Session Objectives

By the end of this session, you will understand
• The importance, and various aspects of sector monitoring
• The framework for monitoring sustainability
• What are Joint Sector Reviews
• What is knowledge management
• Various ways of generating knowledge
  • Surveys
  • Evaluation
  • Research
Introduction
Reminder

Monitoring and learning are central to the SWA building blocks and collaborative behaviours

- Building Block: Sector planning, monitoring and review; multi-stakeholder platforms and mechanisms for sector dialogue
- Collaborative behaviour: One information and mutual accountability platform

The appropriate use of evidence via good knowledge management is fundamental to UNICEF’s WASH Strategy

Data, monitoring and accountability one of systemic aspects to be strengthened (SDG17: Means of Implementation)
Evidence

Known by many names »»»

Purposes are to know:
• Where you are
• Where you want to go
• How you get there

Referring to the Theory of Change, it concerns:
• Inputs: finances, human resources, infrastructure, skills
• Activities: construction, training, behaviour change
• Outputs: services provided
• Outcomes and impacts: socio-economic benefits to the population
Sector Monitoring
# SDG WASH Service Ladders

## Water

<table>
<thead>
<tr>
<th>MDG/SDG</th>
<th>Service ladder</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SDG6.1</td>
<td>Safely managed</td>
<td>Improved facility located on premises, available when needed, and free from</td>
</tr>
<tr>
<td></td>
<td>Basic water</td>
<td>Improved facility within 30 minutes round trip collection time</td>
</tr>
<tr>
<td></td>
<td>Unimproved water</td>
<td>Facility which does not protect against contamination</td>
</tr>
<tr>
<td></td>
<td>No service</td>
<td>Surface water</td>
</tr>
</tbody>
</table>

## Sanitation

<table>
<thead>
<tr>
<th>MDG/SDG</th>
<th>Service ladder</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SDG6.2</td>
<td>Safely managed</td>
<td>Private improved facility where faecal wastes are safely disposed on site</td>
</tr>
<tr>
<td></td>
<td>Basic sanitation</td>
<td>Private improved facility which separates excreta from human contact</td>
</tr>
<tr>
<td></td>
<td>Shared sanitation</td>
<td>Improved facility shared with other households</td>
</tr>
<tr>
<td></td>
<td>Unimproved sanitation</td>
<td>Unimproved facility does not protect against contamination</td>
</tr>
<tr>
<td></td>
<td>No service</td>
<td>Open defecation</td>
</tr>
</tbody>
</table>
Sanitation Management Chain
Global Tools for Monitoring the EE

GLAAS Survey
(next round mid-2018)

Section A: Governance
This section of the survey examines laws, policies, and plans supporting the provision of water and sanitation services. The section also examines the existence of regulatory, legal and institutional frameworks, including coordination mechanisms, roles and responsibilities of government and service providers; levels of stakeholder participation; and mechanisms to ensure accountability.

NATIONAL LAWS

A1. Human rights to water and sanitation: Does the constitution or other legislation recognize water and sanitation as human rights?

<table>
<thead>
<tr>
<th>Water</th>
<th>Sanitation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>No</td>
<td>No</td>
</tr>
</tbody>
</table>

b. If yes, please provide the date (month/year) that such recognition in law occurred.

c. If yes, please provide title of the law and text, or link of the relevant provisions:

WASH BAT – criteria scoring

<table>
<thead>
<tr>
<th>Sector Policy &amp; Strategy</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Urban sanitation policy and legal framework exists</td>
<td>Partial progress</td>
</tr>
<tr>
<td>Policy is informed by evidence (e.g. capacity data, service quality, available financing, population impacts of poor services and water-related diseases)</td>
<td>Good progress</td>
</tr>
<tr>
<td>The policy and legal framework have a set of supporting documents and implementing decree that provides clarity of roles and responsibilities, service norms and standards</td>
<td>No progress</td>
</tr>
<tr>
<td>Urban sanitation policy recognizes the realization of the human right to water, which is based in legislation and covering affordability, accessibility, availability, quality, and consistency</td>
<td>Admitted</td>
</tr>
<tr>
<td>Urban sanitation policy includes coverage and service targets, including those aligned with 'safely managed' sanitation services (SDG target 6.2)</td>
<td>No progress</td>
</tr>
<tr>
<td>The policy and legal framework includes provisions for financial resource allocation and priority setting</td>
<td>No progress</td>
</tr>
<tr>
<td>Urban sanitation policy includes access to basic sanitation services, wastewater services, fecal sludge collection and treatment, and safe use of treated wastewater and fecal sludge</td>
<td>Partial progress</td>
</tr>
</tbody>
</table>
National Approaches

