

A PRINCIPLE-BASED APPROACH TO  
SUSTAINABLE RURAL WATER SERVICES AT  
SCALE:  
moving from vision to action



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# ABBREVIATIONS

CapEx	Capital Expenditure
CapManEx	Capital Maintenance Expenditure
CBM	Community-based Management
CBO	Community-based Organisation
CSO	Country Status Overview
CWSA	Community Water and Sanitation Agency
DAs	District Assemblies (Ghana)
DOM	District Operation Manual
DWSSC	District Water Supply and Sanitation Committee
EC	European Commission
FMP	Facility Management Plan
IRC	International Water and Sanitation Centre
MOM	Monitoring of Operation and Maintenance
MWE	Ministry of Water and Environment (Uganda)
MWRWH	Ministry of Water Resources and Works and Housing (Ghana)
NGO	Non-Governmental Organisation
NWSP	National Community Water and Sanitation Program
O&M	Operation and Maintenance
OpEx	Operational (and maintenance) Expenditure
PPP	Public-Private Partnerships
RASHON	Red de Agua y Saneamiento de Honduras (Water and Sanitation Network of Honduras)
RGCs	Rural Growth Centres
RWSN	Rural Water Supply Network
SDA	Service Delivery Approach
SDM	Service Delivery Model
SIP	Sector Investment Programme
SPR	Sector Performance Review
SWAp	Sector Wide Approach
Triple-S	Sustainable Services at Scale
TSU	Technical Support Unit
WASH	Water, Sanitation and Hygiene
WATSAN	Water and Sanitation Team (Ghana)
WUAs	Water User Associations

# EXECUTIVE SUMMARY

Triple-S (Sustainable Services at Scale) is an action-research project which seeks to improve the sustainability of rural water supplies at scale. Triple-S is being implemented in Ghana and Uganda. As the sustainability of rural water supplies depends on a whole range of inter-related factors at different institutional levels, systemic change is often needed at sector level to make step changes to improve sustainability. To that effect, Triple-S adopted a Principle-based Approach. It consists of defining a number of key principles, which are considered to be critical for achieving sustainability and which need to be imbedded at various institutional levels, which are then used to define country-specific outcomes and strategies to address sustainability issues.

A first step was developing a Principles Framework, a matrix with key principles based on a vision of sustainable services at scale. This matrix draws on earlier work of groups working on the sustainability of rural water supply. At country level, these principles were translated into an Outcomes Framework: a matrix with outcomes describing an ideal situation of how the rural water supply sector should look regarding key aspects such as the service delivery approach followed by: financing, transparency and accountability, capacity, harmonisation, and coordination efforts. Contrasting outcomes with the current situation helps to identify a Strategic Plan with strategies at different institutional levels, and the links between them, to address sustainability issues.

This paper presents the Principles Framework (refer to Section 3.1) and the key concepts behind it. It also provides a description of how the Principle-based Approach is being applied in Ghana and Uganda.

# GLOSSARY

Alignment	The process through which development partners provide their aid and support in line with the recipient country's policy agenda and financial and monitoring systems.
Capacity	The ability in terms of awareness, knowledge, skills and resources that stakeholders have in order to fulfil their role in rural water supply.
Capacity support	Interventions aimed at providing technical, monitoring and training assistance to rural water services authorities. These interventions are typically provided by central ministries, or deconcentrated agencies of such ministries operating at regional or provincial levels.
Community-based management	The service provision option whereby communities control the management of their water supplies. For practical purposes, day-to-day responsibility lies with an elected representative group from the community that fulfils this task. Although this group may hire a local caretaker or small entrepreneur for certain tasks, the committee remains responsible for ensuring service delivery, and is accountable to the community at large.
Coordination	In the context of aid effectiveness, the mechanisms (both formal and informal) through which sector actors articulate their activities and strategies amongst each other, and how they negotiate their role in or contribute to the sector.
Decentralisation	The transfer of authority and responsibility for governance and public service delivery from a higher to a lower tier of government. There are different forms of decentralisation, including deconcentration, delegation and devolution, differing in the way this transfer takes place.
Harmonisation	The approach of donors collaborating to develop common arrangements, procedures and information-sharing mechanisms for their aid flows.
Intermediate level	The level where the functions of the service authority such as planning, coordination, regulation and oversight, and technical assistance, take place. We use the term intermediate level (for instance between the national and community level), as a generic term for local government, be it a district, commune, governorate or municipality, or whatever the exact administrative name given in a particular country.
Lifecycle (of a water service)	The different stages through which a water services goes, from its initial capital investment phase, a service provision phase, the capital maintenance phase, and then subsequent upgrading, expansion and replacement.
Lifecycle costs	All the costs of water supply throughout its lifecycle. These include the categories as identified in Fonseca, et al. (2010).
Direct support	Interventions aimed to support (community-based) service providers by an outside agency in the operation, maintenance and administration of a rural water supply service. This support may include technical assistance, monitoring, organisational support, (re)-training and others.
Professionalisation (of community-based management)	The process of granting legal recognition to community-based service providers, the gradual involvement of professional staff in community-based service provision and adoption of good business practices.
Project cycle	The cycle followed during the capital-intensive implementation phase of a water service.
Regulation	The provision of a set of rules, norms, monitoring and enforcement processes that ensure service providers meet nationally-set guidelines and standards.
Scaling up	Scaling up refers in this context to the proportional increase in access to rural water supply services, and the institutional frameworks to help ensuring sustainable services. The term is used as the combination of vertical scaling up, or the institutionalisation of the functions and approaches that make sustainability possible, and horizontal scaling up, meaning the application of these principles in a broader geographical area.
Service authority	Service authorities are the institutions that fulfil functions in relation to water supply, such as planning, coordination, regulation and oversight, and technical assistance, but not the actual service provision itself. Typically, these authorities are located at the intermediate level and in most countries are carried out by local government (district, municipalities or communes). See also <i>intermediate level</i> .

Service provider	The institutions or individuals that deliver water to end users. They are responsible for the day-to-day provision of water, and include tasks such as operation, maintenance and administration of the water system. They may be community-based organisations, small private operators, public sector utilities or companies, or NGOs and faith-based organisations.
Sustainability	The concept is used liberally in the sector, and there are numerous interpretations of what this may mean. We follow the definition of Abrams (1998) describing sustainability as: 'whether or not something continues to work overtime', meaning, in this case, the indefinite provision of a water service (with certain agreed characteristics) over time.
Service Delivery Approach (SDA)	The conceptual approach taken at sector level to the provision of rural water supply services, which emphasises the entire life-cycle of a service, consisting of both the hardware (engineering or construction elements) and institutional arrangements required to provide a certain service level.
Service Delivery Model (SDM)	The practical application of the principles behind the SDA to a given context, and include agreed legal and institutional frameworks for delivering a service, the levels of service, and commonly understood and accepted roles for public, private or community actors.
Service levels	The normative set of attributes that describe the water service received. These typically include the quantity, quality, distance and continuity of the supply. These can be grouped into a service ladder.
Taxes, transfers and tariffs	The 3Ts, or ultimate categories of funding through which water services can be funded. Taxes refer to domestic funds obtained by government from citizens in general, which are then used to cover costs in water supply. They are different from tariffs, which are paid by consumers specifically for a water services. Tariffs also include other user charges, though it remains ambiguous whether direct household investments are included in this. Transfers refer to any funds from third parties to the water sector, primarily official development assistance. There may be other sources of funds to the sector, for instance private sector investments, but these will ultimately need to be repaid by one of the three categories.
Water service	The provision of access to a flow of water with certain characteristics, as defined in the service levels.

# 1 INTRODUCTION

## 1.1 BACKGROUND

Triple-S (Sustainable Services at Scale) is a multi-country research and learning initiative aimed at improving water supply to the rural poor. The project started in 2009 under the leadership of the IRC International Water and Sanitation Centre. The Bill & Melinda Gates Foundation funds the project in response to the prevailing situation in the water sector where billions of US dollars have been invested in constructing new systems, which have continued to provide sub-standard services or collapsed before the end of the infrastructure's expected life cycle. The Rural Water Supply Network (RWSN) (2009) found that 36% of hand pumps across 21 countries in sub-Saharan Africa were not functional. This level of failure represents a waste of between US\$1.2 and US\$1.5 billion in investments over the last 20 years.

The underlying causes are multiple, but the resulting problem is because the focus of putting the physical infrastructure and organisational arrangements for their management in place was as a one-off activity, rather than for the purpose of delivering water services. This focus may meet the needs of a community in the short term, but without simultaneous investments in the capacity necessary to support and monitor such civil works, the infrastructure generally lasts for just a few years. Behind these problems lie many interrelated issues to be addressed: from defining what we really mean by a 'service', to ensuring that there is sufficient capacity at different levels in a country to deliver such services and, very importantly, the need to understand the full range of costs involved. In many countries with high levels of donor-dependency, this is compounded by the fragmentation caused by different donor approaches and conditions on the development of water supply systems.

The recognition of this problem of poor sustainability of rural water supply services is not new: the sector has moved from supply-driven, centralised government programming to more demand-driven approaches, based on the philosophy of community participation with community-based management emerging as the principal management vehicle. This philosophy started to emerge in the 1980s and is applied in most countries. In more recent years there has been a call to build and improve the community-management approach with more structured systems of post-construction support and the increased involvement of local private operators. All these changes and developments in the approach towards rural water supply and service delivery have been aimed at strengthening the capacity at local level to provide services and increase sustainability of these services.

It is against this background that Triple-S operates: it seeks to contribute to and build upon sector efforts to improve sustainability of rural water supply services. It recognises the importance of issues such as the professionalisation of community-based management, but sees that the adoption of such changes often require much broader systemic change in the sector, as they have implications for the institutional roles of service authorities; the way the sector is financed and how efforts are harmonised between government, development partners and other stakeholders. In broad terms, such a comprehensive approach to rural water is defined as the **service delivery approach which** implies a focus on sector capacity and systems (for instance planning, financing, monitoring etc.) These activities are all geared towards the full life-cycle of water services provision, but not on the delivery of new infrastructure. What these changes will look like and how they can be achieved will differ from one country to another. As Lockwood and Smits (2011) show, some countries have already adopted many elements of a service delivery approach in their rural water sector, whereas others still follow the largely implementation-focused approach. The latter group of countries will require different types of changes and will probably evolve at a different pace than the former group. The processes through which



systemic changes can be achieved may also differ between countries. Processes like the adoption of a SWAp (Sector Wide Approach) or the development of new water supply policies may provide opportunities for change.

