

A young girl with short dark hair, wearing a bright yellow sleeveless top, is smiling broadly as she fills a large, light-colored plastic water container from a public tap. The tap is mounted on a wooden structure, and water is flowing into the container. The background is a blurred outdoor setting with warm, earthy tones.

## Socially inclusive WASH programming

A mapping study

Watershed  
empowering citizens

Simavi  
A healthy life for all.

## Colophon

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## Socially inclusive WASH programming

A mapping study of socially inclusive strategies and approaches in WASH programmes and projects of selected Dutch-based and international organizations active in the WASH sector.

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May 2018

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### List of abbreviations

- HRtWS:** Human rights to water and sanitation
- SDG:** Sustainable Development Goal
- MFA:** Ministry of Foreign Affairs
- WASH:** Water and Sanitation, Hygiene
- JMP:** Joint Monitoring Programme
- MICS:** Multiple Indicator Cluster Surveys
- DHS:** Demographic and Health Survey
- IWRM:** Integrated Water Resource Management
- EQND:** Equality and Non-discrimination
- BRAC:** Bangladesh Rehabilitation Assistance Committee
- GIZ:** The Deutsche Gesellschaft für Internationale Zusammenarbeit
- SIDA:** Swedish International Development Cooperation Agency
- UNICEF:** United Nations International Children's Emergency Fund
- WSSCC:** Water Supply and Sanitation Collaborative Council
- MDG:** Millennium Development Goals
- ODF:** Open Defecation Free
- M&E:** Monitoring and Evaluation
- CLTS:** Community Led Total Sanitation



## Executive Summary

This working paper document presents the result of a study conducted by the Watershed-Empowering Citizens Programme analysing how social inclusion is included in Water, Sanitation, and Hygiene (WASH) projects and programmes. The Watershed Programme is a strategic partnership between the Dutch Ministry of Foreign Affairs (MFA) and four non-governmental organizations from the Netherlands (IRC, Simavi, Wetlands International, Akvo). It focuses on supporting MFA achieve its WASH policy goals and commitments. The study aims to deepen the Watershed Programme's knowledge of social inclusion in WASH projects and programmes by providing an overview of the current practices and insights into approaches used in the implementation of WASH initiatives worldwide. To this end, the study mapped and assessed the distinct approaches, methods and tools used for social inclusion in WASH initiatives by a selected number of development organizations, some of which have a strong track record in this area.

In line with the Sustainable Development Goals (SDGs), the MFA is committed to ensuring that 'no-one is left behind'<sup>1</sup> in its efforts to achieve these goals. To achieve SDG6—“ensure availability and sustainable management of water and sanitation for all” — the MFA has formulated a WASH Strategy for 2016-2030 that outlines the Ministry's policy for the years to come.<sup>2</sup> Key issues explicitly identified in the strategy included 'service delivery to the poorest' and the need to systematically address the Human Rights to Water and Sanitation (HRtWS)<sup>3</sup> in all stages of programme development, implementation, and monitoring. This objective has also been translated into an explicit political commitment for the parliament of the Netherlands that includes focusing on the position of women and vulnerable groups, and the disaggregation of results achieved in urban and rural areas.<sup>4</sup> The Dutch government's WASH strategy does not yet in-

clude specific (annual) targets for reaching the poorest and most marginalized groups.

The results of the present study will be used by the Watershed team to elaborate a position paper to provide the MFA with a series of strategic options to better operationalize social inclusion in the implementation of its 2016-2030 WASH Strategy.

The participating organizations in this study are BRAC, GIZ, PLAN Nederland, SIDA, UNICEF, WaterAid, WaterWorx, World Bank and WSS-CC. This group of international development organizations was selected from a list of 27 organizations with demonstrable experience with and/or explicitly formulated programmes for the WASH sector, compiled on the bases of brief, web-based, research. This sample of selected organizations covers a wider range of different categories of development organizations including multilateral institutions, development banks, bilateral institutions, and international non-governmental organizations. Attention has been paid to include funding, as well as implementing agencies, in the sample. Two of the international organizations—PLAN Nederland and WaterWorx—are based in The Netherlands.

The study methodology included data collection through web-based research and interviews with key professionals from each of the participating organizations. The preliminary findings documented in a draft report were consulted and further assessed in a webinar with most of the interviewees.

The first step in the study was elaborating a conceptual framework to define the main concepts such as social inclusion, social exclusion, marginalisation, equity and equality and their interrelation. Social inclusion is defined as: *a process by which efforts are made to ensure equal opportunities for all, regardless of their background,*

*so that they can achieve their full potential in life.* It is a multidimensional process that aims to create conditions that enable the full and active participation of every member of society in all aspects of life, as well as their participation in decision-making processes. On the other hand, social exclusion is defined as the conditions (barriers and process) that impede social inclusion.

The conceptual framework is linked to the legal framework of HRtWS, Integrated Water Resource Management (IWRM), and to the 2030 Sustainable Development Agenda.

Human rights define people as “rights-holders” who can claim their rights and states as “duty-bearers” who must guarantee the rights to water and sanitation. States are obliged by international legal instruments to respect, protect, and fulfil their commitments to human rights and must progressively realise these rights while using their maximum available resources. The HRtWS implies the translation of human rights principles (equality and non-discrimination, accountability, sustainability, participation, and access to information and transparency) and the normative content categories of the HRtWS (availability, physical accessibility, acceptability, affordability, and quality) into all water and sanitation planning, decisions, and operations.

The SDG Agenda reflects political commitments made by all the UN member states in the form of goals and targets to be reached by 2030. The current SDG Agenda is more human rights congruent, aiming to 'leave no one behind'. SDG6 seeks to 'realise the human rights of all', besides ensuring availability and sustainable management of water and sanitation for all, the goal also includes the quality and sustainability of water resources, critical to the survival of people and the planet. The conceptual framework underlines that although the 'leaving no-one behind' aspect of the SDG framework is highly political, it has been agreed on at the highest level and is therefore not an 'optional extra' for member states.

Exclusion and inequality is prevalent in the water

and sanitation sector across different levels and in various dimensions. Globally, certain regions or countries are particularly lagging behind in the progress on adequate water and sanitation levels. Within countries, there are disparities in access to water and sanitation services across different regions and groups of people, between wealth quintiles, between urban and rural areas, within communities, and at household level. Most of the available data concerns inequalities in access to WASH services and, to a lesser extent, in access to water resources. Some data is available on inequalities in the standard quality of water and sanitation and on household expenditure on water services. Additional information (e.g. inequalities among people's participation in WASH decision making processes) would be helpful in obtaining a more comprehensive picture of exclusion and inequalities in the water and sanitation sector and their root causes.

To achieve social inclusion, one needs to recognise that people are different and need different levels and kinds of support and resources to ensure that their rights are realised. Different approaches are used by various actors that aim to prioritize those who are excluded from access to, and use of, services and in decision-making processes related to them. The most commonly used terms for approaches employed by development organizations include the pro-poor approach, the needs-based approach, the social-model approach, and rights-based approach.

The web-based research and interviews were informed by an operational framework that translates the conceptual framework into a set of critical issues and questions for addressing social inclusion in each of the different stages of the project cycle.

The different project and programme cycle stages were analysed to systematically document and assess the approaches, methods and tools used by the participating organizations in addressing social inclusion in their WASH programmes and projects. The following matrix summarises the main findings, challenges and dilemmas identified in each of the programme cycle stages.

<sup>1</sup> MFA explains their approach to the post-2015 agenda, and the Dutch SDG strategy, in the Letter to Parliament, dated 28 September 2015. Inclusieve ontwikkeling in de Nederlandse programma's voor Buitenlandse Handel en Ontwikkelingssamenwerking.

<sup>2</sup> Dutch Ministry of Foreign Affairs (2017) Wash Strategy 2016-2030. Contributing to water, sanitation and hygiene for all, forever by respecting, protecting and fulfilling the human right to water and sanitation

<sup>4</sup> Dutch Ministry of Foreign Affairs (2017) Wash Strategy 2016-2030. Contributing to water, sanitation and hygiene for all, forever, p.10

Summary of main findings, challenges and dilemmas in the programme cycle stages

	Findings	Challenges	Dilemmas
Strategies, themes & levels of intervention	<p>Most organizations have realised the importance of devising their programme strategies in alignment with the social inclusion agenda and thus prioritize excluded groups; however the descriptions of these groups are often formulated in broad terms (e.g. ultra-poor, most marginalised) with little detail on the precise target group.</p> <p>Organizations realise that beyond relevant programme objectives specific policy goals and targets are needed for reaching “excluded” groups that are not only the ones excluded on the basis of poverty but all citizens who have been deprived of their fundamental rights.</p> <p>Organizations are developing new strategies to include a more prominent socially inclusive approach. Therefore social inclusion is rarely seen (at the moment) as a precondition for lasting change in existing strategies.</p>	<p>The gap between what organizations have formulated in their strategies and programmatic approaches on social inclusion and the actual opportunities for implementation (e.g. available knowhow, resources and dedicated capacities) to make the social inclusion theory work in practice.</p>	<p>When defining the “excluded” as your target group, a WASH strategy also becomes more exclusive, as it rules out any people who do not meet that criteria.</p>
Analysis & programme/project development decision-making	<p>A large number of tools for identifying the “excluded” and barriers to social inclusion are available. Each organization partaking in this mapping promotes and uses their own tool, each of which has a slightly different scope and purpose.</p> <p>Many organizations emphasise the importance of involving and engaging with duty bearers and the national and or local governments in the analysis. This is critical for ownership of the results of the analysis by the duty bearers.</p>	<p>Whether the analytical tools used to identify the most “excluded” enable the identification of the “invisible” is unclear and was beyond the scope of this mapping study.</p> <p>Adequately mapping the drivers of marginalisation and assessing the needs of local communities requires relatively substantial and dedicated (human and financial) resources.</p>	<p>Funders and implementing agencies are expected to align their strategies and programmes with national sector policies and priorities. A possible result of the analysis could be that the “excluded” groups identified do not correspond with government policy priorities.</p>
Planning & design	<p>Many organizations see a need for including awareness-raising for implementers of WASH programmes in the planning and design phase so they can better understand the barriers to inclusion and the implications this could have for effective, efficient and sustainable implementation of projects and programmes.</p> <p>Organizations are still learning about what works and recognise the need to keep testing and adapting social inclusion approaches.</p> <p>Organizations emphasize the need to engage in participatory approaches to validate analytical findings and create ownership of the project or programme.</p>	<p>Social inclusion criteria and objectives are in many cases formulated in very broad terms, which makes their translation into concrete, practical measures and corresponding budgeting difficult.</p> <p>Awareness-raising for social inclusion; ensuring organizations and government agencies recognise that sustainable impact demands great and continuous effort as it requires a significant change in the mindset at all the social levels.</p> <p>Local governments have an important role to play in designing bottom-up strategies and programmes for overcoming WASH inequalities, but in reality often lack the awareness, resources and capacities to fulfil this role.</p> <p>Few standardized protocols are in place in the WASH sector that guide the design of social inclusive programming.</p>	<p>Funding agencies, institutions and implementing organizations are partly dependent on the guiding policy frameworks provided by their national governments. Pre-defined and clear targets on social inclusion limit organizations’ flexibility and puts additional pressure on them to invest in working towards, and measuring, results that may not be relevant to all contexts.</p>

	Findings	Challenges	Dilemmas
Implementation	<p>Organizations employ different approaches to social inclusivity: 1) bridging the gap; 2) addressing root causes; 3) changing the mindset of funders, implementers and stakeholders; 4) monitoring, evaluating and learning.</p> <p>Complementing and coordinating such activities and approaches is vital if programmes are to reduce inequities in sustainable human development outcomes with WASH investments.</p> <p>Organizations are experimenting with alternative or innovative finance mechanisms to ensure sufficient funding is allocated to pro-poor WASH programmes, including exploring avenues to allocate “blended finance” in which public and private funds are combined.</p>	<p>Many implementing organizations focus their interventions at one level only; e.g. at community level for changing local mindsets about gender roles or ODF. Achieving sustainable change for social inclusion at scale demands addressing multiple issues at the same time.</p> <p>This requires concerted efforts that go beyond the community level, and thus demand active collaboration and alignment between organizations across all levels.</p> <p>Empowerment of the poor should receive attention within WASH project and programmes, but this requires cooperation with organizations that have relevant expertise or conduct other ongoing activities, as WASH specialists will not be able to do the job alone.</p>	<p>Improving social inclusion and addressing the root causes of exclusion require interventions at all levels (national, decentralised levels and at community level) while organizations are often bound to one level of intervention only.</p> <p>Investing in poor areas and/or the excluded comes with higher risks while the return on investments is expected to be lower.</p> <p>Bilateral institutions are often required to act within the confines of their national government policy, which may put limitations on the focus and scope of their interventions. Development banks and multilateral work in countries at governments’ invitation and are expected to act within the confines of the national government’s policy.</p>
Monitoring, evaluation and learning	<p>Certain specific tools for the monitoring of social inclusion are available and there are some experiences in using indicators.</p> <p>Available tools are very diverse: some are for monitoring at project level, some are only for determined dimensions, some are aimed at a larger scale.</p> <p>Clear project targets for social inclusion enable the defining of criteria or indicators that would help in monitoring project progress towards reaching those targets.</p>	<p>Integration of the different tools and frameworks that are being developed by funding and implementing organizations into national or existing local sector monitoring systems.</p> <p>While organizations recognize that evaluation assessments provide valuable lessons for future interventions, they are often (perceived as) an expensive endeavour and not seen as an integral part of programme and or project implementation.</p> <p>Failing to define clear social inclusion targets in design phases makes monitoring for social inclusion in later stages more difficult.</p>	<p>There is a level of disaggregation required to monitor projects on social inclusion results. However, aggregation at municipal, regional and national levels is important for policy development and monitoring purposes beyond the community level.</p> <p>To what extent does the WASH sector have the ability to measure outcomes related to social inclusion: how far do you want to go to measure “the potentially unmeasurable”?</p>

The findings of the study highlight that organizations that participated in the study are increasingly becoming aware of the need for addressing “social inclusion” as a precondition for overcoming existing inequalities and reaching universal access to sustainable services for all. There is a gap between what organizations have formulated in their strategies and programmatic approaches regarding social inclusion and the actual opportunities for implementation. The results of the study underline the availability of, and experiences with, a wide range of approaches, methods and tools that collectively form a solid and valuable basis for the sector to draw from in overcoming the gap between social inclusion policies and WASH practices.

The operational framework (Annex 1) proved to be a valuable model for systematically documenting and assessing the approaches, methods and tools used by the different organizations for social inclusive WASH programming. In addition a systematic assessment of the enabling environment is needed to structurally address the underlying root causes for exclusion. The Watershed team will use the findings of the study in the development of a paper that will put forward options for strengthening social inclusion in the implementation of the Dutch WASH strategy and expects that the document is a useful resource for other sector professionals and organizations with an interest in social inclusion and WASH programming.



# Chapter One | Introduction



# 1. Introduction.

This working paper presents the results of a study conducted by the Watershed team. It aims to provide an overview of current social inclusion practices in WASH development cooperation programmes and projects. The insights in the current knowledge and experiences with social inclusion WASH programming is the main basis for the elaboration of a position paper by the Watershed team that will advise the Dutch Ministry of Foreign Affairs (MFA) on the options for addressing social inclusion in the implementation of their Water and Sanitation Strategy. At the same time this working document offers a resource document for all water and sanitation professionals with an interest in translating social inclusion policies and strategies to the implementation of WASH programmes that effectively contribute to reaching the poorest and most marginalized groups.

“Watershed - Empowering citizens programme” is a strategic partnership between the Dutch Ministry of Foreign Affairs (MFA) and four Dutch-based, but internationally operating, Non-Governmental Organizations: IRC, Simavi, Wetlands International and Akvo. Watershed aims to deliver improvements in the governance and management of water, sanitation and hygiene services as well as of the water resources on which they draw. To this end, Watershed collaborates with the MFA in achieving its policy goals and commitments.

In line with the Sustainable Development Goals (SDGs) the MFA is committed to ensuring that in its efforts to achieve these goals “no-one is left behind”<sup>5</sup>. To achieve SDG 6, “Ensure availability and sustainable management of water and sanitation for all” - the MFA has formulated a WASH strategy for 2016-2030, outlining the ministry’s

policy for the years to come.<sup>6</sup> This WASH strategy explicitly identifies “service delivery to the poorest” as one of the key issues the MFA will address. It also makes an explicit reference to the need to systematically address the Human Rights to Water and Sanitation (HRtWS)<sup>7</sup> in all stages of programme development, implementation and monitoring. This objective is also translated into an explicit political commitment to the Parliament. It includes focusing on the position of women and vulnerable groups and the disaggregation of results achieved in urban and rural areas.<sup>8</sup>

To date, the WASH strategy does not include specific (annual) targets for reaching the poorest and most marginalized groups. In June 2017, the Dutch parliament adopted a motion, which committed the Dutch government to research the impact of the SDGs on marginalized groups (including disabled people, women and children).<sup>9</sup>

<sup>5</sup> MFA explains their approach to the post-2015 agenda, and the Dutch SDG strategy, in the Letter to Parliament, dated 28 September 2015. Inclusive ontwikkeling in de Nederlandse programma’s voor Buitenlandse Handel en Ontwikkelingssamenwerking.

<sup>6</sup> Dutch Ministry of Foreign Affairs (2017) Wash Strategy 2016-2030. Contributing to water, sanitation and hygiene for all, forever by respecting, protecting and fulfilling the human right to water and sanitation

<sup>8</sup> Dutch Ministry of Foreign Affairs (2017) Wash Strategy 2016-2030. Contributing to water, sanitation and hygiene for all, forever, p.10

<sup>9</sup> For the motion see: Diks, I. (2017, June 27) Gewijzigde motie van het lid Diks over onderzoeken hoe de impact van de SDG’s voor gemarginaliseerde groepen gemonitord kan worden [Parliamentary motion].

An internal capacity assessment of the Watershed team revealed some gaps in its knowledge about, and experience with, social inclusion in WASH. These three dynamics (a lack of specific targets, a commitment to researching the impact of SDGs on marginalized groups and the limited knowledge and experience in the Watershed team) are the key motives for undertaking the present study.