• Service Standards or Regulations – performance of piped water providers; drinking water safety; septic tanks; distance to well; population per well

• Indicator sets for national review – e.g. Uganda’s golden indicators

• Data Sources & Data Collection Mechanisms
  • Administrative data system – e.g. India’s ODF reporting
  • Surveys – various national surveys to choose from
  • Water point mapping
  • Utility reporting

• Data analysis (e.g. trend analysis, target setting)

• Reporting process e.g. Ethiopia’s ‘one plan, one budget, one report’
Sustainability Monitoring
Sustainability Framework

- Bottleneck analysis
- Sustainability compact
- Sustainability check
- Action Plan
- Management Response

M&E, Learning – UNICEF for every child
Sustainability Checks - Definition

A Sustainability Check is:

• a study to assess the sustainability of WASH facilities, services, and behaviours

• with a national, subnational or programme based scope.

• It provides an assessment of the sustainability of services in the area of study,

• and looks at conditions for its future sustainability.
Indicators and Factors for Sustainability

Core service level indicators:
• quantitative or qualitative metrics
• represent a state of actual performance of the facility or service.
• strongly suggested that core service indicators should be adhered to, and part of every Sustainability Check.
Indicators and Factors for Sustainability

Factors:
• elements contributing to a result or condition (sustainability).
• can be selected and tailor-made, based on context and scope.
• The list provided is not exhaustive,
• additional factors could be added to as necessary.
Joint Sector Reviews
What is a Joint Sector Review?

1. Periodic assessment of performance within a sector by government, development partners, and civil society

2. JSR processes:
   - Provide a reliable overview of sector status, finance, institutions, implementation, challenges, gaps;
   - Bring sector stakeholders together to review performance and build consensus;
   - Contribute towards driving reforms and improving sector governance

3. Ideally JSR is an integral part of the planning and reporting cycle
Most JSR Experience is in sub-Saharan Africa

Only few countries have conducted annual JSRs over an extended period of time
What Defines a Joint Sector Review?

- No blueprint: JSRs evolve over time
- A process, not a one-off event
- Preparations and follow-up are as important as the meeting itself

Participation
1. Government leadership
2. Major stakeholders: political, technical, financiers, civil society, private sector, learning

Frequency
1. Typically annual
2. No. of days can vary
Core Elements of a Joint Sector Review

1. **Evidence-building** through compiling/analysing statistics and conduct of studies in the run-up to the JSR meeting

2. Documents **finalized and published** online, preferably by government

3. **Inform** public through newspaper articles, posters, radio/television programs, interviews and social media

4. **Comprehensive agenda** covering a range of issues and allowing time for voices to be heard, even disagreement

5. Specific **recommendations** and right number of **priority items** (SMART), with **responsibilities** assigned

6. Monitoring actions and commitments from **previous JSR**

7. Regular **review** of the JSR scope, how it is organized and its relevance, effectiveness and impact

*WASH BAT and JSR can be linked & planned together*
Planning for a Joint Sector Review

1. Key documentation
2. Terms of references for studies and evidence gathering
3. Human resources
4. Financial resources

5. Participants
6. Joint planning and information sharing prior to JSR meetings to build ownership
7. Learning exchanges (e.g. S-S collaboration); field visit
8. Dates: synchronized with planning and budgeting?
Knowledge Management
**KM Definition and Theory of Change**

UNICEF WASH has defined knowledge management as: 

"...a management activity that seeks to enhance the organisation, integration, sharing and delivery of knowledge. There are three major elements of knowledge management: knowledge, tools and systems"
Four Pillars of the UNICEF KM Strategy