In spite of these differences, Triple-S believes that change can be guided by a common vision and underlying principles that can be applied across different contexts. Triple-S has followed such an approach in the two countries where it has focused its efforts: Ghana and Uganda.

## 1.2 PURPOSE OF THE DOCUMENT

The purpose of this document is to outline this common vision of sustainable rural water services at scale and its underlying framework of principles, so as to provide a common language among the project team and its direct stakeholders in government departments, donor agencies and other water sector organisations.

In addition, it seeks to explain how this approach has been applied to date in Triple-S in Ghana and Uganda, and how the project sees the continued development. The aim is to inform and inspire other sector organisations working to address the problems of sustainable services at scale elsewhere.

The document starts by outlining the vision for rural water supply as adopted by Triple-S, and its constituting pillars. This is followed by an introduction to the principle-based framework that has been derived from the pillars. Finally, the document discusses how this approach has been followed so far in Ghana and Uganda, and the next steps in applying it.

## 2 VISION

The starting point for Triple-S has been the definition of a strong vision of how rural water services can ideally develop. This vision guides the Triple-S approach in the project, as it works with stakeholders to reach a better understanding of what is required and how that goal can be achieved.

### The Triple-S vision: sustainable rural water services at scale

The vision implies that:

Water supply systems provide a certain level of service, understood to include well-defined characteristics of the service, such as water quality, quantity, continuity and accessibility. The exact level of these service characteristics differs from one country to another, but a service approach implies that users and service providers know these characteristics and provide services along these lines.

Water services are sustainable. Triple-S follows the definition of Abrams (1998) describing sustainability as: 'whether or not something continues to work overtime'. In this case, we understand sustainability as the indefinite provision of a water service (with its agreed characteristics) over time. This is applied at scale. Two scaling-up components are followed; meaning spreading out over a large geographical area and institutionalisation. For the Triple-S vision this means that the vast majority of all water systems in a given region provide sustainable services, and that the institutional structure of that area is in place to ensure that these services can be provided over time.

### 2.1 PILLARS OF THE VISION

Water services are often context specific, affected by culture, history, economy, politics, water resources, topography and demographic aspects. There is no single blueprint for success which can describe institutional frameworks, policies, service delivery models or technologies. What works in one place, may not work in another.

However, experience has shown that a number of important elements need to be in place to lead to more sustainable service delivery. At the highest level, three main **pillars are identified**, which are essential to achieve the vision of sustainable rural water services at scale:

#### **Pillar 1: Adopting a Service Delivery Approach (SDA):**

The adoption of the Service Delivery Approach is the first pillar for achieving the vision, where the focus of the sector moves from putting in place the infrastructure and management structures, as part of a project or group of projects under a programme, to providing a water service, with certain service characteristics, over its entire life-cycle. The Service Delivery Approach as a concept is comprehensive and addresses all aspects of a sustainable service: institutional, policy, financial, technical and environmental. To put this approach into practice requires one or more context-specific **Service Delivery Model(s)**, defined as the agreed frameworks for delivering a water service, including the policy and legal frameworks, norms and standards for service levels and technologies, roles, rights and responsibilities of stakeholders in these and financing mechanisms for different life-cycle costs. These will differ for different management models, such as community-based management, private service providers, utility management, self-supply or any hybrid of these. For further definitions of these concepts, see Lockwood and Smits (2011).

**Pillar II: Having a strong learning and adaptive capacity for water service delivery:**

Stakeholders need to have the capacity, meaning they have to be aware of and understand the issues and have knowledge, skills and resources to fulfil their current roles in rural water supply. But, sustainability of water services also requires that role players in the sector are able to learn across areas of policy, strategy and technology and thereby adopt, adapt and innovate around country-specific relevant and appropriate Service Delivery Models, as circumstances change. This implies the need to have capacity building and training mechanisms in place, as well as modalities for knowledge-sharing, information dissemination and joint analysis across the different institutional levels. In order to develop and maintain that capacity, those components of the life-cycle costs to support the provision of water services, including support costs, need to be adequately covered.

**Pillar III: Harmonisation and alignment for water service delivery:**

This pillar recognises that the rural water supply sector is highly aid-dependent in many countries and the adoption of principles of aid effectiveness, as defined in the Paris Declaration (2006) (see OECD, 2008) is crucial. The pillar emphasises the need to promote and sustain harmonisation and coordination among all actors, as well as alignment of development partner assistance towards government-led strategies for more effective service delivery. This is needed to ensure that all stakeholders follow the agreed upon and commonly accepted approaches, tools and standards as defined in the country's SDA and SDMs. Besides, this is needed to contribute to those costs that cannot be attributed to single projects or programmes, particularly at the institutional levels above the community, such as the costs for direct support or sector capacity building.

Triple-S recognises the need to increase coverage and to build new infrastructure and corresponding management arrangements. The project also believes that by focusing on the three pillars, sustainability of physical infrastructure on the ground can be tackled alongside the supporting of systemic improvements in the sector nationally, so that learning and progress can be self-sustained.

# 3 A PRINCIPLES-BASED APPROACH TO IDENTIFYING STRATEGIES FOR SUSTAINABLE WATER SERVICE DELIVERY AT SCALE

Having defined the vision of sustainable water services at scale, the next step is identifying the strategies that can be employed to achieve that vision. As mentioned, these strategies will have to be context specific. However, from the vision, and particularly the pillars, a number of principles can be identified that can be used to develop strategies. This section sets out the Principles-based Approach, as developed by Triple-S and the Principles Framework itself.

## 3.1 BACKGROUND TO PRINCIPLES-BASED APPROACHES FOR RURAL WATER SUPPLY

Based on the realisations that service delivery models (or other approaches in the water sector) are often contextual, various efforts have focused on identifying underlying principles, which can then be put into practice in a given context. Examples of these include, the Country Status Overview (CSO) studies (WSP, 2011) which identify a number of principles against which countries are assessed, WaterAid's sustainability framework (WaterAid, 2011) that guide the work of the organisation in addressing sustainability, and the WASH Sustainability Charter, which again provides guiding principles for the organisations who subscribe to this charter (WASH Sustainability Charter, 2011). The team involved in Triple-S has, over the past number of years, developed a Principles Framework for scaling up rural water supply (Scaling Up Group, 2005). This framework was subsequently adapted by Van Koppen, et al. (2006 and 2009) for multiple-use services, but maintaining many elements of sustainable services. These form the basis of the Principles Framework presented below.

What all these examples have in common is that they have identified a number of principles for sustainable water supply services delivery. Close examination shows that while these principles point to similar issues, there are also differences between the frameworks. Some are applied more at organisational level, such as those of WaterAid and the Sustainability Charter. That is, they provide a set of principles to guide the operations of an organisation in the sector, and not the development or change of a sector as a whole. Others are applied at sector levels, such as the CSO framework and the Scaling -up Framework, which help to analyse the status of the sector against a set of principles, and then identify possible strategies to address gaps that may emerge. Another difference lies in the institutional level at which the principles are applied. For example, the WaterAid framework mainly applies principles at community level, with only a few referring to the other institutional levels, whereas the framework of multiple-use services identifies principles at all levels of scale: from community to national level.

## 3.2 DEVELOPING A PRINCIPLES-BASED APPROACH IN TRIPLE-S

In line with these experiences, Triple-S has adopted the Principles-based Approach, specifically for the following reasons:

It allows for developing a context-specific approach to address sustainable services at scale, based on broad generic principles. A Principles Framework describes what should ideally be in place and the broad standards to adopt. It intentionally does not include the details of what this should look like for any given country, or how this should be put into practice. That is done in a country process, where relevant stakeholders translate the broad principles into context-specific outcomes and strategies.

It allows for maintaining a full overview of the systemic changes needed as well as identifying specific areas of work. When working on sustainability, there is a risk of focusing all efforts on one or two issues, even if they are crucial, whilst forgetting the bigger picture. It helps to illustrate that addressing one issue or identifying one 'silver bullet' solution is not likely to achieve full results. Besides, often a change in a specific issue, for instance, supply chains or appropriate technology, will require much broader changes at sector level. A Principles Framework encourages a more holistic perspective of problems and potential solutions. At the same time, it acknowledges that a Principles Framework may seem either overwhelming or too generic. Yet, the principles can help identify the priority areas to work on.

### 3.3 Objectives

Triple-S' Principles Framework was developed with three main objectives in mind:

- 1) To inspire and to guide.
- 2) To use as an analytical tool.
- 3) To act as a tool for planning and strategy development.

The Principles Framework should be able to **inspire and guide** its users by providing a number of principles that should be in place. In each principle, readers should be able to recognise their own reality, so that they can use it as a guide to seek solutions to problems. The entire framework, presented in the next section, may not be needed for this purpose – the vision and its pillars should suffice. For this type of use, national and international stakeholders are the main target audience.

The next objective acts as a framework for **analysis**. The framework can act as a window or template to analyse water service delivery in a country or district in relation to each of the principles. Guiding questions can be formulated to support the analysis. The guiding questions are as important as the principles themselves, as they allow users to go through a process of analysis and planning. The underlying principles are, however, crucial to structure the analysis and ensure that the framework is exhaustive.

Finally, the framework can be used for **strategy development**. In this application, for each principle a more context-specific outcome can be formulated, and strategies developed to achieve the outcome. At this stage users can start to explore the 'how' and 'who' questions of putting change into practice. Strategies can then be checked against the original principle and guiding questions. Examples and case studies that accompany the framework can help identify strategies and to design plans. A process of stakeholder learning and implementation is needed to bridge the generic tool to the specific context in which they must collectively work to 'translate' the principles into actions and positive outcomes. How this was done in Triple-S is addressed in Chapter 4.

Thus, what must be stressed is that there is a difference between the Principles Framework and the Principles-based Approach. The Principles Framework is nothing more than a number of defined principles while the Principles-based Approach refers to the way it is used in analysis and strategy development.

