Policy, Strategy and Planning
Policy making in the national context
WASH Enabling Environment: Policy and Strategy

- Learning Objectives
- Definition
- Outcomes
- Elements of policy making: the process, the content, the operationalization
- Gaps in policy implementation and key aspects to consider
- From policy to implementation: Strategies and/or National Plans
- Conclusion
- Exercises
Learning Objectives

By the end of this session, Participants will be able to:

- Understand the **importance** of policy making to support the enabling environment
- Describe **key aspects** to consider for successful policy making
- Identify **actions and steps** to strengthen the enabling environment
Definitions

Policy is defined as the set of procedures, rules, and allocation mechanisms that provide the basis for programs and services; policies set the priorities and often allocate resources for implementation; policies are complemented with laws and regulations, strategies and long term plans

- Policies are reflected in laws and regulations
- Laws generally provide the overall framework, and regulations/decrees provide the more detailed guidance
- National and subnational policies must be considered, especially in large countries and those that are decentralized
- Strategies and national Plans usually follow
Context: Structural and Institutional Factors

![Diagram showing structural and institutional factors in the WASH sector]

- **Structural Factors**
  - Demography
  - Society and Culture
  - Geography
  - History
  - Economy

- **Institutional Factors**
  - Decentralisation
  - Public Finance Management
  - Social Norms
  - Others

- **Governance Functions in WASH Sector**
  - Sector Policy/Strategy
  - Institutional Arrangements
  - Sector Financing
  - Planning, Monitoring, and Review
  - Capacity Development

- **Political Leadership**

*Policy and Strategy*
Key aspects in a policy

• The process: how was the policy developed?
• The content: what aspects does the policy address?
• The aspects for operationalization:
  • Feasibility of implementation: capacity & resources
  • Behaviours & interests!
Policy formulation process

**Reasons for GAPS**

- Lack of national control over policy formulation
- External pressure to adopt blue print policies not adapted to the context
- Lack of high level political commitment
- Lack of participation in policy formulation
- Policy capture by elites or influential groups

**KEY ASPECTS TO CONSIDER**

- Inclusive process
- National ownership
- Evidence-based policy making (collect data to inform decisions)

*And Don’t rush!!!*
Policy implementation process

**Reasons for GAPS**
- Mismatch between the responsibilities and resources
- Time needed to build capacity not adequately considered
- Lack of legitimacy of institutions that implement policy
- Misalignment between water policies and informal water institutions
- Lack of capacity to monitor and enforce agreed norms
- No channels to signal users demands or express dissatisfaction

**KEY ASPECTS TO CONSIDER**
- Dissemination of the content of the policy to all levels
- Capacity development
- Monitoring mechanisms
- Check resources versus responsibility allocated!
Behaviour of stakeholders

Reasons for GAPS

• Monopolistic position of providers
• ‘Third party opportunism’
• Quality of the representation of stakeholders
• Capture of stakeholder representation by specific interest groups
• Corruption

KEY ASPECTS TO CONSIDER

• Regulation
• Mechanisms for oversight of decision-making and practices
• Social accountability mechanisms
• Integrity
Overall country context

Reasons for GAPS

• Political Instability, protracted crisis and insecurity
• Governments lack of capacity to conduct basic functions
• Lack of accountability in the public sector
• Poor top down discipline in government
• No practice of democratic culture, including debate, consultation and participation

KEY ASPECTS TO CONSIDER

• Long term engagement
• Support capacity development
• Step wise approach to support government in gradually assuming responsibilities
• Humanitarian-Development continuum
Basics of a policy

- Policies should include the overarching goals that are intended to be achieved with it.
- Policies need to be supplemented by clear strategies, plans, & legislation to make it operational.
- The policy framework should also be able to clearly delineate how the core governance functions are undertaken: Coordination, Planning, etc...
- Expected outcomes and procedures to follow up must be put in place.
From policy to implementation: Strategies and National Plans

• Time frame and political agenda – The kind of commitments are in line with the political agenda and other commitments by the country.

