



IRC

A baseline of the strength of the WASH system in Ghana

November 2018

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Acronyms and abbreviations

BaSIS	Basic Sanitation Information System
CLTS	Community Led Total Sanitation
CSO	Community Service Organisation
CWSA	Community Water and Sanitation Agency
DWD	District Works Department
EHSD	Environmental Health and Sanitation Directorate
JMP	Joint Monitoring Programme
MMDA	Metropolitan, Municipal and District Assembly
MSWR	Ministry of Sanitation and Water Resources
NDPC	National Development Planning Commission
NESSAP	National Environmental Sanitation Strategy and Action Plan
SDG	Sustainable Development Goal
SDM	Service delivery model
SHEP	School Health Education Programme
WASH	Water, sanitation and hygiene

Acknowledgements

This report was prepared by IRC Ghana. We acknowledge partners in the district, Asutifi North District Assembly and at national level government, NGOs and other stakeholders who were part of the series of consultations.

Executive summary

The IRC Ghana programme contributes to a vision of strong national systems at district and national level that deliver and maintain universal access to water, sanitation and hygiene, as well as addresses other water-related SDG 6 targets.

We partner with the Ministry of Sanitation and Water Resources and Asutifi North District to build WASH systems at district and national level. By establishing change hubs and working in partnership with local government and NGOs, we are working towards WASH services for everyone.

The IRC Ghana country programme established the baseline for one focus district, Asutifi North in the Brong Ahafo central region, and at the national level using a combination of consultations with sector stakeholders, existing sector data, and assessments around the building blocks and QIS ladders to better understand the strengths and weaknesses of the current local systems and service levels at district level and the overall performance at national level.

These assessments and consultations form a critical input in determining the baseline situation of WASH systems in Ghana. At district level, data was collected through the Hilton Grantee partnership and we used the Joint Monitoring Programme (JMP) and other national reports as the main data sources for national indicators. An extensive participatory process was deployed towards developing a master plan for achieving full WASH coverage in the Asutifi North District by 2030. At the national level, the WASH system building blocks were jointly assessed with key actors in the sector and areas were identified for collaboration and alignment.

The baseline report reflects on 2017 baseline data on political and financial commitment, strong partnerships, strong service delivery models, building blocks, strong capacity and WASH service levels. From there our partners and we can develop, change and scale our systems approach in Ghana.

IRC Ghana has learned that strengthening country systems and developing the capacity of government officials to lead is essential to embed and scale up credible solutions. Local governments prioritise WASH when they have the right skills, can create their own solutions and when their efforts are recognised.

1 Introduction

This document provides the results of the assessment of the strength of the WASH system in Ghana and forms the basis for IRC’s Ghana country programme.

IRC’s strategy is guided by a long-term Theory of Change (figure 1) that guides the programmes in what to do and why, if we are to achieve our goals at three levels of intervention: district, national and global. The term ‘district’ refers to the governance level where the function of the service authority is usually placed. In the case of Ghana this is the municipality.

In Ghana, we believe that decentralised administrative units are the right level at which to model behaviour, test approaches and identify solutions to drive universal access. For this reason, IRC will work with partner districts to map water and sanitation infrastructure assets, monitor services and systems, develop realistic budgets and bankable plans – and subsequently help to identify financing for those plans.

However, success at district level is not in itself enough to create sustainable access or to spark a national movement to achieve universal access. It must connect strongly with national level activities, build strong partnerships and create the building blocks that will enable districts to achieve their goals.

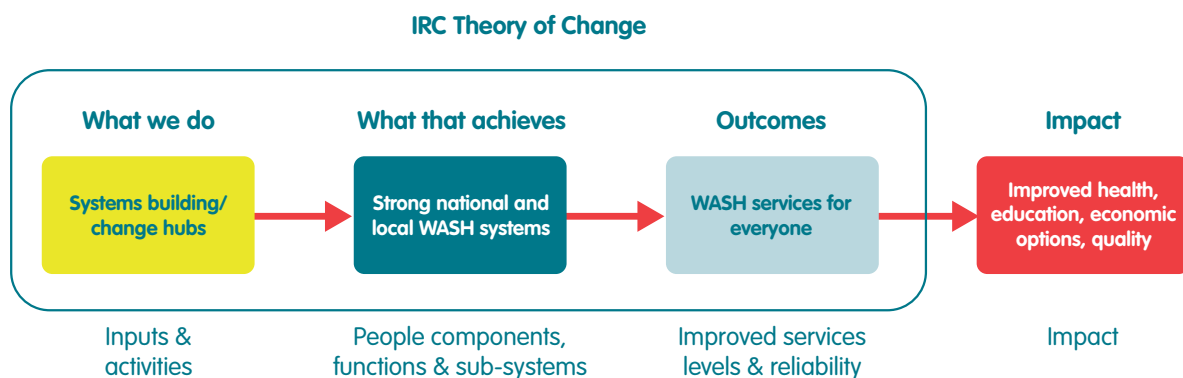


Figure 1: Change logic of IRC’s Theory of Change 2017-2030

Figure 1 shows how IRC seeks to act as a change hub to strengthen WASH systems to improve service levels and achieve impact. Initially, IRC championed service delivery as a competing narrative to the infrastructure-based paradigm of the Millennium Development Goals¹. Today, IRC emphasises the need for strong WASH systems to deliver lasting WASH services and meet the Sustainable Development Goals (Huston et al, 2018).

The purpose of IRC’s country programmes’ baselines is to establish solid ground for collective sector action. The baseline is the result of an analysis of the WASH system by IRC and key partners in both the partner districts and at the national level. It aims to give guidance to strategic planning and actions.

1.1 Structure of the document

After the introduction, chapter 2 is a summary of the conceptual and methodological frameworks for monitoring IRC’s Theory of Change. Chapter 3 assesses the strength of the WASH system. The chapter starts with a description of the WASH sector, the institutional set-up and the service levels for water, sanitation, hygiene and extra-household settings. The second part of this chapter assesses the strength of the nine building blocks of the WASH system. Chapter 4 describes the scoring related to the behaviour of the actors in the WASH sector. Chapter 5 provides the main overall conclusions based on the different assessments.

¹ For a more detailed description of IRC’s Theory of Change, please see IRC Strategy Framework 2017-2030. Available at: https://www.ircwash.org/sites/default/files/084-201706strategy_doc_v1.0defprint.pdf.

2 Concepts

This chapter presents the main concepts used in the study and describes how these are used within the scope of the baseline study.

2.1 IRC Theory of Change

IRC's Theory of Change has a vision of strong national systems at district and national level that deliver and maintain universal access to water, sanitation and hygiene as well as address SDG 6's other water-related targets. It is based on the key assumption that strong national systems are underpinned by strong national leadership – both political and financial.

The Theory of Change is based on the idea that IRC, through its actions, can act as a hub or backbone for collective action through strong district and national partnerships, and catalyse and support sustained action leading to universal access. IRC will leverage partnerships and networks at the national and district level to improve the means of WASH delivery. IRC's hub role at the national and district levels will involve convening actors, stimulating experimentation, codifying and sharing knowledge.

2.2 IRC Theory of Change and Monitoring Framework

IRC's Strategic Framework and Theory of Change for 2017-2030, presents a set of overarching long-term priority actions and objectives primarily dedicated to achieving SDG Global Goal 6 and most clearly focuses on Targets 6.1, 6.2 and 6.3.

IRC's Theory of Change encapsulates IRC's role and the actions that it intends to take at district, national and global level to achieve its vision through several broadly expressed outcomes. It is based on the idea that IRC, through these actions, can act as a hub or backbone for collective action by strong district and national partnerships, and catalyse and support sustained action leading to universal access. IRC will leverage partnerships and networks at the national and district levels to improve the means of WASH delivery. IRC's hub role at the national and district level will involve convening actors, stimulating experimentation, codifying and sharing knowledge.