### 3.3.1 Structure and content of the Principles Framework

With the experiences of the various principles frameworks in mind, particularly the one developed by the Scaling Up Group (2005), the Triple-S Principles Framework was developed with the following components:

1. The overall **vision** of sustainable water services at scale, as presented in Section 2.
2. The three main **pillars** that make up the vision, being:
  - a) The adoption of a Service Delivery Approach.
  - b) Having a strong learning and adaptive capacity in the sector.
  - c) Harmonisation and alignment for service delivery.

These three elements form one axis of the Principles Framework.

3. The **principles** themselves: eight principles were identified within the three main pillars, being:

#### **a) The adoption of a Service Delivery Approach**

- Policy, legislation and institutional roles are clarified for commonly agreed-upon service delivery models.
- Financing for full life-cycle costs are effectively covered through an agreed-upon combination of tariffs, taxes and transfers.
- Planning aims for full coverage and accounts for the different stages of the life-cycle of the service and is based on participatory processes.
- Transparency and accountability mechanisms are in place between consumers, service providers and independent oversight bodies over the quality and sustainability of services provided.

#### **b) Having a strong learning and adaptive capacity**

- Capacity (awareness, skills, resources, and access to support) exists within the sector for stakeholders to fulfil their functions, as defined in the service delivery model.
- The sector has the ability to learn and innovate on the basis of knowledge sharing, reflection and analysis.

#### **c) Harmonisation and alignment**

- Sector investment and support is harmonised and aligned with national priorities and policies.
- Actions of stakeholders are coordinated at different levels with commonly recognised platforms and forums.

4. The horizontal axis of the Principles Framework is formed by the institutional levels related to water services delivery. These are:

- Consumers, who have rights and responsibilities with respect to receiving water services.
- Water service provider level. This is the level where water service provision takes place in the form of activities including operation, maintenance and administration of the service. This is typically a single community, but may also include the level of a piped scheme that covers various villages.
- The service authority level is where service authority functions are placed, such as planning, financing and support, but also sometimes water resources management. Normally this is a local government unit such as a district or municipality but may consist of different administrative

levels, for instance both province and district, if critical governance functions are split between these levels.

- The national level is where the enabling environment for service delivery is defined in terms of policies, laws, regulations, institutional frameworks, financing flows, etc.
- Finally, the international level is relevant as far as development assistance policies and mechanisms are concerned and how these promote (or discourage) the adoption of a service delivery approach, harmonisation and an adaptive and learning water sector.

As can be seen, each of the principles is applied at (nearly) all institutional levels, thereby differentiating the roles these levels have in ensuring that the principle is put in place.

It must be noted that Triple-S is a learning initiative and the Principles Framework has so far been updated twice during this project. What is presented here is the resultant matrix currently in use.



**TABLE 1: The Principles Framework**

PILLAR	PRINCIPLE	LEVEL OF APPLICATION OF PRINCIPLE				
		CONSUMER	WATER SERVICE PROVIDER	WATER SERVICE AUTHORITY	NATIONAL	INTERNATIONAL
Service Delivery Approach	Policy, legislation and institutional roles are clarified for commonly agreed-upon service delivery models.	Consumers understand which service they are supposed to get, from which service provider they get this and what their rights and responsibilities are.	Water infrastructure, service levels and management arrangements are part of recognised and well-defined service delivery models.	Clear roles and responsibilities are defined and authority is exercised at decentralised levels to ensure the delivery, support and oversight of water services delivery.	Policies, legislation and institutional structures exist which define one or more service delivery models. Adequate authority is granted to decentralised levels to enable the functioning of the service delivery models.	Development partners at international level understand and recognise different service delivery models and support those in their institutional policies and approaches.
	Financing the full life-cycle costs are effectively covered through an agreed-upon combination of tariffs, taxes and transfers.	Consumers contribute through tariffs to the parts of the full life-cycle costs that they are supposed to cover - in line with national tariff structures.	Service providers understand the full life-cycle cost of the service they are running, and cover these through a combination of tariffs that are effectively levied as well as taxes and transfers in line with national policy. Service providers have appropriate financial accounting systems.	Financial planning accounts for full life-cycle costs and service delivery is supported within available funding, through a combination of taxes and transfers and where relevant indirectly through tariffs.	The concept of full life-cycle costs is applied in the national financial framework in terms of financial mechanisms, budget processes, disbursement systems, subsidy rules and tariff structures. Total costs for service delivery are known and funded through a combination of national budgets, tariffs and development partner transfers.	Development-partner funding policies take into account the need for full life-cycle costs and provide clarity about which of these can be covered from transfers.
	Planning aims for full coverage and accounts for the different stages of the life cycle of the service and is	Consumers participate in planning processes and consultation mechanisms in the different stage of	Service providers plan and implement operation and (capital) maintenance activities based on life-cycle planning and informed	Service authorities plan for full coverage across their entire area of jurisdiction, based on the different stages of the life-cycle of services, seeking economies of scale	There is a clearly articulated national planning framework, which sets out policy choices and priorities, is based on life-cycle of	Development partners are committed to universal coverage and recognise the importance of and support, national planning frameworks.

PILLAR	PRINCIPLE	LEVEL OF APPLICATION OF PRINCIPLE				
		CONSUMER	WATER SERVICE PROVIDER	WATER SERVICE AUTHORITY	NATIONAL	INTERNATIONAL
	based on participatory processes.	the life-cycle of the service (including technology selection).	by consumer feed-back. This may involve asset management activities, where relevant.	in the fulfilment of their functions. This may involve asset management activities, where relevant.	services, and takes into account equitable access. It also sets out the procedures and processes for participation at all levels.	
	Transparency and accountability mechanisms are in place between consumers, service providers and independent oversight bodies over the quality and sustainability of services provided.	Consumers have access to information about service delivery and are able to hold providers to account both directly and indirectly for the service received.	Service providers put mechanisms in place to enable consumers to voice their opinions on performance and provide both consumers and authorities with information about service provided. In addition, service providers can hold higher level authorities to account over their support functions.	Service authorities apply instruments for monitoring of water service delivery, based on an agreed set of service delivery indicators. In addition, they provide accountability to consumers, service providers, civil society and national authorities on their own performance.	Monitoring and regulatory instruments are in place to ensure accountability of water service authorities and water service providers over service delivery against an agreed set of sustainability indicators. Mechanisms exist for national level stakeholders to provide accountability over their own performance to sector stakeholders.	Mutual accountability arrangements exist between international development partners and national governments for effective use of aid against an agreed set of indicators for sustainable service delivery, and based on common monitoring efforts.
Learning and adaptive capacity	Capacity (awareness, skills, resources, and access to support) exists within the sector for stakeholders to fulfil their functions, as defined in the service delivery model.	Consumers are aware of their roles, rights and obligations within the framework of the service delivery model and are able to fulfil them.	Service providers have the skills and resources required to provide a sustainable service and are able to draw on post-construction support (including training, refresher courses, technical assistance, etc.) as required.	Skills, resources (including supply chains) and information are available at service authority level to ensure water authority functions are fulfilled, including assuring post-construction support to service providers. In addition, they are able to draw on capacity support as required from higher levels.	National government has the capacity to provide leadership to mobilise around a vision for sector development and ensuring that downward mechanisms for support are functioning adequately.	Development partners have the capacity to understand the implications of the SDA for their role, and they are open to support the building of capacity at global level.
	The sector has the		Mechanisms are in	Mechanisms are in place for	A learning culture is	At international level,

PILLAR	PRINCIPLE	LEVEL OF APPLICATION OF PRINCIPLE				
		CONSUMER	WATER SERVICE PROVIDER	WATER SERVICE AUTHORITY	NATIONAL	INTERNATIONAL
	ability to learn and innovate on the basis of knowledge sharing, reflection and analysis.		place for service providers to learn from monitoring their own performance as well as through sharing with peers.	service authorities to learn from monitoring their own performance as well as through sharing with peers.	encouraged at all levels, facilitating innovation, research and development (including technologies and management arrangements). Mechanisms are in place to enable information sharing on sector performance.	there are mechanisms in place to present and reflect upon global sector performance. And, development partners support innovation in the water sector globally.
Harmonisation and Alignment	Sector investment and support is harmonised and aligned with national priorities and policies.		Service providers operate within national sector guidelines, norms, standards and approaches as set out in service delivery models, regardless of funding source.	Water service authorities plan for local investment, and support and monitor service providers according to national guidelines and established service delivery models, regardless of funding source.	Sector stakeholders, including development partners, invest, support and operate within commonly agreed upon national guidelines and frameworks.	Mechanisms and forums exist at international level for development partners to harmonise approaches to support national rural water sectors. Development partner policies and operational guidelines support alignment with national priorities and frameworks.
	Actions of stakeholders are coordinated at different levels with well-recognised platforms and forums in place.		Service providers are able to share information or plan activities to achieve economies of scale through coordination platforms.	Water service authorities provide coordination mechanisms and platforms for service providers and operational programmes to share information and create economies of scale, for coverage issues, tariff setting and support for existing systems.	Mechanisms are in place to ensure funding flows and policies in the sector at national level are well coordinated, both between ministries, or other sources of national funding, and development partners where relevant.	Mechanisms and forums exist at international level for development partners to coordinate support to national rural water sectors. Development partner policies and operational guidelines support coordination.

## 4 EXPERIENCES IN APPLYING THE PRINCIPLE-BASED APPROACH

Having reviewed the Principles Framework, this section aims to set out how this was used in a Principle-based Approach in Triple-S. In addition to Ghana and Uganda where the full process was followed, the approach was also applied in other countries, namely in the Water and Sanitation Network of Honduras (RASHON) where a sector analysis was carried out through its working group on sustainability. The approach was used to assess the main constraints to sector development in the area of sustainability of rural water supply.