• Realistic targets: targets need to match with a reasonable expectation of funding and capacities to implement them.

• Intermediate milestones to allow for checking progress (and readapt the strategies in case needed)

• there is a monitoring plan foreseen with realist indicators and M&E mechanism (ability to monitor / sufficient resources for the monitoring)
From policy to implementation: Strategies and National Plans (II)

- There is sufficient guidance on how to make the plan operational: Include operational guidance if needed, and risk and mitigation measures
- Institutional anchoring and implementation mechanisms should be clear
- Capacity development is part of the National plan/Strategy
- Basic attributes: respect of human rights approach, Gender, Participation, availability of different service delivery models, Efficiency, Strengthening of accountability, etc.
Conclusion

Balancing the quality of the process & the outcomes desired with the national context and the current situation!!

<table>
<thead>
<tr>
<th>WASH Governance Functions</th>
<th>Quality of the process</th>
<th>Outcomes desired</th>
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<tbody>
<tr>
<td>• Policy</td>
<td>• Inclusiveness</td>
<td>• Universality of service</td>
</tr>
<tr>
<td>• Planning</td>
<td>• Participation</td>
<td>• Sustainability</td>
</tr>
<tr>
<td>• Coordination</td>
<td>• Transparency</td>
<td>• Human rights based</td>
</tr>
<tr>
<td>• Budgeting</td>
<td>• Accountability</td>
<td>• Gender Equity</td>
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<tr>
<td>• Financing</td>
<td>• Regular monitoring</td>
<td>• Resilience</td>
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<tr>
<td>• Monitoring and Learning</td>
<td></td>
<td></td>
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<tr>
<td>• Regulation &amp; Accountability</td>
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<tr>
<td>• Capacity Development</td>
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<td>• Service delivery arrangements</td>
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## WASHBAT criteria: Policy & Strategy

<table>
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<tr>
<th>PRIORITY: Urban water policy and legal framework exists</th>
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<tr>
<td>Policy is informed by evidence (e.g. coverage data, service quality, available financing, population impacts of poor services and equity issues)</td>
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<td>The policy and legal framework have a set of supporting documents and implementing decrees that provide clarity of roles and responsibilities, service norms and standards</td>
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<td>Urban water policy recognises the realisation of the human right to water, which is based in legislation and covering affordability, accessibility, availability, quality and acceptability</td>
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<td>Urban water policy includes coverage and service targets, including those aligned with 'safely managed' drinking-water services (SDG target 6.1)</td>
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From Water Regional Urban WASHBAT sub-sector
### WASHBAT criteria: Policy & Strategy

<table>
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<th>Provision</th>
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<tr>
<td>The policy and legal framework include provisions for financial resource allocation and priority setting</td>
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<td>The policy and legal framework include provisions for equitable services, clearly stating the groups to be targeted</td>
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<tr>
<td>The policy and legal framework include provisions for operational and financial sustainability of services</td>
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<tr>
<td>The policy and legal framework include provisions for environmental sustainability of services, including climate resilient development</td>
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<tr>
<td>The policy and legal framework include provisions for accountability mechanisms between users, service providers and government</td>
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<td>Urban water policy and legal framework are implemented</td>
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Discussion

- Implementing policies in fragile/vulnerable contexts...links to humanitarian: how can we approach it?

Exercise 1: Costa Playa has faced severe droughts in the last years, that had triggered national emergency, but also suffers from an overall low level of access to W&S services. WASH Cluster group works well, but the long term national plans and policies move on very slowly. How can we improve the coordination of both long term and short term objectives?

- How can we manage changes in political situation without "restarting" again?

Exercise 2: In Puerto Playa, there are general elections and the president and MPs are likely to change. Propose activities on how to keep the recently approved water Act “relevant” for the new government