IRC will monitor outcome level change within partner districts and at national level to measure progress and to ensure that results in IRC partner districts contribute to a broader national movement for universal access.

Box 1: Monitoring the strength of national and district WASH systems: the measurement of the WASH system building blocks, which IRC has defined as the foundational elements of a functional WASH system.

The building blocks are a way of breaking down the complexity of entire WASH systems into more manageable chunks that make intuitive sense to sector practitioners. Within each building block the WASH actors interact and work together to become a strong building block or element of the WASH system. IRC has defined a set of building blocks based on its experience with local and national WASH systems.



For the water and sanitation WASH sub-sectors, each building block is evaluated and scored separately at district and national level. For the WASH hygiene and extra-household settings sub-sectors, the scoring uses five of the nine building blocks.

2.3 Service delivery models

The actual delivery of services takes place through different service delivery models (SDMs), including different types of utility models, direct provision by local government or community management for water services. For sanitation, different models are household managed, private or local government (public toilets) or utility models for sewerage systems. We understand hygiene and extra-household services conceptually as a sub-sector with one SDM. The performance of these service delivery models depends in the first instance on several internal factors within the operations of each provider. But it also strongly depends on the behaviour of all actors, including the service authority and the users of the services. Chapter 3.3 discusses the most relevant SDMs for the Ghana baseline study.

The assessment of the SDMs consists of a narrative description of the types of service delivery models that are present in the country for the different WASH sub-sectors, and the main variants in use. It provides statistics on the use of these SDMs and comments on the statistics of the performance of the different service providers, insofar as these statistics are available from different secondary sources. The analysis does not include primary performance data collection.

3 Assessment of the strength of the WASH system

3.1 Methodology

The overall methodology for the country baseline assessments is based on a combination of sector data and participatory or consultative assessments, together with key sector stakeholders.

The IRC Ghana team held consultative meetings at the district and national levels to complete assessments, and statements were validated with references from secondary data.

The following areas were assessed:

- Structural factors and the political economy.
- Services delivered, including the identification and assessment of the service delivery models, baseline service levels for the partner district, and the assessment and scoring of the building blocks.
- Measuring behaviour change indicators.

3.2 Country and WASH sector context

3.2.1 Demographic trends and urbanisation

Over three decades, Ghana's urban population has more than tripled from 4 million to nearly 14 million people, outpacing rural growth. The country is moving steadily towards cities resulting in problems related to slums/informal settlements, inefficiency and lack of inclusion, lack of basic services, underdeveloped manufacturing, and insufficient transport infrastructure.

3.2.2 Economic development

Over the past three decades, Official Development Assistance constituted a vital source of financing of the Government of Ghana's national budget, providing critical support for programmes and projects and addressing balance of payments challenges, and it is set to continue to play a pivotal role over the medium to long term. According to the Ministry of Finance, aid accounts for approximately 20% of total annual Government budget resources and 10% of Gross Domestic Product. Between 2000 and 2008, total external aid disbursements to Ghana amounted to approximately USD 9.6 billion (Ministry of Finance, 2010).

Ghana has since made significant progress in economic growth and development. The shift to lower-middle income status presents complex challenges to institutional responsibilities and development partnerships, including moving away from development

aid and towards other forms of financing mechanisms. There is, however, a shortfall in WASH sector investment to meet national and international commitments which had hitherto been funded with grants and concessional loans. Budgets and resources are insufficient to show tangible impact on the ground.

Sustainability is also threatened by unrealistic tariffs, negative attitudes towards payment, inadequate post-construction finance, and the lack of focus on demand and pro-poor issues.

3.2.3 Administrative set-up and decentralisation

Decentralisation has been ongoing since the 1990s. In 2016, under Decentralisation Act 936, the Metropolitan, Municipal and District Assemblies (MMDAs) were given the mandate and responsibility to ensure universal coverage of WASH services for their populations.

The strategic planning at the district level aims to raise the attention given to WASH by district authorities, linking the current low prioritisation to: low levels of progress towards SDG 6; unsustainable water services caused by ineffective operational and financial management and poor asset management; and the weak capacity of districts to respond to local WASH needs. The strategic plan will guide the districts to localise, plan and mobilise funds to achieve SDG 6 at the local level.

IRC Ghana and its partners will focus on Asutifi North District and work towards achieving this goal while also working on targeted interventions in other districts.

3.2.4 Public-private partnerships and the role of the private sector

The Government of Ghana has formulated a policy to explore public-private partnerships and the investment potential from BRIC economies (Brazil, Russia, India and China), capital markets and commercial development banks and to leverage project finance from markets (Ministry of Finance, 2016). There is growing interest in extending market-based approaches to segments of the population that can pay a full tariff and to develop equity and inclusion schemes for areas of poverty and the poorest populations.

3.2.5 Water resources management

Ghana is well endowed with freshwater resources for current and foreseeable use. However, the amount of water available changes markedly by season and from year to year. Moreover, resources are at risk of depletion and degradation due to:

- poor agricultural practices, population pressure, deforestation and surface mining;

- climate change and climate variability, which makes the river water flow highly variable;
- population growth and urbanisation leading to heavy demand on natural resources, conflicting and competing water uses and pollution.

Despite efforts to strengthen the legal and institutional framework for managing water resources, Ghana still faces several challenges.

3.3 Institutional set-up of the WASH sector

3.3.1 National level

The Ministry of Sanitation and Water Resources (MSWR) was established in January 2017 to provide leadership, focus and better coordination. The Ministry oversees agencies and departments relevant for managing the sub-sectors - water, sanitation and managing water resources. By constitutional mandate, the Metropolitan, Municipal, and District Assemblies have a central role to play, however, this is not always evident.

Ongoing changes in policy and strategic realignment in the WASH sector include the reassignment of departments and agencies from other ministries to the new MSWR. The departments and agencies include the Ghana Water Company Ltd., the Community Water and Sanitation Agency, the Water Resources Commission, the Water Directorate, the Environmental Health and Sanitation Directorate and the Schools of Hygiene. The sub-sectors and the responsible agencies that guide policy and strategy are listed as follows.

- **Drinking water:** This sub-sector is divided into two - rural and urban - with the Community Water and Sanitation Agency (CWSA) and the Ghana Water Company Ltd. as the responsible agencies.
- **Sanitation:** This sub-sector has traditionally been managed by the Environmental Health and Sanitation Directorate (EHSD) and the Metropolitan, Municipal, and District Assemblies (MMDAs). EHSD was responsible for basic sanitation while the MMDAs were responsible for solid and liquid waste management. With the creation of the MSWR, EHSD was moved from the Ministry of Local Government and Rural Development to the new Ministry and discussions are ongoing on the implications and structural changes required.
- **Water resources management:** The Water Resources Commission is responsible for managing Ghana's water resources.

The Ministry of Sanitation and Water Resources provides leadership for the WASH sector in Ghana. The main sector objective is **to contribute to improvement in the living standards of Ghanaians through increased access to, and use of safe water, sanitation and hygiene practices and sustainable management of water resources.**

The Ministry has three broad sectoral goals. These are to:

- ensure sustainable management of the country's water resources and increase access to safe, adequate and affordable water;
- ensure sustainable and effective management of liquid and solid waste to reduce the pollution of our water bodies as well as job and wealth creation; and,
- promote behavioural change programmes and increase access to safe hygiene practices among the populace.