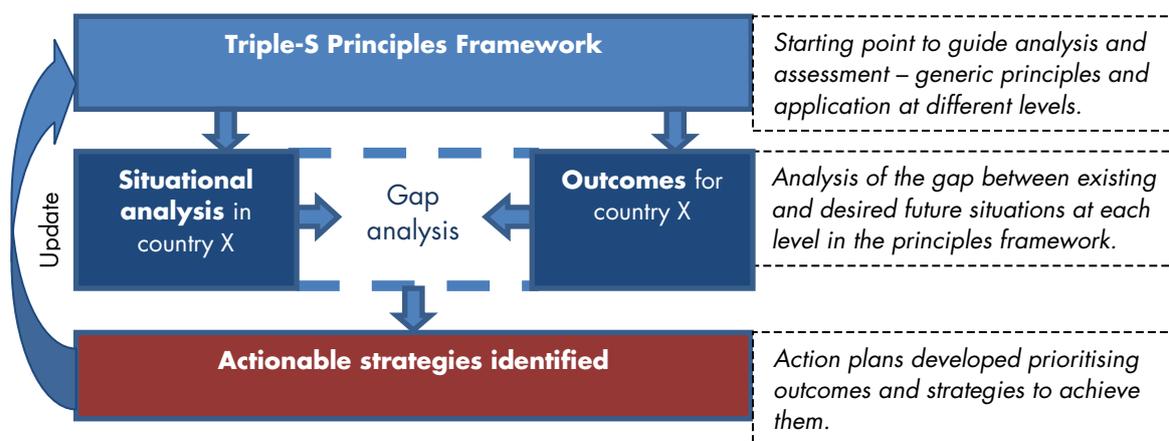
This section describes the generic steps in applying the Principle-based Approach, and illustrates these by using Ghana and Uganda as case studies.

### 4.1 FROM VISION TO STRATEGIES

#### 4.1.1 Steps in the process

In order to move from vision to strategy, the following procedural steps were identified in following the process of a Principle-based Approach:

**FIGURE 1: Process of the Principle-based Approach**



#### Situational analysis

The first step in the process is to carry out a situational analysis with respect to rural water supply in the country, using the Principles Framework. Information is collected covering all, or at least most, of the cells in the framework. An analysis is conducted whether, in the current situation, a specific principle is met or not. In addition, the relationships between cells, rows and columns are analysed.

#### From principles to outcomes framework

The situational analysis is followed by identifying country-specific outcomes. These outcomes constitute translations of the broad principles pertaining to ideal country-specific situations. This is reflected in the outcomes for each of the cells in the matrix. In some instances, the outcomes that describe the ideal situation coincide with the actual situation, where, to a large extent, the country already meets the

principles. However, in most cases, they represent an ideal scenario yet to be achieved rather than an existing state.

### Gap analysis

This step consists of conducting an analysis of the gap between the current status as captured in the analysis and the ideal situation, formulated as outcomes. Making that comparison can lead to the identification of different types of priority areas:

- Group 1: Issues that are already well addressed in the sector and do not require priority action.
- Group 2: Issues where there is a gap between the current situation and the ideal situation, which are a priority to the sector, but that are already being addressed by other sector stakeholders.
- Group 3: Issues where there is a gap between the current situation and the ideal situation, which are a priority to the sector and where significant contributions can still be made.

### Identification of actionable strategies

For both the second and third group of issues identified in the gap analysis above, broad outline strategies then need to be developed, to be taken up at sector level. However, only for the third group more detailed strategies can be developed by the organisation or project that applies the Principle Framework, towards eventual implementation of those strategies.

### Updating of the overall Principles Framework

In the case of Triple-S, the final step in the process is the use of the framework for systematic learning and monitoring of progress in achieving the outcomes. Experiences in sustainable services at scale from Ghana and Uganda are reflected upon, and on the basis of that, the framework is updated. In due time, the process will go further with more structured monitoring which will be reported on in the next version of this document.

#### 4.1.2 A multi-stakeholder process

It is important to emphasise that this process needs to be carried out with the participation of key sector staff in government ministries and decentralised agencies, as well as officials from local government, non-governmental organisations (NGOs), development partners and researchers. Ideally, this should be done in the context of existing sector platforms with a mandate to address sustainability issues. In the case of Triple-S, this was done through existing sector platforms, such as a sector working group and Learning Alliances (Smits et al., 2007). In Honduras, the methodology was followed as well, via a sector working group on sustainability.

This process requires intensive facilitation, as it is not a light exercise. First of all, it takes time to get familiar with the logic of the principle-based approach. In addition, the matrices can seem daunting because of the number of issues they cover. There is a risk that participants prioritise then one or two issues related to sustainability, and lose the overall view of the problem. As will be seen in both the examples, it has taken a number of iterations with dedicated groups of stakeholders to arrive at the Strategic Plan.

#### 4.1.3 Example: Ghana's experience in using the Principle-based Approach

The generic steps were explained above and this section provides the details of how this was done.

## Stakeholder involvement

A rigorous process involving stakeholders of all levels of water services delivery in the country was followed to develop the Strategic Plan for Triple-S in Ghana. Participants were drawn from, amongst others:

- Policy level in organisations such as the Ministry of Water Resources and Works and Housing (MWRWH) and the Community Water and Sanitation Agency (CWSA).
- District Assemblies including Metropolitan Municipals and District Assemblies, District Works Department and District Water and Sanitation Teams.
- Regional level (Regional Planning and Coordinating Unit).
- Representatives of NGOs, represented in the Coalition of NGOs in Water and Sanitation (CONIWAS).
- Service providers, such as Water and Sanitation Committees and Water and Sanitation Development Board.
- Consultants in the water sector.

The involvement of a wide range of stakeholders helped to shape the direction of the Strategic Plan as it engendered consensus on gaps with respect to sustainable water service delivery, as well as creating ownership, credibility and direction for the strategic planning process.

## Steps in the process

### Situational analysis

The consultative process began with a research study into sustainable rural water services delivery (IRC/Aguaconsult, 2011). This eight-month study consisted of a review of secondary information as well as interviews with key sector stakeholders. The review focused on data collection and analysis pertaining to all the principles, including only three of the five levels of the analytical framework, namely national level, decentralised (service authority) level and at the level of service delivery models. Because of the national scope of the study, the international level was left out<sup>1</sup>.

Based on the findings, a validation workshop was organised to confirm, or adjust, the findings of the research. Further consultation with a wider stakeholder group was done to fill the gaps in the study and map out opportunities for action.

A follow-up workshop was held to establish and confirm baseline information pertaining to sustainable services at scale. Based on all the available information from the research, validation and consultative workshops and the experiences of the stakeholders, country baseline information was established. This followed the structure of the analytical framework (see Annex 1). An example is given below for the principle of 'policy, legislation and institutional roles are clarified for commonly agreed on service delivery models' as applied at the 'service authority level'.

**TABLE 2: Situational analysis for one of the principles**

PRINCIPLE AS DEFINED IN PRINCIPLES FRAMEWORK	SITUATIONAL ANALYSIS FOR GHANA
Clear roles and responsibilities are defined and authority is exercised at decentralised levels to ensure the delivery, support and oversight of	Roles, responsibilities and authority exist and are documented at decentralised levels to ensure the delivery and oversight of water services and under relevant management arrangements. The roles are known to the DAs (District Assemblies) but various actors do not perform their expected roles. There are role conflicts as well.

<sup>1</sup> It must be noted that in this step in an earlier version of the framework was used (see Annex 2), in which the consumer level was not defined as such, hence also left out.

PRINCIPLE AS DEFINED IN PRINCIPLES FRAMEWORK	SITUATIONAL ANALYSIS FOR GHANA
water services delivery.	<p>Roles, responsibility and authority for system construction, operation and maintenance are clearly defined.</p> <p>Roles, responsibility and authority for post-construction support, up-grading, system expansion and replacement are not defined and assigned.</p>

### From principle to outcomes framework and gap analysis

Using this baseline, 35 outcomes were formulated (see Annex 2). These outcomes represent the ideal situation that needs to be in place to have sustainable rural water services in Ghana. These were defined irrespective of whether Triple-S work on them or not. Rather, having the broad set of outcomes will also enable other participating organisations to contribute to the vision by selecting outcomes they can focus on, thereby leveraging of resources.

This step was combined with the gap analysis, thereby allowing the findings of the situational analysis to inform the definition of the outcomes. An example of this is given in Table 3, contrasting the situational analysis and outcomes. This is done for the same principle of ‘policy, legislation and institutional roles are clarified for commonly agreed on service delivery models’ as applied at the ‘service authority level’. As illustrated, the situation in Ghana was assessed against the originally-defined principle. From that principle, two outcomes were defined.

**TABLE 3: Contrasting analysis and outcome**

PRINCIPLE AS DEFINED IN PRINCIPLES FRAMEWORK	SITUATIONAL ANALYSIS FOR GHANA	OUTCOME FOR GHANA
Clear roles and responsibilities are defined and authority is exercised at decentralised levels to ensure the delivery, support and oversight of water services delivery.	<p>Roles, responsibilities and authority exist and are documented at decentralised levels to ensure the delivery and oversight of water services and under relevant management arrangements. The roles are known to the DAs but various actors do not perform their expected roles. There are role conflicts as well.</p> <p>Roles, responsibility and authority for system construction, operation and maintenance are clearly defined.</p> <p>Roles, responsibility and authority for post-construction support, up-grading, system expansion and replacement are not defined and assigned.</p>	<p>Institutional capacity for planning for full life-cycle cost and governance mechanisms in pilot districts strengthened and documented to support national level upscaling.</p> <p>Roles, responsibility and authority for system construction, operation and maintenance, post-construction support, system up-grading, expansion and replacement are defined.</p>

These outcomes are expected to lead to all stakeholders to agree on and comply with one Ghanaian water service delivery approach, including policies, planning, financing and institutional arrangements for governance and implementation. It is anticipated that an adoption of this service delivery approach will result in reliable and sustainable rural water services in Ghana.

At the same time, this step allowed identification of where the gaps are between the current situation and the ideal one.

### Identification of actionable strategies

The results were used by the small group of key participants to brainstorm and translate the issues into a Strategic Plan. Owing to the fact that consensus was built on the gaps and issues pertaining to sustaining rural water supply, the interest in the planning process was to identify areas where Triple-S would be able to make an impact, and not be seen as trying to do everything. Prioritisation centred on preferred changes in terms of different practices, behaviours and a new ways of doing things. On the basis of the prioritised outcomes, strategies were then developed, as well as action plans. Considering the same principle, Table 4 indicates how a set of action strategies was developed based on situational analysis and outcome. The full matrix with action strategies for Ghana is found in Annex 3.