- Training available
- Training gaps
- Webinars
- Agora
- e-resources, MOOC
- F2F training
- WASHnet

- Knowledge Domains
  - Bulletin
  - Yammer
  - SharePoint
  - Public site
  - OpEds
  - Distribution lists
  - Social media
  - Events

- KP inventory
- Knowledge gaps
- Peer review
- Research method guidance
- TOR templates
- Expert database
- Peer support

- Template documents
- Author guidelines
- QA process

Capacity Building

Generating Knowledge

Incentives, Continuous Monitoring, Learning & Improving

Dissemination, Communication, Advocacy

Customizing Knowledge
Some Key Elements

How to build the key skills and knowledge? And what are the major skill gaps?

What are the events digital platforms, and tools for sharing sector knowledge?

What knowledge exists and what are the significant knowledge gaps to fill?

How to ensure the sector knowledge is in usable format for the key target audiences?

Capacity Building

Generating Knowledge

Dissemination, Communication, Advocacy

Customizing Knowledge

Incentives, Continuous Monitoring, Learning & Improving
Evidence Generation
Evaluation

**Definition** – The systematic assessment of projects, programmes, policies and/or strategies to determine their worth and merit – based on agreed criteria and benchmarks.

**Types:**
1. Formative evaluation – to improve programme performance
2. Meta-evaluation – aggregate results across several evaluations
3. Summative evaluation – to determine extent to which results achieved
Research

**Definition** – Research is the systematic process of the collection and analysis of data and information, in order to generate new knowledge, to answer a specific question or to test a hypothesis. The methodology should be systematic and documented well enough for scrutiny and replication.

**Types:**
1. Theoretical Research – e.g. econometric model predicting WASH behaviour
2. Operational research – e.g. what is the most effective WASH intervention?
3. Methodological research – e.g. how do we best evaluate health impacts?
Studies (Data)

**Definition:** Studies are initiatives designed to establish current knowledge on a specific topic. These are usually descriptive in nature.

**Types:**
1. Research informing – to inform subsequent research (e.g. burden of poor WASH)
2. Programme informing – to inform programmatic interventions (e.g. service coverage and quality)
3. Evaluation informing – to inform subsequent evaluations (e.g. baseline)
### WASH BAT Criteria

**Monitoring, Review and Learning**

<table>
<thead>
<tr>
<th>Priority Criteria</th>
<th>Government-led monitoring system on rural water is in place</th>
</tr>
</thead>
<tbody>
<tr>
<td>Criteria</td>
<td></td>
</tr>
<tr>
<td>✓ Established monitoring feedback system(s) to improve decision making across different levels</td>
<td>gloas</td>
</tr>
<tr>
<td>✓ Annual joint sector review (JSR), or similar mechanism, regularly assesses progress against targets and sets priority activities for following year(s)</td>
<td>gloas</td>
</tr>
<tr>
<td>✓ Commonly adhered to set of indicators are monitored over time, reflecting relevant aspects of service delivery (functionality, hours of service, affordability, quality, quantity, cost effectiveness) and the type of service providers (e.g. formal, informal)</td>
<td>gloas</td>
</tr>
<tr>
<td>✓ Coverage of specific population sub-groups is monitored to track progress of vulnerable populations and feeds into decision making</td>
<td>gloas</td>
</tr>
<tr>
<td>✓ Service providers report the results of their internal monitoring against required service standards to the regulatory authority and reports trigger timely corrective action</td>
<td>gloas</td>
</tr>
<tr>
<td>✓ The performance of formal service providers is made public, including the results of customer satisfaction information</td>
<td>gloas</td>
</tr>
<tr>
<td>✓ Established sector learning processes are used by stakeholders, based on a mix of evaluations, research efforts, and knowledge management approaches</td>
<td></td>
</tr>
</tbody>
</table>
Group Work

- List the mechanisms for monitoring, review and learning (KM) in your country
- What is the effectiveness of these? How well do they function?
- What is the score against the WASH BAT criteria for monitoring, evaluation and learning?
- What ideas for improving sector monitoring have you learned today that might be relevant for your country?
Thank You