The study mapped and assessed the approaches, methods and tools used for social inclusion in WASH programmes and projects by a selected number of development organizations, some of them with a strong track record in this area. The study included a web-based research and an interview with resource persons in each of the nine participating organizations: BRAC, GIZ, PLAN Nederland, SIDA, UNICEF, WaterAid, WaterWorx, World Bank and WSSCC. The preliminary results of the mapping study were reviewed in a webinar with participation of the resource persons of most of the partaking organizations. Notwithstanding the valuable experiences of many of these organizations with social inclusion in humanitarian aid, it’s important to note that his study focuses on socially inclusive WASH programming in the development context only.

Chapter 2 describes the conceptual framework that was developed prior to the identification and researching of the different development actors. This chapter describes the definitions relevant for social inclusion, clarifies the concept of social inclusion in WASH and its connection to the human rights framework and the Sustainable Development Goals. Sub-chapter 2.4 portrays the operational model used for the mapping exercise. It translates the conceptual framework

into a set of critical questions to be addressed in each stage of the programme cycle. Next to the programme cycle the Enabling Environment (EE) is featured as an additional important influencing factor to be taken into account in the operational framework for addressing social inclusive WASH programming.

Chapter 3 describes the different ways in which social exclusion and inequalities manifest itself in the WASH sector. Many approaches are employed by the various actors in the WASH sector that aim to prioritize people who are excluded from participation, are most in need of services or who face particular challenges. This chapter includes a brief description of the most commonly used terms for these approaches.

Chapter 4 explains the methodology used for the study. This chapter includes an overview of the participating organizations and a justification for their selection. It also lists the selection criteria used. It also describes the approach and instruments used for data collection and assessment.

Chapter 5 presents the main findings of the mapping study. This chapter provides an overview of the socially inclusive WASH approaches, methods and activities shared by the nine organizations that participated in the mapping exercise. The presentation of the findings is organized according to the different stages of the programme cycle: the definition of strategies and intervention levels; the assessment and programming phase, the planning and design, implementation, monitoring and learning.

Chapter 6 summarises the main conclusions and includes a short description of the way forward.



# Chapter Two

# Conceptual and Operational frameworks



## 2. Conceptual and Operational frameworks

Prior to the identification and researching of different development actors for this study, a conceptual framework was developed to clarify the concept of 'social inclusion' in WASH, and its connection to the human rights framework and the Sustainable Development Goals. In the conceptual framework you can find definitions of important terms and insights into the different forms of social exclusion at various levels.

### 2.1 What is social inclusion?

**Social inclusion** is understood as a process by which efforts are made to ensure equal opportunities for all, regardless of their background, so that they can achieve their full potential in life.<sup>10</sup> It is a multi-dimensional process aimed at creating conditions that enable the full and active participation of every member of the society in all aspects of life, including civic, social, economic, and political activities, as well as participation in decision-making processes.

On the other hand, social exclusion means the conditions (barriers and process) that impede social inclusion. **Social exclusion** is a process through which individuals or groups are wholly or partially excluded from fully participating in the society in which they live on the grounds of their social identities, such as age, gender, caste, race, ethnicity, culture or language, and/or physical, economic or social disadvantages. Social exclusion can also mean the lack of opportunity to have a voice, lack of recognition, or the lack of capacity for active participation in society, as well as the denial of access to decent work, assets, land, opportunities, social services and/or political representation.<sup>11</sup>

#### Definitions of key terms

**Marginalization** is the social process of being confined to a lower social standing or to the margins of society. Marginalized individuals often suffer material deprivation and are excluded from information, services, programs, and policies. People who are marginalized are often not consulted and have little influence over decisions that affect them. As a result their voices are not heard and it is more difficult for them to claim their rights.<sup>12</sup>

**Disadvantaged individuals and groups** is a term to refer to all people who are discriminated against, experience inequalities, or are marginalised, stigmatised, or in vulnerable situations.<sup>13</sup>

**Inclusion** is not just about improving access to services for those who are currently excluded but also supporting marginalised people to engage in wider decision-making processes to ensure that their rights and needs are recognized. In order to achieve social inclusion, one needs to recognise that people are different and need different forms of support and resources to ensure that their rights are realised.<sup>14</sup>

10 DESA, UN. "Creating an inclusive society: Practical strategies to promote social integration." (2009).  
7 DESA, UN. "Creating an inclusive society: Practical strategies to promote social integration." (2009).  
11 DESA, UN. "Creating an inclusive society: Practical strategies to promote social integration." (2009).  
12 Louisa Gosling, Wateraid report Framework, Equity and Inclusion, 2009

Table 1 The grounds for exclusion

<b>Sex and gender</b>	Cultural, social, economic and biological differences between women and men consistently lead to unequal opportunities for women to fully participate in society and enjoy their rights. People may also be excluded and discriminated against because of gender identity and sexual orientation – and may face extra challenges, including gender-based violence, when using water and sanitation facilities. <sup>15</sup>
<b>Race, ethnicity, religion, national origin, birth, caste, language and nationality</b>	Indigenous, pastoralist or nomadic communities often lack access to water and sanitation in a disproportionate manner compared to the rest of the population. People with minority languages often have difficulties accessing information on water and sanitation, and illiterates are not reached at all. <sup>16</sup>
<b>Disability, age and health status</b>	People are often excluded based on their physical or mental ability, or age. They are often not included in the decision-making processes and their special needs are not taken into account in WASH policies.
<b>Property, tenure, residence; economic and social status</b>	There is a stark discrepancy in access to adequate water and sanitation services between people living in urban and rural areas, as well as in service provision in formal and informal urban areas. <sup>17</sup> People in informal settlements often lack access to safe and affordable services. People living in poverty are often excluded from decision-making <sup>18</sup> and the type of profession can also often be a reason for exclusion.
<b>Other grounds</b>	Many other factors exist that exclude people from accessing proper water and sanitation services. These include pressure from local political groups, marital and family status and people who live in vulnerable situations like prisons or remand homes.

Common barriers to social inclusion manifest themselves through social, economic, political, physical, geographical and/or environmental factors:<sup>19</sup>

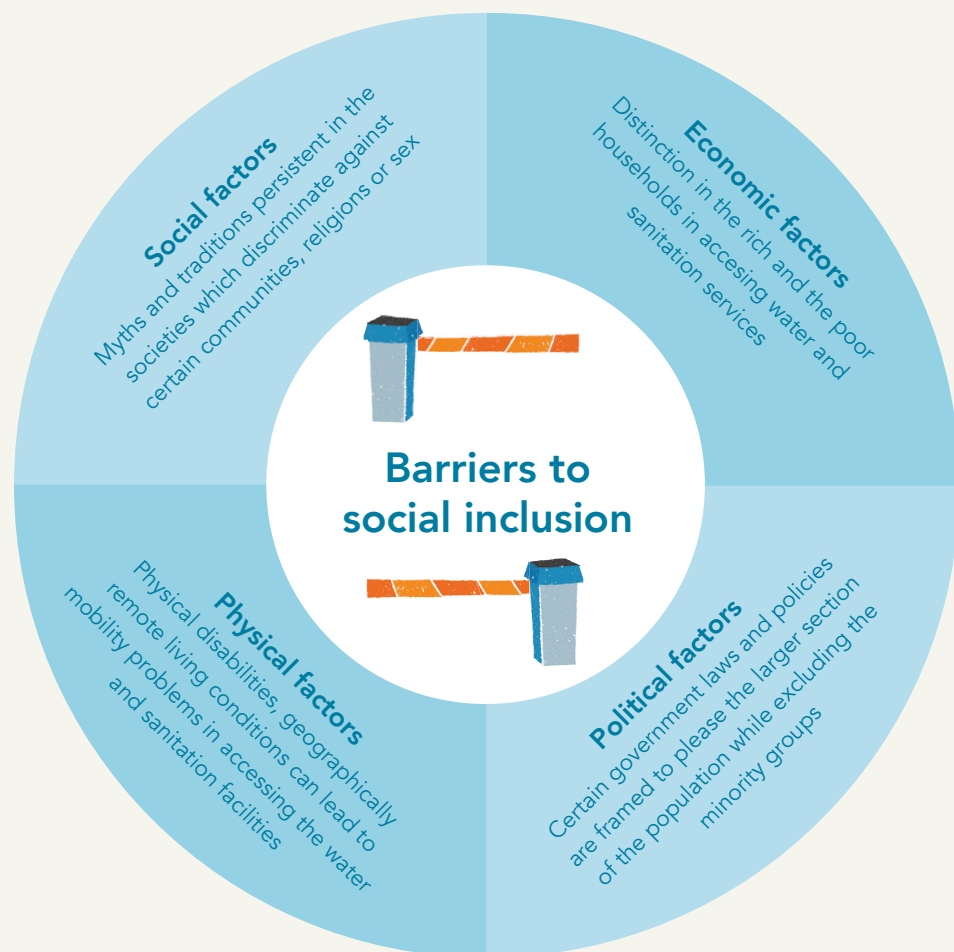
- Social factors are often deep-rooted and have been perpetuated over centuries of socio-cultural norms, practices and traditions. For example, menstruation is often surrounded by beliefs, myths, social and religious norms that consider it unclean or impure, a view which results in women and girls being excluded from society during their periods. These factors can be changed by working with men, women and children to address behaviour, attitudes and beliefs.<sup>20</sup>

13 C. De Albuquerque, Handbook on the rights to water and sanitation, Booklet Principles.  
14 Sara Ahrari, Leaving No One Behind in WASH Alliance programme Through adopting an Inclusion8C. De Albuquerque, Handbook on the rights to water and sanitation, Booklet Principles. 2016  
15 Report of the Special Rapporteur on the human right to safe drinking water and sanitation, Gender, A/HRC/33/49, 2016, page 3: [http://ap.ohchr.org/documents/dpage\\_e.aspx?si=A/HRC/33/49](http://ap.ohchr.org/documents/dpage_e.aspx?si=A/HRC/33/49)  
16 Laura van de Lande, Eliminating discrimination and inequalities in access to water and sanitation, UN Water, p. 8-17. Available at: [http://hrbportal.org/wp-content/files/UN-Water\\_Policy\\_Brief\\_Anti-Discrimination.pdf](http://hrbportal.org/wp-content/files/UN-Water_Policy_Brief_Anti-Discrimination.pdf)  
17 JMP statement 12 July 2017: <http://www.who.int/mediacentre/news/releases/2017/water-sanitation-hygiene/en/>  
18 Guiding Principles on Extreme poverty and human rights, p. 23  
19 Sara Ahrari, Leaving No One Behind in WASH Alliance programme Through adopting an Inclusion Lens, November 2016 page  
20 Gender equality in the realization of the human rights to water and sanitation, A/HRC/33/49, 2016: available at: [http://ap.ohchr.org/documents/dpage\\_e.aspx?si=A/HRC/33/49](http://ap.ohchr.org/documents/dpage_e.aspx?si=A/HRC/33/49)

- ▶ Economic and political factors can change more quickly and their influence on people can vary. For instance, a change in government could result in discrimination against some people (and their exclusion from WASH services) whilst improving the conditions of others. Economic factors may exclude poorer households from accessing available services. These factors are more likely to be addressed through policy and advocacy work – e.g by persuading duty bearers to meet their obligations and install regulatory measures to ensure equal enjoyment of existing services, and empowering marginalised people to demand their legal rights.
- ▶ Physical, environmental and geographical factors can present huge barriers to accessing

water and sanitation, resulting in the exclusion of populations in remote areas, individuals with mobility problems, and farmers. These factors often require a more technical approach, carefully tailored to the specific context and requirements. Considering the needs of disabled individuals to access sanitation facilities, for example, has implications for the entrance size, the interior space, handrails or other support mechanisms and the position of defecation, as well as many more aspects. In rural areas, where it may not be realistic to deliver piped services to individuals and households in the short term, pit latrines may be an acceptable solution if they are well constructed and emptied as necessary.<sup>21</sup>

Figure 1. The common barriers to social inclusion.



21 Different levels and types of services and the human rights to water and sanitation, A/70/203, 2015, available at: <http://www.ohchr.org/EN/Issues/WaterAndSanitation/SRWater/Pages/AnnualReports.aspx>

Exclusion and discrimination may appear in **direct** and **indirect** ways. Sometimes people or groups of people are intentionally excluded or less favourably treated compared to others in similar situations for reasons related to the ones outlined above. Sometimes however, policies and practices seem neutral at face value, but in practice have the effect of exclusion.<sup>22</sup>

**Exclusion and inequality take place at different levels.** Globally, certain regions or countries lag behind in progress on adequate water and sanitation levels. Within countries, there are disparities in access to water and sanitation services across different regions and groups of people. Discrimination and exclusion also take place at village and household level. (See Chapters 3.1 and 3.2 for a more detailed explanation on how the inequalities in the water and sanitation sector manifest itself at each of the different levels.)

**Substantive equality** focuses on all groups experiencing exclusion and requires the adoption of targeted measures to support these groups when barriers prevent them fully participating in processes that affect their enjoyment of rights. Chapter 3.1 further elaborates on substantive equality in WASH.<sup>23</sup>

Development organizations working in the WASH sector are often directed towards reaching targets as laid down in Goal 6 of the Sustainable Development Agenda – aiming at “leaving no one behind” and reaching the furthest behind first.<sup>24</sup> UN Member states have committed themselves to these Sustainable Development Goals, and are at the same time bound by the human rights framework – directing their policies and to be human rights compliant with a focus on equality and non-discrimination, closing the gaps between the people with and without access. Both frameworks will be explained below.

**TEXT BOX 1: DIFFERENCE IN USING THE TERM ‘EQUITY’ OR ‘EQUALITY’**

In the WASH sector, the terms equity and equality have sometimes been used interchangeably. However, these terms can have different meanings. Thus, the first UN Special Rapporteur on the Human Right to Water, Catarina de Albuquerque, defined the two terms as follows:

*“Equality entails a legally binding obligation to ensure that everyone enjoys equal enjoyment of her or his rights. Substantive equality requires a focus on all groups in society experiencing direct or indirect discrimination, and the adoption of targeted measures to support these groups when barriers persist, including affirmative action or temporary special measures.”*

*“Equity is the moral imperative to dismantle unjust differences. It is based on principles of fairness and justice. In the context of water, sanitation and hygiene, equity, like equality, requires a focus on the most disadvantaged and the poorest. Many organizations in the sector have made equity a central part of their agenda; however, from a human rights perspective, relying on equity carries certain risks because it is a malleable concept that is not legally binding.”<sup>25</sup>*

(Albuquerque (2014c:p.7)

22 Catarina de Albuquerque, A Handbook, Booklet Introduction, page 30: [www.ohchr.org/EN/Issues/WaterAndSanitation/SRWater/Pages/Handbook.aspx](http://www.ohchr.org/EN/Issues/WaterAndSanitation/SRWater/Pages/Handbook.aspx)

23 Catarina de Albuquerque, A Handbook, Booklet principles, page 19.

24 The guidance note of UNICEF for example, refers to reaching the targets of SDG6 as a purpose of its working with governments and partners : UNICEF, strengthening enabling environment for water, sanitation and hygiene (WASH) Guidance Note May 2016, [https://www.unicef.org/wash/files/WASH\\_guidance\\_note\\_draft\\_10\\_3\\_hr.pdf](https://www.unicef.org/wash/files/WASH_guidance_note_draft_10_3_hr.pdf)

25 Albuquerque, C. (2014C) Handbook on the Human Right to Water & Sanitation, Volume: Sources, [Online] Available: <http://www.righttowater.info/handbook/>

In short, equality is a legally defined term and a binding principle of human rights law, whereas equity is a moral imperative that is open to diverse interpretations. Therefore equity risks being left to the subjective sense of “fairness” of a given decision-maker or an analyst. For this reason, the lack of legal clarity for the term could dilute a claim to human rights.

Using equality instead of equity (and therefore moving from moral imperatives to legally bound concepts) has a direct impact on accountability, as well as the sustainability, of programmes and policies. There is an increased push from the civil society and a positive trend in the water, sanitation and hygiene (WASH) sector towards using the term equality instead of equity, as it underscores the legal obligation of progressively realizing the rights for all. For example, the UN Committee on the Elimination of Discrimination Against Women has criticized member states for using the terms “equity” and “equality” interchangeably, reminding them that the states have treaty obligations to dismantle discrimination and advance equality, not equity.

## 2.2 The human rights to water and sanitation (legal framework)

Every United Nations member state has recognised the human rights to water and sanitation (linked by separate rights) by supporting one or more international documents, such as treaties, resolutions or declarations.<sup>29</sup> This means that the rights to water and sanitation are enforceable - moving universal access to water and sanitation from a matter of charity into a legal obligation.

### Roles and responsibilities for the realisation of the rights to water and sanitation:

The human rights to water and sanitation identify certain obligations and responsibilities of the states towards their citizens. Human rights define people

as “rights-holders” and states as “duty-bearers” of water and sanitation service provision. Rights-holders can claim their rights and duty-bearers must guarantee these rights - like water and sanitation – equally, without discrimination and on the basis of participation and accountability.

### Incorporating human rights criteria and principles

Human rights principles form the basis for our economic, social and cultural rights. The same normative human rights criteria apply to the right to both drinking water supply and sanitation services (Table 2 and 3). These need to be translated into all WASH planning, decisions and operations.

<sup>29</sup> Legal basis of the HRWS: Art. 11, para.1 & 12(1) the International Covenant on Economic Social and Cultural Rights, 1966 / article 6(1) of the International Covenant on Civil and Political Rights, 1966 (ICCPR), Article 3 Universal Declaration of Human Rights. The Convention on the elimination of discrimination against women (1979), the Convention on the rights of the child (1989), the General Comment on the right to water (2002), the Convention on the rights of persons with disabilities (2006) explicitly refer to the rights. Click here for all resolutions in which States recognise the human rights to water and sanitation deriving from the above treaties.

Table 2 Human rights principles as explained in the Manual of the Human Rights to Safe Drinking Water and Sanitation for Practitioners<sup>30</sup>

<b>Equality and non-discrimination:</b>	“Within the established legal/regulatory frameworks public authorities/service providers have to ensure that no barriers exist to access by marginalised or vulnerable individuals or population groups, in a consultative process with such individuals/groups and government authorities.”
<b>Accountability:</b>	“Providers’ monitoring systems, complaints mechanisms, options for dispute resolution and transparency of budget and operations need to comply with legal requirements.”
<b>Sustainability:</b>	“Drinking water and sanitation services should be economically, socially and environmentally sustainable, and this requires a long-term vision on investment and resource use in operation and maintenance, and the use of early-warning indicators for risks to sustainability that would imply regression in the human rights status.”
<b>Participation:</b>	“All actions must provide meaningful opportunities for community engagement, in particular for those usually under-represented. Information is only the start of community engagement, which is essential to comply with the human rights criteria.”
<b>Access to information and transparency:</b>	“Public participation can only be meaningful in the presence of full access to information on the relevant technical details of water and sanitation services, and on budget and operations.”