**TABLE 4: Developing an action strategy based on the gap analysis**

PRINCIPLE AS DEFINED IN PRINCIPLES FRAMEWORK	SITUATIONAL ANALYSIS FOR GHANA	OUTCOME FOR GHANA	ACTION STRATEGIES
Clear roles and responsibilities are defined and authority is exercised at decentralised levels to ensure the delivery, support and oversight of water services delivery.	<p>Roles, responsibilities and authority exist and are documented at decentralised levels to ensure the delivery and oversight of water services and under relevant management arrangements. The roles are known to the DAs (District Assemblies) but various actors do not perform their expected roles. There are role conflicts as well.</p> <p>Roles, responsibility and authority for system construction, operation and maintenance are clearly defined.</p> <p>Roles, responsibility and authority for post-construction support, up-grading, system expansion and replacement are not defined and assigned.</p>	<p>Institutional capacity for planning for full life cycle cost and governance mechanisms in pilot districts strengthened and documented to support national level upscaling.</p> <p>Roles, responsibility and authority for system construction, operation and maintenance, post-construction support, system up-grading, expansion and replacement are defined.</p>	<p>Develop and test decentralised framework for water service delivery under the COM model, including the following:</p> <ul style="list-style-type: none"> <li>Carry out a review of the water delivery project cycle.</li> <li>Review the district operational manual/guide.</li> <li>Develop a capital maintenance financing mechanism.</li> <li>Develop a framework for assessing functionality and sustainability and response mechanism.</li> <li>Develop a framework for monitoring and tracking services including a reporting template for the assessment of service delivery performance.</li> </ul>

The Strategic Plan was presented to the project's advisory group for review and also to receive buy in by the Minister of Water Resources, Works and Housing, the chair of the group, and other senior decision-makers.

Using an outcome-based planning process, learning from the implementation of the selected outcomes will be documented and reflected on through annual reviews. This will inform the next planning cycle and potential adjustments to the principles framework.

### Lessons learnt from application of the Principles Framework

The application of the Principles Framework in Ghana was positively received, as it allowed the following:

- It provided a framework to do a comprehensive analysis of the root causes of unsustainable services. This ensured that interventions tackled systemic issues and not only the symptoms.
- It proved to be a useful planning and analyses tool and helped to keep the interventions focused.
- Analysing the issues within the Principles Framework helped to identify critical strategic interventions which could have a ripple effect on a number of issues in the different cells.
- It provided opportunity to reflect on who is doing what in the sector and to identify potential collaborators and partners.

However, it was difficult for stakeholders to quickly grasp it, because it is large and unwieldy. Others initially perceived it to be a prescription, because of the way the principles are formulated. Application of the Principles Framework must, from the onset, be clearly explained to avoid confusion.

Another disadvantage of the approach is that it makes prioritisation difficult as sustainability issues are systemic in nature and require a comprehensive intervention at all the levels. It is therefore not effective to deal with only a limited number of aspects of the issues and it also makes priority setting difficult.

Lastly, the matrix-way of organising the Principles Framework contributes to the tendency of being boxed in and not thinking 'outside of the box'. It therefore runs the risk of being used in a mechanical way. It is thus important to realise that the framework must be used as a guide to stimulate thinking in a structured way, and not as a prescriptive tool.

#### 4.1.4 Example: generating and using the Principles Framework in planning in Uganda

The process followed in Uganda was similar, though with some small differences. It included the following:

##### Stakeholder participation

An initial stakeholder mapping exercise was undertaken and key actors at different levels that the Triple-S team needed to work with to foster change through collaborating in the research and the Learning Alliance, were identified.

The following stakeholders participated in the entire process of refining and using the Principles Framework to develop an Outcomes Framework for Uganda:

- Central government: The Ministry of Water and Environment including the Directorate of Water Development and in particular the Rural Water department.
- District Local governments of the two designated pilot districts namely Kabarole and Lira. In both the districts, the District Water Officers and staff of the Technical Support Units participated.
- The consortium members, including the Uganda Water and Sanitation Network (UWASNET), Network for Water and Sanitation (NETWAS) and SNV Netherlands Development Organisation, participated.
- Other key civil society stakeholders including Plan Uganda and WaterAid Uganda participated.

## Generating the outcomes

The strategic planning process that generated the initial outcomes started in December 2009 with the introduction to the Principles Framework and to the Triple-S country team, who used it to guide the process of generating and agreeing on the Outcomes Framework.

In total, 24 outcomes were compiled, eight for each of the three institutional levels considered: service providers, service authorities and national level (see table 5). In framing the outcomes, the team considered information from the findings of various situational analyses, including a country assessment study (Nimanya, et al., 2011), the Sector Performance Review (SPR) of 2009 (MWE, 2009) and the Sector Investment Plan (SIP). These were brought together using the situational analysis matrix (see Annex 4).

## Gap analysis, selection and adjustment of the outcomes list

Out of the 24 outcomes, eight were selected. The selection process for the eight was guided by three colours: red for outcomes that required lots of intervention but probably beyond what Triple-S could manage, yellow for those that required some intervention and with space and need for Triple-S involvement and green for those that required none or minimal intervention. On further review of the selected eight outcomes, the team noted that two of the outcomes could comfortably be addressed through one of the others. As a result, the list was reduced to six outcomes, which were then used to identify the gaps, strategies and actions.

During a subsequent meeting staff and partners scrutinised the six outcomes using two presentations; one on analysed findings of the research and attitudinal studies (Nimanya, et al., 2011) and a second that included a list of critical issues in rural water service delivery presented by DWD. The discussions resulted in the identification of other priority areas that required some initial work in the first year of implementation, hence the selection of three more outcomes to accommodate the identified priority areas. Eventually, the list of outcomes grew from six to nine, as detailed in Table 5.

**TABLE 5: Using colour coding for prioritising outcomes in Uganda**

OUTCOME CATEGORIES	WATER SERVICE PROVIDER LEVEL	WATER SERVICE AUTHORITY LEVEL	NATIONAL LEVEL
Policy, legislation and institutional	Service providers and customers using a defined, recognised and effective Service Delivery Model.	An effective decentralised water service delivery framework that clarifies the roles, responsibilities, authority and functions of the different stakeholders and defines the relevant management, operational arrangements and performance criteria.	Water service delivery institutions using a published, transparent and accountable service delivery approach and models to plan, regulate and provide rural water services at scale.
Financing	Service providers and customers are willing to commit resources for establishment and upkeep of water services according to full-life cycle costing principles.	Staff at District Water Offices develops financial Water Plans and are using them to support water supply development and upkeep according to full-life cycle costing principles.	Water service delivery institutions use full-life cycle costing for financial, budgeting and disbursement processes and mechanisms, and assist in identifying and maintaining enabling fiscal instruments (revenue, bonds, grants, bank loans).
Planning	Potential customers and users effectively participate in key water	District Water Sector Plans reflect decentralised water service delivery approaches to ensure	Clear policy choices and priorities in place and used to direct planning at all levels.

OUTCOME CATEGORIES	WATER SERVICE PROVIDER LEVEL	WATER SERVICE AUTHORITY LEVEL	NATIONAL LEVEL
	services planning processes.	full coverage and functionality of rural water services.	
Transparency and accountability	Customers and users are informed and empowered and use consultative mechanisms to ensure accountability of water services provision.	Adequate human capacity and supportive mechanisms for procurement, regulation, monitoring and accountability of decentralised water services measured against agreed performance indicators.	Functioning water service regulatory institutions and frameworks using acceptable accountability arrangements to ensure that rural water services meet national policies and standards.
Awareness and skills	Service providers and customers aware of their roles, rights and obligations and are exercising them.	Staff at district water offices has adequate skills, resources and information to meet required water governance functions.	Capacity building for effective water service delivery is integrated in the water sector policies and strategies.
Culture of learning and information sharing	Rural water customers and users contribute knowledge and information to improve management practices for effective water service delivery.	District water service institutions support district-level learning alliances for information gathering on innovation, technology use and improvement and service delivery management.	Water service delivery institutions actively involved in learning around rural water service delivery to ensure information sharing, innovation, and research and water performance.
Harmonisation and alignment	Water service delivery institutions adhere to agreed local norms, standards and approaches in water infrastructure design, technology and management arrangements.	District water service delivery institutions adopt and use agreed service delivery models that ensure alignment in planning, budgeting, implementation, regulation and monitoring.	The Ministry of Water and Environment through DWD harmonised and aligned national water service delivery policies, strategies, planning processes, priorities and financial arrangements to which development partners have aligned themselves.
Coordination	Service providers and users adopt and use an agreed coordination mechanism aimed at regular consultation and action on issues regarding the functioning of the water services.	District water service delivery institutions following agreed coordinated and harmonised mechanisms and platforms for construction and follow-up support of new and old systems.	Key water sector institutions (Ministry of Water and Environment, Ministries of local government, agriculture, health and education) ensured cooperation and integration on water policies for effective service delivery.

### Development of an actionable strategy

The team agreed that the entry point for Triple-S work was the service authority on district level, as this is the level where most of the gaps exist. But results from work at service authority level would also contribute to strengthening the service provider level, and the national level.

The information from the studies and other reports was used to agree on which gaps to address and which actions to implement. Although identifying the gaps provided justification for the selection of the strategies and actions, the team agreed to address the gaps incrementally. In the first year of implementation, they would focus on the gaps that would enable the generation of information around rural water supply sustainability; stakeholder mobilisation; the use of existing information generated by key stakeholders; initiating processes for collecting new information; and communication. Detailed strategies for the subsequent years would be developed after a year, upon review of the results obtained.

Identification of the actions was based on how effectively they would contribute towards achieving the outcomes and how they would collectively be used to ensure that implementation followed a systematic approach and process. Linkages between the actions within the outcomes and across the outcomes were identified and used to ensure a continued process of enrichment as well as facilitating learning across and within the outcomes.

## Lessons learnt from applying the Principles Framework

### Lessons

- The Principles Framework provides a description of the ideal situation that initiatives such as Triple-S can work towards in rural water supply.
- Having an unvarying set of principles provides a focus.
- The Principles Framework was useful in identifying and discussing the outcomes for implementation and for the planning process.
- The Principles Framework helped to define service delivery indicators at different levels.
- The Principles Framework helped to identify the different stakeholders in the WASH sector in Uganda and therefore who to work with during implementation.