3.3.2 District level

As per the Local Governance Act 2016 (Act 936), the Asutifi North District Assembly is the highest political administrative and planning authority at the district level and is responsible for the overall governance and development of the district, including WASH service delivery.

The detailed functions of the MMDAs are defined in Act 936, as are the establishment instruments (Legislative Instruments) of the respective Assemblies. MMDAs may delegate any of their functions to Town, Area, Zonal or Urban Councils or to Unit Committees. Rural water is already devolved to MMDAs by legislation (Act 462 and LI 1961), although the CWSA still has a major role to play in supporting them.

WASH service delivery at the district level is provided through various departments within the Assemblies, including:

- the District Works Department (DWD) which has direct responsibility for WASH delivery in the district. The DWD's water section designs, constructs and monitors water supply systems. Related to sanitation (liquid and solid waste), it collaborates with the Environmental Health and Sanitation Unit.

Other departments that support the unit include Health, Social Welfare and Community Development, Education, Youth and Sports, Spatial and Settlement Planning, and Forestry.

3.3.3 Service delivery models

Water

Service delivery models differ for each sub-sector. The urban water sub-sector uses the public utility model while the rural water sector is largely Community Ownership and Management. There many variants of the COM as indicated in the table below.

Table 1: Community Ownership and Management arrangements for rural water supply in Ghana (IRC and Aguaconsult, 2011)

COM models	Degrees of outside support	Pop. size	System
Point sources	Supported by area mechanic	<2,000	Point source
Piped schemes	Supported by skilled artisans in communities whose services may be procured when necessary on a retainer basis	2,000-5,000	Non-mechanised systems (e.g. gravity water schemes)
	Supported by certified/reputable firm to carry out specialised functions as needed	5,000-10,000	Simple boreholes, gravity slow sand filtration
	Supported by a contract with firm(s) to perform specialised functions on a periodic basis	5,000-10,000	Simple boreholes, gravity slow sand filtration
Piped schemes with management contract	Supported by a management contract with a private operator to completely operate and maintain the water supply system	>10,000	Communities served with complex water supply systems

Sanitation

The proposed models for sanitation delivery are clearly identified in the National Environmental Sanitation Strategy and Action Plan (NESSAP). According to NESSAP, the main objective is to provide a basis for gradual and incremental improvement in the levels of service for different target groups. The choice of any level of service by any segment of the population should be based on informed demand.

The NESSAP makes a special case for Community Led Total Sanitation (CLTS) as a tool for scaling-up improved environmental sanitation services with community participation. Among the lessons learned from implementing CLTS include: (i) that open defecation free status of communities is a necessary but insufficient condition to good environmental sanitation and hygiene; and, (ii) that other infrastructure is an influencing factor in changing sanitation practices that supports the need to tackle environmental sanitation holistically, as is the case for the NESSAP.

As there can be several modes of providing services to meet the qualitative description of levels of service (“minimum”, “comfortable” and “amenity”) in the NESSAP and the modes of services and facilities described are based on expert judgement.²

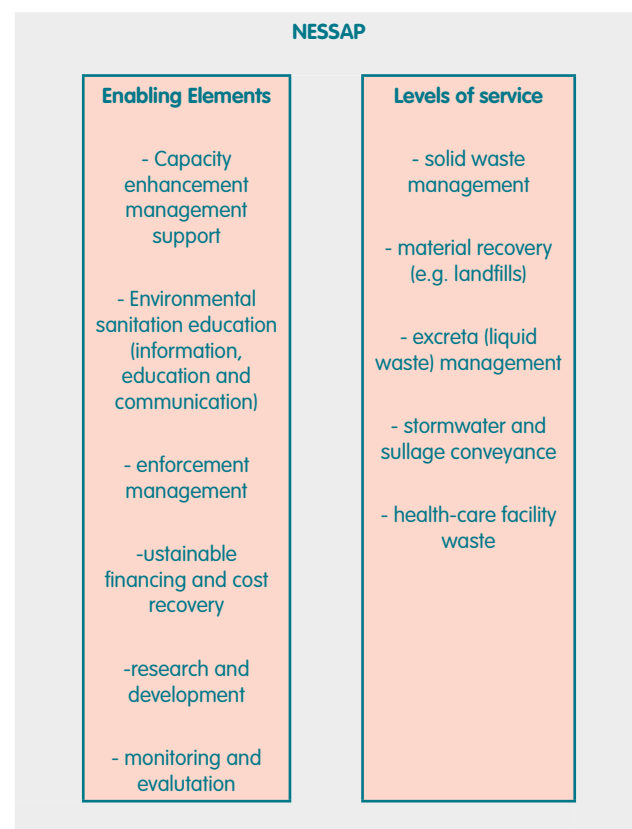


Figure 2: A summary of the key model processes in the strategic document

² <https://www.ircwash.org/sites/default/files/ML-GRD-2010-National.pdf>

3.3.4 Service delivery indicators

National level

WASH service levels at district and national level are measured using the definitions of the Joint Monitoring Programme (JMP) and using JMP data. JMP data can be used for national WASH service level data.

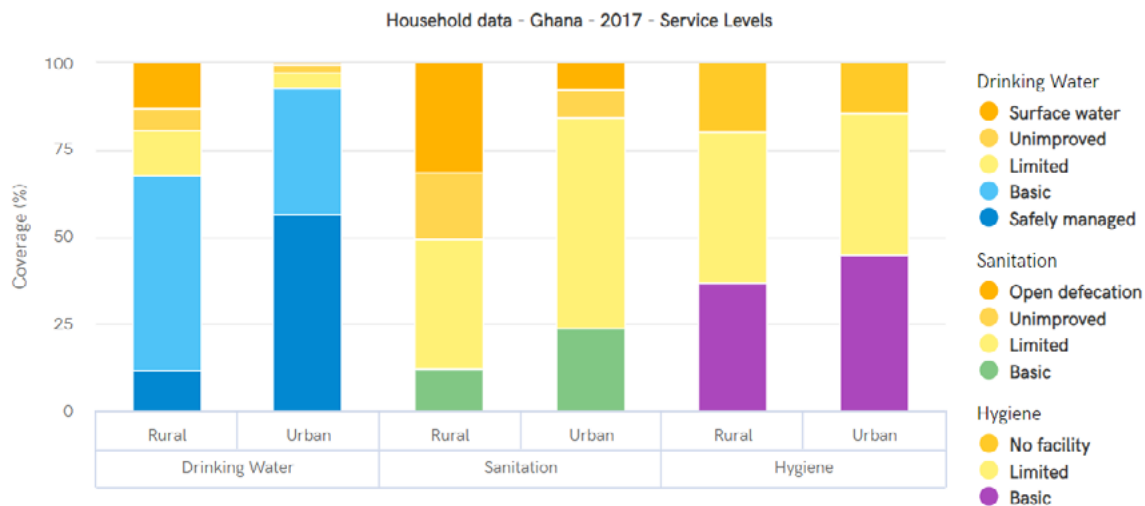


Figure 3: Service delivery for the WASH sector (JMP, 2017)

District level - Asutifi North District

Table 2: Data from district assessment in Asutifi North (2017)

