a more active role in their own development. The intervention and demonstration seems to be having a dynamic effect, as some Water Boards have received requests from surrounding communities to work on similar issues.

The Joint Programme in Honduras is involving all levels of institutions with skills in the sector. The Programme strategy included the heads of the sector entities, regulators, private sector service providers, civil society, municipalities and other stakeholders.

In Nicaragua, the creation of regional water and sanitation boards has strengthened communication and coordination, involving regional representatives and municipal authorities. This has improved the dialogue between the government and civil society.

The formation of Water and Sanitation Boards at regional and municipal levels has helped to establish areas of cooperation and dialogue between industry players to identify joint solutions. Nationally, the Joint Programme in Nicaragua has created opportunities to negotiate the gradual decentralization of sector management in the Caribbean Coast, assigning regional governments to lead such processes and promote harmonisation, alignment and ownership of interventions. One of the regional governments' first steps was to establish a forum for dialogue with the sector's donor group, where it will inform them about the instruments and mechanisms that are being promoted to achieve overall sector improvement.

This has been complemented by creating three Community Multimedia Centres and strengthening three community radio stations, which are facilitating disclosure of and access to public information for community members. Two regional and four municipal water and sanitation work groups have been formed to contribute to coordination and dialogue among stakeholders in the sector.

In Panama, all regions consider the Joint Programme to be the first to include communities and work with local promoters. This allows the Programme to better understand the socio-cultural context, while establishing legitimacy, trust, and commitment within the community and facilitating interaction with the beneficiaries.

The Joint Programme in Paraguay has created linkages, which is an important achievement considering that Paraguay's water sector includes many overlapping institutions. This will improve the

capacity to influence water policies and generate information. Progress was also made on the local level and in identifying communities that should be targeted and prioritized.

The Joint Programme in Angola facilitated the creation of a network within the public and private sectors and civil society focusing on starting new businesses, with the “Start Your Own Business” training. Participants include public and private micro- and small- and medium-size entrepreneurs.

The Joint Programme in Guatemala has supported the REDGIRH, an inter-institutional network for Integrated Water Resources Management (IWRM). This has had an impact in terms of coordination and creating synergy for interventions and investments among decision makers in local governments, public organisations and civil society organisations, encouraging them to work together on coordinated water and sanitation actions.

The process implemented in the framework of the Guatemala Joint Programme has been pro-dialogue and pro-participation, leading to concrete results, such as the development of a transition strategy for the new authorities to ensure continuity of water policies. This is a valuable mechanism that can mitigate a problem facing many countries in the region, where new administrations face the need to start from zero. Other positive, dialogue-oriented examples include creating a policy group to examine irrigation practices and forming eight trained municipal councils to promote water-related policies. Another positive element is the Joint Programme’s ability to monitor developments in these areas via indicators and available strategies, documents, participants, and active representatives of different groups.

### **2.3 Achievements and results: promoting a social contract**

The third aspect of the results falling within the democratic economic governance framework refers to the extent to which a social contract sustains the political, economic, and institutional reforms, focusing on creating pro-poor growth with participation by and benefits provided to the poor.

This implies that the poor must be able to participate and intervene in the actual process of formulating public policies. Institutional and political reforms should be based on specific changes that benefit the poor.

Although activities are similar to the previous outcomes in that they involve capacity development and fostering dialogue, the added value is based on the specific work and discussions within the Joint Programme framework on methods of operation, sharing of responsibilities, the recognition that everyone is a stakeholder and that all parties must participate to alleviate poverty and establishing democratic economic governance.

Some significant results include: a water contract model and consumer complaint management system in Albania; transfer of certain liabilities of quasi-public institutions to communities and a monitoring and evaluation system in Angola; a proposed law to provide water and sanitation services in Ecuador; an initiative for citizen monitoring of water and sanitation in Mexico; an integrated approach to water resources management in Paraguay; social policy criteria and measures for water supply in Bosnia and Herzegovina (including rules for subsidizing vulnerable groups); and, revision of financial instruments in the Philippines and Ecuador.

#### **2.3.1 Reviewing water contracts, operating mechanisms and transfer of responsibilities**

In Albania, the Joint Programme supported the development and implementation of a model water contract that is now being implemented. A consumer complaints management system (CCMS) has been finalized and tested with international technical support. This CCMS was launched in early 2011 and is now fully operational. A public website for the Consumer Protection Commission has been developed. The CPC website also allows consumers to file complaints online. The complaints are processed by a consumer complaints management system established with the support of the programme and that produces complaint data and reports for market monitoring purposes and evidence-based policy making.

Dialogue was initiated among regulatory entities, public utility providers and residents/businesses in informal areas on the legalization of utility connections. The focus has been on revising the licensing rules and requirements that all operators must meet to obtain a license, which will help to ensure that all Albanian citizens receive the same level and quality of service.

The Joint Programme in Angola aims for an innovative model, as it presupposes the transfer of certain liabilities of quasi-public institutions to communities, reducing the administrative burden and increasing monitoring by institutions and community control over infrastructure and autonomy. This transfer of responsibilities to beneficiaries is an important step towards developing a social contract and raising awareness on the importance of water and sanitation.

The Joint Programme in Angola required all agencies involved to adopt a single approach to local governments and local authorities, with clear methodologies, to create autonomous communities with strong capacity building. To achieve the goals, government agencies, NGOs and local communities were involved to ensure sustainability.

Achievements related to water supply and sanitation services included establishing a monitoring and evaluation system (Community-Led Total Sanitation, CLTS) with monthly field visits to project sites. A monitoring and evaluation seminar was held in Luanda, with the participation of the provinces. The M&E system was discussed and approved and provinces began collecting sanitation data, which is consolidated at the national level. Practices such as monitoring and evaluation represent social change that is based on agreements, trust, and mutual feedback and learning, which are all components of a social contract-based approach.

The CLTS approach requires using simple, effective (and, often, shocking) demonstrations known as triggering, where facilitators highlight the link between open defecation and transmission of disease. Families then decide to change their sanitation practices and build their own latrine using locally available materials. To be effective, this training method must be transferred to facilitators, who continue to pass the information on to others in a cascade effect. (Most of the facilitators are local volunteers working to improve their own lives and communities). Thanks to their new skills, the communities gain autonomy and the ability to solve their own WASH-related issues and can transmit their knowledge to others as required. Results include the construction of more than 2,000 latrines. Many villages (36) are now considered to be open-defecation free” (ODF), benefiting more than 69,000 persons. Massive WASH-related education campaigns were part of the programme.

In Ecuador, the Joint Programme participated in preparing a draft proposed law to provide water and sanitation services, which is under consideration at the institutional level. Its purpose is to regulate water and sanitation services provided by municipalities and communities (JAAP) within the framework of the 2008 Constitution.

In addition to improving access to sustainable water supply and sanitation services, the Programme in Ecuador established an important precedent in the area of collaborative work among institutions and the participation of civil society. This integrated model has generated great interest among key stakeholders in the sector at the local territory level, creating opportunities for public policy advocacy at the national level and local development plan advocacy. An important example of its impact is the sensitization and learning achieved through environmental clubs formed in six of the Programme’s communities of intervention. Observers have noted changed sanitation habits, which is attributed to the training provided to the young people in these clubs.

The Joint Programme in Honduras has a clear bottom-up approach where the lines of action are determined by the community. At the local level, the target population and participants have adopted much of the programme and its processes. Community empowerment is demonstrated through increased awareness among villagers and other participants, the acquisition of skills and new, positive attitudes and behaviours with regard to water and sanitation. In addition, communities contribute labour and materials.

In Mexico, the Joint Programme helped to develop and strengthen the Citizen Initiative for Monitoring Water and Sanitation (IMCAS) and other civil society groups, which advocate for transparency through a social evaluation of water and sanitation services. As with monitoring and evaluation practices, the move towards transparency also builds and promotes social contracts in the field of development.

The Joint Programme in Paraguay has made great progress in terms of governance, with a variety of achievements. The Programme is the only effort to take an integrated approach (governance and investment), bringing together all relevant institutions in the sector. It has begun to create channels for corporate communication in a highly fragmented sector, has made progress in developing information

and tools that are critical to decision making and policy formulation and has fostered the creation of formal and informal spaces that produced specific solutions. Achieving Integrated Water Resources Management (IWRM) would also mean achieving a social contract, which is based on the IWRM and Dublin Principles<sup>8</sup>.