### Challenges

- It was difficult to share the framework and by extension the outcomes. While Triple-S was interested in entrenching the principles the other actors were more interested in clear tangible results. That made it difficult to show Triple-S value addition to the sector.
- Other partners found it difficult to appreciate the use of the Principles Framework as a planning tool.
- Instilling confidence and affirming the application of the Principles Framework is time consuming as stakeholders need to have a comprehensive understanding of the sector in order to see how the principles are built into those actions. Mastering and applying the Principles Framework is a lengthy process and not a 'quick fix'.
- Given that the Principles Framework was not yet confirmed and was being tested, there was a lot of learning, including the architects of the framework. It is possible that this raised additional challenges, especially in terms of its conceptualisation.

# CONCLUSIONS

Achieving a vision of sustainable rural water services at scale will require, in many countries, a process of systemic change. The factors underlying poor performance of rural water supply systems are plentiful, and many of these factors are interrelated. Addressing specific, isolated issues will not significantly alter the situation with respect to sustainability and changes at all institutional levels will probably be required.

In order to work towards systemic change, Triple-S adopted a Principles-based Approach, similar to a number of other organisations. It consists of defining a number of key principles, which are considered to be critical for achieving sustainability and which need to be imbedded at various institutional levels. These principles are then translated into country-specific outcomes. The principles are also used as a framework for analysis to assess the current situation with respect to sustainability. Contrasting the current situation with the desired outcomes then allows identifying priority strategies that can be taken up at sector level. Triple-S believes that this approach helps to maintain the bigger picture of systemic change, and also allows the identification of concrete areas of work, for which detailed strategies and plans can be developed. It also allows a flexible framework to address sustainability issues that are country specific, and allows the involvement of diverse stakeholders, beyond Triple-S, in an effort to address the complex set of problems surrounding sustainable water services delivery.

To date, Triple-S has only worked with the Principles-based Approach for a limited period of time. Systemic change and organisational behaviour change often take many years to achieve. The team, however, is confident that such approaches are necessary to move beyond time-bound 'project' interventions. It is too early to conclusively state or speculate on the long-term impact of adopting this approach.

The approach has proven to be above all in developing Outcomes and Strategic Plans with key sector stakeholders. In addition, it has proved effective in articulating key concepts. Very importantly, it has put the issue of sustainability and working at scale high on the agenda in Ghana and Uganda and has done so by embracing the complexity of the sector, rather than trying to reduce it to one or two 'silver bullets'.

The approach, or other similar approaches, is considered relevant for other organisations involved in addressing sustainability issues at sector level as well. Over the next years, the strategies will be monitored to assess how they are applied and to what extent it will provoke situational changes. Based on the lessons Triple-S will review the Principles Framework. In the meantime, Triple-S welcomes contributions from others role players who have used similar approaches to facilitate sector changes.

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# ANNEX 1: SITUATIONAL ANALYSIS MATRIX FOR GHANA

	LEVELS OF INTERVENTION				
	AREAS OF PRINCIPLE	WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL	INTERNATIONAL
Service Delivery Approach	Policy, legislation and institutional factors	<p>Water infrastructure in the form of point sources and piped schemes exist in Ghana.</p> <p>The basic service level is defined as 20 litres per person per day within a distance of 500 meters, all year round, of certain quality defined by water safety standards as prescribed by Ghana Standards Board.</p> <p>Different management structures and arrangements and models exist: self-supply, private management, public-private partnerships (PPPs) arrangements, community management through WATSAN (Water and Sanitation Team) and Water Boards.</p> <p>The Service Delivery Approach covers infrastructure construction and O&amp;M (Operation and Maintenance).</p>	<p>Roles, responsibilities and authority exist and documented at decentralised levels to ensure the delivery and oversight of water services and under relevant management arrangements. The roles are known to the DAs but various actors do not perform their expected roles.</p> <p>There are role conflicts.</p> <p>Roles, responsibility and authority for system construction, operation and maintenance are clearly defined.</p> <p>Roles, responsibility and authority for post-construction support, up-grading, system expansion and replacement are not defined or assigned.</p>	<p>National water policy and institutional structures including MWRWH, CWSA and DAs are adopted to enable the Service Delivery Approach.</p> <p>Service models, service levels and responsibilities for planning and providers are clearly defined.</p> <p>Regulatory framework defined and the responsibility for regulation is backed by law.</p> <p>There is legal status for providers including asset ownership for all who provide through the government structures. The DA has the legal status and owns the assets. For providers such as NGOs, private companies, etc. the legal status and ownership is not clearly defined.</p> <p>CWSA provides limited or inconsistent support in the form of orientation, planning, procurement, contract management, supervision, provision of logistics; follow up</p>	<p>Development partner funding policies supports sector reform processes but not to enable the adoption of a Service Delivery Approach.</p> <p>DPs funding policies do not support O&amp;M, upgrading and replacement (no post-construction support).</p>

	LEVELS OF INTERVENTION				
	AREAS OF PRINCIPLE	WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL	INTERNATIONAL
		<p>Models such as community-private partnerships and PPP exist but does not cover upgrading and replacement for long term sustainability.</p> <p>SDA is not backed by legislation to ensure compliance by all service providers.</p> <p>A broad consultation to build consensus and agree on SDA has not been done.</p>		<p>on O&amp;M activities to the DAs. Assist WATSAN and Water Boards to prepare Facility Management Plans.</p> <p>It provides training and orientation for service providers such as area mechanics, consultants and contractors.</p>	
	Financing	<p>Service providers and consumers do not understand the benefits of full life-cycle costing.</p> <p>There are no clear strategies in place to increase demand for a water service. CWSA has Sector Investment Plan (SIP) that identifies the demand and cost. The SIP does not cover the post construction support. The national budget does not incorporate SIP.</p> <p>There is willingness to commit resources to operational expenditure as evidenced in the Facility Management Plan</p>	<p>Financial planning at all levels does not account for full life-cycle costs and service delivery and is not supported within available budgets (public sector financing, local revenues, tariffs and subsidies).</p>	<p>The concept of full life-cycle costs is not embedded: financial mechanisms, budget processes and disbursement systems do not reflect this approach.</p> <p>Total costs for service delivery are not known. These are normally funded through a combination of national budgets, tariffs and (development partner) subsidies as necessary.</p>	<p>Development-partner funding policies do not support fully life-cycle costs.</p>

	LEVELS OF INTERVENTION			
AREAS OF PRINCIPLE	WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL	INTERNATIONAL
	(FMP). There is reluctance to commit resources to capital maintenance expenditure; the FMP does not include system upgrading and replacement.			
Planning	Customers participate in planning processes and consultation mechanisms.	Planning at decentralised level is not based on Service Delivery Approaches: it is based on infrastructure construction and not O&M, system upgrading and replacement. It is also not based on achieving economies of scale, with the aim of full coverage under appropriate management arrangements.	Planning at all levels is directed by clearly articulated policy choices and priorities based on national water policy and NDPC guidelines.  Planning does not as yet include concerns for IWRM and equitable access.	Development partner policies support decentralised planning processes.
Transparency and accountability	Customers do not have adequate access to information. They are informed about who is accountable for their water service being the Water Boards, WATSAN and the DAs.  Mechanisms are in place to enable them to voice their opinions on performance but these opinions are not always implemented. WATSAN and Water Boards are expected to meet with the communities twice a year.	Instruments such as guidelines and bylaws are not enforced with adequate resources for oversight, monitoring and regulation of water service delivery, including tendering and contracting, as well as accountability to other stakeholders such as customers, providers and civil society.	Oversight, monitoring and regulatory instruments in place to ensure accountability of decentralised government for service delivery as contained in Local Government Act 462. CWSA developed specific regulatory instruments (guidelines) which are not being enforced because they are not backed up by law.  A system is in place to check infrastructure construction, but not post construction activities. Monitoring of Operation and Maintenance (MOM) is in	Development partner funding policies support adoption of transparency and accountability mechanisms at all levels.

	LEVELS OF INTERVENTION				
	AREAS OF PRINCIPLE	WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL	INTERNATIONAL
				place but is not effective.	
Learning and adaptive capacity	Awareness and skills	The service providers (WATSAN, Water Boards) and customers (users) are aware of their roles, rights and obligations, but do not have adequate skills and resources required to provide a sustainable service. The roles they are expected to play require a skill set that service providers do not often have. Refresher courses may be required.	Skills, resources (including supply chains) and information are not adequate at decentralised levels to ensure water governance functions.  The spare parts distributive system is beset with challenges.	Capacity building is a core policy with defined strategies and supported systematically through investment for new investment. CWSA has a capacity building plan but does not include post construction capacity building.	Development partner funding policies support fragmented capacity building at all levels of the water sector.
	Culture of learning and information sharing	Even though some platforms exist, service providers and customers do participate in reflection and debate around water service delivery at local and intermediate levels. The Water Boards and WATSAN are expected to regularly meet with the communities.	There are no support mechanisms to facilitate information gathering for learning and innovation to improve service delivery (including technologies and management arrangements).  The District Monitoring and Evaluation System, a monitoring framework focusing on the infrastructure construction is however being rolled out.	A learning culture is encouraged at the national level on a limited scale but not at the regional and district levels.  At the national level some mechanisms /platforms exist to enable information sharing on sector performance and action research but not adequately or effectively.	Development partner funding policies do not support the development of a learning and innovation capacity in the water sector.