<sup>30</sup> [https://www.iwapublishing.com/sites/default/files/ebooks/Bos\\_0.pdf](https://www.iwapublishing.com/sites/default/files/ebooks/Bos_0.pdf)



Table 3 The normative content categories of the human rights to water and sanitation

<b>Availability:</b>	Water and sanitation must be available for everyone in a household or its immediate vicinity, in sufficient quantity and on a continuous basis, for personal and domestic use; which includes drinking, personal sanitation, washing of clothes, food preparation and personal and household hygiene.
<b>Physical accessibility:</b>	Infrastructure must be constructed and located in a way so that facilities are accessible for everyone at all times - including people with particular needs.
<b>Acceptability:</b>	WASH services must take into account the cultural needs and preferences of users, therefore users' participation in these services is crucial. Water must be of an acceptable colour, odour and taste for personal or domestic use. The facilities must also be acceptable for usage, especially concerning personal hygiene. Facilities must also provide for the privacy and dignity of users.
<b>Affordability:</b>	WASH services must be affordable for everyone. Paying for water and sanitation services must not limit one's capacity to pay for other essential goods or services, such as food, housing, education or medicines, nor force people to resort to other, unsafe alternatives. The human rights to water and sanitation do not call for services to be free of charge.
<b>Quality:</b>	Water must be safe for human consumption and for personal and domestic hygiene. Sanitation facilities must be hygienically safe and technically easy to use. Toilets must provide hygienic facilities for washing hands with soap and water and must enable menstrual hygiene management for women and girls.

Progressive realisation of the rights to water and sanitation

States must progressively realise WASH rights while using their maximum available resources.

This means that:

1. Rights can only be achieved over time – for example, it is not possible to provide everyone with water and sanitation immediately.
2. States must work in such a way that the human rights to water and sanitation will be fully realised for everybody as fast as possible using all the resources they have available to them.
3. Principle of non-retrogression: Progressive realisation demands that services improve. Any intentional or non-intentional step backwards in the enjoyment of the human rights to water and sanitation is a retrogression, and therefore prohibited. This relates to the principle of 'sustainability': Once citizens enjoy services, these services should continue and must not stop working due to deterioration or breakdowns.

States are obliged by international legal instruments to respect, protect and fulfil their human rights commitments:

- ▶ **Obligation to respect:** States must refrain from interfering directly or indirectly with people's enjoyment of their rights to water and sanitation. For example, states should refrain from polluting water resources and arbitrarily or illegally disconnecting water and sanitation services.
- ▶ **Obligation to protect:** States must prevent third parties from interfering with people's rights to water and sanitation. This means that states must adopt regulations or other measures to ensure that private actors – including companies and individuals – do not violate the human rights to water and sanitation. For example, states should ensure that companies do not contaminate or extract unsustainable amounts of water from sources people rely on for their basic needs, or that providers do not compromise the equal and affordable access to sufficient safe drinking water of the people they serve.
- ▶ **The obligation to fulfil** the human rights to water and sanitation requires states to ensure that all necessary conditions are in place for everyone to enjoy the human rights to water and sanitation. This does not mean that the state has to provide the services directly, or for free, but it must create an **enabling environment**. This requires states to adopt appropriate legislative, administrative, budgetary, judicial, promotional and other measures to fully realise the rights to water and sanitation.

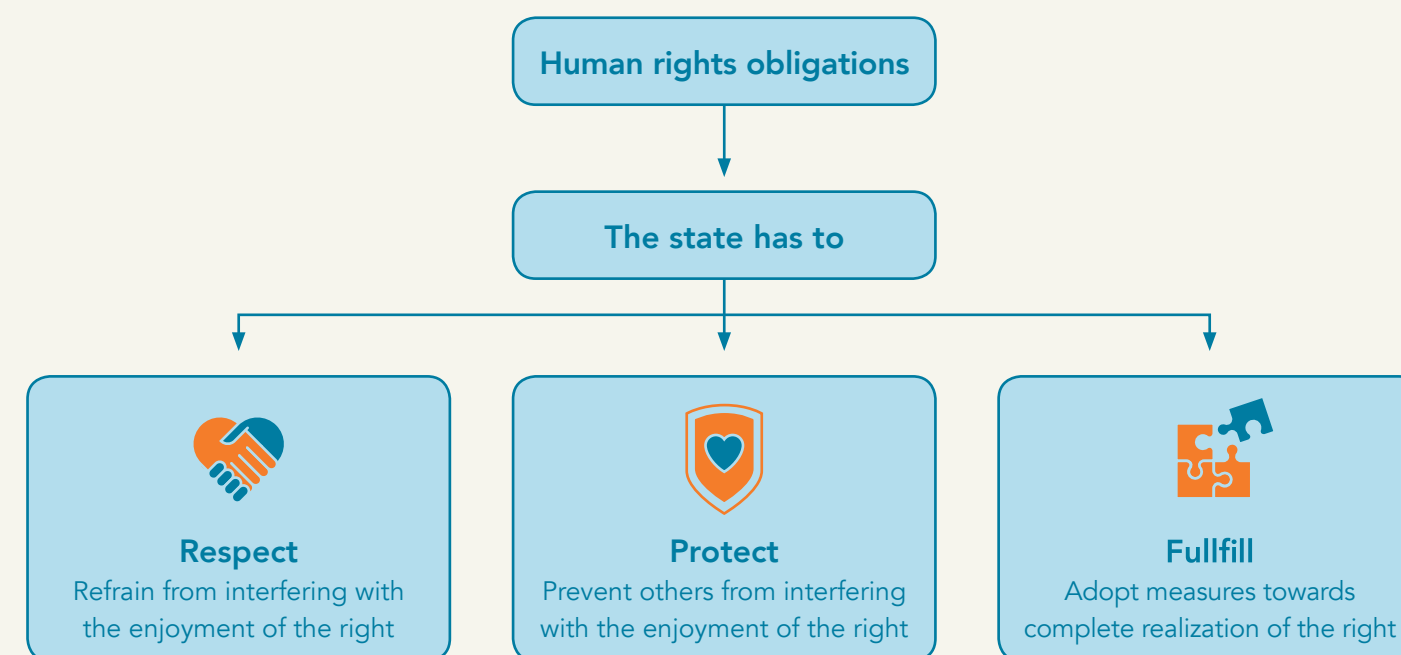


Figure 2. Obligation of member states towards fulfilment of human rights to WASH

A state's obligations to the human rights to water and sanitation also apply outside its own borders. International assistance should be provided in a manner that is consistent with these human rights obligations, and must be sustainable. Development assistance, whether provided by multi-lateral, bilateral or through non-governmental channels, can assist states in satisfying their human rights obligations, by implementing a rights-based approach in their programs and funding.

### TEXT BOX 2: HUMAN RIGHTS TO WATER AND SANITATION (HRTWS) & INTEGRATED WATER RESOURCE MANAGEMENT (IWRM)

**HRTWS** are legally binding rights that oblige UN member states to respect and protect these rights and fulfil these rights as quickly as possible, using all the resources available to them. Obligations include, for example, ensuring that water is of good quality and available in sufficient amounts, for everyone on an equal basis. Sources of drinking water need to be protected from both over-abstraction and contamination by irrigation systems, mining companies or factories. Not only access to a toilet falls under the right to sanitation, but also the treatment and disposal of faecal sludge, since the quality of water sources and sanitation practices are interlinked and interrelated.

**IWRM** is a process that promotes the coordinated development and management of water, land and related resources in order to maximize economic and social welfare in an equitable manner without compromising the sustainability of vital ecosystems.<sup>34</sup> It is based on principles adopted at the International Conference on Water and the Environment in Dublin, Ireland, in 1992, outlining “the equitable and efficient management and sustainable use of water and recognises that water is an integral part of the ecosystem, a natural resource, and a social and economic good, whose quantity and quality determine the nature of its utilisation”.<sup>35</sup>

As pressures on the world’s freshwater resources increase, many of these resources will increasingly face both freshwater scarcity and pollution. Governments, service providers and other organizations will face greater challenges in their efforts to promote sustainable water management practices that maximize economic, social and environmental welfare.<sup>36</sup> The many competing—and sometimes conflicting—demands give rise to questions of equality and justice, such as what would be considered to be a fair or balanced allocation of water for competing uses.<sup>37</sup> Large groups of people can be unintentionally negatively affected during the design and implementation of IWRM processes. For example, decisions to build dams on rivers, use of groundwater for agriculture or industry, can reduce or block people’s access to drinking water.

Abiding by the human rights to water and sanitation is not simply a question of an approach – it constitutes a legal obligation for every state. Therefore, the human rights framework offers an important entry point for the questions of justice within IWRM by offering broadly endorsed frameworks that set minimum standards for governance and defining the rights and obligations of different categories of stakeholders.<sup>38</sup> Together with other sources of international law, (e.g. international watercourse law) human rights law can help manage the uses of water and ecosystems.

<sup>33</sup> General Comment No. 15: The Right to Water (Arts. 11 and 12 of the Covenant) Adopted at the Twenty-ninth Session of the Committee on Economic, Social and Cultural Rights, on 20 January 2003 (Contained in Document E/C.12/2002/11) para 34

<sup>34</sup> Global Water Partnership: <http://www.gwp.org/en/About/why/the-need-for-an-integrated-approach/>

<sup>35</sup> *ibid.*

<sup>36</sup> <https://www.wetlands.org/publications/wash-water-security-integration-role-civil-society/>

<sup>37</sup> <http://www.siwi.org/human-rights-based-approach-iwrm-training-manual-facilitators-guide/>

<sup>38</sup> *ibid.*

## 2.3 The 2030 Sustainable Development Agenda

On 1 January 2016, the 17 Sustainable Development Goals (SDGs) of the 2030 Agenda for Sustainable Development, as adopted by world leaders at an UN Summit in September 2015, came into force. The SDG Agenda reflects political commitments made by states in the form of goals and targets to be reached by 2030. One of the biggest critics of the SDGs’ predecessor, the Millennium Development Goals (MDGs) Agenda, was that inequalities were not necessarily tackled in the process of reaching targets. Many countries reported to have reached certain targets while at the same time the gap between areas with and without services was widened. Also, the access to water targets were often considered reached although the means of access were unaffordable or unsustainable.

The current Sustainable Development Agenda is more human rights congruent and aims to “leave no one behind”. The SDG Agenda seeks to “realise the human rights of all” and envisions “a world where we reaffirm our commitments regarding the human right to safe drinking water and sanitation and where there is improved hygiene”.<sup>39</sup> In particular, SDG6 intends to ensure the availability and sustainable management of water and sanitation for all. Besides ensuring the availability and sustainable management of water and sanitation for all, SDG 6 also addresses the quality and sustainability of water resources, which is critical to the survival of people and the planet.

### Difference between inclusiveness in the human rights framework and the SDG framework

The most remarkable difference between inclusiveness in a human rights framework compared to “leaving no-one behind” in the SDG framework is based on the legal nature of the former and the political nature of the latter. The human rights framework consists of legal obligations, enforceable in courts and other judicial mechanisms, whereas the Sustainable Development Agenda is based on political commitments.

There are also many other differences with regard to inclusiveness of people to water and sanitation services from the perspective of these two separate frameworks, for instance:

- ▶ SDG 6 is broader and includes environmental targets that are not addressed in the human rights to water and sanitation (beyond 6.1 and 6.2).
- ▶ The normative content categories of the human rights to water and sanitation require more than “equitable access to safe and affordable drinking water for all” from SDG target 6.1 – and the grounds of non-discrimination and equality extent beyond the ones mentioned in SDG target 6.2.
- ▶ The human rights framework covers adequate access in all spheres in life, including in schools, hospitals, workplaces, prisons, and all other places where people spend significant amounts of time.
- ▶ Human rights-based monitoring requires other indicators than the ones included in the SDG framework. Human rights are context specific and need disaggregation and qualitative monitoring.
- ▶ The SDG Agenda includes targets to be reached by 2030, whereas the human rights framework obliges States to end all direct and indirect discriminatory effects immediately.

However, it should be noted that although the “leaving no-one behind” aspect of the SDG framework is highly political, it has been agreed on at the highest level, and it is therefore not an optional extra for any state. More than ever, states need to focus on “who” as much as on “what” has been delivered.<sup>40</sup> Also, although SDG 10 on ‘reducing inequalities’ particularly focuses on income inequalities, its indicator 10.3 aims to track the “percentage of the population reporting having personally felt discriminated against or harassed within the last 12 months on the grounds of discrimination prohibited under international human rights law”.<sup>41</sup> Therefore governments need to translate the “leave no one behind” commitment to national level and provide political direction.

<sup>39</sup> A/RES/70/1, 21 October 2015, preamble + para. 7, <https://sustainabledevelopment.un.org/post2015/transformingourworld>.

## 2.4 Operational framework

An operational framework that translates the conceptual framework into a set of critical issues and questions was designed for this study to assess social inclusion in each of the different stages of the programme and project cycle. These questions are laid out below and illustrated in Annex 1.

### In the assessment phase (diagnostics):

- ▶ Who is excluded from access to WASH services and the wider processes of decision making? And, who is discriminated against in the level of service they are receiving? (Where do they live, what are their socio-economic characteristics, etc.) What is the coverage of the services? Is there a large population who lacks access to services or is it a smaller group who is structurally deprived from access to services?
- ▶ What are the structural causes for exclusion and what are the main barriers to inclusion?
  - ▶ How do we identify the structural causes for exclusion?
  - ▶ How do we identify any barriers to inclusion?

In this phase it should also be considered that the dynamics and structural causes of exclusion and the barriers to inclusion can be different in different geographical areas, rural and urban settings, as well as for the individual water, sanitation and hygiene sectors. Therefore a thorough analysis for different contexts is necessary to identify all exclusion factors and barriers to inclusion.

### In the programme planning and design

- ▶ What dedicated actions are needed to identify:
  - ▶ How will right-holders and duty bearers be strengthened in their roles and responsibilities?
  - ▶ How is it possible to overcome the inequalities in terms of service delivery levels, for instance how to ensure affordability of services for low-income populations?
  - ▶ How to address the root causes and structural barriers for participation in decision-making?

It should be noted that when addressing social inclusion during the design phase, it makes a huge difference if the service levels and coverage are very low at the start of the intervention - i.e. when the large groups of the population are without access to basic service – or conversely if service levels and coverage are already reasonably high and the programme 'only' needs to focus on reaching the last mile. While the first situation might need a higher investment in infrastructures and technical solutions, the second situation probably requires interventions that address the more complex social, cultural and economic barriers to inclusion.

### In programme implementation

This will depend a lot on the specific role of the development partner. For example:

- ▶ For an implementing party: does the project planning involve all stakeholders including the local government and envisioned target groups?
- ▶ For a funding agency: do the contractual agreements include certain clauses on how to address social inclusion in the implementation of the programme?

### In programme monitoring

- ▶ How will progress be monitored and regularly reviewed?
  - ▶ Do we have explicit policy goals and specific targets for social inclusion?
  - ▶ What indicators and methods are needed to track social inclusion?
  - ▶ Is the monitoring process inclusive and does it capture all views, including those of vulnerable groups and people still left behind?
  - ▶ Are people who were supposed to benefit from the programme benefiting as was planned?
  - ▶ Is there progress on reaching out to those who are marginalized and are the disparities reduced?
  - ▶ Is there a positive impact in structurally improving the conditions for participation and inclusion?

### In evaluation and learning

- ▶ How do we learn from the experiences and monitoring results of "inclusive" actions?
  - ▶ Are both outcomes and processes being monitored and evaluated?
  - ▶ Are experiences documented and shared?
  - ▶ Do the lessons learned inform and result in adaptation of improved policies and approaches for social inclusion?

It's important to keep in mind that WASH programmes and projects are part of a complex interplay of institutional structures and processes that determine how effectively human, material and financial inputs are turned into sustainable access to, and use of, drinking water supplies and sanitation services.

This is why an enabling environment is necessary for sustaining and replicating (large-scale) drinking water and sanitation programmes. An enabling environment includes structural and institutional factors<sup>42</sup> that offer opportunities and include bottlenecks for successfully addressing social inclusion in WASH programmes. Overcoming inequalities in the WASH sector in a sustainable way requires WASH programs and projects that address the structural and institutional barriers in the enabling environment. Systematically assessing the enabling environment in the assessment and design phase of WASH programs, and monitoring the results and impact of WASH programs on the of institutional structure and processes, are important means for addressing the root causes of social exclusion and inequalities in the WASH sector. However addressing social inclusion in the identification and planning of WASH programmes, requires deliberate decisions to be made that may need to imply trade-offs on other fronts. This results in dilemmas faced by governments and

development partners that include:

- ▶ The political dilemma of prioritizing people left behind: Do we allocate resources for enhancing service levels for all in less difficult to access areas or focus on reaching the "hard to reach"? Is it better to prioritize the use of public funding for reaching the left-behinds through (for example) subsidizing services to make them affordable for those who can't pay the costs or to increase coverage in areas where inhabitants lack access but can pay the service fees?
- ▶ Is it possible to bridge the gap and yet not address the root-causes of social exclusion? And what about choosing between expanding access to those who are yet left behind versus the need for investments to "transform" the sector system?

### Other dilemmas include:

- ▶ How is it possible to identify excluded groups when they are largely invisible?
- ▶ Determining the required levels of participation and the challenges of ensuring "effective" participation of the beneficiaries and the most excluded people in decision making processes.
- ▶ Not restricting the large-scale programmes to trade-offs, but ensuring actual participation- is it possible?
- ▶ How to realize "equal" results?
- ▶ What efforts are needed to change people's attitude to WASH & hygienic behaviour?
- ▶ The costs and efforts required for progressive realization of the Human Rights to Water and Sanitation.
- ▶ The role and responsibilities of donor agencies and recipient states that may have different policy priorities and interests.
- ▶ The role and responsibilities of donor agencies and implementing agencies (non-state actors).

<sup>40</sup> <https://www.oecd.org/dac/results-development/docs/leave-no-one-behind-results-workshop-oct-2017.pdf>

<sup>41</sup> [https://unstats.un.org/sdgs/indicators/Global%20Indicator%20Framework\\_A.RES.71.313%20Annex.pdf](https://unstats.un.org/sdgs/indicators/Global%20Indicator%20Framework_A.RES.71.313%20Annex.pdf)

<sup>42</sup> Structural factors include society and culture, history, demography etc. and examples of institutional factors are policies, laws, regulation, public finance management, government leadership etc.