Indicator ID	Description	Data from 2017
Water		
SDW1	Proportion of population using safely managed drinking water services	4%
SDW2	Proportion of population using basic drinking water services	45%
SDW3	Proportion of population using limited drinking water services	11%
SDW4	Proportion of population using drinking water from unimproved sources	40%
SDW5	Proportion of population with no drinking water service	
Sanitation		
SDS1	Proportion of population using safely managed sanitation services	11%
SDS2	Proportion of population using basic sanitation services	5%
SDS3	Proportion of population having limited sanitation services	27%
SDS4	Proportion of population having an unimproved sanitation service	53%
SDS5	Proportion of population having no sanitation service, practising open defecation	4%
Hygiene		
SDH1	Proportion of population using hand washing facility and soap at the household	N/A
SDH2	Proportion of population using hand washing facility without soap or water	N/A
SDH3	Proportion of population using no hand washing facility	N/A
WASH at schools and health centres (% that has basic services or higher) (2018 data)		
SDI1	Percentage of primary and secondary schools with an improved source available at the school	63%
SDI2	Percentage of hospitals, health centres and clinics with an improved source on premises	100%
SDI3	Percentage of schools with improved facilities, which are single-sex and usable at the school	32%
SDI4	Percentage of hospitals, health centres, and clinics which have improved facilities that are usable, separated for patients and staff, separated for women and providing menstrual hygiene facilities and meeting the needs of people with limited mobility	0%
SDI5	Percentage of schools with hand washing facilities with water and soap	17%
SDI6	Percentage of hospitals, health centres, and clinics that have hand hygiene materials, either a basin with water and soap or alcohol hand rub, available at points of care and toilets	0%
SDI7	Percentage of hospitals, health centres, and clinics with improved gender sanitation facilities on or near premises (at least one toilet for every 20 users at inpatient centres; and at least four toilets – one each for staff, female, male, and child patients – at outpatient centres)	

3.4 Assessment of the strength of the building blocks

3.4.1 Water sub-sector

Table 3: Summary of the scores within the water sub-sector

Country: Ghana					District: Asutifi North					
	Institutional	Legislation	Finance	Planning	Infrastructure Development	Infrastructure Management	Monitoring	Regulation	Leaning and Adaptation	Water Res Management
Water_Sec&Nat	3.5	3.5	4.0	3.6	3.6	3.3	3.4	3.0	3.3	3.3
Water_District	3.5	4.0	3.0	4.0	3.7	3.5	3.5	3.0	2.4	2.8

Results from the 2017 baseline assessment indicate that at the national and district levels, considerable progress has been made in putting institutional mechanisms, legislation, planning and infrastructure development in place within the water sub-sector. However, in areas such as regulation, learning and adaptation and water resources there were variations in the extent to which mechanisms had been established or were used in practice. The assessment on financing was mixed. The results indicated that there are mechanisms in place for financing WASH, yet the prioritisation for water service delivery and the adequacy of the flows in achieving national targets vary.

Policy and legislation

Policy and legislation that guide the sub-sector are in place. This is more so for urban water where there are clear legal frameworks for regulating urban water strategies, but this is not the case for rural water. In some cases, even though there are policies and legislation, their interpretation and implementation in practice has not always been clear. With the creation of the MSWR, an integrated strategy is being developed to guide the sector to provide direction and coherence within the water sub-sector. At the local level, by-laws are gazetted that will provide a framework for regulating WASH.

Planning

The National Development Planning Commission and the Ministry of Planning are collaborating to provide guidance for national reporting. With the change in the income status of Ghana to a lower middle-income country, there has been a reduction in Official Development Assistance and other grant mechanisms and hence the role of aid and donors in planning and budgeting is gradually reducing. Planning is increasingly being based on needs and issues collated by the National Development Planning Commission through general participation and planning within the ministries, departments and agencies.

Local governments design their development plans in response to guidelines provided by the National Development Planning Commission, which determines the broad priority areas for developing the district plans. The districts align with these as they develop their medium-term plans. The Asutifi North District Masterplan links to the priority areas and includes costs.

Institutional

Government structures have clearly defined their roles and basic positions, and produced clear job descriptions, at the national level. However, given the nature of water service delivery at the national level (utility for urban areas and community operational models for rural and small-town areas) vis-à-vis the role of local government in implementing and managing water services, there are overlaps, gaps and unclear areas in the implementation and delivery of water services. Districts receive backstopping from technical agencies/departments when required. District government has the autonomy to request backstopping from appropriate technical agencies or contract consultants to perform the tasks as needed.

Finance

The Ministry of Finance has made the processes and mechanisms for financing clear. The broad government classifications are: Compensation of Employees; Wages and Salaries; Goods and Services; Interest Payments; Subsidies; and Recurrent Expenditure & Capital Expenditure³. Government expenditure is tracked through the Ghana Integrated Financial Management Information System and a budgeting and reporting output is being pursued.

³ <https://www.mofep.gov.gh/sites/default/files/budget-statements/2018-Mid-Year-Budget-Statement-and-Economic-Policy.pdf>

Districts specify the use of their funds in their plans and budgets (unless otherwise stated, earmarked funds). Because of the previous history of financing water services at the national level, evidence of allocations for water service delivery is limited in many district budgets. In the focus district, financing sources include the District Assembly Common Fund, Internally Generated funds and royalties over which the district has discretion on use. Given the decline in aid, more districts are being encouraged to commit funds to water service delivery.

Infrastructure development and management

Project delivery models and procurement are well defined in the Project Implementation Manual for the rural water sub-sector and in national procurement laws (<https://ppa.gov.gh/>). There are service delivery models according to the type of service provided. The urban areas are largely served in a utility model, while the rural water sub-sector has variations of community operation and management models as well as a few market-based models. In water projects, when required, the districts get technical backstopping from the relevant centralised agencies involved.

In urban water, asset ownership is clearly defined in laws and regulations, but this is not the case in rural water. While there is an inventory of urban water and facilities, there is only an inventory of water infrastructure assets in 6 out of 10 rural regions which includes the age and physical status of the assets. Asset ownership is defined in the sector documents and in the [Community Water and Sanitation Agency regulations](#).

Regulation

There is a regulator, the Public Utilities Regulatory Commission (<http://www.purc.com.gh>), for the urban sub-sector but not for the rural sub-sector. The Community Water and Sanitation Agency regulation grants regulatory authority to the district. However, this may cause conflict as in many cases the district is also the service authority.

Monitoring

The National Development Planning Commission has guidelines for monitoring which ministries, departments and agencies report nationally. For national reporting purposes, the MSWR relies on data from the sub-sectors and on its own activities. The ministries, departments and agencies collaborate with the Development Planning Commission to set relevant indicators to measure progress towards the national outcomes (see the [National Annual Progress Reports](#)) with scores for the number of people served, levels of inclusion and so on.

The National Development Planning Commission framework and reporting cover the whole country. Within the sectors, the monitoring reports are derived from IT systems as well as paper-based systems which provide monitoring information for reporting.

Water resources management

There is legislation and/or policy in place that clearly defines priorities and processes relating to water resources allocation, regulation and water rights. National and sub-national water resource management institutions (catchment authorities, river basin authorities etc.) are able to undertake their mandated functions for water resource management. Implementation differs from basin to basin. The water bodies of the Asutifi North District fall within the [Tano basin catchment area](#) and Asutifi North District is represented on the Tano Basin committee. In collaboration with the Water Resources Commission and other partners, it leads the efforts to plan and protect water sources.

Learning and Adaptation

Government operations incorporate mechanisms for engagement and reviews. While there is a sector working group, it has not met since 2016. Other platforms, such as Resource Centre Network, continue to provide means for dialogue and learning within the sector. Because there are multiple platforms and tracking is not done across them all, there is no clear system to determine if the platforms' discussions result in policy changes. However, there is anecdotal evidence to indicate that they influence strategies in the sector.

The District disseminates information through its information services department that engages with and receives feedback from the communities. The District uses face-to-face meetings, a website, social media channels⁴ and radio as its main mediums for engagement.