With support from the Joint Programme, social policy criteria and measures for water supply have been developed in municipalities in Bosnia and Herzegovina. These include clear rules on subsidizing the cost of water for vulnerable groups.

Stakeholders in the Philippines have increased their commitment, as demonstrated by watershed protection, mining and logging regulation in their areas and improved solid waste management. Local stakeholders also expressed support for policies including: i) adoption of IWRM principles; ii) creation of satellite offices of the National Water Resources Board and, ultimately, a single economic regulatory body; iii) benchmarking and ring-fencing; and, iv) revisiting financing guidelines for water projects in waterless communities.

Other mechanisms to promote social contracts are related to financial instruments, as those promoted in Ecuador, where 1,500 inhabitants benefitted from incentives to improve their agricultural practices, restore degraded areas and adopt environmental conservation practices.

#### **2.4 Long-term programmatic strategies**

The fourth component of the contributions towards achieving democratic economic governance is the actions implemented by the 11 Joint Programmes to facilitate reform processes based on a long-term programmatic strategy for reducing poverty, adopted by the government and supported by society at large.

As with the previous components, many of these are transversal and involve comprehensive capacity development. However, this one focuses on the Joint Programme's approaches: Do they respond to demands or impose their interventions? Does implementation anchor the actions and the new capacities, skills and strengthened institutions? Do the Programmes make a direct contribution to long-term formal plans?

The Joint Programmes have achieved important results through different output areas:

- **Local ownership and demand responsiveness:** engagement and communication with local processes, on-going programmes and partners, responding to needs and adding value at local levels. This can be observed in Albania, Angola, Bosnia and Herzegovina, Ecuador, Guatemala, Honduras, Mexico, Nicaragua and Panama.
- **Building an enabling environment:** data collection and sector analysis in Albania; contributing to water policies in Ecuador, Guatemala, Honduras and the Philippines; revising water legislation in Mexico; strengthening the regulatory entity in Paraguay; and, developing a master plan for water and sanitation in Angola.
- **Strengthening institutional roles:** establishing the Water Department within the Ministry of Foreign Trade and Economic Relationships and Municipal Management Boards in Bosnia and Herzegovina; strengthening communities in Ecuador through Water Boards; strengthening the

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<sup>8</sup> From *The Dublin Statement on Water and Sustainable Development*, adopted at the International Conference on Water and the Environment, held in Dublin, Ireland, from 26 to 31 January 1992. 1) Fresh water is a finite and vulnerable resource, essential to sustain life, development and the environment; 2) Water development and management should be based on a participatory approach, involving users, planners and policymakers at all levels; 3) Women play a central part in the provision, management and safeguarding of water; 4) Water has an economic value in all its competing uses and should be recognized as an economic good.

National Water and Sanitation Council in Honduras; and, creating Water and Sanitation Committees in Nicaragua.

- **Improved management instruments:** availability of information and sector assessments for regulatory bodies and consumer surveys in Albania; water supply studies and master plans developed in Bosnia and Herzegovina; national water quality plan in Ecuador; local plans for risk management in Mexico; and, community action plans and sector analysis in Nicaragua.

#### **2.4.1 Local ownership and demand responsiveness**

As in most of the 11 Joint Programmes, the Albania programme provided direct responses to the needs, demands and on-going processes at the country level. This demand-responsive approach is critical to ensure relevance and local ownership and is a direct contribution to the impact and sustainability of long-term strategies for developing and achieving the MDGs.

The review of related programmes and projects indicate that most Programme achievements are, indeed, part of larger initiatives implemented in Albania as responses to national strategies. Therefore, they are very relevant for Albania's development and are part of a capacity development process.

National partners are quite engaged in programme implementation. They value it and have a sense of ownership over the Joint Programme. As a result, the long list of Joint Programme deliverables will have a positive impact on implementing better water and electricity supply systems in Albania and on improving the country's consumer protection system.

Similarly, the Joint Programme in Angola corresponds to the country's needs and policies adopted by the government. Many programme activities are complementary initiatives carried out or being implemented by the government, other donors (EU) and UN agencies. This is important for ensuring the continuation of the Programme's activities. These linkages also promote dialogue and help to ensure the sustainability of the achievements.

This demand-responsive approach is promising in terms of continuity and long-term development strategies. At the activity level, complementing other initiatives strengthens and sustains interventions that are anchored locally.

The Joint Programme's objectives and strategies in Bosnia and Herzegovina address national and regional plans and programmes, identified needs and the operational context of national politics. Because the Programme operates at the municipal level, it addresses local needs that are relevant to particular localities (through Master Plans, Municipal Management Boards Actions Plans and small-scale projects).

In Ecuador, the Joint Programme is aligned with the Ecuadorian Government's water and sanitation and resource governance priorities (state, regional and municipal). Thanks to the Programme, all Ecuadorian institutions participated in creating the SENAGUA (National Water Secretary).

The same is true in Guatemala, where the Joint Programme is closely aligned with national policies and priorities, particularly the National Strategy for Integrated Water Resources Management; the National Water and Sanitation Plan 2008-2011; the National Policy and Strategy for Water; and decentralization and citizen participation policies. National and local authorities have been involved in the design process and in on-going consultations and revisions. They play an active role and contribute their own resources to implement the Joint Programme.

In Guatemala, local ownership was achieved via the active participation of beneficiaries in defining the problem and identifying solutions. The Joint Programme has systematised these mechanisms, which were later anchored at the institutional level. One key lesson involves the participation of community leaders, local authorities and women.

Learning-by-doing activities, in combination with theoretical-practical capacity building (in which participants work in groups to develop projects) have also helped to establish local ownership of Joint Programme activities in Guatemala. These capacity-building processes involved municipalities, regional delegations from the national government and civil society organisations.

In Honduras, the Joint Programme operates entirely within the context of the water law. It is making valuable contributions towards achieving the law's principles: decentralization, definition of institutional roles and overall sector reorganization.

The Joint Programme in Mexico has strong local ownership and a demand-responsive approach. Seven of the selected municipalities now have water and sanitation services plans, integrated water resources management and risk management methodologies and water safety plans. Two other municipalities have developed indicator systems for monitoring the performance and transparency of agencies providing water and sanitation services.

The Joint Programme in Nicaragua has identified needs and sought a comprehensive intervention, including governance measures, as part of a medium- and long-term vision, with short-term investment measures. It has sought to benefit the most vulnerable areas in terms of poverty, lack of access and poor water and sanitation quality, which directly impact progress towards meeting the Millennium Development Goals in Nicaragua.

The Joint Programme in Panama responds to the socio-cultural and political context of the areas of intervention. Local authorities participated in determining its relevance, targeting and priority-setting. The Joint Programme provides opportunities for participation and work for local people and communities. The Programme invests most of its resources at the local level.

#### **2.4.2 Building an enabling environment**

An appropriate enabling environment ensures the rights and assets of all stakeholders (individuals as well as public and private sector organizations and companies, women as well as men, the poor as well as the better-off), and protects public assets such as intrinsic environmental values.

The enabling environment is determined by national, provincial and local policies and legislation that constitute the “rules of the game” and allow all stakeholders to play their respective roles in developing and managing water resources. It also includes the forums, mechanisms, information and capacity-building established to create these rules and facilitate and exercise stakeholder participation.

Many of the Joint Programmes are contributing to creating an enabling environment in their respective countries. For example, in Albania, the analysis of potential impact on vulnerable groups of utility tariff increases will help to ensuring that disadvantaged groups retain access to water and electricity services. The Programme also supported critical data collection and stocktaking exercises to collect micro-economic data on electricity and water in Albania, including identifying data gaps.

The Joint Programme in Ecuador is well aligned with national priorities, focuses on water policies and takes a human rights-based approach (HRBA). Its contribution to strengthening national institutions includes drafting a national water policy with a human rights-based approach that is ready to be discussed within the national government and among citizens and three new public policy instruments for integrated water resources management.

A sectoral citizen's water council has been created, based on Ecuador's new normative framework (the 2008 constitution), as a new way to involve civil society and the public at large in the sector's democratic reform. Although the water law and related public policies are under discussion, the consultation and dialogue process represents an independent achievement.