# Chapter Three

Forms of  
exclusion and  
approaches  
to inclusion



# 3 Forms of exclusion and approaches to inclusion

Exclusion and inequalities in the water and sanitation sectors manifest themselves in different forms and take place at different levels.

## 3.1 Exclusion and inequalities in the Water and Sanitation sectors across different levels

### Global inequalities

Globally, certain regions or countries are lagging behind others in terms of progress on adequate water and sanitation levels, as seen in the figures 4 and 5. Recent analysis shows that the inequality of water and sanitation coverage across the world has not been addressed effectively during the past decade.<sup>43</sup> Findings demonstrate that the countries with the least coverage persistently received far less development assistance per capita than countries with much more extensive water and sanitation coverage, suggesting that development assistance for water and sanitation is poorly targeted.<sup>44</sup> Moreover, global averages show that more development assistance investments are dedicated to large-scale water and sanitation infrastructure than small-scale water

and sanitation solutions.<sup>45</sup> The latter generally serves the poorest parts of the population and household in rural or informal settlements.<sup>46</sup>

Global inequalities also manifest themselves through the affordability of WASH services, among other indicators. However, targets are in place to change this. SDG target 6.1 aims for universal access to affordable drinking water. The human rights to water and sanitation place obligations upon states to ensure affordable services that should not prevent individuals from acquiring other services and goods protected by human rights such as food, housing, health, clothing and education. However, monitoring 'affordability' presents many challenges, and is very country and situation dependent.

<sup>43</sup> Cha S, Mankadi PM, Elhag MS, Lee Y, Jin Y, Trends of improved water and sanitation coverage around the globe between 1990 and 2010: inequality among countries and performance of official development assistance, Glob Health Action, 2017.

<sup>44</sup> Ibid.

<sup>45</sup> <http://stats.oecd.org/>

<sup>46</sup> UN-water global analysis and assessment of sanitation and drinking-water (GLAAS) 2014 report: Investing in water and sanitation: increasing access, reducing inequalities, page 49

Figure 4. Proportion of the population using at least basic sanitation services, 2015 (JMP 2017)

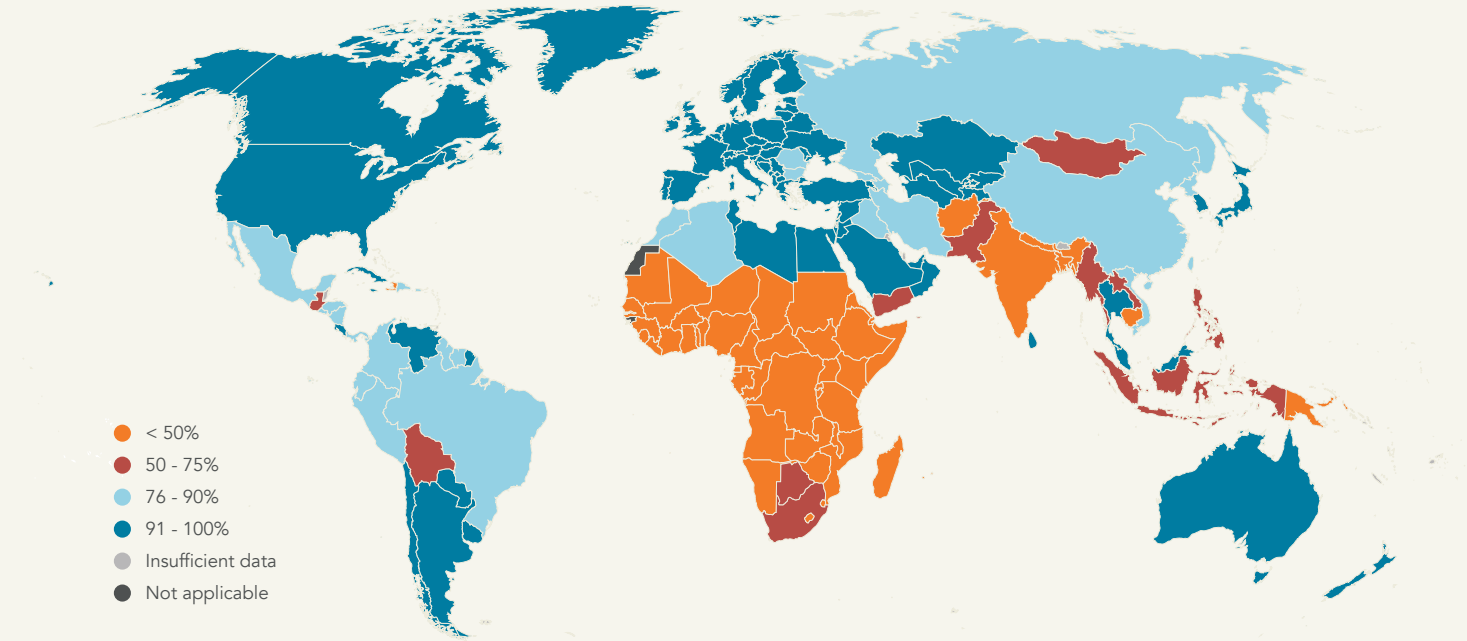


Figure 5. Proportion of population with hand washing facilities including soap and water at home, 2015 (JMP 2017)

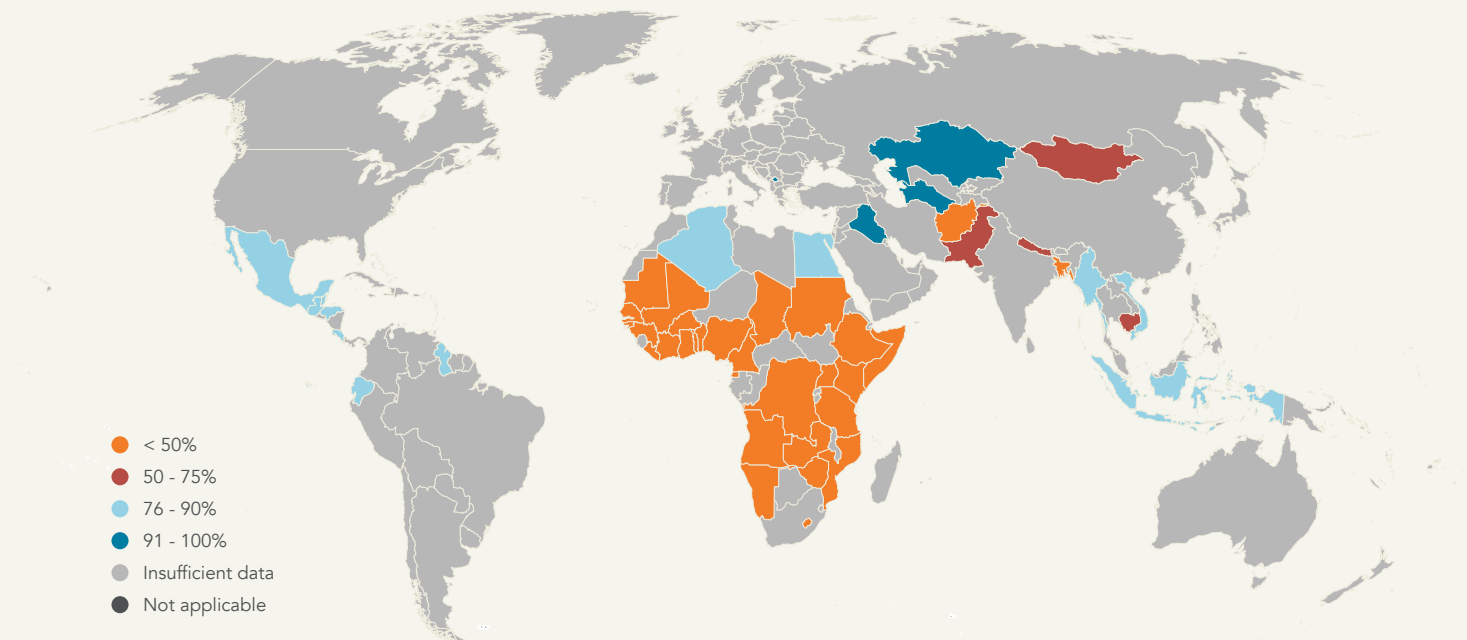
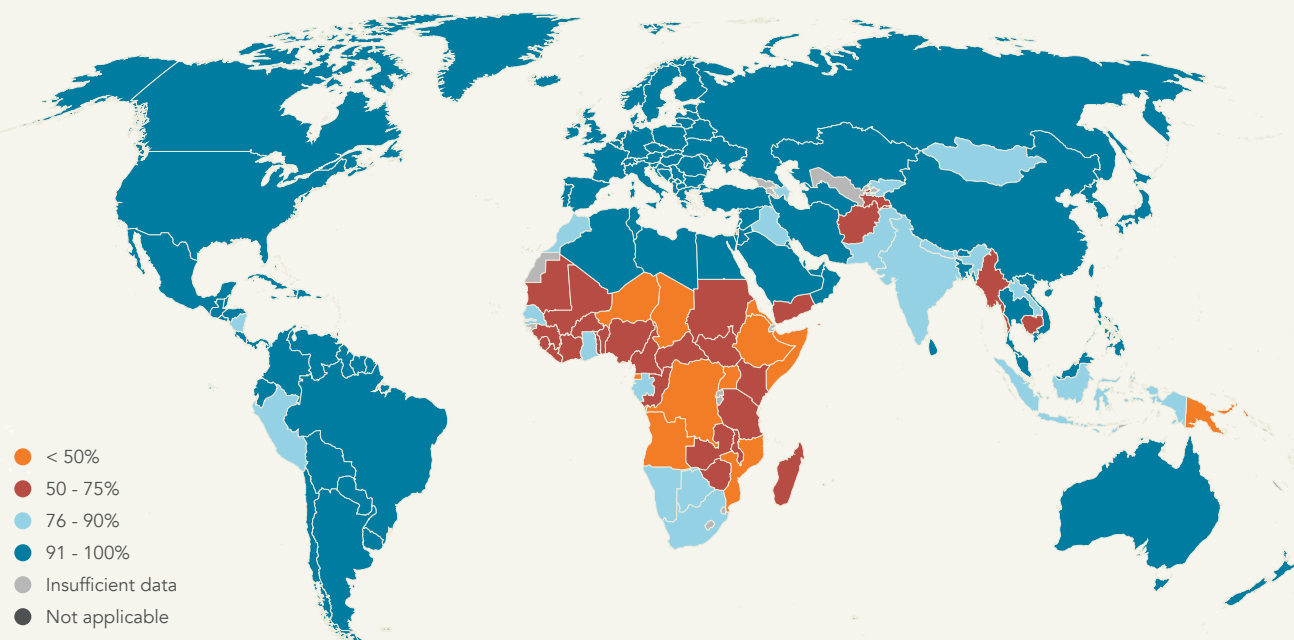


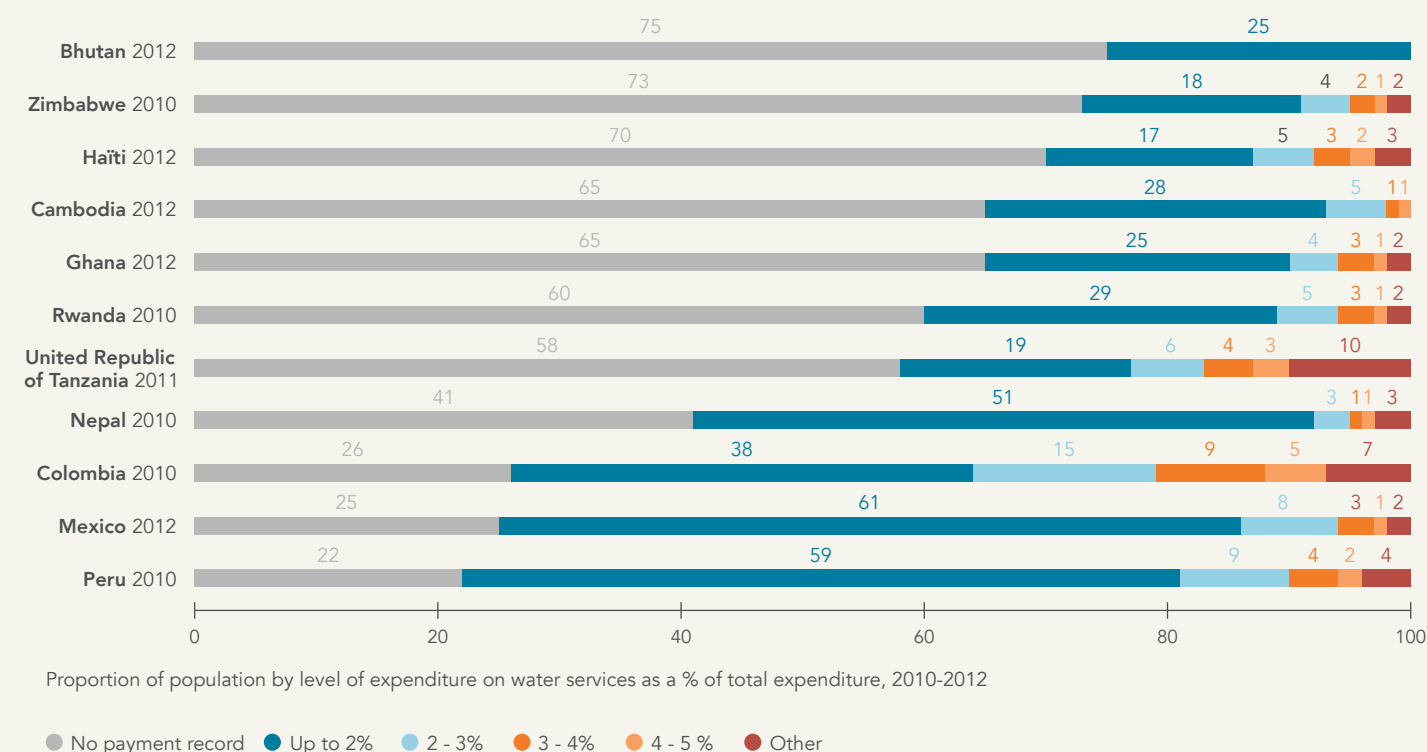
Figure 6. Proportion of the population using at least basic drinking water services, 2015 (JMP 2017)



Global inequalities also manifest themselves through the affordability of WASH services, among other indicators, as seen in Figure 7. However, targets are in place to change this. SDG target 6.1 aims for universal access to affordable drinking water. The human rights to water and sanitation place obligations upon

states to ensure affordable services that should not prevent individuals from acquiring other services and goods protected by human rights such as food, housing, health, clothing and education.<sup>47</sup> However, monitoring 'affordability' presents many challenges, and is very country and situation dependent.<sup>48</sup>

Figure 7. Proportion of household expenditure on water services, by country (%) (JMP 2017)



Proportion of population by level of expenditure on water services as a % of total expenditure, 2010-2012

**Inequalities within countries**

On national level there are disparities in access to water and sanitation services across different regions and groups of people. Inequalities occur between rural and urban areas, urban formal and informal areas, areas where certain minorities reside, or between people belonging to a certain group, class or religion.<sup>49</sup> For example, Angola has relatively high coverage of basic drinking water compared to other countries in sub-Saharan Africa, but there is a 40-percentage point gap between urban and rural areas and a 65-percentage point gap between the richest and poorest quintiles. In the best performing subnational region in Panama, 95 per cent of the population uses basic sanitation, compared to just one per cent in the worst performing subnational region. And while Bangladesh is close to eliminating open defecation, the problem is now concentrated among the bottom wealth quintiles and two subnational regions.<sup>50</sup> The latest JMP figures also

show that national averages mask significant inequalities between subnational regions.<sup>51</sup>

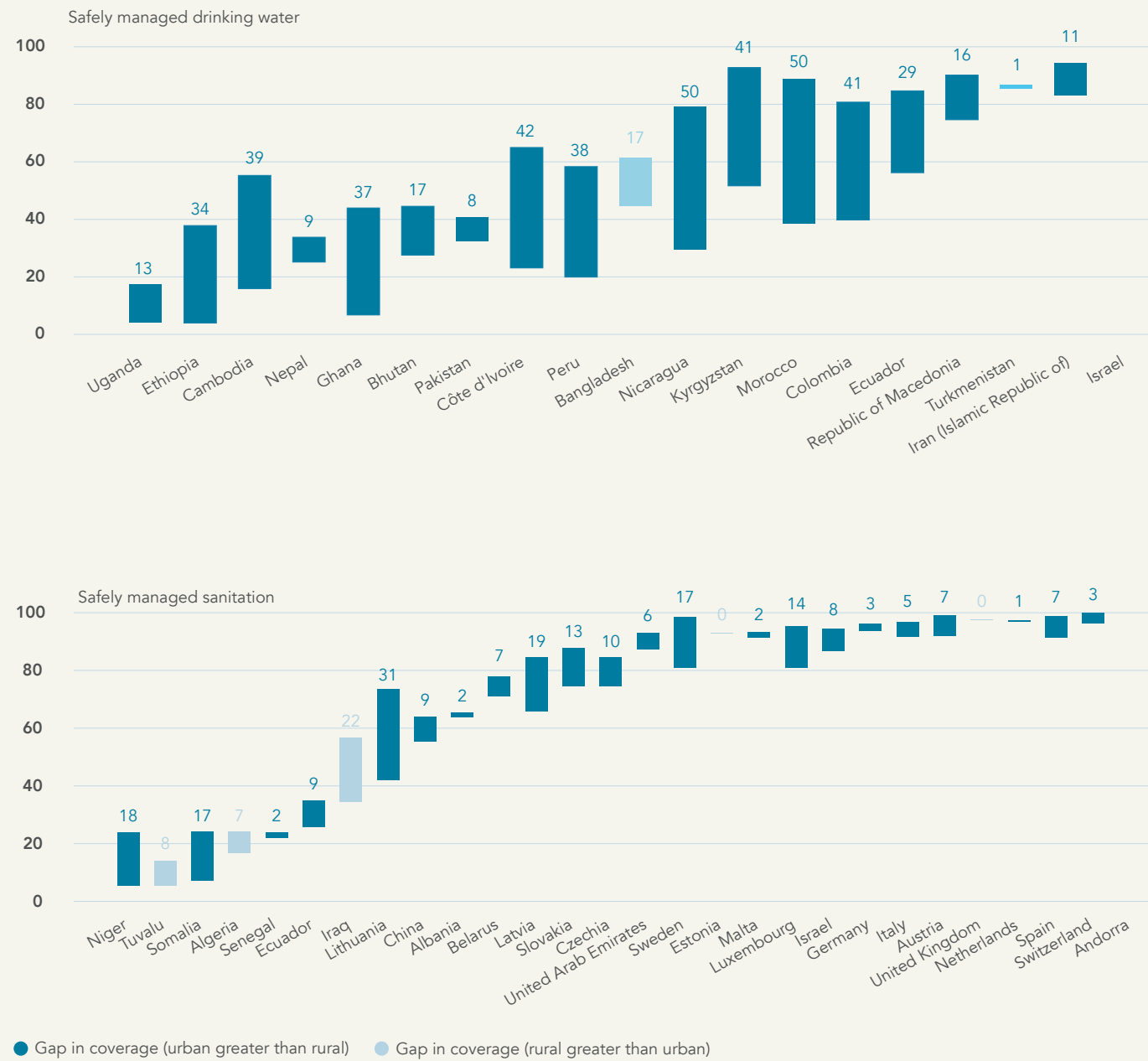
**Inequalities within the urban and rural areas**

Globally, 8 out of 10 people without improved drinking water live in rural areas.<sup>52</sup> 96% of the global urban population uses improved drinking water sources, compared with 84% of the rural population.<sup>53</sup> In terms of access to improved sanitation, 82% of the global urban population can access such facilities in contrast to 51% of the global rural population. Figure 8 shows the percentage point gap in coverage of safely managed services for countries with estimates for both rural and urban areas. It shows that urban coverage of safely managed drinking water and sanitation is greater than rural coverage in almost all countries with data. The coverage gaps for safely managed drinking water are particularly striking, and exceed 30 percentage points in half of the countries with data.