4 a) <http://www.ghanadistricts.com/Home/District/33>;

b) <https://www.facebook.com/asutifi.north>

3.4.2 Sanitation Sub-Sector

Table 4: Summary of the scores within the sanitation sub-sector

Country: Ghana					District: Asutifi North					
	Institutional	Legislation	Finance	Planning	Infrastructure Development	Infrastructure Management	Monitoring	Regulation	Learning and Adaptation	Water Res Management
Sanitation_Sec&Nat	3.5	4.0	3.4	3.0	3.0	2.5	2.2	3.0	2.5	3.3
Sanitation_District	3.7	4.0	3.7	3.8	3.7	3.0	3.0	3.5	2.4	2.8

The results of the 2017 baseline assessment of the building blocks in sanitation indicate that the mechanisms at the national level (especially in the newly established Ministry of Sanitation and Water Resources) are either not fully in place or that there are considerable variations in practice. Much of the responsibility for sanitation has been decentralised, hence the building blocks at the district level appear to be more firmly established than at the national level. However, not all the building blocks were in place in the areas of infrastructure management, monitoring, learning and adaptation, and water resources.

Policy and legislation

There is a [National Environmental policy](#) and strategies to implement the policies. Regulations, laws, norms and standards may be in place, but implementation may vary in terms of management and development. This is evident from national documents. At district level, the legislation is available at the district offices and online.

Planning

Development partners are usually engaged at the national level and provide support to the sector through projects. The interests of donors are different, and donors rarely fund the operation and maintenance of facilities.

Institutional

Roles are clearly defined in the sub-sector, however, implementation challenges arise due to the disconnect between policy level at national and at district levels. The interpretation of the policy at District Assembly level sometimes shows a lack of understanding. Despite this inadequate knowledge, various local government entities have made changes to the documents obtained from the central system. In terms of staffing, the minimum staffing has been met, but not the maximum levels.

At the district level, the institutional structure was created by law. Sanitation at the district level is decentralised. Assemblies can contract the private sector or relevant agencies to provide technical backstopping or services. The government is working on creating a National Sanitation Authority to drive change in sanitation.

Financing

Public financing for sanitation is limited. The key sources of funding are consolidated funds, tariffs and grants. There are some grants like the Urban Development Grant and the World Bank's Greater Accra Metropolitan Area project that target urban communities and low-income communities.

The overall strategy was costed, but the translation of these costs at local level is not always clear, hence there are gaps. The Rural Sanitation Strategy and Model defines some strategies to implement sanitation, but these do not include subsidies. That said, some selected projects have been granted subsidies (Aguconsult and MAPLE Consult, 2011).

The financing of household toilets and the transportation of waste are borne by the households, while government is responsible for the final disposal site and sewerage. The latter function is either performed directly by the local government or in partnership with private sector stakeholders.

District Assemblies themselves decide how to spend their funds in line with their plans. Where funds are earmarked, the districts factor this into their operations. There are nationally defined mechanisms, but implementation differs from place to place. There are directives to prioritise sanitation and these are applied across the whole spectrum of solid and liquid waste and basic sanitation.

Infrastructure development and management

Project delivery models and manuals are in place. There are several laws and guidelines which define various service delivery models. There are mechanisms for management, although political expediency and interference also influence the process, as do technocrats. The existing project delivery models in themselves do not ensure a good quality of works and institutional development processes. Implementation deviates from the process.

Households are responsible for their own facilities while districts are responsible for public facilities. Districts have individual data, but these are not consolidated at national level. There are general guidelines and standards in national documents, but the extent to which these are applied is unclear.

Regulation

WASH regulation is vested in the District Assembly which has the mandate to prosecute offenders. The roles are unclear at the national level as some roles are decentralised and others are not. Although there are staff and resources, more are required to make regulation effective at all levels.

At the district level, there are statutory town hall meetings which serve as a platform for the district to engage with communities, civil society and other representative bodies on development issues in the district. There are other platforms such as general assembly meetings where the elected officials can engage with the public as well.

Monitoring

There is a national monitoring and evaluation framework for the sector plan, but it is not comprehensive. Some data are only obtainable through surveys, but instead, the data used are service provider data collected through centralised agencies rather than through the districts. There is a need to engage with the Ghana Statistical Services to define indicators for what gets measured. Some information is updated, but not at regular intervals. District monitoring is in line with nationally agreed processes and the **indicators provided by the National Development Planning Commission**.

Water resources management

The Asutifi North District is represented on the Tano Basin Committee and leads in the efforts to plan and protect water sources. It does this in collaboration with the Water Resources Commission and other partners using the Tano Basin plan.

Learning and adaptation

Ghana has a learning platform at national level for WASH. UNICEF and some national programmes carry out learning and adaptation, but this is mainly done in individual projects rather than across the country. In the UNICEF programme in a few districts across the country, the District Committee on Sanitation is linked to the national level.

Within the government system, however, the district engages with and receives feedback from communities through its Information Services Department. The district uses face-to-face meetings, a website, social media channels and radio to engage with communities.

3.4.3 Hygiene sub-sector

Table 5: Summary of the scores within the hygiene sub-sector

HYGIENE NATIONAL		Institutional	Legislation	Financing	Planning	Monitoring	Learning and Adaptation	Average
Hygiene	Sector/Natio	3	4	3	4	4	4	3.7
Hygiene	District	3	2	3	1	2		2.2

The 2017 results for the hygiene sub-sector show that though some building blocks are in place at the national level, they are divided across sectors and subject to multiple ministries and agencies who are involved at various levels. The Ministry of Sanitation and Water Resources closely associates hygiene with sanitation, while the Ministry of Health and the Ministry of Education align hygiene to disease prevention and hygiene in schools. At the district level, however, the results show little clarity/evidence that there are key institutions or mechanisms in place for the sub-sector.

Legislation

There are national policies to guide various aspects in the ministries:

- Ministry of Health: [National Policy and Guidelines for Infection Prevention and Control in Health Care settings](#).
- Ministry of Education: [WASH in Schools Implementation Model](#)
- Ministry of Local Government and Rural Development: [National Environmental Sanitation Policy](#)

Planning

There are inter-ministerial platforms and working groups on sanitation, hygiene and disease control for achieving national targets and responding to emergencies.

At district level, the current draft District Environmental Sanitation Strategy Action Plan (2016-2020) has sanitation and hygiene targets linked to the National Environmental Sanitation Strategy and Action Plan.

Institutional

Responsibility for hygiene falls under several ministries and agencies. The MSWR combines it with sanitation. Some hygiene aspects also fall under the Ministry of Health, the Ministry of Local Government and Rural Development and the Ghana Education Service's Schools Health Education Programme. At the district level, not all the required staff positions have been filled. There are gaps in implementation at the district and sub-district levels.

Sector learning has achieved vigorous practice in some areas but there are no mechanisms to systematically distil lessons and feed them into national strategies. Gender and social inclusion policies are top of the agenda but are not being achieved in practice.

Sustainability continues to be threatened by deep seated institutional and structural bottlenecks, including ineffective operational and financial management, poor asset management, and weak local capacity for managing complex small-town water systems.

Financing

At the district level, there is no clear budget line for hygiene promotion activities. However, it has been observed that some aspects of hygiene activities are captured under general sanitation delivery in the mid-term development plan and the Composite Budgets.

Monitoring

There is no monitoring system at the district level. The Basic Sanitation Information System (BaSIS) mainly measures CLTS implementation at the district level. This is being implemented in districts where UNICEF works

(about 45 out of 216 districts in 2017). The national CLTS strategy and the BaSIS Database are still to be rolled out in the district by the Environmental Health Sanitation Division.

Learning and adaptation

There are various Schools of Hygiene that train practitioners for the districts and the sector. There is no structured platform for hygiene learning at the district level. Current arrangements for hygiene learning are ad-hoc and mostly involve engagement between the District Environmental Health Unit and food vendors/butchers.