In addition, this process is overcoming a sectoral approach to water governance and focusing attention on an integrated approach. It involves many water use sectors directly, such as the high-impact agriculture sector, which was strengthened with the adoption of a new irrigation law.

In Guatemala, the Joint Programme has contributed to the updating, design and dissemination of public policy proposals at the national and territorial levels through participatory consultation (national water policy and strategy, national water and sanitation policy and the municipal water policy). Another important on-going process is related to Guatemala's Water Agenda, which is led by the country's vice-president. Water policies are also being approved in eight municipalities, thus strengthening local development.

Overall, the Programme in Guatemala contributed significantly to creating an enabling environment. Eight water-related municipal policies were updated following a process that involved a wide spectrum of stakeholders. Groups that still lack access to water and sanitation received priority. The process of reviewing these policies and the framework established by the inter-institutional network for Integrated Water Resources Management (IWRM) facilitated participation in developing project proposals, strategies and plans, such as the integrated micro basin management and environmental protection plan, which has been implemented since April 2012.

One of the most important achievements of the Joint Programme in Honduras was the drafting of a national water and sanitation policy. The National Council for Water and Sanitation (CONASA) has approved the proposal and the final version is now pending. In addition, municipal water and sanitation policies have been established in 13 municipalities and land use zoning plans and urban development proposals have been drafted in eight municipalities, emphasizing water and sanitation. Programme activities helped to strengthen CONASA, which now has a business plan, a manual for the design and evaluation of rural projects and a website.

A consultant was hired in connection with the drafting of the national policy, serving as a facilitator and ensuring the participation of all civil society institutions and the sector's public and cooperating agencies in the process. The project was highly participatory, with 14 consultation events implemented at the national level, and the results were disseminated. A draft with five versions was shared later to reach consensus. The proposal calls for policies to strengthen the improvement and expansion of water services and sanitation with a focus on poverty reduction, social inclusion and long-term sustainability.

In Mexico, the Joint Programme helped to ensure that community institutions and municipal water management agencies were included in drafting legislation. In Tabasco, the state's water law was reviewed and presented to the Congress for approval. Regulations are currently being drafted. In Chiapas, amendments were made to water and sustainability law, emphasizing community management. This is essential for strengthening the emerging social figures and legal consolidation within the context of a long-term development strategy.

Paraguay has also achieved solid results in creating an enabling environment by strengthening the Regulatory Agency for Sanitation Services (ERSSAN).

In the Philippines, a policy declaration was presented to President Benigno S. Aquino III during World Water Day 2011. It contributed to discussions within the National Economic Development Authority Committee on Infrastructure on the need to create an apex body, the National Water Resources Management Office, to address institutional fragmentation in the sector, which is seen as a major obstacle to universal access.

With regard to legal frameworks and regulatory guidelines, one of the most important achievements in Angola is the Master Plan for Water and Sanitation for the municipality of Kilamba Kaixi (Luanda), which was created, approved and presented. Municipal authorities were involved in the process, combining the creation of the Master Plan with capacity building.

Through this initiative (and two more Master Plans under development in two Moxico Province municipalities), local mechanisms for ensuring accountability in water supply and sanitation services and for monitoring and financing water and sanitation systems are being established.

The Angola Programme is supporting the Ministry of Energy and Water (MINEA), which is conducting four studies that will be used to create legal and regulatory guidance that favours vulnerable populations in the water sector context.

#### **2.4.3 Institutional roles**

Although governance may be understood in narrow political and administrative terms as "government decision making," good governance actually requires transparency and efficiency on the part of institutions responsible for policies, regulations, implementation and oversight and citizen group participation in all these activities.

The bottom line is how institutions dealing with policy, regulations, implementation, execution and oversight understand and deliver as per their roles, and the institutional capacities they need to be

effective. This embraces governance reforms, legislation, apex bodies, local authorities, river basin organizations, water utilities and a range of other institutions, reaching to communities.

In Bosnia and Herzegovina, the Programme made progress in establishing long-term strategies, dialogue and sustainability of actions. For example, a Water Department was established within the Ministry of Foreign Trade and Economic Relationship (MOFTER), which was a remarkable achievement given the limited timeframe leading up to the Mid Term Review.

In addition, the Programme helped to create and ensure the relevance of Municipal Management Boards (MMBs), which were established in all target municipalities. In six out of 13 municipalities, they are formalized as municipal government Commissions by municipal decree. Most of the MMBs completed the tasks planned and embraced the concept of a human rights-based approach to achieve the best interests of children and adults. Qualitative and quantitative analyses of the current situation within local institutions and organizations focused on social and child protection. These MMBs/Commissions help to ensure that residents and, especially, the poor and vulnerable are heard in decision making with regard to both municipalities and water utilities. These bodies are also important platforms for promoting operational accountability of both municipalities and water utilities.

In Ecuador, the Joint Programme has helped to strengthen social organization within communities, particularly in the case of water boards (JAAP). The programme has contributed to empowering these boards, strengthening the social fabric and helping communities take a more active role in their own development.

In Guatemala, a water and sanitation unit was established, run by professionals hired initially by the Joint Programme and who will subsequently be integrated into the ministry. This represents institutional progress for long-term impact and development.

With support from the Joint Programme, Honduras has strengthened the National Water and Sanitation Council's role (CONASA) as the sector's policy and planning governing body with a proposal for a national water supply and sanitation policy. The policy was submitted to the executive branch for official enactment. Its operations were also strengthened by preparing administrative manuals and developing a website.

Creating formal Water and Sanitation Committees in Nicaragua has contributed significantly to strengthening organizational and community participation in management and decision-making in the sector. This institutional empowerment also produced positive results in terms of co-funding contributions and support for the organization and management of the project.

About 40 Water and Sanitation Committees (CAPS), acting as community structures, are responsible for meeting the community's needs and contributing to the creation of community-driven models based on a demand approach in Nicaragua. Projects are then designed in collaboration with community, municipal and regional governments on the country's Caribbean Coast.

Creating and managing these committees is a first step towards ensuring the adequate provision of financially-sustainable services. To that end, 12 committees have been registered and validated by the competent authority (INAA), enabling them to take advantage of tax and financial benefits under Law 722.

#### **2.4.4 Improved management instruments**

Management instruments are the elements and methods that enable and help decision-makers to make rational and informed choices among alternative actions. These include a wide range of methods and instruments, both quantitative and qualitative, drawn from various disciplines relevant to democratic economic governance.

In Albania, the Joint Programme provided the regulatory bodies with a wealth of information, including an assessment of the current power market model in Albania and recommendations for the power regulatory body. The power producer (KESH) and the power transmitter (OST) now have business plans to improve their performance.

A consumer survey was conducted, which provides both regulatory bodies with information on citizen attitudes about the quality of electricity and water services in Albania. An assessment of water utilities'

customer service was conducted to benchmark customer service quality in Albania and compare it to international experiences. A study targeting 15 percent of the population lacking access to existing water utilities was conducted. This study provides information on consumers in suburban and rural areas where water utilities do not yet provide services.

Water supply studies and master plans developed as part of the Joint Programme in Bosnia and Herzegovina have been very useful for different levels of government. The strategy was prepared for a 12-year period and includes planned institutional reforms, legal and regulatory measures and evaluation of investments for water supply necessary to achieve planned objectives. The master plans and water sector studies are based on comprehensive assessments conducted in each municipality and could provide access to funding for pilot municipalities. The Programme has already managed to broker a number of potentially promising investment/loan projects. Municipal water sector master plans also help to inform sectoral policy making for higher level governments.

Other Joint Programmes have also contributed to the availability of management instruments, such as Ecuador's National Plan for Water Quality and National Water Plan (SENAGUA). In Guatemala, national competencies in the area of governance and water management have been clarified; models for inter-institutional coordination have been designed; a Water Information System has been designed, implemented and shared nationally and locally; and, a proposal for water tariff model, aligned with the National Water Policy and Strategy, was developed. Honduras has implemented an Information, Education and Communication Strategy (IEC) addressing duties, rights and sectoral policy.

In Mexico, the Joint Programme is driving change, as important results in Tabasco, Veracruz and Chiapas show. For example, local municipal water management and sanitation plans have allowed localities to identify priority needs and design and implement a management strategy in response. Other developments include gender-sensitive local plans for risk management, municipal and state risk management plans and school projects for clean and healthy homes.