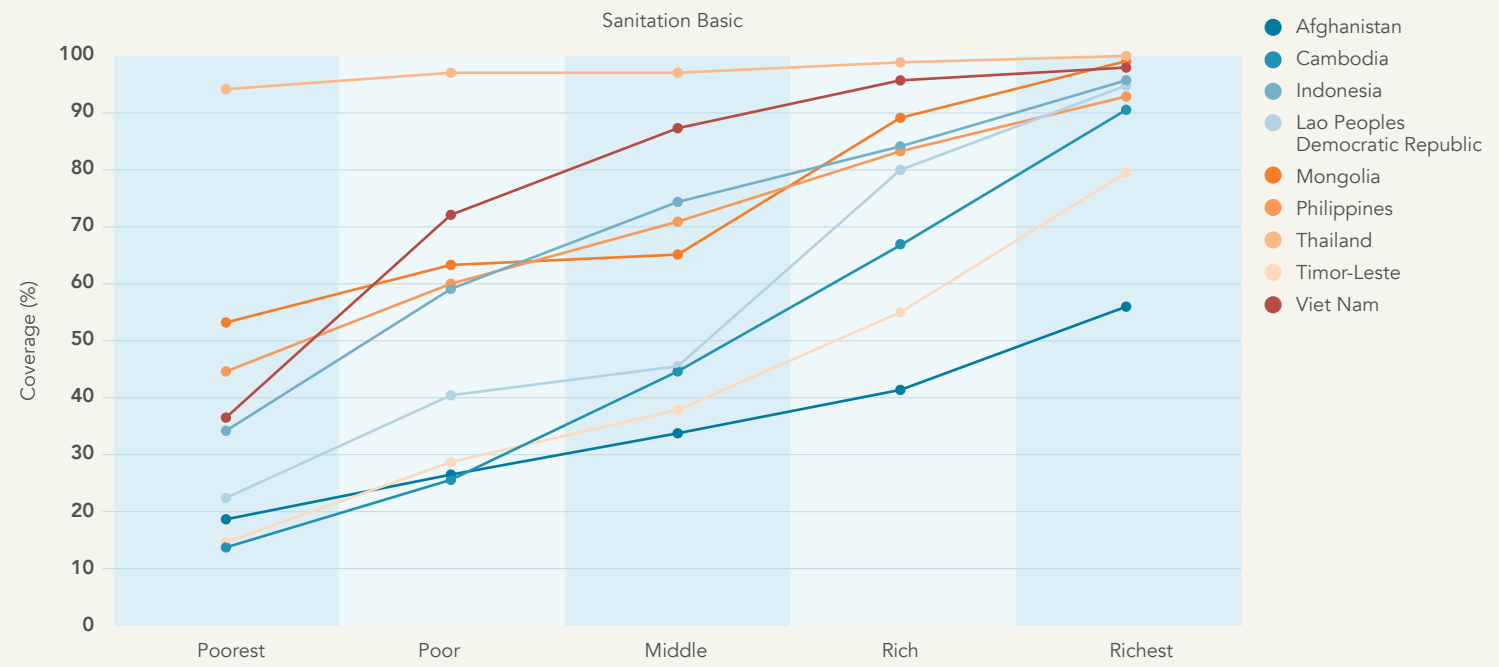
47 A/HRC/30/39, 2015, and Safely managed drinking water - thematic report on drinking water 2017. Geneva, Switzerland: World Health Organization; 2017, page 22  
48 ibid.

49 A See the grounds for exclusion as cited above.  
50 JMP report 2017, page 34  
51 ibid, page 40  
52 JMP 2015 report ([http://www.who.int/water\\_sanitation\\_health/monitoring/jmp-2015-key-facts/en/](http://www.who.int/water_sanitation_health/monitoring/jmp-2015-key-facts/en/))  
53 JMP 2015 report ([http://www.who.int/water\\_sanitation\\_health/monitoring/jmp-2015-key-facts/en/](http://www.who.int/water_sanitation_health/monitoring/jmp-2015-key-facts/en/))

**Figure 8.** Percentage point difference in the use of safely managed services between urban and rural areas, 2015  
Source: JMP 2017 (<http://apps.who.int/iris/bitstream/handle/10665/258617/9789241512893-eng.pdf;jsessionid=C-DE16F5F29633F5C4D83EAF7060BCD2C?sequence=1>)



**Figure 9.** Global Wealth quintiles (JMP 2015)



**Disparity in the household expenditure on water facilities**

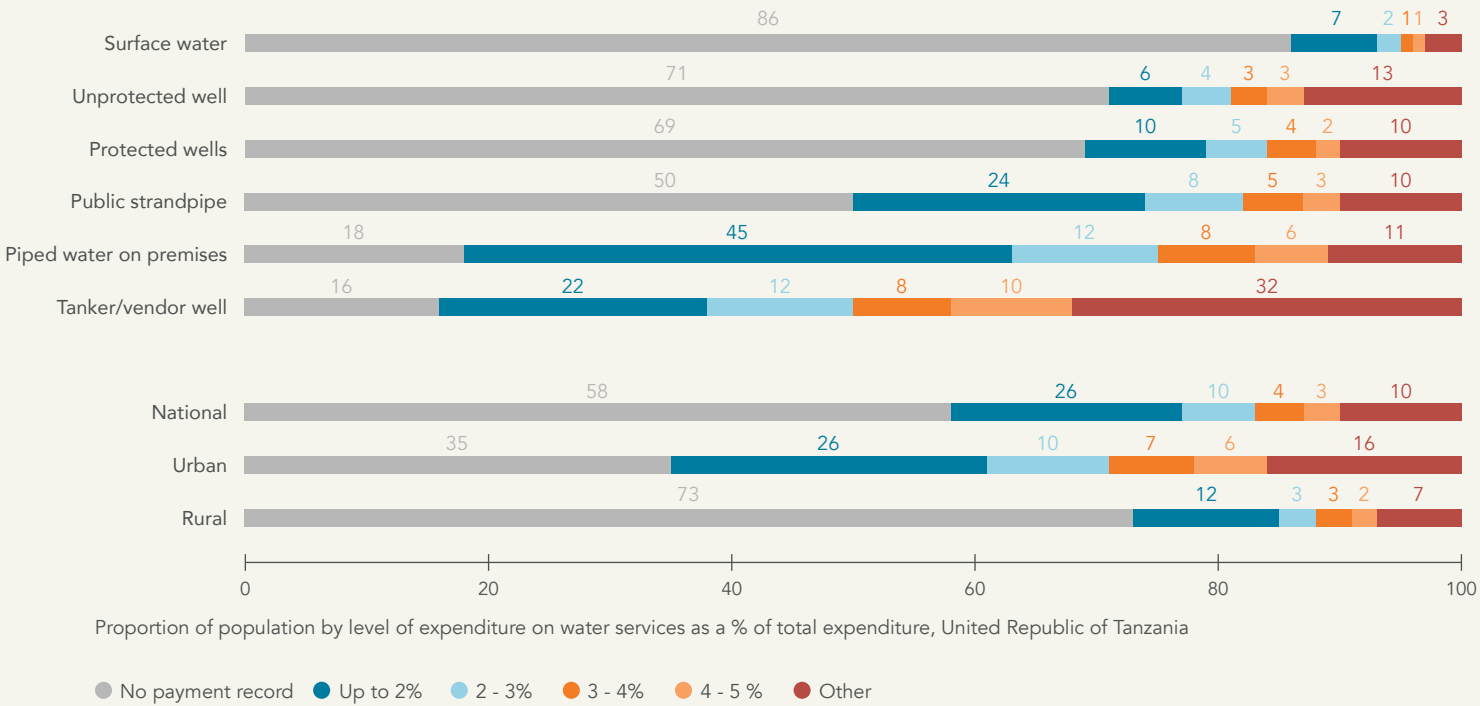
In collaboration with the World Bank, JMP monitors the affordability of water by calculating the amount spent on water in relation to a household's total consumption (the sum of all expenditures). It shows that in some countries many households spent over 5% of their annual expenditure on water services. In Tanzania for example (Figure 10), people that rely on water from tankers pay much more on water than people that have piped connections on the premises, and households using tanker/vendor water are most likely to spend over 5% of their annual budget on water.

**Inequalities by wealth quintiles**

Inequalities are also tracked globally by wealth quintiles. The example below (figure 9) of South Asian countries shows that in some countries, the poorest sections of society have significantly less access to sanitation services than the richest.<sup>54</sup>

54 Table downloaded from JMP: <https://washdata.org/data>

**Figure 10.** Proportion of household expenditure on water services, by source type and residence (%). Source: JMP 2017 (Safely managed drinking water - thematic report on drinking water 2017. Geneva, Switzerland: World Health Organization; 2017)

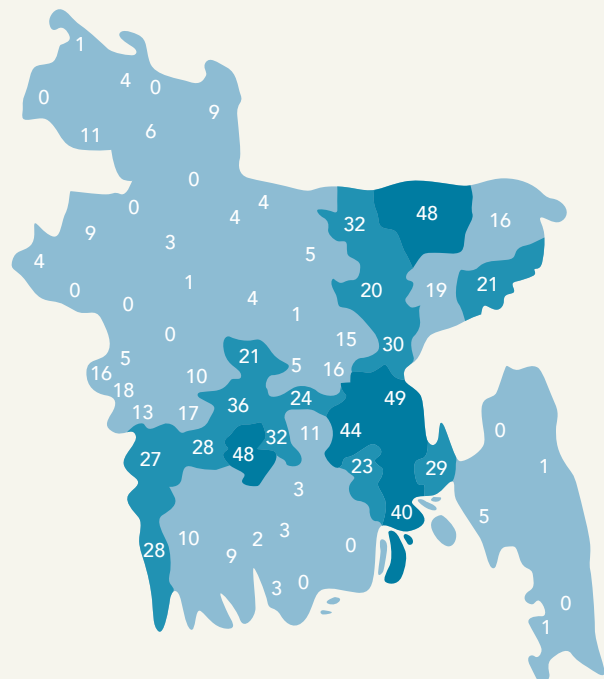


**Disparity between the standard quality of water and sanitation in countries**

Differences in the quality of water and sanitation vary within countries. For example, naturally occurring arsenic is a major challenge in Bangladesh. The data collected from JMP’s 2017 survey

showed that there are many parts of the country where arsenic levels exceed the national standard of 50 parts per billion.<sup>55</sup> Figure 11 shows the proportion of the population using a water resource containing levels of arsenic higher than the national recommendations.

**Figure 11.** Proportion of the population using a drinking water source with arsenic exceeding the Bangladesh national standard. Source: JMP 2017 (Safely managed drinking water - thematic report on drinking water 2017. Geneva, Switzerland: World Health Organization; 2017)



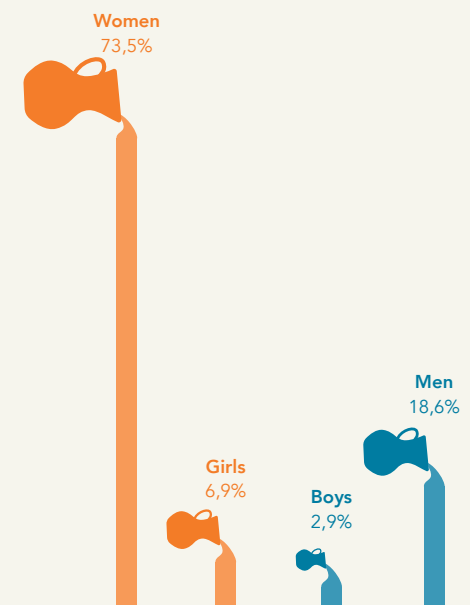
Discrimination and exclusion also take place at village and household level. People with disabilities, the elderly, members of a certain class, women and girls, minority groups, the LGBT community, or the poorest households, to name but a few, are often excluded from decision-making on water and sanitation, or from using available services. This may be due to socio-cultural factors, or because of economic restrictions with discriminatory effects - some people may not be able to pay for the services available. Some people may also be disproportionately affected by a lack of services. For example, women who are menstruating, or pregnant, suffer due to the scarcity of sanitation services. Exclusion and inequalities also take place within the household. Some members of the family may be excluded from decision-making regarding water and sanitation facilities, or are excluded from using these - for example, during menstruation.

As monitored by JMP, when drinking water sources are not located on household premises, households must spend time and energy in collecting water. The burden of water collection is far from evenly distributed among household members. Figure 12 is based on JMP’s analysis of Multiple Indicator Cluster Surveys (MICS) and Demographic and Health Survey (DHS) data for the Women’s World Report in 2015, and clearly shows that the burden of hauling water falls disproportionately on women. In 53 out of 73 countries, over half of the households with water off-premises rely on women to collect water. In a few countries (e.g. Mongolia), men are primarily responsible, and in 14 countries, the burden also falls on children, with a boy or girl under 15 primarily responsible in at least 1 in 10 households.<sup>56</sup>

Some people face multiple grounds of discrimination which have a grave cumulative effect. For example, a girl who lives in an informal settlement may face multiple discriminations because of both tenure status and gender. She may not attend school because there are no menstrual hygiene facilities available, and she lives in informal housing, for which no regular service provision is arranged. She is therefore more exposed than her peers to the risk of assault since she needs to use a secluded spot for open defecation and must walk to a community toilet in the dark.<sup>57</sup>

Substantive equality requires a focus on all groups in society experiencing exclusion and discrimination and requires the adoption of targeted measures to support these groups when barriers persist to them fully participating in processes that affect their enjoyment of rights, including water and sanitation.<sup>58</sup>

**Figure 12.** Proportion of women and girls responsible for collecting drinking water (Safely managed drinking water - thematic report on drinking water 2017. Geneva, Switzerland: World Health Organization; 2017)



<sup>55</sup> Safely managed drinking water - thematic report on drinking water 2017. Geneva, Switzerland: World Health Organization; 2017  
<sup>56</sup> Safely managed drinking water - thematic report on drinking water 2017. Geneva, Switzerland: World Health Organization; 2017, page 30  
<sup>57</sup> Example used in: Laura van de Lande, Eliminating discrimination and inequalities in access to water and sanitation, UN Water, p. 17. Available at: [http://hrbportal.org/wp-content/files/UN-Water\\_Policy\\_Brief\\_Anti-Discrimination.pdf](http://hrbportal.org/wp-content/files/UN-Water_Policy_Brief_Anti-Discrimination.pdf)  
<sup>58</sup> Catarina de Albuquerque, A Handbook, Booklet principles, page 19.



The first step is to identify those who are excluded, at what level of participation, and the barriers they face. This requires deliberate efforts because a history of marginalization and exclusion will often have resulted in making such groups invisible.<sup>59</sup> In the WASH sector, relying on JMP data alone does not provide for a sufficient overview of inequalities on the ground. Besides, as indicated in the latest JMP report, tracking inequalities in safely managed services is challenging, as there is currently little information available on service levels, and it is rarely disaggregated by population subgroups. Currently only 19 countries have rural and urban estimates for safely managed drinking water.<sup>60</sup>

## 3.2 Approaches to social inclusion in WASH and IWRM

Development cooperation consists of loans and grants that are channelled through non-governmental organizations and civil society, bi- and multilateral organizations, public-private partnerships and private contractors. All these actors use a variety of approaches that aim to prioritize people who are excluded from participation, are most in need of services or who face particular challenges.

Approaches differ between different stakeholders in development work, and like the variety of types of organizations and institutions, it also varies to what extent an inclusive approach is adapted, or not, as part of their policy frameworks, operational tools, project selection, design and implementation, as well as project assessment and monitoring practices.

Civil society organizations often focus on the needs of particular groups of people they represent, and NGOs often address particular grounds for social exclusion.<sup>61</sup> Examples include organizations with a particular focus on indigenous peoples' right to water and sanitation, or on gender equality specifically, or disability. States and development agencies sometimes seek to apply a broader approach, in line with their general poli-

cies, including for instance a pro-poor approach, or a focus on creating an enabling environment.

There is no limit to the type of approaches used by different actors, and it may well be that when two different organizations or states in their development work, both declare using a certain approach, they have applied different concepts in their policies and practices.