4 Scoring of behaviour change WASH actors

This chapter presents the scoring for each intermediate outcome of the IRC Theory of Change apart from the intermediate outcome on the WASH system building blocks which was presented in the previous chapter. The score for the sub-sectors of each intermediate outcome is at national level, followed by the scores for the focus municipalities.

4.1 National level

The 2017 baseline assessment results of the behaviour change for WASH actors (national and district levels) indicate that capacity levels of staff at the national level is relatively higher than at the district level. Service delivery models at both national and district levels score low. WASH implementation has largely been led by the line ministries and relevant agencies, but with increasing decentralisation, it is important to provide support to the district level to improve service delivery. There are multiple service delivery models for WASH which results in fragmentation in approaches for delivery of services at both national and district levels.

Table 6: National level scores for WASH systems' behavioural indicators (scores out of 100)

	District	National		
	WASH	Water	Sanitation	Hygiene
Political and financial commitment	45	50	55	53
Partnerships	38	45	57	60
Service delivery models	60	25	25	25
Capacity	52	80	80	80

4.1.1 Water

Political and financial commitment

The National Development Planning Commission is working with sector ministries to incorporate the SDGs into the national medium-term plan. The President of Ghana is a co-chair on the SDG committee and has launched a national SDG initiative to champion the SDGs in Ghana.

The National Development Planning Commission has been working with the various sector ministries to integrate the SDG targets into the national medium-term development framework. The new Ministry of Sanitation and Water Resources is developing an integrated strategy for the sector which is aligned to the SDGs and other national commitments. The MSWR is working on the sector strategy to guide implementation.

Partnerships

The Water Sector Strategic Development Plan provides an overarching guide for the sub-sector. The document however must be aligned to the SDGs as agreed within the National Development Planning Commission framework. The MSWR is developing an integrated plan to provide overall strategic direction for the sector and to guide the work of the sub-sectors. The MSWR is renewing its medium-term plan in line with national and international commitments.

The MSWR provides strategic direction for the sector, but with the absence of a comprehensive plan, the sector is guided by multiple sub-sector documents which may sometimes result in overlaps or omissions.

Sector players are aware of their roles as enshrined in acts and legal documents which mandate them and guide their work. However, with the transition in the sector, the rural water sub-sector is planning to seek a revision of the mandate that allows them to co-manage the water systems with the districts.

Further, as some agencies are in transition, the future role of the Community Water and Sanitation Agency in the rural sub-sector is unclear. The MSWR is developing an integrated plan to provide an overall strategic direction for the sector and to guide the work of the sub-sectors. The Ministry is renewing its medium-term plan in line with national and international commitments. MSWR has engaged key sector stakeholders in a series of consultations to forge partnerships for delivery of WASH services.

Use of service delivery models

Sector actors agree on roles and responsibilities, however, with changing financing and increasing decentralisation, some of these roles are being questioned and reviewed to respond to the changes.

Collaboration is usually restricted to projects. There is awareness but more needs to be done to improve coordination and alignment with allied ministries and agencies.

Many of the models, policies and implementation strategies are being reviewed for alignment with the SDGs and with changing dynamics in the WASH sector.

Capacities

At the national level, capacity assessments for staff are conducted by government. No specific capacity assessment has been carried out in the WASH sector. Capacity support to staff is usually within projects.

4.1.2 Sanitation

Political and financial commitment

The Ministry of Sanitation and Water Resources launched the National Sanitation Campaign in 2017 to prioritise sanitation issues in the country. The MSWR has developed a sanitation strategy to guide implementation and is drafting a pro-poor policy on sanitation to guide the inclusion of poor and marginalised groups.

The President of Ghana pledged to prioritise sanitation in Ghana and make funds available to the MSWR and allied ministries to implement the various interventions in the country.

The National Development Planning Commission has been working with the various sector ministries to integrate the SDG targets into the national medium-term development framework. The Ministry of Sanitation and Water Resources has developed a sanitation strategy and works closely with the Ministry of Local Government and Rural Development to implement relevant strategies and guidelines which are aligned to the SDGs and other national commitments.

Partnerships

The MSWR's medium-term plans have been aligned to the SDG vision. The strategic documents, however, must be reviewed to reflect the SDG's vision.

The Ministry of Sanitation and Water Resources has partnerships with various development partners. In 2017, although there is a sector working group, it had not met in over a year.

The implementation of the projects and programmes continues to take place through bilateral / multilateral agreements with the Government. Within the WASH sector, the roles of each partner are well defined. However, the sector is currently undergoing changes and many roles are being redefined to suit the changing dynamics in the sector.

Use of service delivery models

The sanitation sub-sector was moved to the new ministry in 2017 where structures are being developed to ensure clarity in roles and responsibilities.

There are inter-ministerial platforms on sanitation to coordinate and align the implementation of policies, especially in emergencies and specific projects.

The sanitation sector has agreed delivery models, but implementation experience over the years is leading to some of them being reviewed and revised to respond to current challenges.

Capacities

At the national level, capacity assessments for staff are conducted by government. No specific capacity assessment has been carried out in the WASH sector. Capacity support to staff is usually given on a project basis.

4.1.3 Hygiene

Political and financial commitment

Hygiene is managed jointly by the MSWR and the Ministry of Health. The Schools of Hygiene train public health professionals for the districts. They have been incorporated into the new MSWR and since 2017 are no longer part of the Ministry of Health.

There are programmes and guidelines that guide inclusion of all aspects of WASH. In terms of hygiene, they are carried out in schools by the School Health Education Programme (SHEP) in collaboration with the Ministry of Education, and in health facilities by the Ministry of Health.

The MSWR and allied Ministries each mobilise funds from the government and development partners such as UNICEF to finance hygiene initiatives in Ghana.

The National Development Planning Commission has worked with the various sector ministries to integrate the SDG targets into the national medium-term development framework. The MSWR works closely with the allied Ministries of Health, of Education, of Local Government and Rural Development to implement strategies and guidelines which are aligned with the SDGs and other national commitments.

Partnerships

Hygiene is cross cutting and is handled across sectors – local government, WASH, education and health. These sectors have a shared vision aligned with SDG 6, though it is limited to hand washing. The national medium-term framework includes a vision to guide the sectors.

National stakeholders agree to have mechanisms to operationalise the partnerships, though these mechanisms are mainly limited to emergencies and

disease outbreaks. National stakeholders are shifting their focus to their specific roles within the hygiene space.

Use of service delivery models

As hygiene is mainly handled as a cross-cutting and multi-sectoral theme, there is no dedicated hygiene model. However, there are guidelines in some contexts such as WASH in Health and WASH in Schools to guide actors.

There is some collaboration between the MSWR and the Ministry of Education through the SHEP. However, coordination and alignment efforts are usually on emergencies in health and in communities. Sector actors are aware of service delivery models.

Capacities

At the national level, capacity assessment for staff are conducted by government. No specific capacity assessment has been carried out in the WASH sector. Capacity support to staff is usually on a project basis.

4.2 District level

4.2.1 Water, Sanitation and Hygiene (WASH)

Political leadership

Asutifi North District Assembly has demonstrated willingness to develop a district WASH Master Plan to feed into the District Medium Term Development plan. There is evidence that participatory processes engaging citizens are used in other areas, but this is not the case in the WASH sector. The WASH master planning process does, however, involve a wide variety of stakeholders.

The District Chief Executive and his team have been actively involved in the process of developing the district WASH Master Plan. This is evidenced in staff time dedicated to gathering data and financial contributions and to organising planning meetings. The SDGs have been incorporated in the performance contracts of District Chief Executives to urge them to prioritise the SDGs.