In Nicaragua, 31 intervention communities developed Community Action Plans, establishing concrete actions to solve priority problems. The Joint Programme has also helped to strengthen 40 Water Supply and Sanitation Committees (CAPS) and five municipal CAPS networks, improving coordination among them and improving their ability to influence sector decision-making.

In Panama, the Sectoral Analysis of Water Supply and Sanitation was a landmark for the sector and has led to the creation of the Directorate of Water Supply and Sanitation (DAPSAN) within the Ministry of Public Works and Communications (MOPC). Other results involve strengthening the leadership of the Technical Secretariat of Planning (STP) in overseeing national policies and helping the Regulatory Agency for Sanitation Services (ERSSAN) and the National Environmental Sanitation Service (SENASA) to implement services for the rural and indigenous sector.

## 2.5 Sustainability of Joint Programme achievements

This is a critical issue and the Joint Programmes have produced significant achievements:

- **Sustainability in terms of outcomes:** this involves local ownership and demand-responsive approaches that anchor new capacities (in the form of knowledge, skills, policies, legislation and management instruments) and concrete impacts in terms of improved access to water and sanitation and improved livelihoods. The water contract model developed in Albania, which affects more than three million people provides a good example. Improved access and improved water service quality in Bosnia and Herzegovina, Nicaragua, the Philippines, and Honduras offer ways to ensure sustainable outcomes. Similarly, infrastructure development in Mexico will help to maintain improvements. Other Joint Programmes in Panama, Paraguay and Angola have made progress in achieving sustainability by strengthening water sector governance overall. Last, Guatemala has also improved water sector governance and has designed its own strategy to ensure the sustainability of the Joint Programme outcomes<sup>9</sup>.
- **Sustainability in terms of funding leverage and counter-funding:** The Joint Programmes have also facilitated funding leverage and co-funding, which are evidence of strong linkages and integration and a positive sign of dialogue and social contracts, where stakeholders assume responsibilities and take concrete actions anchoring the Joint Programme's in an

<sup>9</sup> Semi-annual monitoring report from the Joint Programme in Albania.

union process. The Joint Programme's advocacy in Mexico facilitated significant investments from the federal, state, and municipal governments. The creation of the Water and Sanitation Investment Fund in Nicaragua has established a management mechanism promoting harmonization and alignment of sectoral interventions and has helped to leverage funding. In the Philippines, financing policies and incentives mechanism have been reviewed. Joint Programmes in Honduras and Panama have used an inclusion strategy to develop a positive context for counter-funding.

### **2.5.1 Sustainability through outcomes and impact**

"The activities of the Joint Programme are designed in such a way as to be sustainable. For instance, the model water contract developed under the UNDP-led component has been adopted by the Albanian authorities and is now being introduced by the 56 Albanian water utility companies. This model contract will impact the lives of over three million people. The consumer complaints management system has been established and is being used by the competent ministry to receive and manage consumer complaints. These are examples of concrete results with a sustainable impact<sup>10</sup>."

The Joint Programme in Bosnia and Herzegovina is having a direct impact on peoples' lives. A total of 260,000 citizens are estimated to have benefitted from the programme's activities, 50,000 of whom receive improved water supply services, including better water quality and quantity. This includes 200 refugee/returnee families. The Programme is also having an impact on the economy and environment. With US\$1.25 million of investments in small infrastructure projects, water supply coverage has increased by 2 percent and annual savings in the municipal/water utility budgets totals US\$0.4 million.

Thirteen special demonstration projects were implemented in Bosnia and Herzegovina, focused on improving the living conditions of identified vulnerable groups. Schools in all partner municipalities implemented WATSAN projects through the GoAL WaSH programme.

Similarly, access to water and sanitation services in Ecuador has improved, with continuity, water quality and accessibility for 4,570 persons. That number is expected to increase to 18,000 by October 2012 and to 31,000 by May 2013.

In terms of improved access to water and sanitation, the 35 water and/or sanitation projects implemented in communities and schools on the Caribbean Coast in Nicaragua have facilitated access to improved water supply sources for 16,680 people and 7,479 people have improved sanitation services. In addition, solid waste management systems have been improved in Bilwi and Bluefields, indirectly benefitting 78,051 people in the two localities. The urban water supply network in Bonanza has been improved and expanded, benefitting 8,143 people there.

In terms of impact and support for the MDGs in Nicaragua, the proportion of residents with access to improved water supply in priority municipalities has increased by 12.8 percent, including 7.8 percent indigenous and Afro-descendant residents. The proportion of the population in priority municipalities with access to improved sanitation services has increased by 5.8 percent, including at least 2.8 percent indigenous and Afro-descendant residents.

In addition to the Joint Programme's direct contribution to improving sustainable access to water supply and basic sanitation services, the Programme in Nicaragua has also contributed to MDG #4 (reducing mortality in children under age five). At least an estimated 9,200 children under age 12 are accessing improved water supply in their homes and/or schools and approximately 4,700 have access to improved sanitation services.

Organizational capacity building at the community level in Nicaragua strengthened ownership and participation among the population throughout the project cycle. These capabilities are expected to ensure the sustainability of water and sanitation systems in both the administrative and operational aspects.

In the Philippines, schoolchildren in Sibagat Elementary School are now enjoying clean water in each classroom. The local water district in Sibagat gave priority to connecting the school to the system after

utility officials heard about the schoolchildren's participation in the Joint Programme's Ripples of Hope Postcard.

In Honduras, the Joint Programme implemented 18 water and sanitation projects in rural communities and medium-sized cities, established two solid waste projects and created seven environmental micro-companies. In addition, the Programme has worked to protect micro-watersheds, producing guidelines to reduce risks in water and sanitation service management. Studies and designs have been prepared for 27 investment projects in the six associations of municipalities supported.

Nearly 35,000 people in Honduras obtained access to water and sanitation, including approximately 17,000 children. Some 3,330 homes received support in promoting adequate hygiene practices through the Healthy School and Home (ESCASAL) methodology. Home visits benefited approximately 16,000 people, including nearly 8,000 children. The waste management projects consisted of constructing a landfill and a hazardous waste site, benefiting approximately 80,000 people in two medium-sized cities. The seven solid waste microenterprises will improve sanitation conditions in three medium-sized cities and create employment benefiting 50 families.

Overall, the Joint Programme in Honduras had important impacts on sustainability. These involve changes in hygiene practices at home and the community that protect water sources. The Programme also increased awareness of rights and duties with respect to water and sanitation, the authorities' obligations and residents' responsibility to pay a fair rate and how to avoid wasting water. Assessing actual water use and understanding what is involved in paying a fee and how to keep the system in good working order also contribute to sustainability.

The Joint Programme framework in Mexico contributed to significant infrastructure development: i) construction and delivery of a demonstration model for healthy homes, a school sanitary module and an exhibit of alternative water supply technologies, which is currently used for training and replication; ii) construction and delivery of 15 demonstration models of rainwater catchment using 5,000-litre ferrocement tanks and 1,000-liter masonry tanks for water control, regulation and management; iii) improvement of water and sanitation services in six schools, constructing rainwater catchment, 20,000-litre ferrocement tanks, water filters, drinking fountains, dry toilets, school cafeterias and bio-filter planters, with an educational strategy, benefitting a school population of 2,317.

Although programme implementation began only fairly recently in Panama, living conditions have improved significantly. The percentage of late payment of water board (JAAR) fees has declined significantly; the incidence of disease has fallen; more qualified women are participating; and, the water boards have been strengthened, evolving from entities and operators lacked defined responsibilities into bodies with a clear management structure, functions and quality training. Municipal investment plans are well underway (100 percent in three communities, and 60 percent in another three). The beneficiary population is participating actively in the Joint Programme process, which is an important factor in promoting responsiveness and sustainability. Strengthening the community involves promoting women's role and leadership and youth involvement. The combination of individual capacity development, efforts to strengthen institutions (through water boards) and investment is proving effective in encouraging overall development and continuity.

In Paraguay, the Joint Programme has conducted comprehensive governance intervention measures involving medium- to long-term actions, with demonstration projects providing short-term impact and a foundation that can be replicated at local levels.

The Angolan Government has been involved in all activities implemented by the Joint Programme. The UN has provided financial, technical and advisory assistance, creating a legal context within which the Angolan government will work to pursue the MDGs and its national objectives, which include the water and sanitation sector. Access to water and sanitation in Angola will improve with the creation of new policies and laws, studies that provide a better understanding of the country's reality and direct implementation of activities such as building infrastructure and implementing sustainable livelihood projects.