Some commonly used terms for approaches include:

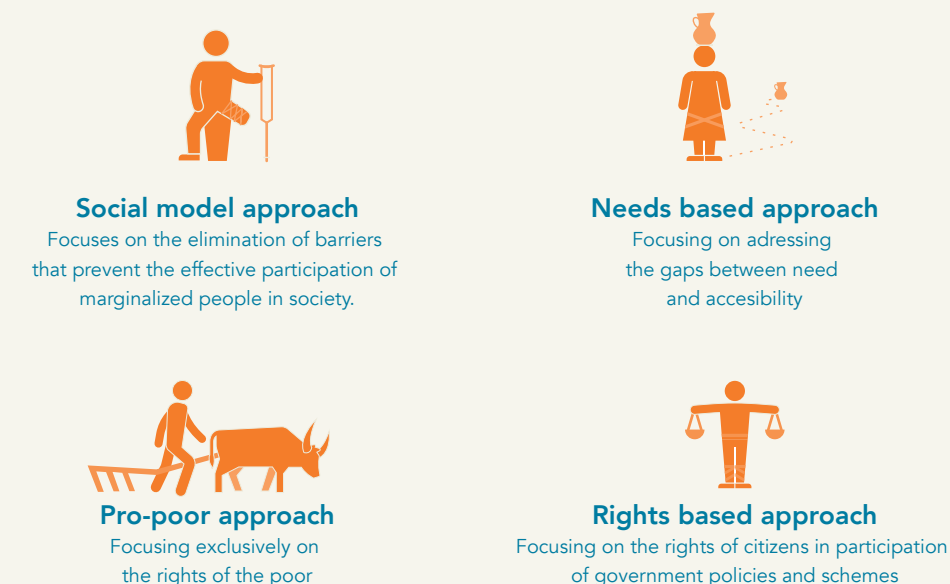
► **A pro-poor approach:** 'Pro-poor' is a term that has become widely used in development literature. It often refers to policies that directly target poor people, or that are more generally aimed at reducing poverty.<sup>62</sup> Pro-poor policies can be defined as those policies that aim to improve the assets and capabilities of poor people. They include policy interventions that directly target poor people or focus on poverty reduction in general.<sup>63</sup> For water and sanitation it means that development programs and investments focus on people living in poverty – often combined with opportunities for poor people to increase their income and attain economic empowerment.

- **A needs-based approach:** Aims to relieve people from immediate gaps in their basic needs. For water and sanitation, it aims to change a lack of access to services with funding and programmes that are channelled towards building infrastructure to satisfaction of immediate needs instead. In this approach people are regarded as passive 'recipients' or 'beneficiaries'. It should be noted that this approach does not guarantee that improvements in access will be sustained.<sup>64</sup>
- **A social model approach:** Focuses on the elimination of barriers that prevent the effective participation of marginalized people in society. The model was developed by the disability movement but can be applied to other people and groups, including those facing exclusion from WASH services. The model identifies three major barriers to inclusion: Attitudinal (negative views of people by others in society); Environmental (physical, accessibility of infrastructure and facilities, communication issues);

Institutional/organizational (systematic exclusion or neglect in social, legal, educational, religious, political and development institutions and organizations). Everyone involved in providing WASH has a role in reducing all these barriers for all those who are excluded.<sup>65</sup>

► **A rights-based approach:** is directed towards developing the capacity of the state to fulfil its human rights obligations. It applies human rights principles of participation, equality and non-discrimination, access to information, sustainability and accountability to development work. For the WASH and IWRM sector it means that development cooperation focuses on the capacity of the state to realize the human rights to WASH of rights-holders, and the capacity of rights-holders to claim rights, by identifying and addressing underlying issues that caused existing inequalities, and to bring about systemic changes needed to guarantee equal access to water and sanitation for everyone.

Figure 14. Approaches towards social inclusion



59 OHCHR, report on meaningful participation, A/69/213, 31 July 2014

60 JMP 2017, page 43.

61 Eric Werker and Faisal Z. Ahmed, What Do Nongovernmental Organizations Do?, Journal of Economic Perspectives—Volume 22, Number 2—Spring 2008—Page 74

62 <https://www.odi.org/projects/understanding-pro-poor-policy-processes>

63 Bird & Busse, Pro-poor policy - an overview, 2006: <https://www.shareweb.ch/site/Poverty-Wellbeing/currentpovertyissues/Documents/Pro-Poor%20Policy%20-%20An%20Overview%20Kate%20Bird.pdf>

64 L. Gosling, WaterAid, a rights-based approach, page 7

65 Louisa Gosling, Wateraid report Framework, Equity and Inclusion, 2009

### 3.3 Addressing exclusion in development

#### Consequences for non-state organizations

Actors and institutions tend to use their own interpretation of an approach and how it should be operationalized. Development actors should therefore ensure that their policies and guidelines provide clarity and explain every term fully, so that the people affected by their actions can hold actors accountable to their commitments.

As noted in Section 3.1, exclusion and inequalities take place at different levels: they are measured between different countries, within countries, and also at village and within households. Development work can target these inequalities at different levels. This also means that when programmes are implemented at village level surrounding villages may be excluded from progress.

In order to not exacerbate existing inequalities, planning should be done in collaboration with the main stakeholders including the local government and local communities. Although NGOs do not have a legal obligation towards fulfilling the human rights of the people they represent, they should always ensure that they are at least not violating their rights. This means that services should not regress, and that inequalities and discrimination should not be aggravated.

States, their agencies and multilateral organizations consisting of states, are all bound by human rights. Therefore they should adapt approaches in line with basic human rights principles, and go beyond a cherry-picking exercise in which, for example, only certain vulnerable groups of people or areas are prioritized, or where participation takes place on an ad hoc basis.

#### Role of local governments

While central government plays a role in devising social inclusion strategies, it is local or regional government who often implements these strategies. For central government, it is important to realise the diverse nature of the social inclusion challenge, and that such initiatives involve several layers of implementation by local and regional governments. An ideal social inclusion strategy should start by identifying a series of practical objectives and actions that can positively impact processes for decreasing the levels of social exclusion and poverty, and improving the quality of life of every member of society. The next step would be local governments formulating an effective local solution i.e. involving all residents in a participatory framework, promoting awareness of and then eliminating discriminatory laws and practices, transforming people's mindset, producing an inclusive policy framework, setting social inclusion objectives and mainstreaming social inclusion objectives. In this way local governments can and should play a crucial role in fulfilling HRtWS.<sup>66</sup>

#### Role of donor states

Donors play an important role in ensuring increased implementation of social inclusive programmes; they can utilise certain tools and instrument, the results of which can be used in their negotiations with the partner state. When donor states engage in understanding the socio-political status of the beneficiary country, they can be much more effective in addressing social inclusion. Example of instruments used by donor agencies to achieve this goal is SIDA's Power Analysis. Such instruments help in conducting country-level analyses to support the donor state's design of country strategies and programmes.<sup>67</sup>

## Chapter Four | Methodology for mapping

<sup>66</sup> <http://www.un.org/esa/socdev/egms/docs/2009/Ghana/inclusive-society.pdf>

<sup>67</sup> <http://gsdrc.org/topic-guides/social-exclusion/identifying-exclusion/tools-for-assessing-exclusion/>



# 4. Methodology for mapping

## 4.1 Introduction

As explained in the introduction of this report, this study is expected to form the basis for a position paper that aims to provide the Dutch MFA with a number of options to better integrate social inclusion in the implementation of the 2016-2030 WASH strategy. At the same time this working document offers a resource document for all water and sanitation professionals with an interest in translating social inclusion policies and strategies into the implementation of WASH programmes that effectively contribute to reaching the poorest and most marginalized groups.

To achieve this goal:

- ▶ The first step in the process was to formulate a conceptual framework that forms the theoretical foundation for the study, the results of which have been presented in previous chapters.
- ▶ The next step was to identify funding and implementing organizations involved in WASH and with a track record in addressing social

inclusion in their programmes and projects. Nine organizations were selected on the basis of criteria (informed by the conceptual framework) in order for us to find inspiration, learn from their experience and distil recommendations for future socially inclusive WASH strategies.

- ▶ Finally the data and results from these nine case studies are analysed in comparative perspective.

In this chapter the methodology is described in more detail. The first section outlines the selection-procedure of the 'sample organizations', including a brief explanation of the selection-criteria, as well as an overview of the selected organizations and their particular value for this study. The second section further outlines our methodological approach for exploring and determining the specific social inclusion-strategies and practices adopted by the 'sample organizations'. A third and final section will then explain the analysis of the collected data.

## 4.2 Sampling of organizations

### Selection criteria

In order to identify the most relevant organizations for this study, a list of 27 donor and implementing agencies was compiled. This included each organization's demonstrable experience with and/or explicitly formulated programmes in the WASH sector. Based on brief web-based research and consultation with Watershed team, the consultants narrowed down these 27 organizations to 9 organizations that serve as the cases for this study.

The selection of these 9 agencies was based on a number of criteria:

1. The sample organizations must include both donor as well as implementing agencies;
2. They have explicit programmes/policies

focusing on WASH;

3. They have a demonstrable track record of addressing social inclusion in their strategies;
4. The sample of organizations covers a broad geographical spectrum (i.e. they do not all focus on the same regions) ;
5. The sample organizations include both Dutch-based and international organizations.

Furthermore, a distinction was made between five categories of organization: multilateral institutions; development banks; bilateral institutions; international non-governmental organizations; and Dutch based organizations. As described in the list of selection criteria, care was taken to ensure that both funding as well as implementing agencies are included in the sample.

By 'funding agencies' we mean those multilateral and bilateral institutions and development banks that fund governments and or other agencies to implement programmes on the ground. In contrast to implementing agencies, funding organizations are not expected to have hands-on experience in the field in which they would be required to follow programme activity plans and to deal with the practical application of social inclusion. Rather, in terms of a social inclusion framework, donor organizations are more likely to have formulated a set of broader criteria for programme proposals and evaluations.

Implementing agencies are organizations that put WASH programmes in practice on the ground. They are usually responsible for the formulation of detailed programme and project strategies and activity plans. Where donor agencies can formulate a framework of criteria for social inclusive approaches, implementing agencies need to operationalize such criteria.

However, in practice the distinction between funding and implementing agencies is not always

as clear-cut: implementing agencies in practice can be funders and vice versa. UNICEF for instance, can be regarded as both a funding and an implementing agency, and will therefore be able to provide valuable insights from both sides of the spectrum. Therefore, in the mapping the core work of the selected organizations takes centre stage and will determine the dominant focus of the mapping exercise when studying their strategies and activities. This is important as the different approaches and levels of interaction of funding and implementing organizations can result in different research outcomes both in the desk research and in the interviews with representatives of the selected organizations.

Annex 2 gives an overview of the responsibilities of the different groups of development actors regarding social inclusion in the human rights framework.

### Overview of organizations

Here follows an overview of the 9 selected organizations that are featured in this study.

Development bank	
World Bank	The World Bank is the world's largest multilateral source of financing for water in developing countries and works closely with partners to achieve "A Water-Secure World for All". Interestingly, the World Bank does not officially recognize the right to Water & Sanitation but does put strong emphasis on addressing social exclusion and has formulated policies and appointed capacity towards promoting social inclusion approaches in World Bank funded projects. <a href="http://www.worldbank.org">www.worldbank.org</a>
Multilateral institutions	
UNICEF	UNICEF's WASH team works in over 100 countries worldwide to improve water and sanitation services, as well as basic hygiene practices. In this endeavour, child protection and inclusion are explicitly marked as key priorities. UNICEF's comprehensive WASH strategy identifies universal and equitable access to safe and affordable drinking water and sanitation and hygiene as core objectives, paying special attention to the needs of women and girls and those in vulnerable situations. <a href="http://www.unicef.org">www.unicef.org</a>

Water Supply & Sanitation Collaborative Council (WSSCC)	The Water Supply and Sanitation Collaborative Council (WSSCC) is a global, multi-stakeholder organization that works to improve sanitation and hygiene at scale, focusing in particular on the most vulnerable and marginalized people. At the heart of its efforts is a commitment to promote equality, human rights and non-discrimination, resulting in a comprehensive and detailed strategy with regards to social inclusion in WASH. <a href="http://www.wsscc.org">www.wsscc.org</a>
<b>Governmental advisory body</b>	
Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)	GIZ is the governmental advisory body for the Federal Ministry for Economic Cooperation and Development of Germany. BMZ takes a human rights-based approach (HRBA) to development cooperation in the water sector and upholds the 'Leave No One Behind principle'. In the face of limited resources, BMZ explicitly prioritizes serving disadvantaged people. <a href="http://www.giz.de">www.giz.de</a>
<b>Bilateral institutions</b>	
Swedish International Development Cooperation Agency (SIDA)	Compared to other bilateral agencies SIDA's strategy to integrate a HRBA into WASH policy seems the most advanced. Additionally, SIDA has formulated a clear strategy for including women and ensuring gender equality in WASH policy. Human rights and social inclusion take centre stage throughout SIDA's WASH strategy, making the Swedish agency a valuable example to draw lessons from. <a href="http://www.sida.se">www.sida.se</a>
<b>International non-governmental organizations</b>	
WaterAid	This international NGO is generally regarded as one of the world's leading organizations when it comes to WASH programming. WaterAid works towards the three essentials of clean water, decent toilets, and good hygiene, and expresses an explicit commitment to address different barriers people and groups face when trying to access WASH. <a href="http://www.wateraid.org">www.wateraid.org</a>
BRAC	As one of the largest international NGOs, BRAC is an influential stakeholder to include in the sampling. Its WASH programme, which reaches millions of people, is generally regarded as exemplary for approaches to sanitation and hygiene, with community mobilisation, behaviour change, gender inclusion and equity as essential components. <a href="http://www.brac.net">www.brac.net</a>

<b>Dutch-based organizations</b>	
Vitens and Evidens Waterbedrijf (VEI)	VEI is a cooperation between the Netherlands' two largest water companies: Vitens and Evidens Waterbedrijf. It is a Dutch-based international water operator that helps water companies in developing and transition countries to expand their capability and professionalise their operations. VEI is committed to providing universal access to potable water. VEI is part of a partnership of Dutch water supply companies who, with the support of the Dutch government, recently launched the WaterWorx programme; a programme that will provide access to safe drinking water to 10 million people worldwide by 2030. <a href="http://www.vitensevidesinternational.com">www.vitensevidesinternational.com</a>
Plan Nederland	Plan Nederland is an independent development and humanitarian organization dedicated to creating equal opportunities and rights for girls and boys in developing countries. Plan Nederland's WASH programmes support local communities in improving their access to WASH and explicitly focuses on improving the disadvantageous position of girls and young women. <a href="http://www.plannederland.nl">www.plannederland.nl</a>

### 4.3 Mapping approach and instruments

The purpose of the mapping in this study is to identify good practices addressing social inclusion in WASH programmes and projects and to draw inspiration and lessons from these practices. For a sound basis of understanding of the MFA policy and its approach to social inclusion in its WASH programming, interviews have been conducted with policymakers at MFA and the Embassy of Benin. Their input was used to guide the presentation of the findings of the mapping.

#### Data collection

To identify good practices and draw lessons from organizations' experiences, each of the selected organizations are examined in two phases: 1) An initial document analysis, in which available documents related to social inclusion and WASH are analysed; 2) An interview, during which a WASH and/or social inclusion expert from the selected organization will be questioned about their experiences and recommendations in relation to

social inclusion in WASH. Both the desk research and the interview questions are informed by the conceptual framework and further supplemented on the basis of a number of existing tools and policy guidelines.<sup>68</sup>

**Document analysis:** Policy documents are gathered in a web-based search and/or provided by contact persons from the selected organizations. These documents, outlining organizations' WASH-strategies and programme, as well as their social inclusion strategies, are analysed using the 'common elements checklist' that will focus attention on key aspects of social inclusion. The document analysis serves to: 1) identify how organizations define social exclusion in relation to WASH; 2) learn what strategies organizations have formulated to address social exclusion; and 3) determine whether and how organizations' strategies are taking form in practice.

<sup>68</sup> The conceptual framework provides a clear definition of social inclusion, delineates how barriers to social inclusion affect access to WASH, and outlines some possible ways to address different forms of social exclusion in WASH programmes. Additional resources are used to complement the 'checklist' so as to ensure that specific approaches to social inclusion in WASH programmes are not overlooked.



**Interviews:** Where the document analysis serves to provide a general overview of organizations' understanding of and approaches to social inclusion in WASH programmes, interviews with programme coordinators from the selected organizations are carried out to add more detail to this knowledge. Interview questions have been formulated to provide a general structure to the interviews. These questions address the following core elements: general strategy, WASH specific strategy, planning & design, implementation and monitoring, evaluation and

learning. The purpose of these interviews is to understand organizations' strategy towards social inclusion and how this strategy translates to WASH programme criteria, design and (in the case of implementing agencies) practical implementation. Annex 3 provides an overview of the interview questions. However, for each of the interviews the questions have been amended depending on the information gathered in the document analysis. Additionally, during the interviews some questions may be added or left out, depending on the given answers.

## Chapter Five

Approaches,  
methods  
& activities  
to social  
inclusive WASH  
programming

# 5. Approaches, methods & activities to social inclusive WASH programming<sup>70</sup>

## 5.1 Introduction

This chapter provides an overview of the social inclusive WASH approaches, methods and activities shared by the nine organizations that participated in our mapping exercise. Both funding agencies (donor and multilateral) and implementing organizations have shared their experiences and strategies in addressing social exclusion in the WASH sector. The presentation of these findings is organized along the lines of the programme cycle: first, we describe overarching organizational structures determining the scope, resources and capacity of organizations to act. This is followed by a presentation of approaches to analysis and decision-

making structures of barriers to social inclusive WASH services. The section on analysis leads us to a description of the planning and programme development stages of organizations, which provide the frameworks for implementation and monitoring and evaluation. Descriptive text boxes are provided throughout to offer more details on inspiring tools and instruments used by organizations to develop, implement or monitor their social inclusive programmes. For more information on such tools and instruments, please refer to Annex 5 for an extensive overview of tools and instruments suggested by the mapped organizations.

## 5.2 Strategies, themes & levels of intervention

### Social inclusion strategies

It is important to note that the 9 mapped organizations and institutions are at different stages of adopting a social inclusion perspective within their organizational strategy. While at the global stage a Human Rights to Water and Sanitation (HRtWS) approach was already adopted in 2010, in 2015 the Sustainable Development Goals (SDGs) introduced the concept of 'social inclusion' and 'leave no-one behind' as the core principles. As described in the conceptual framework, the SDGs called for ensuring "that no person—regardless of ethnicity, gender, geography, disability, race, or status—is denied universal human rights and basic economic opportunities".