	LEVELS OF INTERVENTION				
	AREAS OF PRINCIPLE	WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL	INTERNATIONAL
Harmonisation and Alignment	Harmonisation and alignment	<p>There is national water policy and CWSA guidelines on hygiene education, project implementation manual, manuals for WSDB and DOM. The guidelines and standards are not backed by law so are not binding on the various actors in sector.</p> <p>Water infrastructure design, technology and management arrangements supported by CSWA adhere to national guidelines (norms, standards and approaches) but those supported by donors and NGOs do not necessarily adhere to national guidelines rather to project specific manuals even though there are common areas.</p>	Development partner funded project work with government structures but with their own modalities and approaches as there is no nationally agreed-upon Service Delivery Approach except for infrastructure delivery.	<p>Development partners are aligned with nationally-led policies.</p> <p>Coordination mechanisms are not in place for feeding development partner funding into the water sector. The SWAP is evolving as a coordination mechanism.</p>	Reciprocal accountability arrangements do not exist between national governments and development partners for rural water service policies and priorities. Some development assistance is channelled through the Ministry of Finance and some development partners do direct funding.
	Coordination		Coordination mechanisms and platforms are in place for coordination at the DA and regional levels but not effective in applying the Service Delivery Approach and creating economies of scale, both for construction of new systems and follow-up support.	<p>Cooperation and integration between national ministries to ensure alignment of water and other sectors' policies is very limited. For instance Ministry of Finance do not really understand how the water sector operates.</p> <p>There is some collaboration between MLGRD and</p>	<p>There is no agreed understanding of the service delivery approach among DPs.</p> <p>There is coordination between development partners through Ghana Water Forum, yearly Mole Conference, water sector group meeting, National Environment and Sanitation Policy Counsel but not centred on</p>

	LEVELS OF INTERVENTION				
	AREAS OF PRINCIPLE	WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL	INTERNATIONAL
				MWRWH on Water and Sanitation.	an agreed Service Delivery Approach.

## ANNEX 2: OUTCOME MATRIX FOR GHANA

TRIPLE-S PRINCIPLES FRAMEWORK	Levels of intervention				
	Areas of Principle	Water service provision	Intermediate	National	International
Service Delivery Approach	Policy, legislation and institutional factors	Service provision is guided by norms and standards within a framework of an agreed-upon SDA.	Institutional capacity for planning for full life-cycle cost and governance mechanisms in pilot districts strengthened and documented to support upscaling ay national level. Roles, responsibility and authority for system construction, operation and maintenance, post-construction support, system up-grading, expansion and replacement are defined.	All stakeholders agree and comply with Ghana WASH (Water, Sanitation and Hygiene) Service Delivery Approach. Government of Ghana WASH institutions take leadership and promote implementation of agreed-upon service delivery approach for the sector. Institutional systems, including structures, roles, authority for WASH service in Ghana re-engineered and positioned to support SDA at all levels. Sector performance assessment framework including monitoring and evaluation of WASH service delivery in place and functional.	Development partner funding policies support adoption of a WASH Service Delivery Approach.
	Financing	Pricing (tariff) of water takes into accounts operational and capital maintenance expenditure.	Annual budgetary allocation made for implementation of SDA and take account of both investment and post-construction cost (including institutional support) including subsidy support from taxes and transfers to balance shortfalls in tariffs.	Sector Investment Plan (SIP) incorporates post-construction cost, system upgrading and replacement and institutional support and integrated into the national budget. Improve predictability of funding to the WASH service delivery.	Development partner funding policies support full life-cycle costs based on sector investment plan.

TRIPLE-S PRINCIPLES FRAMEWORK	Levels of intervention				
	Areas of Principle	Water service provision	Intermediate	National	International
	Planning	The Facility Management Plans integrate system repairs, upgrading and replacement.	Planning at decentralised level is based on Service Delivery Approach and plans take into account investment and post-construction activities including system upgrading and replacement.	Planning at all levels is directed by clearly articulated strategies based on Service Delivery Approach.	Development partners support national plans based on SDA.
	Transparency and accountability	Users have access to information and are informed about who is responsible for WASH service and able to voice their opinion.	Monitoring and regulatory instruments in place to ensure accountability of local water governance institutions (Water Boards, WATSAN, etc.) for WASH service delivery.	Instruments developed and are enforced with adequate resources for oversight, monitoring and regulation of WASH service delivery at level.	Development partner funding policies support development and adoption of transparency and accountability mechanisms at all levels.
Learning and adaptive capacity	Awareness and skills	Service providers have adequate skills and resources required to provide sustainable service.	Skills, resources (including supply chains) and information are available in a coordinated manner at decentralised levels to ensure water governance functions, and that it provides long-term support to service providers.	Capacity building is coordinated nationally and is supported through investment.	Development partner funding policies support upscaling of learning and innovation.
	Culture of learning and information sharing	Sustainable platforms established for information gathering and sharing about WASH service delivery between service providers (WATSAN, Water Boards) and CBOs (Community-based Organisations) and end users.	Sustainable platforms established for information gathering and sharing about SDA, models, standards and mandates.	Sustained acceptance and positive behaviour towards the WASH service delivery approach and models by implementers through established mechanism for information sharing, sector performance and action research.	Development partner funding policies support the development of a learning and innovation in the water sector.

TRIPLE-S PRINCIPLES FRAMEWORK	Levels of intervention				
	Areas of Principle	Water service provision	Intermediate	National	International
Harmonisation and Alignment	Harmonisation and alignment	Water infrastructure design, technology and management arrangements adhere to national guidelines (norms, standards and approach).	DA WASH sector investment planning process incorporates mechanisms for harmonisation and alignment of all investment in the district.	Sector agencies Investment Plans incorporate sustainability issues and procedures and implementation mechanism for SWAp.	Development partners are aligned with nationally-led programmes.
	Coordination	Mechanism for coordinating activities of WATSAN and Water Boards established and are functional.	Well-functioning coordinating mechanism for SDA including support for construction of new system and follow up.	Cooperation and integration between national ministries to ensure alignment of WASH and other sector policies.	There is understanding and coordination of the service delivery approach among development partners.

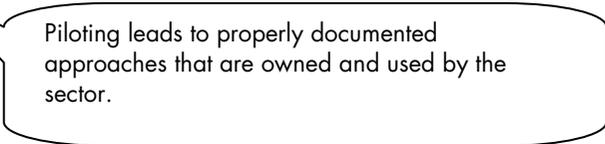
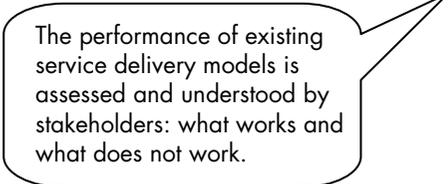
# ANNEX 3: STRATEGIES, ACTIONS AND OUTCOMES FOR GHANA

	AREAS OF PRINCIPLE	LEVELS OF INTERVENTION		
		WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL
<p>Service Delivery Approach</p> <p>Sector is focused on providing water services (not projects). Clearly defined and nationally approved models for delivering water services.</p>	<p>Policy, legislation and institutional factors</p>	<p>Review of existing rural water supply operational document to include SDA perspective: National Community Water and Sanitation Program (NWSP); Programme Implementation Manual; standards and guidelines for small town piped schemes and point source schemes.</p> <p>Developing framework for tracking and assessing water service delivery including functionality and sustainability indicators.</p> <p>Sustainability check and functionality mapping.</p>	<p>Develop and test decentralised framework for water service delivery under the Community-based Management model</p> <p>A review of the water delivery project cycle; A district operational manual/guide; capital maintenance financing mechanism; Framework for assessing functionality and sustainability and response mechanism; framework for monitoring and tracking of service including reporting template for assessment of service delivery performance.</p> <p>The basic (innovative) elements of the SDA are developed and tested at regional and district level.</p>	<p>Awareness creation and orientation on SDA at national level (government, development partners and NGOs).</p> <p>Increased awareness and sector buy-in to support piloting of SDA in selected regions.</p> <p>Relevant GoG water institutions take leadership and promote implementation of agreed SDA for the sector.</p> <p>Sector is focused on providing water services, not projects.</p> <p>Dialogue on functioning and dynamics of policy and practice in water service delivery.</p> <p>The functioning and dynamics of policy and practice are understood and steps being taken to bridge the gap between policy and practice.</p>

	LEVELS OF INTERVENTION			
	AREAS OF PRINCIPLE	WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL
	Financing	Study innovative financing options for post construction support.	Facilitate dialogue with DAs to ensure annual budgetary allocation for WASH implementation take account of both investment and post construction cost.	Provide technical support to CWSA to incorporate post construction cost, system upgrading and replacement and institutional support and integrated into the sector investment plan as part of the sector strategic plan.
	Planning	Provide technical backstopping to DAs to assist water and sanitation management committees to review facility management plans to include system repairs, upgrading and replacement.	Provide technical support to district authorities to integrate post-construction activities, including system upgrading and replacement in the District Water and Sanitation Plans.	Support development of a Sector Strategic Development Plan that incorporates post construction activities, including system upgrading and replacement, research and knowledge management. <div style="border: 1px solid black; border-radius: 15px; padding: 10px; margin-top: 10px;"> <p>The basic (innovative) elements of the SDA are developed and tested at regional and district level.</p> <p>The learning and adaptive capacity of regions, district assemblies /community management structures are increased.</p> </div>

	LEVELS OF INTERVENTION			
	AREAS OF PRINCIPLE	WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL
	Transparency and accountability	Use the learning platform to provide information to users about who is responsible for WASH services, their rights and obligations and their ability to voice their opinion on accountability of water service provision.	Facilitate multi-stakeholder learning alliance platform to clarify and strengthen the function of local government accountability and oversight.  Facilitate the establishment of framework for monitoring water services to ensure accountability of local water governance institutions (Water Boards, WATSAN, etc.) for WASH service delivery.	Support processes for the establishment of a national sector information system.
Learning and adaptive capacity	Awareness and skills		Facilitate the establishment of Learning Alliances and knowledge management processes in three regions and districts.  Strengthen the capacity of selected districts and regions to undertake research, document learn and share innovations.	Policy dialogue and training of water professionals to adopt a service delivery approach and translate lessons from the pilots' projects into a framework for service delivery.  Facilitating the establishment of a responsive mechanism for research on sustainable service delivery established within the Community Water and Sanitation Agency.  Collect, upload, analyse & share results, using the SENSEMAKER software.  Support executive decision making on WASH through a higher level government of Ghana sector learning platform.