The Joint Programme in Guatemala has promoted its own strategy to ensure the sustainability of Programme outcomes, which includes a guide intended to achieve integrated actions favouring the long-term consolidation of Programme achievements, linked with national and local contexts and stakeholder capacity development. In addition, the Joint Programme has promoted the use of a series

of indicators and goals for measuring progress and impact, used in the context of public policy development, financial efficiency and capacity development. Target groups reached through this monitoring practice include staff from eight municipalities, ministry employees (national and local), community organisations and water users. These monitoring instruments, used in combination with specific indicators, are self-learning and evaluation tools that drive efforts for long-term impact and sustainability.

Sustainability is also emphasized in Guatemala by examining communities' contributions in the area of water resources management. In coordination with the Fund for Water and Sanitation, drinking water infrastructure will be installed at 35 priority community centres. The Programme facilitated information-gathering within 14 community groups of 25 persons each. Their boards were trained and they were able to define rules for managing water systems. An agreement was reached with irrigators to replicate the water management model formulated in the workshops. In another example, a participatory process is being developed for four micro-basins. A water management plan is under design and municipal development plans were used as the framework to facilitate alignment and a shared vision for on-going development. In the past, these kinds of actions were isolated and interrupted, which has now begun to change.

### **2.5.2 Sustainability through funding leverage**

In Mexico, Joint Programme advocacy has led federal, state and municipal governments and organized civil society to invest: i) in the construction of 1,000 homes for rural towns in Chiapas as part of the healthy homes strategy; ii) Mex\$5.171 million to build 177 5,000-litre ferrocement tanks and one concrete 150,000-litre tank in the Chiapas community of Oniltic, benefitting 849 inhabitants; iii) Mex\$4.360 million to construct 543 ferrocement tanks in Joint Programme Chiapas communities of Sitalá and San Juan Cancuc; iv) Mex\$2.250 million to prepare the Executive Project to expand and rehabilitate the water supply system in the municipal capital of San Juan Cancuc; v) Mex\$120 thousand to construct fifty 1,000-liter masonry tanks in the locality of Tzumbal, Chiapas.

The Joint Programme in Nicaragua has also helped to leverage investment. By strengthening and empowering regional governments, they have created linkages among many investment projects in the region. This is a significant achievement in terms of governance and efficiency, avoiding dispersion of efforts and managing a single agenda and institutionalization.

The creation of the Water and Sanitation Investment Fund in Nicaragua has established a management mechanism promoting harmonization and alignment of sectoral interventions, as well as reaffirming the human rights-based approach to access to water supply and sanitation.

In the Philippines, there has been investment support for improving quality and access to potable water. Outputs include: i) development and enhancement of incentive mechanisms and partnership modalities for public and private investment in waterless communities; ii) review and amendment of financing and programming policies for waterless communities; iii) organization of local WATSAN Councils and water users' associations; and iv) adjustment of tariff-setting guidelines for small water service providers. The 36 Joint Programme (JP) municipalities have been prioritized under SALINTUBIG (a government programme), which will provide a maximum of US\$ 0.23 million per municipality for the development of water supply systems.

Other important results in terms of sustainability in the Philippines include the signing, by local chief executives (LCEs), of a declaration of commitment to increase or allocate a minimum percentage of their development funds for water supply provision at the Local Water Governance Forums (LWGF). As part of on-going capacity building, these activities were extended to an additional seven municipalities (19% above the target of 36), while community organizing was undertaken with 65 users' associations (80% above the target of 36). The national government has allocated approximately US\$1.16 million for capacity building within 221 waterless communities for 2011 and 2012.

The Joint Programme inclusion strategy constitutes another element supporting the sustainability of the Programme's actions in Honduras. From the start, this strategy sought to include the Water and Sanitation Network in Honduras (RAS-HON) and the Cooperative Platform of Water and Sanitation. In addition, involve local and established organisations were to be involved and mechanisms to leverage funding were also included, for example, with the PRASAGUA (funded by BCIE) and other projects funded by the Inter-American Development Bank. These funding agencies are quite familiar with the

activities implemented by the Joint Programme and have decided to continue them and use their products, including the Project Formulation Manual, to be used by CONASA and SANAA. The Programme has leveraged nearly US\$4 million from the Central American Economic Integration Bank for rural infrastructure.

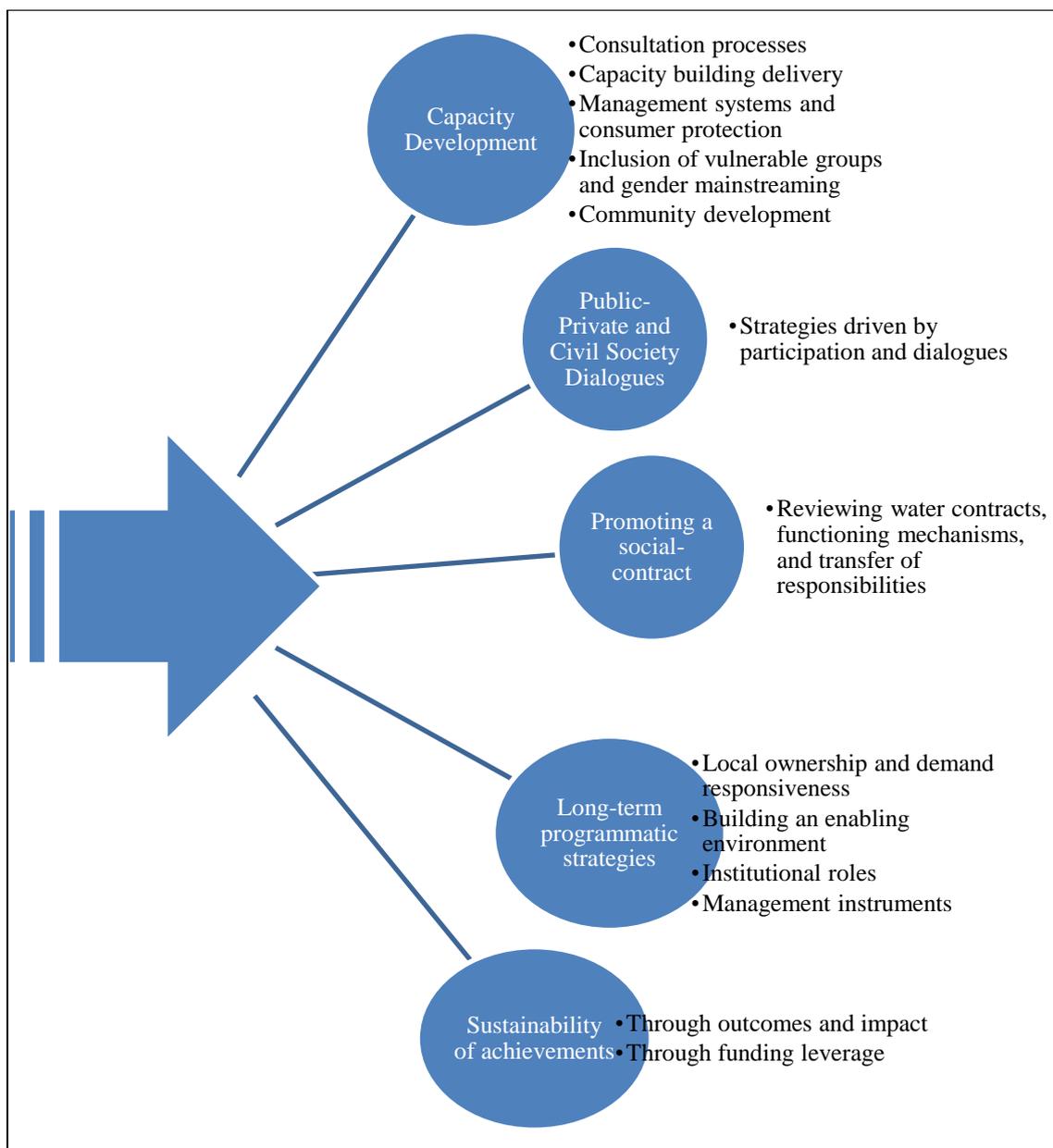
In Panama, the Joint Programme has mobilized resources at various levels. Contributions and community participation include local labour and materials. All communities have also agreed to increase the fee paid to the administrative boards (JAAR) for sustainability projects. Local authorities have also made contributions to transport logistics.