The participatory planning process used in developing the WASH Master Plan is facilitating joint planning between national and regional government institutions, the private sector, traditional authorities, and Conrad N. Hilton Foundation partners participating in the process around the shared vision of full coverage for Asutifi North District.

Partnerships

The shared vision for SDG 6 is being led by the National Development Planning Commission and is being incorporated into the medium-term development framework. Hence, the District is aware of the need for a shared SDG 6 vision to contribute to national targets.

The District mandate makes it the main convener for coordinating partnerships of various stakeholders at the district level. The Asutifi North District coordinates and oversees development interventions within the district and within district-wide initiatives and has agreed to mechanisms to operationalise partnerships for delivery.

As per government directive, NGOs, the private sector and other actors in districts have to register their interests at the District Assembly. The district and its partners agree on specific roles and contributions in WASH to ensure that resources are maximised.

The participatory planning process within the district-based initiative gives space to all key stakeholders at the local level and to strategic partners to foster strong collaboration and partnership.

Use of service delivery models

Service delivery models are determined at national level. They are developed through testing and adapting selected models and are based on performance. The rural water and sanitation sub-sectors have prescribed service delivery models to guide WASH delivery. However, their application varies across districts. Some CSOs at the district level continue to engage with the government on multiple issues including water.

As part of national processes, stakeholders share information on their projects with the districts to them to align their plans. In practice, however, this differs from one organisation to another.

The national and district planning process in Ghana has elements of participation, equity and sustainability and is included in the district medium term plan guidelines. However, its implementation differs between actors. In the case of the development of the WASH Master Plan, it is expected that the District and sector actors will align their plans to implement equity and sustainability principles.

The implementation of the existing service delivery models has unearthed various lessons for future alternatives and innovations.

Capacities

Staff of districts are part of the local government service and the capacity assessments are conducted by the government. The district plans for capacity strengthening of the staff is based on the results of the assessment.

Capacity development is integral in local government service. However, in specific cases, NGOs and private partners supply additional training for district staff to meet specific needs. Some district partners invest in building the capacities of their staff and some district assembly staff to serve specific purposes in WASH service delivery. These are not always aligned to the gaps within the district, but rather to support the partners' project implementation.

It is important to align other assessments conducted by non-government actors with the government assessments to respond to the gaps identified within the district.

5 Conclusions

The IRC Ghana programme contributes to a vision of strong national systems at district and national level to deliver and maintain universal access to water, sanitation and hygiene as well as address other water-related SDG 6 targets. The results of this baseline study will feed into IRC programming over the next few years in the IRC Ghana Strategy.

The 2017 baseline assessment shows that considerable progress has been made at national and district levels in putting in place the institutional mechanisms, legislation, planning and infrastructure development within the water sub-sector. However, with the creation of the new ministry, some level of institutional realignment will be required. Further, emphasis needs to be placed on creating a collective vision, regulation, and learning and adaptation.

The assessment on financing was mixed. The results indicated that mechanisms are in place for financing WASH, yet the priorities towards water service delivery and the adequacy of the funding flows needed to achieve national targets vary. More advocacy and partnerships are required to raise adequate funds for WASH needs.

In the area of behaviour change for WASH actors, the findings indicate that the staff capacity levels at national level are relatively higher than at district level. Service delivery models score low at both national and district levels. To date, WASH implementation has largely been led by the line ministries and relevant agencies. However, with increasing decentralisation, it is important to provide support at district level to improve service delivery. The fact that there are several service delivery models for WASH results in fragmented approaches for delivery of services at both national and district levels.

IRC will work with the Ministry of Sanitation and Water Resources and district partners to identify new opportunities to improve systems for sanitation service delivery in Ghana.