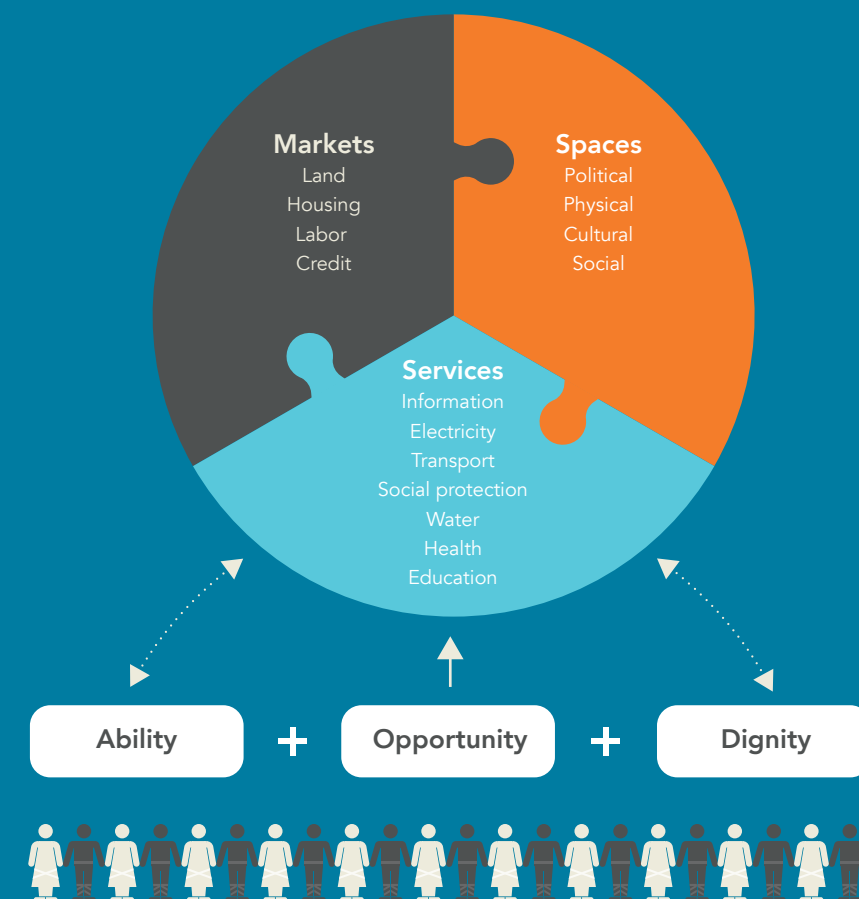
Since then organizations have been working towards amending their strategies to become more in line with the SDG agenda. This agenda implies that progress towards the SDGs should be considered according to how well groups that are furthest behind are advancing. As the social inclusion agenda of the SDGs is not a prescriptive principle, responses from multilaterals, donor governments and civil society organizations (CSOs) are diverse. These developments are reflected in the WASH strategies of the organizations explored in this mapping study. The majority of the organizations refer in their strategy, at least on paper, to the HRtWS and many are now in the process of realigning their strategies to include a stronger social inclusion focus.

<sup>70</sup> A more detail overview is available with the Watershed Team, which can be shared upon request.

These strategies include and underline organizations' socially inclusive, 'pro-poor', 'leave no-one behind', and 'equality and non-discrimination' approaches. The mapping finds that three institutions (The World Bank, WSSCC and WaterAid) have developed more comprehensive social inclusive strategies. The World Bank, for example, has developed a flagship report on social inclusion,

### TEXT BOX 3 - INCLUSION MATTERS

'Inclusion Matters', while not a formal institutionalized guidebook or strategy of the World Bank, presents a comprehensive review of social inclusion that offers the Bank Group and other development stakeholders with some leading principles fuelling the research agenda, actions and debates. In the report, social inclusion is defined as 'the process of improving the terms for individuals and groups to take part in society' and 'the process of improving the ability, opportunity, and dignity of people, disadvantages on the basis of their identity, to take part in society'. The review puts forward a framework (see below) that describes the key aspects to social inclusion, which also are relevant to the context of WASH programming.



According to the World Bank, project-level social inclusion efforts in the water sector require better knowledge on the nature of water inequality, enhancing the capacity of clients and putting in places incentives to enable better outcomes, which requires strong institutions that will hold state and service providers accountable.<sup>1</sup>

<sup>1</sup> The World Bank Water web resource (Apr 11, 2018)



titled 'Inclusion Matters',<sup>71</sup> which forms the foundation of the World Bank's Social Development Strategy.<sup>72</sup> However, it is relevant to note that the institution did not adopt the human rights-based approach to Water and Sanitation, and this is therefore not reflected prominently in the report. WSSCC introduced its Global Sanitation Fund in 2008, which is guided by their Equality and Non-Discrimination (EQND) framework that helps determine the identification of countries to work in and in prioritizing poorer and underserved geographical areas. Last, but not least, WaterAid, has been developing their Equity and Inclusion policy framework<sup>73</sup> since 2010, which among other things, establishes a common set of minimum standards and indicators for inclusive programming as a basis for further work in specific countries or parts of the organization.

Most of the 6 other mapped organizations are still in the process of working towards integrating social inclusion as an organization-wide approach to development. It was emphasized on several occasions that social inclusion, especially in relation to the WASH sector, is in many cases still seen as an 'add-on' or 'soft approach' to existing activities. While in general the importance of 'leaving no-one behind' is acknowledged, social inclusion is thus far not seen as a precondition for lasting change. However organizations did mention that they are in the process of developing new strategies that will include a more prominent social inclusion approach to WASH.

**Social inclusion approaches in the WASH sector**

Before describing the social inclusive approaches adopted by the mapped organizations, it is relevant to point out the diversity of themes,

geographical focus and areas of interest that these organizations are working on in their WASH interventions. Therefore, it is important to keep in mind that as such these approaches cannot be compared. These organizations follow multi-annual plans or policies that have pre-determined overarching thematic interests and/or goals in WASH sector. These strategies guiding the analysis taking place at programme country level and determine to a certain degree the relevant thematic points of entry per context. Organizations' pre-determined strategies also influence the available resources, capacities and opportunities that institutions can or are willing to act upon. For instance, organizations focusing on urban sanitation may choose other priorities with regard to social inclusion than those working on rural water supply.

**Description of the "excluded" in the strategies**

Most organizations mentioned the most "excluded" as target groups in general terms. They provide little explanation for who precisely these groups are. While falling back on the argument of how important contextual analysis is for target group specification, it is noticeable that most organizations struggle to identify the characteristics of any socially excluded groups. Those organizations that have adopted a more specific approach to the definition of the excluded base this description on the *reason* for exclusion: PLAN Nederland, for example, says that their programmatic focus is mostly on girls and women, and sees gender constructs as a core challenge to achieving development goals; the World Bank defines the excluded as "people that are disadvantaged based on their *identity*" – moving beyond the unilateral focus of economic factors for exclusion.

71 The World Bank (2013) Inclusion Matters. The Foundation for Shared Prosperity.  
72 <http://siteresources.worldbank.org/EXTSOCIALDEVELOPMENT/Resources/244362-1164181732580/SDStrategy-Full.pdf>  
73 WaterAid (2010) Equity and Inclusion Framework. A rights-based approach.

Table 4 Definition of the "excluded" target group per mapped organization

SIDA	The most excluded people
UNICEF	The most marginalized and excluded people
World Bank	People that are disadvantaged based on their identity (gender/sexuality/disability/status)
WSSCC	The 'most' excluded or disadvantaged (clusters of disadvantages model)
GIZ	Poor and marginalised population groups, including disabled people
WaterWorX	The poorest people and women
BRAC	The ultra-poor, people 'most in need'
WaterAid	The poorest and most marginalized people: the poor, women, people with disabilities and older people. WaterAid specifically targets unserved people in rural and urban areas.
PLAN Nederland	Focus on girls and women

**IN CONCLUSION**

**Findings:**

- ▶ A large number of tools for identifying the "excluded" and barriers to social inclusion are available. Each organization partaking in this mapping promotes and uses their own tool, each having a slightly different scope and purpose e.g.: The Bottom 40% is a tool which specifically targets the prosperity of the bottom 40% of the population of every country that is a member of the World Bank, while the WASH barrier analysis by WaterAid studies the hindrance to participation in WASH services.
- ▶ The analysis revealed the importance of involvement and engagement with the duty-bearers and the national and/or local governments. This is critical for ownership of the results of the analysis by the duty-bearers.

**Challenge:**

- ▶ Whether the analytical tools used to identify the most excluded are structured in such a way to enable the identification of "the invisible" is unclear and was beyond the scope of this mapping.
- ▶ Adequately mapping the drivers of marginalisation and assessing the needs of local communities requires relative substantive and dedicated (human and financial) resources.

**Dilemma:**

Funders and implementing agencies are expected to align their strategies and programmes with the national sector policies and priorities. A possible result of the analysis could be that 'the excluded' groups identified do not correspond with government policy priorities.



### 5.3 Analysis & programme/project development decision-making

To determine which thematic area of interest and approach is most suitable for a specific context, organizations conduct (pre-)assessments on which context-specific decisions are based. Eventual decisions for target areas, populations and activities are based on the available resources as well as guided by existing organizational strategies (i.e. a focus on water or sanitation, or urban or rural areas). Although various organizations make efforts to include local communities (as well as marginalised groups) in decision-making processes, BRAC's approach in this regard is exemplary. For its WASH programming in Bangladesh, BRAC has formed more than 65,000 Village WASH Committees (VWCs) – roughly 1 for every 200 households. These VWCs are formed by communities themselves, are gender-balanced and have representation from every income group and social background. The VWCs, which receive continuous training and support, have a huge say in the allocation of funds for WASH services and assistance in their own area. Unfortunately the mapping did not allow for a deeper investigation into what extent the VWCs are capable of including the most marginalized in each community in their activities.

Funding agencies undertake broad contextual analyses that set certain boundaries for the scope, scale and role of implementing organizations in the implementation of programmes and projects supported by the funding agencies. In general, funders rely on national institutions, (local) experts and/or implementing organizations to conduct the 'actual analysis' in-country, as it is perceived that they would be more capable of determining what is needed. Multi- and bilateral institutions (such as UNICEF and SIDA) as well as government advisory bodies (such as GIZ) emphasize the importance of consultations with government and relevant stakeholders in the analysis phase.

Implementing organizations often rely on general

government data or analyses by funding agencies to select the geographical and thematic areas their interventions should focus on. After the initial selection of an area, a more focused baseline analysis and/or needs assessments is conducted. Questions that drive such analyses include: What type of groups are present in this area? Who are the poorest people? Are there specific ethnic groups that are marginalised? Thus implementing organizations generally move from the national level to down decentralised levels or geographical areas, then down to the local level to identify in more details who should be targeted and what issues should be addressed in their 'on the ground' implementations.

There are some statistical methods to measure rate of inequalities in a population. Measurements including the Gini coefficient, Lorenz curves, concentration curves and Theil index and spatial regression models have been used in the WASH sector to analyse the inequalities in access to related services. For example, Cullis and Koppen used the Gini coefficient to study water allocation and the benefits of water use<sup>74</sup>. On the other hand, concentration curves are used to study the income-related inequality in accessing a resource. The Theil index allows further estimation of inequality between and within different groups. These measurements were used to study the income-related domestic water use inequality in selected 30 countries.<sup>75</sup> Spatially explicit logistic regression models have been used to predict coverage of water and sanitation at the second administrative level across sub-Saharan Africa.<sup>76</sup>

In terms of analysis, different tools and instruments have been developed by the 9 organizations that are used to conduct micro, meso or macro level analyzes of barriers to socially inclusive WASH services. Table 5 provides an overview of tools and instruments that guide organizations in their analytical phase.

<sup>74</sup> Cullis, James & Koppen, Barbara. (2009). Applying the Gini Coefficient to Measure Inequality of Water Use in the Olifants River Water Management Area, South Africa: Examining Underexplored Dimensions. 91-110. 10.5771/9783845212890-91.  
<sup>75</sup> Krishna Malakar, Trupti Mishra. (2017) "Application of Gini, Theil and concentration indices for assessing water use inequality", International Journal of Social Economics, Vol. 44 Issue: 10, pp.1335-1347, <https://doi.org/10.1108/IJSE-01-2016-0017>  
<sup>76</sup> Pullan, R. L., Freeman, M. C., Gething, P. W., & Brooker, S. J. (2014). Geographical inequalities in use of improved drinking water supply and sanitation across sub-Saharan Africa: mapping and spatial analysis of cross-sectional survey data. PLoS medicine, 11(4), e1001626.

Table 5 Examples of Social inclusion analytical tools and instruments per organization

Human Opportunity Index (HOI)	Organizations	Description
<b>World Bank Country Social Analysis (CSA) on Social Inclusion</b>	World Bank	A guideline that offers sample questions for a social inclusion-focused CSA. It helps identify who is socially excluded and how; provides reasons why certain groups are excluded and possible indicators and information sources on social exclusion.
<b>Opportunity calculator</b>	World Bank	There is equality of opportunity when all children have an equal chance at a better life through access to basic services such as quality education, health, and infrastructure facilities, irrespective of the circumstances they are born with. This tool lets you set up hypothetical profiles of two children to see how their profile analysis can be compared.
<b>The bottom 40%</b>	World Bank	The goal of the WB is to target the prosperity of the bottom 40% of the population of every country that is a member of the World Bank.
<b>WASH Bottleneck Analysis Tool (BAT)</b>	UNICEF	An online tool to identify factors that prevent the attainment of WASH sector objectives. It helps to develop and prioritize plans to remove bottlenecks, with a particular emphasis on efficiency, equity and sustainability.
<b>Clusters of Disadvantage model</b>	WSSCC	A tool to identify the 'most excluded' by means of 5 'clusters' of disadvantage.
<b>EQND in WASH diagnosis</b>	WSSCC	Offers recommendations to address EQND in WASH programming and emphasizes the importance of on extensive assessment. Detailed recommendations include 'do's and don'ts' in community level assessment and programming, the categorisation of clusters and ways to integrate EQND into M&E and learning.
<b>The Equality Checklist</b>	WaterAid	A concise checklist that draws attention to most relevant factors of discrimination and inequalities. Helps formulate and evaluate proposed goals, targets and indicators for WASH.
<b>WASH barrier analysis</b>	WaterAid	A participatory methodology to identify barriers to accessing WASH services. It highlights key steps in the analysis and focuses on people with disabilities.
<b>The Washington Group Short Set of Questions (WGOs) on Disability</b>	WaterAid	A concise set of questions to identify people with functional difficulties, whilst avoiding social stigmas. It also allows for identification of other vulnerable groups, including older people or people with less severe physical challenges.

Overall, the tools aim to capture who the most excluded are and what factors drive their exclusion.

Boxes 2 and 3 provide more extensive descriptions of two tools that aim to 1) identify the excluded and 2) identify the barriers to inclusion.

The presented tools in Table 5, however, all tend to have a slightly different focus, in terms of purpose, target group, geographic area and theme. In terms of scope, UNICEF seeks to achieve a comprehensive analysis by explicitly including four levels of analysis into their assessments: national, regional, community and

service provider level. The World Bank promotes a 4-question methodology called Social Inclusion Assessment Tool (SiAT) in which it invites partners to ask four key questions to guide their analysis: 1) Who is likely to be excluded?; 2) How are they likely to be excluded?; 3) Why are they excluded?; and finally, if these three questions are answered, 4) What can be done? BRAC takes on a community-focused approach in which they work with the Participatory Rural Appraisal (PRA) approach to allow communities to assume an active role in analysing their own living conditions, problems and potentials in order to seek a change of their situation.

**TEXT BOX 4 - PARTICIPATORY BARRIER ANALYSIS**

In addition to determining who the excluded people are, another key aspect of the analysis phase of WASH programming is identifying what barriers these people face. WaterAid’s guideline ‘How to conduct a WASH barrier analysis’ provides a particularly interesting example, as it shows how the process of analysis itself can be made inclusive.

“A barrier analysis is a participatory methodology used for investigating why people do not have access to WASH services, through exposing the barriers they face, and developing solutions to overcome these barriers”. The methodology, based on a rights-based model of inclusion, has been put to practice by one of WaterAid’s local partners in Cambodia, the Disability Development Services Program (DDSP). ‘How to conduct a WASH barrier analysis’ builds on the experiences of the DDSP and clearly outlines the key steps to completing a participatory barrier analysis.

WaterAid’s guideline draws particular attention to the fact that accessibility is about more than physical infrastructure. It underlines that accessibility and inclusion are about the process too and explains in a practical way the role of the facilitator in steering a community to consider physical, attitudinal and institutional barriers.

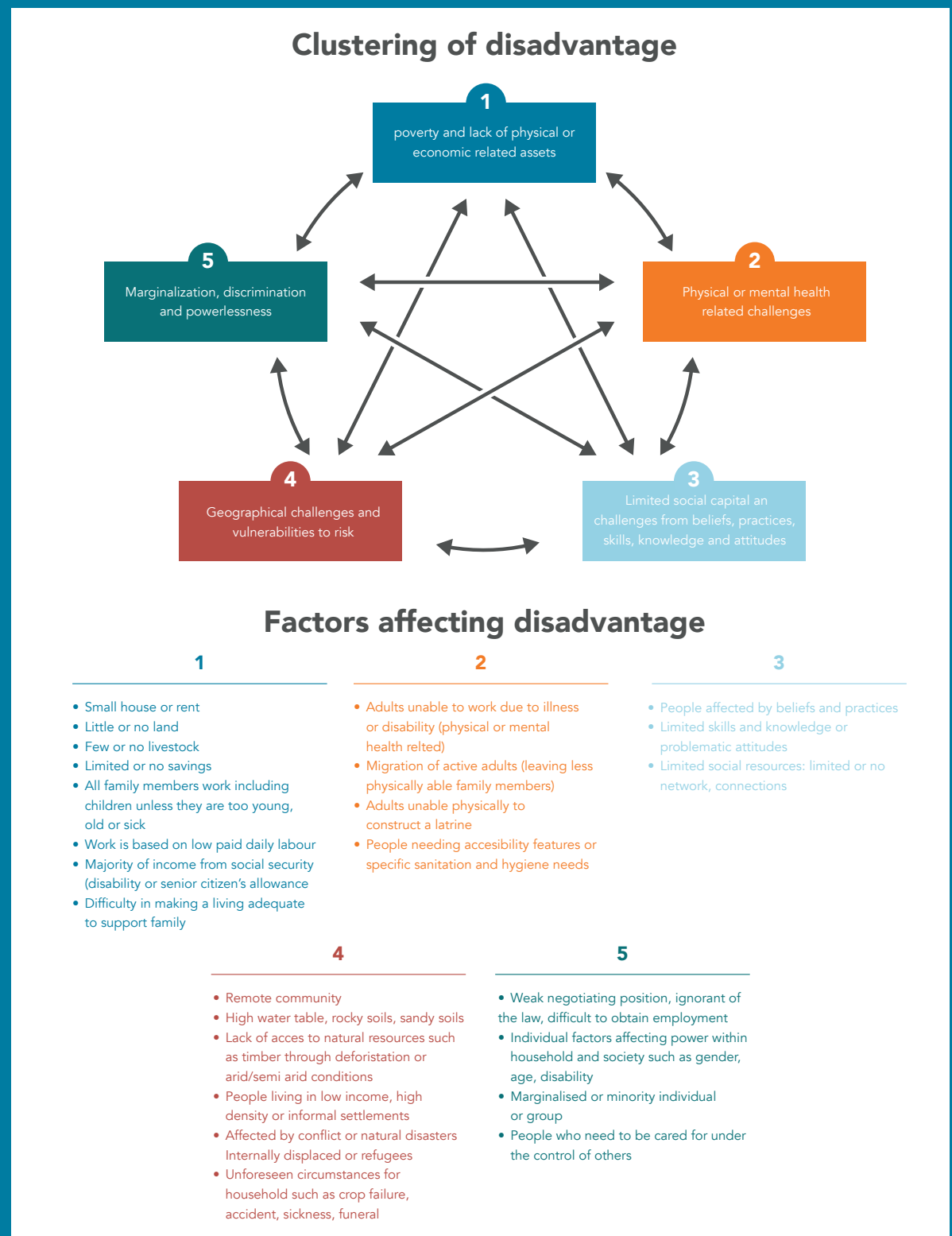
The experiences of the DDSP have shown that a participatory barrier analysis is a simple yet powerful tool to assist people responsible for WASH programming in making not only the services, but also the preparatory and decision-making processes, inclusive for everyone, including people with a disability, older people and women. To further encourage widespread uptake of this approach, WaterAid Cambodia has also developed a helpful explanatory video.