### **3. Conclusions**

All Joint Programmes are well-established and can continue to make important contributions towards achieving the MDGs. The links and commitment to social inclusion that characterize all Joint Programmes are critical to social contracts, dialogue and the success of long-term strategies necessary to achieve democratic economic governance. Success is even more likely when capacity development activities are on-going.

In addition to the quantifiable outcomes obtained to date, which are often very valuable achievements, many aspects of the Joint Programmes' design, approach and methodologies enhance their relevance and provide a solid base on which to build for the future.

As the report shows, the 11 Joint Programmes can point to valuable achievements in terms of capacity development, public-private and civil society dialogues, promoting social contracts, long-term programmatic strategies and sustainability.



### ***Joint Programme Achievements from the Thematic Window on Democratic Economic Governance***

#### **3.1 Key findings: sustainability**

Most of the activities that the Joint Programmes implement are not isolated, but are part of larger strategies and programmes that are coordinated by national partners with support from other donors. This is a very important methodological aspect, as it:

- i) facilitates local ownership among various types of national and international partners. Demand responsiveness is a consequence of this ownership (the programmes do not impose their interventions, but these are designed in collaboration with beneficiaries and in response to their needs and demands). National partners were central in guiding and directing the programme;
- ii) ensures that activities are consistent with on-going projects, thus increasing the possibilities for effective impact and relevance;

- iii) facilitates sustainability of achievements, as they are not isolated and usually remain anchored locally, either by developing capacities (at the individual or institutional levels) or by providing infrastructure which remains available; and,
- iv) ensures that financial resources of the JP were used to support activities for on-going strategies and programmes, which will continue after the Joint Programme ends and which facilitate co-funding and leverage contributions (in-kind and financial).

The Joint Programmes have contributed significantly to capacity development. These capacities (technical, for leadership, for governance) facilitate long-term application and create a basis for replication, resulting in political and social sustainability.

Sustainability must also be seen as a result of the high level of linkages (in terms of the number of partners and the quality of operations) that the Joint Programmes have proposed, established, and coordinated. These new spaces for collaboration become political instruments and management bodies (for example, regional or community platforms and municipal boards) which enable dialogue, collaboration, integration and encourage knowledge transfer and continuity of action.

### **3.2 Key findings: replicability**

In considering future development, it is important to acknowledge and value many of the Joint Programme approaches as they are innovative and inclusive. These approaches and methodologies are fully replicable in other regions and by other stakeholders. They may be seen in:

#### ***Capacity development***

- Capacity building activities aimed at institutions and local organizations in the areas of health and environmental education with methodological emphasis oriented to children, youth and adults. Methodologies designed specifically for local relevance and application enable Joint Programmes such as the one in Ecuador to facilitate change in basic sanitation habits.
- Another aspect to be considered for replication is the practice of training staff and strengthening gender-related offices, such as Guatemala's Women's Municipal Offices. The Joint Programmes shows that for such offices to be effective, activities that strengthen them and build capacity are also necessary. This is also the case with Joint Programmes in Angola, Bosnia and Herzegovina, Ecuador and Mexico. Nicaragua applied the same knowledge transfer strategy to indigenous and Afro-descendant groups.
- The Programme in Panama successfully implemented a practice involving on-going support for gender mainstreaming. To complement training workshops, a promoter worked with local women in practice sessions. This helps them to speak in other communities, in their own community meetings and with their families. Their new self-esteem enabled women to express themselves. They develop their own voice by speaking and are able to express their needs, concerns, and equally important, to share their knowledge. This is a precondition to and a first step towards participating in decision making and, subsequently, in management. Without their participation, their knowledge is lost and their needs ignored and unaddressed.
- Direct involvement of the beneficiary population in the capacity building process is a successful practice that can be replicated. The Joint Programme in Mexico was able to activate organized social ownership and participation, with the potential to broaden and increase the responsibilities assumed locally for water management and sanitation. Developing local promoters contributed had a demonstration effect within the population with regard to the clean schools and healthy housing prototypes built.
- The Joint Programme in Ecuador addressed the issue of valuing and integrating cultural diversity in water resources management, participating in the design of the national water culture policy and placing this new policy within the framework of integrated water resources management plans. Incorporate principles such as cultural diversity into new national policies is another Joint Programme practice that may be replicated.

- In terms of community development, tailor-made methodologies such as the Healthy School and Home (ESCASAL) methodology implemented in Honduras enabled inhabitants of the rural Atlantic Coast community of Hicaque (258 homes, 1,039 inhabitants) to develop greater awareness and improve sanitation conditions in their community. As in the training context, the Joint Programmes demonstrate a clear understanding of knowledge management and transfer and of the importance of adapting specific knowledge to the target group and context in order to facilitate application and increase impact.
- Similarly, the Joint Programme in Nicaragua took a bottom-up approach, working with the regions to define actions. This approach embraces civil society communities, as they can contribute their knowledge and help prioritize actions and decisions. . As part of the Programme, beneficiaries shifted from recipients to protagonists and into an active, purposeful role. A positive characteristic of the Joint Programme in Nicaragua is the availability of teams working on the ground, close to the beneficiaries, as mentioned in the Panama Joint Programme example.

### **Generating public-private and civil society dialogues**

- The active engagement of local people and target groups builds institutional, formal and legitimised settings which can serve as a basis for dialogue. The Joint Programme in Bosnia and Herzegovina helped to establish Participatory Action Groups (PAG) and Municipal Management Boards (MMBs). The Joint Programme in Ecuador contributed to the empowerment of Water Boards (JAAP). In Nicaragua, communication and coordination were strengthened by creating regional water and sanitation boards, which involve regional representatives and municipal authorities.
- Other replicable actions include the development of referral models, which creates a protocol for cooperation and communication among relevant institutions and organizations, based on the example of the Joint Programme in Bosnia and Herzegovina.
- An open and inclusive strategy, such as the one adopted by the Joint Programmes in Honduras, Panama and Paraguay are strong candidates for replication and should be not taken for granted. This allows the Programme to develop a greater understanding of the socio-cultural context, while establishing legitimacy, trust, and commitment within the community and easing interaction with the beneficiaries.
- Access to information is another activity for replication. In Nicaragua, the Joint Programme helped to establish three community multimedia centres and strengthen three community radio stations, facilitating disclosure of and access to public information for community members.
- Networks are a recommended forum for enabling dialogue. In Angola, the Joint Programme helped to facilitate a network involving the public-private sector and civil society. Similarly, the Programme in Guatemala supported the REDGIRH, an inter-institutional network for Integrated Water Resources Management (IWRM). This has had an impact in terms of coordination and creating synergy for interventions and investments among decision makers in local governments, public organisations and civil society organisations, encouraging them to work together on water and sanitation.

### **Promoting social contracts**

- Designing models for contracts and relationships in the sector represents a step forward in creating social contracts, just as it does in the case of models for referrals and communication protocols. The Joint Programme pursued this strategy in Albania, where a model water contract is now being implemented and a Consumer Complaints Management System (CCMS) is fully operational. A public web site for the Consumer Protection Commission has also been developed.
- Another constructive way to support social contracts is to revise licensing rules and requirements for water operators. This was done in Albania to ensure that all citizens receive the same level and quality of service. Similarly, in Ecuador, the Programme participated in

preparing proposed legislation addressing the provision of water and sanitation services. Its purpose is to regulate water and sanitation services provided by municipalities and communities.

- The Joint Programme guided efforts in Paraguay to achieve Integrated Water Resources Management (IWRM) moving towards a social contract based on the IWRM and Dublin Principles.
- Other replicable mechanisms to promote social contracts involve financial instruments, such as those promoted in Ecuador, where 1,500 people are benefitting from incentives to improve agricultural practices, recovery of degraded zones and environmental conservation.
- A monitoring and evaluation system was established in Angola with monthly field visits to project sites. The M&E system was discussed and approved and provinces began collecting data on sanitation that was consolidated at the national level. Such practices can be replicated to facilitate progress and continuous learning and enable transparency. In Mexico, the Programme also helped to establish and strengthen the Citizenship Monitoring for Water and Sanitation Initiative (IMCAS) and worked with other civil society groups promoting transparency via the social evaluation of water and sanitation services.
- By empowering communities, the Joint Programme in Honduras has enabled communities to contribute labour and materials, providing another option for replicable action in pursuing social contracts.