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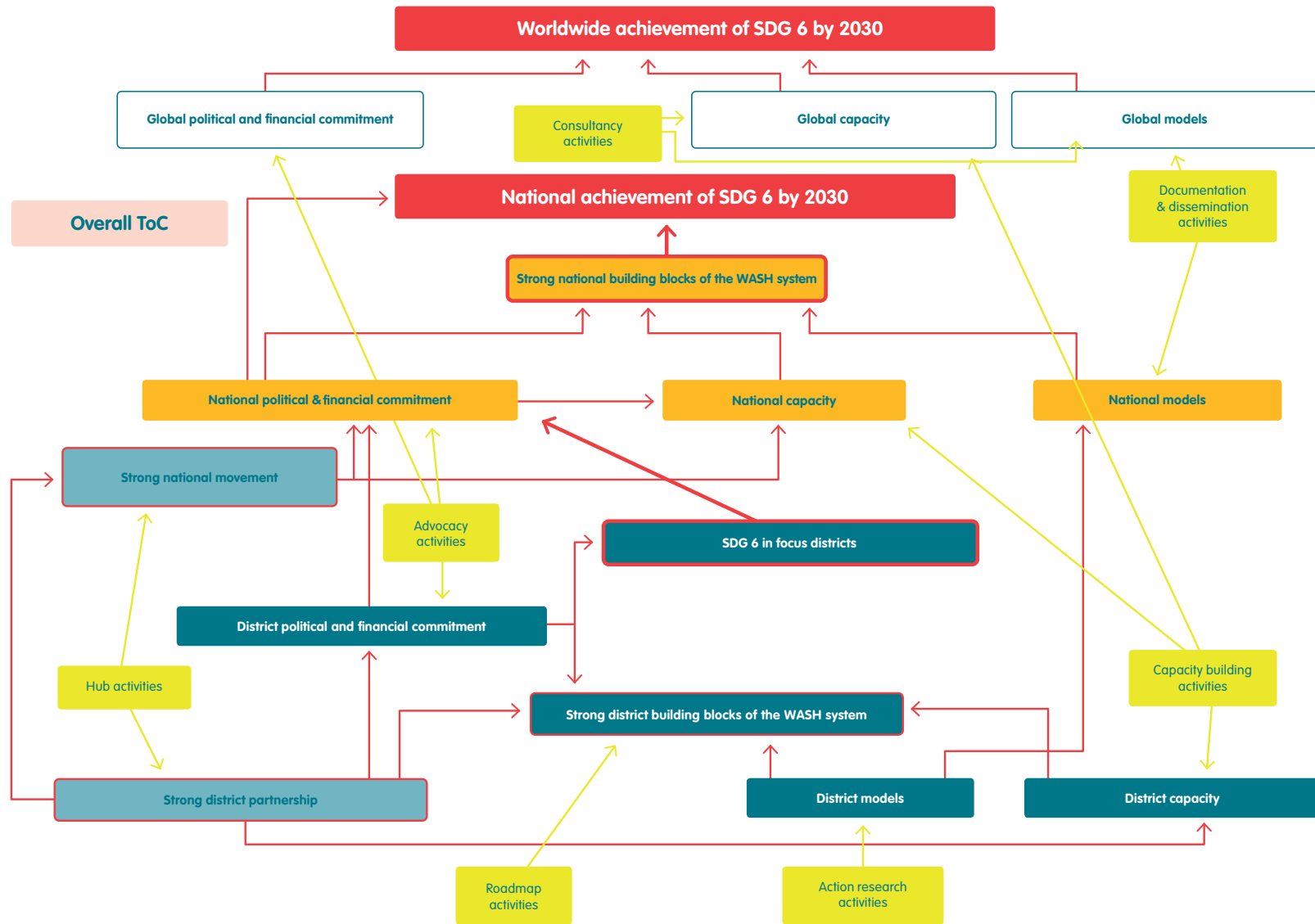
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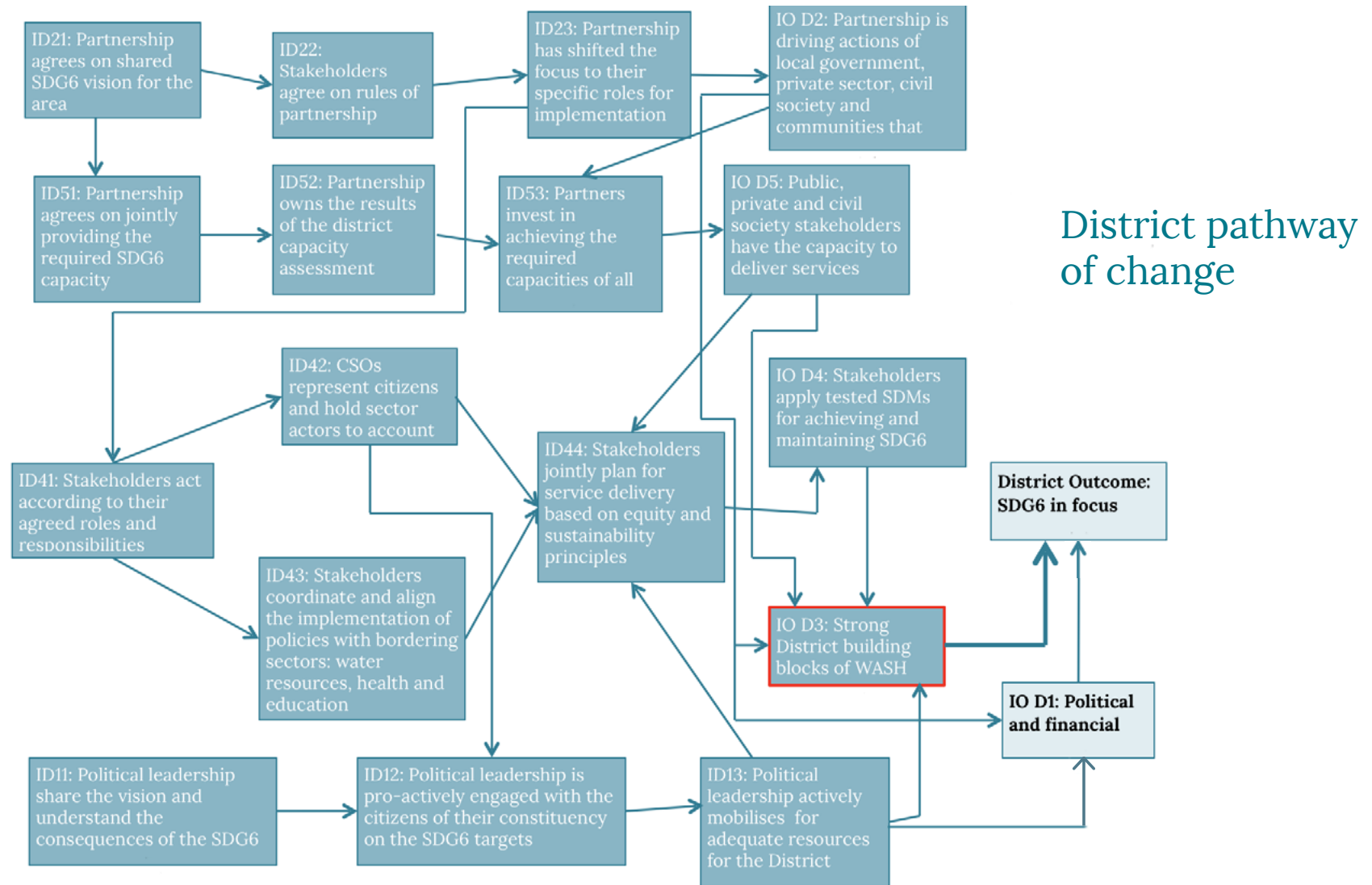
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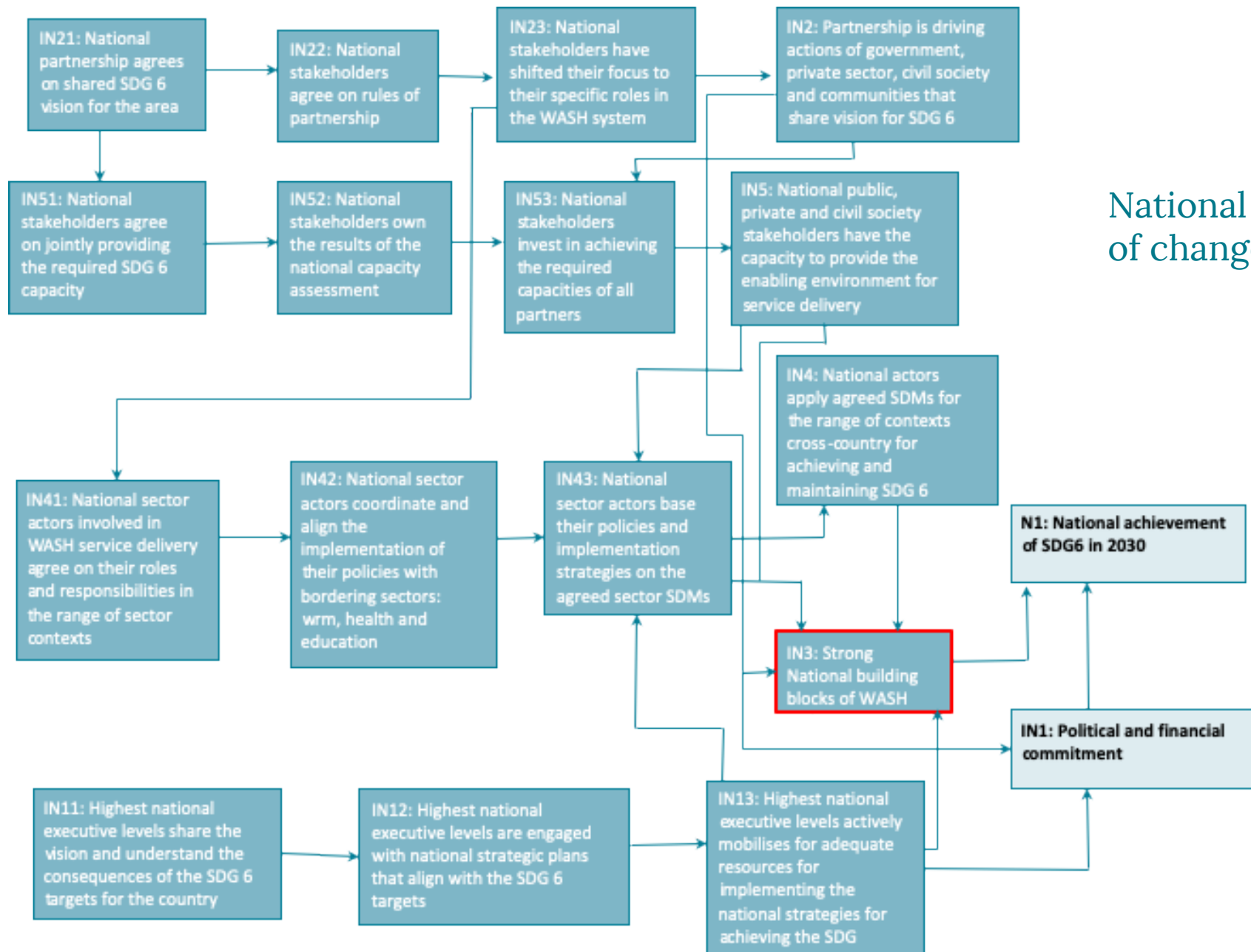
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Annex 1: IRC Theory of Change



Annex 2: Pathways of change country programme





National pathway of change

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