Sector agencies are learning focused and adapt policy and practice on the basis of experience and results

	AREAS OF PRINCIPLE	LEVELS OF INTERVENTION		
		WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL
Culture of learning and information sharing	Documentation of past experiences in rural water supply and with Service Delivery Models: what works and what does not work.	Map processes and steps for developing an SDA to inform upscale.		
Harmonisation and alignment	 <p>Support the establishment of mechanism that will ensure adherence to national guidelines for infrastructure design, technology and management arrangements.</p>	Support the development of District Water and Sanitation Plans that incorporate mechanisms for harmonisation and alignment of all WASH investment in the district.	<p>Support the development of a Sector Strategic Development Plan that incorporates sustainability issues and procedures and implementation mechanism for SWAp.</p> 	

## ANNEX 4: SITUATIONAL ANALYSIS MATRIX FOR UGANDA

TRIPLE-S PRINCIPLES FRAMEWORK	LEVELS OF INTERVENTION			
	PRINCIPLES	WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL
Service Delivery Approach	Policy, legislation and institutional	Users follow the main Service Delivery Models, as specified in the policy framework. In addition, there is an important (though little specified) investment by individual users, and to a lesser extent communities, in water through self-supply approaches.	Despite the existence of a clear policy and institutional framework, there is a gap at district level both in terms of understanding of and commitment to these roles at district level. Various variations to the CBM and private Service Delivery Models are emerging, though at pilot scale, such as associations of Water User Associations (WUAs) and private borehole operators.	<p>There is an elaborate policy framework defining and specifying Service Delivery Models for rural areas, Rural Growth Centres (RGCs) and urban areas, each of them with different modalities (CBM, private operators, National Water and Sewerage Corporation). These are largely, though not exclusively, linked to technology options.</p> <p>There is a corresponding, government-driven programme supporting the supply of water according to these SDMs.</p> <p>There is recognition that the CBM model has a number of limitations, but it is considered the only alternative for rural communities. It is recognised that efforts should go into 'professionalising' CBM.</p> <p>Likewise, decentralisation is still seen as beneficial, even though challenges remain.</p> <p>Sustainability (functionality) is rising on the agenda, reflected in the sector</p>

TRIPLE-S PRINCIPLES FRAMEWORK	LEVELS OF INTERVENTION			
	PRINCIPLES	WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL
				<p>policies (in the golden indicators) and the current undertaking to improve it. Yet, respondents feel that the main sector bias is towards increasing coverage through provision of new systems, not keeping existing ones functional.</p> <p>The main onus for sustainability is put on the community, not on what government and others can do to support it.</p> <p>One SDM model which is little elaborated on in policies and corresponding programme, is self-supply, which could be better recognised, regulated and supported.</p>
	<p>Financing</p>	<p>Users are expected to contribute to capital expenditure (CapEx). However, this may delay the annual planning cycle and is therefore often ignored. Besides, different organisations (particularly NGOs) require different levels of contribution to CapEx. There is little payment by users for operational expenditure (OpEx) in rural areas. In small towns and RGC the</p>	<p>Conditional grants are the main funding stream towards districts. There is little to no own investment by districts from their own budgets. District water plans are biased towards new investments and some major rehabilitation. Some NGOs at times are 'spoon-feeding' or 'bailing out' communities that have not covered OpEx and whose facilities had broken down. This undermines future OpEx payments, but also has hampered some spare-part</p>	<p>The sector is guided by an elaborate financial framework, regulating the pooling and disbursement of funds, and their use for various types of activities. The formula for prioritising disbursement of funds favours those districts which have below average coverage, thereby attempting to scale up in off-track areas. The formula also takes into account relatively higher unit costs in water stressed areas. However, not all parts of the full life-cycle costs are clearly specified,</p>

TRIPLE-S PRINCIPLES FRAMEWORK	LEVELS OF INTERVENTION			
	PRINCIPLES	WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL
		<p>payment of OpEx fees is satisfactory, as an attitude change is happening towards payment for service</p> <p>Investments by users in CapEx under self-supply approaches remain unaccounted for, and hence hidden in sector investment overviews.</p> <p>There is feeling that there is a dependency syndrome among communities, awaiting for the government (or NGOs) to provide services.</p> <p>Small towns will now have regulated tariffs and a business planning tool for operators in these areas.</p> <p>In small towns there are experiences with clustering to achieve economies of scale and efficiency in use of resources.</p>	<p>supply chain efforts.</p> <p>Various models for setting up supply chains have failed as the market for this is limited.</p> <p>Local governments' own contribution to the water budget is minimal and it nearly exclusively relies on the conditional grant.</p>	<p>particularly the costs related to rehabilitation and major repairs, and Capital Maintenance Expenditure (CapManEx). The borderline is vague.</p> <p>In small towns this is more clearly defined with government still being responsible for CapManEx.</p> <p>There is doubt whether the break-down of the formula for district spending (between investments in new systems, rehabilitation and O&amp;M and operational costs), and whether it allows for adequately covering costs related to sustainability. It is a 'Catch 22' situation whether to invest in new facilities or maintaining existing ones.</p> <p>Overall funding to the sector is declining, as a result of sector finance ceilings. There is a feeling that the sector is not making its case good enough towards the Ministry of Finance, and there is need for clarity on return on investment and unit costs in the sector.</p> <p>The total budget for water is highly dependent on donor contributions.</p>
	Planning	Planning cycles are short, leaving little time for demand	Planning and corresponding financing procedures are well elaborated on in	There are clear policy choices and priorities in place which guide districts

TRIPLE-S PRINCIPLES FRAMEWORK	LEVELS OF INTERVENTION			
	PRINCIPLES	WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL
		<p>creation and community mobilisation, resulting in limited effective community participation in planning. This results in poor ownership and lays a weak basis for sustainability.</p>	<p>manuals and guidelines. The main planning instrument is the annual planning. There are no longer-term plans. This leads to annual planning activities being repetitive. There is tension between the technical (technocratic) planning procedures, as specified in the annual planning cycle, and political priority setting. Water resources management issues are poorly considered in planning procedures. The short cycle of planning, in combination with poor control, often leads to poor quality construction.</p>	<p>in their planning. These are captured in sector manuals and guidelines. Frameworks for (Integrated) Water Resources Management (IWRM) are in the first stages of development and there are no formal ways of including water resources issues in planning. Yet, a commonly-heard cause of failure of boreholes is that they dry up during the dry season. There is an adequate set of well-described and regulated technology options which can be used for rural water supply. However, in many parts of the country, the real choice is limited to one or two options, and some areas face difficulties (for instance. around water quality of swamp-fed systems), and areas where the lowest-cost options can be used have been exhausted. (Some respondents feel that where possible GFS should be prioritised over boreholes).</p>
	Transparency and Accountability	<p>There is little trust of users in water committees. At pilot level, there have been successful experiences in users demanding accountability from service providers and local</p>	<p>Information systems exist at decentralised level for monitoring services, but these contain little information on sustainability and performance districts have their own data collection tools for information</p>	<p>A system is in place in which districts report on their performance according to the golden indicators. Financial disbursements are linked to performance. In addition, spot checks are carried out to validate this</p>

TRIPLE-S PRINCIPLES FRAMEWORK	LEVELS OF INTERVENTION			
	PRINCIPLES	WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL
		<p>authorities. These are not available at scale yet. The gap at sub-county level limits accountability in many areas.</p> <p>Private operators in small towns have double accountability through a performance and management contract.</p>	<p>management, leading to duplication and lack of commonality</p> <p>The gap at sub-county level, makes it difficult for the district to obtain updated field information and monitoring at field level remains limited. This means there is little up to date information on the status of water points.</p> <p>Consumer interests are represented to a limited extent at district level.</p> <p>A basic system for performance-based management is in place.</p>	<p>information. Yet, there are doubts about the reliability of reported performance.</p>
Learning and self-sustaining capacity	Awareness and skills	<p>There is a general feeling that users have little ownership of facilities, and they easily fall back on traditional resources.</p>	<p>There is limited technical and process knowledge on water supply by local politicians. Councillors can either have a very constructive or disturbing role, depending on the individual skills and interest of the councillor. There is no common basis of sector knowledge among them.</p> <p>Technical capacity of districts is limited in certain parts of the country, which is aggravated by the contractor-driven approach.</p> <p>There is limited back-stopping support from the district down to communities.</p> <p>For piped systems, umbrella</p>	<p>There is a tiered system of support to districts from national, through Technical Support Units (TSUs) down to district level. However, this system stops before the sub-county level. This system is well appreciated.</p>

TRIPLE-S PRINCIPLES FRAMEWORK	LEVELS OF INTERVENTION			
	PRINCIPLES	WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL
			<p>organisations exist for sharing and pooling technical expertise. Some other mechanisms for post-construction support (retraining committee members, monitoring) have come up, especially from faith-based organisations and local institutions (churches, mosques, schools). The continued formation of new districts means that higher demands for additional capacity is made, which cannot readily be met. Besides, it increases the overheads.</p>	
	Culture of learning and information sharing	There is due attention to capacity building during project implementation. But there are few opportunities for refresher training or training of new members after project completion.	DWSSC are the main platform for coordination, learning and sharing at district level. Performance of these varies across the country.	There are various platforms for learning and information sharing at national level. Some of these effectively reflect on performance to take corrective action. Others perform less adequately.
Harmonisation and Alignment	Harmonisation and alignment		<p>Districts are expected to follow the main district implementation manual. It is not clear to what extent these are actually followed. NGOs only follow these procedures manuals to some extent. Besides, they are reported to break the rule of not 'spoon-feeding' the communities with spare parts.</p>	<p>The Ministry of Water and Environment through DWD has harmonised and aligned national water service delivery policies, strategies, planning processes, priorities and financial arrangements to which most, though not all Development Partners have aligned themselves. There is scope for activities and projects outside the SWAp framework,</p>

TRIPLE-S PRINCIPLES FRAMEWORK	LEVELS OF INTERVENTION			
	PRINCIPLES	WATER SERVICE PROVISION	INTERMEDIATE	NATIONAL
				<p>which is used by some of the sector players.</p> <p>UWASNET acts as network which tries to coordinate efforts by NGOs and align these to national priorities and procedures. Yet, not all NGOs are following this.</p>
	Coordination	<p>The sub-county water and sanitation coordination committee are the main platform where communities coordinate with authorities. However, most are non-functional.</p>	<p>DWSSC are the main platform for coordination, learning and sharing at district level. Performance of these varies across the country.</p>	<p>Through the SWAp the key government institutions and development partners have ensured coordination on water policies for effective service delivery. Coordination between MWE/DWD and other government departments (finance, etc.).</p>