#### ***Actions to support long-term strategies***

- Most Joint Programmes understand the relevance of adopting a demand-responsive approach and generating local ownership of programme objectives and outcomes. These two approaches are fully replicable and facilitate a proper problem understanding, complementarities, continuity with on-going programmes, linkages at various levels and co-funding.
- Another strategy for replication relates to efforts to create an enabling environment. This follows on the recognition of the importance of the “rules of the game” and the added value and impact of strengthening the components of this environment. This includes Joint Programme assistance in revising policies and laws in Ecuador, Guatemala, Honduras, Mexico and the Philippines. It also involves examining the potential impact of an increase in tariffs, as in Albania. Strengthening sanitation services’ regulatory agencies in Paraguay also contributes directly to an enabling environment.
- By strengthening institutions, the Joint Programmes help to anchor knowledge and ensure that it is available for long-term impact. The bottom line is how institutions working on policy, regulations, implementation, execution and oversight understand and deliver as per their roles and the institutional capacities they require in order to be effective. The Programme in Bosnia and Herzegovina helped to establish a Water Department within the Ministry of Foreign Trade and Economic Relationship and create Municipal Management Boards (MMBs). In Ecuador, the Joint Programme contributed to strengthening social organization in communities, particularly in the case of the Water Boards, while in Guatemala, the Programme facilitated the creation of the Water and Sanitation Unit. Honduras’ National Water and Sanitation Council (CONASA) received Programme support that strengthened its role as the sector’s policy and planning governing body.

By providing high-quality management instruments, the Joint Programme contributed to long-term strategies and work and specific outcomes which could be replicated. For example, providing information to regulatory agencies and developing surveys, as in Albania, offer practical ways to gather information and promote participation. Conducting sector studies and plans, as in Bosnia and Herzegovina, Mexico and Nicaragua, can be replicated. Valuable instruments that can be used at the local level also include clarifying national competences in water governance and management (Guatemala) and following an information, education, and communications strategy (Honduras).

### 3.3 Lessons learned

A review of the Joint Programmes' progress offers lessons that are applicable to these and other development programmes:

- To ensure relevance and an in-depth understanding of the problem in order to address the priorities and needs of various target groups and sectors, the programme must be proposed, designed and implemented together with local partners (different levels of government, the private sector and communities). As described above, this facilitates local ownership and a demand-responsive process, which is vital to achieve increased impact, participation and sustainability.
- Ensuring that local ownership moves forward from the initial problem and needs identification phase requires on-going, in-depth capacity development targeted to different levels (individual, institutions and society). To ensure that programme outcomes achieve long-term impact and effectiveness, capacities must be anchored locally. This applies to the implementation of plans that are developed, management of new or reformed institutions, application of new legal frameworks or regulations and the proper operation and maintenance of infrastructure. The Joint Programmes have made visible progress in this regard.
- Quality requires careful attention. The Joint Programmes' evaluation found that beneficiary groups and partners considered the products and activities to be of high quality. This is important, because partnerships must not be taken for granted and quality must be a goal in order to maintain a high level of collaboration and recognition.
- Joint Programme evaluations also showed that high-quality teams are critical to successful Programme management. In turn, creating linkages, collaborating, and communicating are critical to developing high-quality teams. In many cases, the Programmes were considered innovative in terms of the linkages and the dialogue they generated. Creating interaction among various UN agencies, government levels, water utilities, communities and vulnerable groups is extremely challenging. The recognition of the quality of the management teams is an important lesson and must be emphasized on an on-going basis.
- The inclusion of concerns related to gender, indigenous people, children, youth and people in poor living conditions determines both the design and implementation of activities. It also involves accessing different kinds of knowledge that might otherwise be ignored. By including these stakeholders, this knowledge can be incorporated in a knowledge management cycle that is shared and integrated into the programme's outputs.

## 4. Recommendations

The analysis has identified valuable achievements, in terms of both quantifiable outcomes and methodologies and approaches. These achievements and positive elements include valuable mechanisms to be considered in the path towards achieving the MDGs and are presented below as recommendations.

These apply not only to all joint programmes (present and future activities), but also to other development programmes and interventions, which will benefit from the Joint Programme experience.

### Recommendation #1: Maintain a strong capacity-building component as a supporting instrument in all Joint Programmes

Capacity building at the individual, institutional and societal level is critical to driving and sustaining changes. Most of the Joint Programmes have carried out valuable efforts with strong results in this regard. It is important to recognize that capacity building involves sustained, on-going work and that it is not a single deliverable or achievement. As many Joint Programmes have shown, effective participation requires more than designing structures or spaces for dialogue. People must be empowered. The same applies to other processes, such as developing plans and infrastructure or establishing water boards. Even if new laws and policies are developed, capacity building is required to implement and monitor them. Another recommendation points to the advantages of a demand-responsive and knowledge management approach, where materials are tailor-made and adapted specifically to each target group. This ensures that the initiative will be appropriate and owned by end users. Finally, the involvement of Joint Programme teams at the grassroots level, close to communities and beneficiaries, helped to ensure positive results.

### Recommendation #2: Empower vulnerable groups for community development

Empowering vulnerable groups is essential to address inequalities. If these groups are ignored, their knowledge is rarely incorporated. Involving them is accomplished best through direct participation and involves mapping and understanding and respecting their needs. Their methodologies and practices must be valued and considered, as they often provide experiences and skills applicable to local schemes. Even if a need for change is identified, that process must acknowledge the current context and situation. Long-term impact will be best achieved by anchoring capacities at the local level.

### Recommendation #3: Facilitate and support the formation of Water Boards for local development

As the Joint Programmes show, the formation of Water and Sanitation Boards (committees or councils) at the regional and municipal levels helped to establish opportunities for cooperation and dialogue among stakeholders and the search for joint solutions. Capacity building and financial support are required if they are to function efficiently and develop. Responsibilities cannot be transferred without comprehensive support and a process for strengthening the boards, which includes active linkage and communication mechanisms.

### Recommendation #4: Promote linkages and networking to overcome fragmentation and facilitate knowledge sharing and collaboration

Most water sectors in Joint Programme countries are fragmented and based in outdated sectoral visions and approaches. The current paradigm, which promotes Integrated Water Resources Management (IWRM) and Human Rights Based Approaches (HRBA), can help transform that vision and promote sector reforms and linkages. The Joint Programmes in Paraguay and Guatemala are recognized as having made important progress in this regard. Working to create linkages and participating in networks will help to foster coordination and create synergies with regard to interventions and investments among decision makers, public organisations and civil society organisations. This can promote coordinated efforts in the areas of water and sanitation.

### Recommendation #5: Promote the use of monitoring and evaluation systems and indicators

The Joint Programmes must be able to monitor their outcomes and evaluate them, using specific instruments and indicators. This will help the Joint Programmes (and all partners) to learn and monitoring is a valuable instrument for information sharing, transparency and accountability. Monitoring and evaluation constitute social change that is based on agreements, trust, mutual feedback and learning, which are all part of a social contract approach. The Joint Programme in Guatemala made important progress in this regard.

#### Recommendation #6: Sustain practices of local ownership and demand responsiveness

To ensure relevance and an in-depth understanding of the problem in order to address the priorities and needs of various target groups and sectors, the programme must be proposed, designed, and implemented in cooperation with local partners (different levels of government levels, the private sector and communities). As presented above, this facilitates local ownership and a demand-responsive process, which is vital to achieve increased impact, participation, and sustainability. This demand-responsive approach promotes continuity of the Joint Programmes and long-term strategies for development. When activities complement other initiatives, locally-anchored interventions are strengthened and their sustainability is enhanced.

#### Recommendation #7: Support governance through empowered institutions

Strengthening institutions (community, public and private) is key to enable them to deal with policy, regulations and implementation and to deliver in accordance with their roles and the institutional capacities they require to be effective. This involves governance reforms, legislation, apex bodies, local authorities, river basin organizations, water utilities and a range of other institutional arrangements, extending to communities. The Joint Programmes are making an important contribution in their work with Water Boards, Municipal Management Boards and Water and Sanitation Committees.

#### Recommendation #8: Support sector strengthening with improved management instruments

Management instruments are the elements and methods that enable and help decision-makers to make rational and informed choices among alternative actions. These include a wide range of methods and instruments, both quantitative and qualitative, based on various disciplines that are all relevant to democratic economic governance. The Joint Programmes are making significant progress in this area by facilitating and participating in the development of, for example, information, sector assessments, consumer surveys, sector studies, master plans, guidelines and protocols for communication.

#### Recommendation #9: Maintain mechanisms and channels for linkages amongst UN agencies working at the country level in development programmes

Many Joint Programmes demonstrate effectiveness and an understanding of how to create linkages among the efforts and outcomes of many UN agencies working at the country level. This opportunity to create successful linkages was based on a clear understanding of the problem and a recognition of the complexity involved in achieving the Millennium Development Goals. In Mexico, one of the original components included the participation of up to eight UN agencies. This was the first time that so many agencies were involved in one programme there. The linkages and social inclusion that the Joint Programmes emphasize is also critical to fostering social contracts, dialogue and long-term strategies. Mechanisms, channels and incentives for these linkages are very valuable and should be preserved, regardless of whether the Joint Programme continues. These linkages also help to ensure the effective use of (scarce) development resources. Duplication should be avoided to the extent possible and collaboration and co-funding should be promoted.

#### Recommendation #10: Elaborate strategies for sustainability

The Joint Programme vision should not be limited to its own timeframe, but should incorporate the sustainability of its achievements and the continuity of on-going activities, regardless of whether the Programme as such continues. This requires establishing specific plans and strategies. The Joint Programme in Guatemala promoted its own strategy to ensure the sustainability of Programme outcomes, including a guide intended to achieve integrated actions favouring the long-term consolidation of Programme achievements, linked to national and local contexts and stakeholder capacity development. In addition, the Joint Programme has promoted the use of a series of indicators and goals for measuring progress and impacts, used in the context of public policy development, financial efficiency and capacity development. Target groups reached through this monitoring practice include staff from eight municipalities, ministry employees (national and local), community organisations and water users. These monitoring instruments, used in combination with specific indicators, are self-learning and evaluation tools that drive efforts for long-term impact and sustainability.

## Key information

### Joint Programmes: Final Evaluations

- Final Evaluation of the MDG-F Joint Programme: “Economic Governance, Regulatory Reform and Pro-Poor Development in Albania”
- Evaluación Final del Programa Conjunto OPAS-1816 Fortalecer la gestión efectiva y democrática del Agua y Saneamiento en México para apoyar el logro de los Objetivos del Milenio (PCAyS).

### Joint Programmes: Mid-Term Evaluations

- Albania
- Bosnia and Herzegovina
- Ecuador
- Guatemala
- Honduras
- Mexico
- Nicaragua
- Panama
- Paraguay
- Philippines

### Joint Programmes: Improvement Plans

- Angola
- Bosnia and Herzegovina
- Ecuador
- Guatemala
- Honduras
- Mexico
- Nicaragua
- Panama
- Paraguay
- Philippines

### Joint Programmes: Fact Sheets

- Angola
- Bosnia and Herzegovina
- Ecuador
- Guatemala
- Honduras
- Mexico
- Nicaragua
- Paraguay
- Philippines

### Documents

- Cap-Net UNDP and Global Water Partnership (GWP). IWRM Plans, training manual. 2005.
- Democratic Economic Governance, Water Supply and Sanitation. JP Synthesis. Review of Achievements, Lessons Learned, and the Contribution towards the MDGs Targets. First draft, Democratic Economic Governance-Knowledge Management Programme (2012).
- Government of Spain-UNDP MDG Achievement Fund (MDG-F). Terms of Reference for the Thematic Window on Democratic Economic Governance.

- Indij, D., Donin G, Leone A. Gestión de los Recursos Hídricos en América Latina: Análisis de los actores y sus necesidades de desarrollo de capacidades. EUR 24919 EN. Luxembourg (Luxembourg): Publications Office of the European Union; 2011. JRC66336.
- Kabeer, N. (2010). Can the MDGs provide a pathway to social justice? The challenge of intersecting inequalities. Institute of Development Studies. UNDP, New York.
- Kjellén, M. and Segerström, R. JP Synthesis: Review of Goals, Strategies, Cross-Cutting Themes and Common Concerns. Democratic Economic Governance – Knowledge Management. UNDP Water Governance Facility at SIWI, 2011.
- UNEP. The UN-Water Status Report on The Application of Integrated Approaches to Water Resources Management. UNEP, 2012.
- Workshop Report 1st Knowledge Management Workshop Manta, Ecuador – 21-24 March 2011. Knowledge Management – Democratic Economic Governance – Water Supply and Sanitation.

## **Annex 1: Objective, approach, and methodology**

The objective of this report is to provide the MDG-F Fund Secretariat the opportunity to revise the achievements, outcomes, and outstanding methodologies and approaches from the 11 Joint Programmes of the Thematic Window on Democratic Economic Governance in Albania, Angola, Bosnia and Herzegovina, Ecuador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay, and the Philippines.

The report takes a capacity development approach, emphasizing the successful elements and anchorages of these 11 Joint Programmes, which provide a solid base from which to design and sustain additional actions to achieve the MDG.

To that end, the Joint Programmes have been reviewed in terms of the aspects of democratic economic governance (primarily capacity development, dialogues, social contracts and long-term programmatic strategies), and positive elements were drawn from them.

Overall, this report will provide the MDG-F Fund Secretariat a constructive perspective that examines the aspects that ensure the relevance and efficiency of development programmes. It will serve as the basis for recommendations regarding strategic actions for the near future.

However, this report is not an evaluation of the Joint Programmes. As such, the implementation levels and outcomes are not measured against expected goals or other evaluation criteria. The report addresses the identification of valuable mechanisms and outcomes that should be considered, either in the interest of continuing the Joint Programmes or by any other development programme.

This report was based in a comprehensive desk review. Documentation on the MDG-F, the Democratic Economic Governance–Knowledge Management Programme and the 11 Joint Programmes, including final and mid-term evaluations, was analysed. Various related websites and videos were also reviewed.

Questionnaires were designed to gather specific information from the Joint Programmes in Angola, Ecuador, Guatemala, Honduras, Nicaragua and the Philippines. These questionnaires include both common questions regarding programme achievements and specific ones that take an in-depth approach to some of the issues identified through the Mid-Term Reports. A sample questionnaire is available in annex 4.

## Annex 2: Joint Programmes of the Democratic Economic Governance thematic window

Country	Programme Title
Albania	Regulatory reform pro-poor development
Angola	Governance of water and sanitation in poor neighbourhoods
Bosnia and Herzegovina	Securing access to water through institutional development and infrastructure
Ecuador	Governance in the water and sanitation sector within the framework of the Millennium Development Goals
Guatemala	Capacity-Building amongst the Mam people for economic governance of water and sanitation
Honduras	Economic governance of water and sanitation
Mexico	Building effective and democratic water and sanitation management to achieve the MDGs
Nicaragua	Democratic economic governance in the water and sanitation sector in the RAAN and RAAS
Panama	Strengthening equity in access to reduce gaps in safe water and sanitation services by empowering citizens of excluded indigenous groups in rural areas
Paraguay	Strengthening the ability to define and apply water and sanitation policies
Philippines	Enhancing access to and providing water services with the active participation of the poor

### Annex 3 – Acronyms

CLTS	Community Led Total Sanitation
EU	European Union
HRBA	Human Rights Based Approach
IWRM	Integrated Water Resources Management
JP	Joint Programme
LWGF	Local Water Governance Forums, The Philippines
MDG	Millennium Development Goals
MDG-F	Millennium Development Goals Achievement Fund
MMB	Municipal Management Board
MOFTER	Ministry of Foreign Trade and Economic Relationship, Bosnia and Herzegovina
NGO	Non-Governmental Organisation
UN	United Nations
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
USD	United States Dollars
WASH	Water, Sanitation, and Hygiene
WATSAN	Water and Sanitation

## **Annex 4 – Joint Programme Questionnaires**

Questionnaire for the Joint Programme in Angola

Thank you very much for your valuable input.

Please send the completed questionnaire to Damián Indij, [damian.indij@gmail.com](mailto:damian.indij@gmail.com)