<sup>1</sup>Source: <https://washmatters.wateraid.org/publications/how-to-conduct-a-wash-barrier-analysis>

<sup>1</sup> Source: <https://washmatters.wateraid.org/publications/how-to-conduct-a-wash-barrier-analysis>

**TEXT BOX 5 - CLUSTERS OF DISADVANTAGE**

Determining who the most excluded are is a crucial first step in effectively integrating social inclusion into WASH programming. Identifying the most marginalised people is not, however, an easy undertaking, as this category in particular often slips through the net, even in the analytical phase. The ‘Clusters of Disadvantage’ model helps overcome this challenge and is a useful tool in bringing the most marginalised, and the factors underpinning their marginalisation, into focus.



Across the board, organizations partaking in this mapping referred to certain leading questions for the focus of their analyses. These can be categorized into three categories: (1) geographical; (2) beneficiary/customer/target group; and (3) WASH service levels. A selection of these questions is presented below in Table 6:

Table 6 Selection of analytical questions for social inclusive WASH programming

Category	Leading questions
<b>Geographical</b>	<ul style="list-style-type: none"> <li>▶ Which areas are lagging behind?</li> <li>▶ Where do people need assistance the most?</li> <li>▶ Where is the organization allowed or able to work?</li> </ul>
<b>Beneficiary/customer/target group</b>	<p>Who are the poor people in a country and where do they live?</p> <ul style="list-style-type: none"> <li>▶ What type of groups are present in this area?</li> <li>▶ Who are the poorest people?</li> </ul> <p>Are there specific ethnic groups or other groups such as migrant labourers, street dwellers or minority groups that are marginalised?</p>
<b>WASH service levels</b>	<ul style="list-style-type: none"> <li>▶ What is the current level of access to quality WASH services?</li> <li>▶ How are inadequate or low-quality WASH services linked with health and nutrition?</li> </ul>
<b>WASH sector capacity</b>	And what are the binding constraints to improving service delivery?

### IN CONCLUSION

#### Findings:

- ▶ A large number of tools for identifying the “excluded” and barriers to social inclusion are available. Each organization partaking in this mapping promotes and uses their own tool, each having a slightly different scope and purpose e.g.: The Bottom 40% is a tool which specifically targets the prosperity of the bottom 40% of the population of every country that is a member of the World Bank, while the WASH barrier analysis by WaterAid studies the hindrance to participation in WASH services.
- ▶ The analysis revealed the importance of involvement and engagement with the duty-bearers and the national and/or local governments. This is critical for ownership of the results of the analysis by the duty-bearers.

#### Challenge:

- ▶ Whether the analytical tools used to identify the most excluded are structured in such a way to enable the identification of “the invisible” is unclear and was beyond the scope of this mapping.
- ▶ Adequately mapping the drivers of marginalisation and assessing the needs of local communities requires relative substantive and dedicated (human and financial) resources.

#### Dilemma:

Funders and implementing agencies are expected to align their strategies and programmes with the national sector policies and priorities. A possible result of the analysis could be that ‘the excluded’ groups identified do not correspond with government policy priorities.

## 5.4 Planning & design

All organizations dedicate specific attention to translating their analytical findings on social exclusion into the operational designs of their WASH programmes or projects. All organizations provided insight into their social inclusion approach in the four steps of planning and design of socially inclusive WASH projects and programmes that is carried out after the analysis has taken place. These are the four steps:

1. Awareness-raising among implementers of the need for understanding the barriers to inclusion.
2. Employing a participatory approach to programme or project development. For example, Citizen Engagement Programme by World Bank, 2014.<sup>77</sup>
3. Using specific frameworks for social inclusion in the formulation of a proposal or project activities, outputs, outcomes and objectives. (For example, WaterAid and Platform For People with Disabilities in Madagascar, 2016.<sup>78</sup>
4. Conducting research and documentation of experiences to enhance insights and better understand how to better address social inclusion in WASH programmes, to identify, disseminate and promote the use of lessons learned.

All the mapped organizations emphasized the importance of spending adequate time up-front with implementing partners to raise awareness of the understanding of the ‘barriers to inclusion’ and how to incorporate this in programme and project approaches. They also emphasized that as the WASH sector is still largely dominated by male engineers, it should not be expected that everyone is knowledgeable on ‘socially inclusive approaches’. Organizations such as SIDA and WSSCC work towards training implementers of their funded programmes so that they are better equipped to identify the people that most need support. Still, there is a gap between the num-

ber of people who actually benefitted from the implemented programmes and those who were previously excluded.

Therefore, all the 9 organizations featured in this study emphasized the importance of including a participatory approach in the planning and design phase to validate analysis findings and create ownership by implementers and/or target populations alike over the respective programmes. Different organizations adopt different approaches, depending on the level of interventions they will be engaged in. Funding organizations, such as SIDA, engage in dialogue with governments in focus-countries to determine the inclusion of issues of transparency, accountability, gender equality and social inclusion in projects and programmes. Implementing organizations, such as PLAN Nederland, indicated that they work more directly with communities, and therefore adopt a community-based approach in which they organize focus group discussions with women, girls and men to determine their needs and wishes in programme development. Other organisations such as UNICEF and Wateraid aim at strengthening the role of the local government in the planning process. Government agencies, such as GIZ, tap into water user groups and complaint mechanisms of service providers as a source for discovering the needs of marginalized people.

Finally, awareness-raising and participatory approaches lead to the formulation of specific frameworks for activities, outputs, and outcomes of socially inclusive WASH projects and programmes. For funding agencies this entails setting up calls for proposals that incorporate socially inclusive criteria, while for implementing agencies seeking funding this entails ensuring that ‘inclusive programming’ takes place. Organizations, however, still struggle with confidently setting characteristics or criteria for social inclusion. In most cases, organizations use the tools that were used for the analysis to determine the

<sup>71</sup> <http://www.worldbank.org/en/about/what-we-do/brief/citizen-engagement>

<sup>72</sup> [https://rwnforum7.files.wordpress.com/2016/11/full\\_paper\\_0256\\_final-submission\\_edithveromaminiaina.pdf](https://rwnforum7.files.wordpress.com/2016/11/full_paper_0256_final-submission_edithveromaminiaina.pdf)



criteria framework of their programmes and projects. These tools include the Equity and Inclusion Framework as used by WaterAid, the Clusters of Disadvantage proposed by WSSCC, or the WASH Bottleneck Analysis Tool (BAT) as adopted by UNICEF. Such models and frameworks are deemed instrumental in preparing and designing inclusive programmes, while also allowing for interim monitoring and programme adjustments (see Section 1.5 for more information). At the same time, bilateral institutions are more guided by the existing national policy frameworks: GIZ checks all proposals on pro-poor marker characteristics of the development policy set out by the German government, while SIDA asks from implementing agencies to consider key aspects of the policy framework of “leaving no one behind” in their proposals.

## IN CONCLUSION

### Findings:

- ▶ Many organizations see a need for including awareness-raising among implementers of WASH programmes in the planning and design phase of social inclusion in WASH programmes and projects to better understand the barriers to inclusion and the implications this could have for effective, efficient and sustainable implementation of projects and programmes. The organizations are still learning about what works and recognise the need to keep testing and adapting approaches on social inclusion.
- ▶ Organizations emphasize the need to engage in participatory approaches to validate analytical findings and create ownership over the project or programme. However we were not able to establish in what way the “invisible” get a voice in the participatory approach. Organizations are still in the process of analysing and adapting approaches that can achieve the lowest degree of inequality in the target population.

### Challenge:

- ▶ Social inclusion criteria and objectives are in many cases formulated in very broad terms, which makes their translation into concrete, practical measures and corresponding budgeting difficult.
- ▶ Awareness-raising for social inclusion. Ensuring organizations and government agencies recognise it as conditional that sustainable impact demands great and continuous effort as it requires a significant change in the mindset at all the social levels; i.e. within communities, at governmental level and within the WASH organizations themselves.
- ▶ Local governments have an important role to play in designing bottom-up strategies and programmes for overcoming WASH inequalities, but in reality often lack the awareness and capacities to fulfil this role.
- ▶ Few standardized protocols are in place to guide the design of social inclusive programming in the WASH sector.

### Dilemma:

Funding agencies, institutions and implementing organizations are partly dependent on the guiding policy frameworks provided by their national governments. If targets for social inclusion are not defined in national policy then a lower level of integration of such approaches by the respective organizations may be expected. That said, predefining clear targets on social inclusion limits organizations’ flexibility and puts additional pressure on them to invest in working towards, and measuring, results that may not be relevant to all contexts.

## 5.5 Implementation

All 9 organizations dedicate specific attention to translating their analytical findings on social exclusion into the operational designs of their WASH programmes or projects. In addition, all 9 organizations provided insights into their social inclusion approach in the different steps of planning and designing socially inclusive WASH projects and programmes that takes places after the analysis.

A study from the World Bank shows that “the failure to provide adequate WASH services to the poor and other marginalized groups results primarily from poor implementation, rather than bad policy”.<sup>79</sup> As the previous sections have shown, organizations are actively involved in thorough analyses of target groups and social inclusion barriers. However, the translation of these analytical findings into operational plans and then into implementation seems to still be a challenge. While limited evidence is available on dedicated inclusive programming, the mapping does provide some relevant insights into how the implementation of inclusive WASH programmes and projects takes place at different levels, in different partnership formations and through different types of implementation activities.

### Duty bearers and rights holders

Study of the organizations’ strategies indicates that their target audiences depend fully on the contextual analysis that has been undertaken. Most organizations describe how they are implementing activities at ‘all levels’, referring to community, regional and national level interventions, where the specific context determines what levels require most dedicated attention. However, a distinction can be made between organizations that focus on duty-bearers or rights-holders as their core target audience of social inclusion activities. Funding agencies undertake direct interactions at government level and at that of implementing organizations that receive funding. They often

also engage in lobbying and advocacy activities that aim to strengthen the institutional context (i.e. duty-bearer focus) and promote the integration of social inclusion in WASH programming. Implementing organizations have a diverse range of interventions taking place, often combining a focus on both duty-bearers and rights-holders, i.e. strengthening local government capacity while simultaneously working on gender stigmatization at intra-household level.

In cooperation with the Rural Water Supply Network (RWSN), and through the joint efforts of UNICEF, WaterAid, WASH United, End Water Poverty and ISF-UTS, a tool named ‘Making Rights Real’<sup>80</sup> has been developed to support local governments in their work to ensure universal access to water. This approach serves to make local governments more aware of their duties and responsibilities as duty bearers in the framework of the human right to WASH. At the same time, UNICEF’s approach also draws attention to responsibilities of the users or rights-holders. Whilst the government is the primary duty bearer for delivering WASH services, rights-holders have the responsibility to pay for their services and voice their complaints and opinions about the service. The government, in turn, must ensure appropriate channels exist that allow for people to make their opinions heard and include them in the decision-making process. As such, the ‘triangle of accountability’<sup>81</sup> that lies at the basis of this approach unpacks relationships between duty-bearers and right-holders in the WASH sector.

### Collaboration with stakeholder

The level of engagement also becomes apparent in the discussion on relevant collaboration in realizing socially inclusive WASH services. The question raised is who and how do organizations engage different actors in project implementation,

<sup>79</sup> The World Bank (2017) Reducing inequalities in water supply, sanitation, and hygiene in the era of the sustainable development goals. Synthesis report of the WASH Poverty Diagnostic Initiative. Executive Summary.

<sup>80</sup> <http://www.righttowater.info/making-rights-real/>

<sup>81</sup> [https://www.unicef.org/wash/files/Accountability\\_in\\_WASH\\_Explaining\\_the\\_Concept.pdf](https://www.unicef.org/wash/files/Accountability_in_WASH_Explaining_the_Concept.pdf)

including their main stakeholders, and for what purpose? We are able to distil three major types of collaborations from the mapping, namely collaboration with governments (duty-bearers), with service providers (duty bearers) and with(in) communities (rights-holders). Organizations described the purpose of such collaborations as follows:

Engaging government authorities/ institutions provides opportunities to:

- ▶ enhance decision-making with regards to improving WASH by providing frameworks and guidelines that assist governments in assessing whether and how their policies effectively reach the poorest of the community (GIZ).
- ▶ strengthen government accountability through the Triangle of Accountability framework approach and enable government policies and strategies to become more inclusive (UNICEF).
- ▶ readjust governmental monitoring frameworks and processes and raise awareness that capacity is not always available at local government level (WSSCC).

Engagement with service providers allows organizations to:

- ▶ strengthen the financial, technical and social sustainability of local partner water companies, which allows for these companies to take risks and make sustainable drinking water more readily accessible to excluded areas and people (WaterWorX).
- ▶ alleviate financial risks for private partners, by developing innovative finance mechanisms such as 'blended finance' constructions in which public and private funds are combined and service providers are encouraged to invest in poor areas that may yield lower returns on investments. (GIZ)

Engagement with communities are established

with these key ambitions in mind:

- ▶ assist and empower local communities. E.g. through Community-Led Total Sanitation (CLTS) to improve their own sanitation facilities and hygiene and achieve an Open Defecation Free community (PLAN, WSSCC). Box 4 offers a more detailed description of this approach.
- ▶ to strengthen local decision-making processes through early-engagement (BRAC).
- ▶ to work towards gender equality and promoting girls' and women's rights by working with the community at large (including men and boys), so as to ensure gender quality is supported by all members of the community (PLAN). The challenge is to achieve a mindset change with regards to inclusion and at the same time empower women to have a voice in decision-making processes and invest in capacity development of, for instance, local women's groups. In Madagascar, WaterAid along with Platform For People with Disabilities (PFPH), worked on a project to address the gaps in the realisation of the rights of people with disabilities in Madagascar and engage in advocacy (WaterAid).
- ▶ to better understand the effect of the programmes run through World Bank and what kind of citizen engagement results in an optimum outcome, a World Bank Strategic Framework for Mainstreaming Citizen Engagement was set up in 2014 (World Bank)

For multilateral institutions such as UNICEF, and bilateral institutions such as GIZ and SIDA, it is important to note that they are required to act within the confines of national government policy. This may put limitations on what they can do and where they can work, but at the same time, as they work with the government's approval, it gives them more opportunities to influence national governments and leverage their efforts by generating impact at scale.

### TEXT BOX 6 - COMMUNITY-LED TOTAL SANITATION (CLTS)

'Community-led Total Sanitation (CLTS) is an approach used across the globe by multiple leading organizations working on (rural) sanitation. This methodology is used for mobilising and empowering communities take their own action to eliminate open defecation (OD).

CLTS seeks to achieve behavioural change and inclusion of the entire community by propelling communities into action, encouraging mutual support and creating solutions appropriate to local needs and demands. This approach, if done well, contributes to greater ownership and sustainable improvements. However, the CLTS approach is not without its critics and can be unsuitable in certain situations when root causes are not simultaneously addressed.

This overview clearly indicates what type of conditions are favourable or unfavourable for the implementation of a CLTS approach. Once conditions are deemed primarily favourable, the CLTS programme must pro-actively involve disadvantaged people, and address diverse needs in order to make processes and outcomes sustainable and inclusive. This issue of *Frontiers*, a magazine devoted entirely to CLTS, uses a range of examples from CLTS programmes to explore the key challenges that may occur and includes good practices that strengthen the positive and sustainable impact of CLTS.

What the CLTS method could look like in daily practice becomes particularly clear in the IDS 'Handbook on Community-Led Total Sanitation'. This handbook brings together experiences and best practices from CLTS programmes in various countries across the globe, including Bangladesh, Cambodia, Nepal, Pakistan, Uganda, Kenya and Bolivia. For more resources on Community-led Total Sanitation (CLTS) as an approach for inclusive WASH programming, the CLTS Knowledge Hub developed by IDS is a useful point of departure.

#### Sources:

- ▶ Community Led Total Sanitation knowledge hub <http://www.communityledtotalsanitation.org/resource/favourable-and-unfavourable-conditions-community-led-total-sanitation>
- ▶ IDS CLTS Handbook: <https://www.ids.ac.uk/files/dmfile/cltshandbook.pdf>
- ▶ Equality and non-discrimination in sanitation programmes at scale
- ▶ <http://www.communityledtotalsanitation.org/resources/frontiers/equality-and-non-discrimination-eqnd-sanitation-programmes-scale-part-1>

While some argue that CLTS is a good example of how to approach social inclusion as it includes the whole community, it is important to note that the CLTS approach does not address or aim to tackle the root causes of social exclusion. Therefore, while it is a good example of an approach

that engages rights holders directly, the sustainability of the results of CLTS approaches are highly dependent on an adequate enabling environment that reaches beyond the community (i.e. national policies or an institutional framework).



### Type of interventions

The mapped organizations argue that most social inclusion interventions are aimed specifically at changing the institutional landscape towards accepting more inclusive WASH approaches. The mapping did not crosscheck these statements with a review of priority-setting in budget allocations. While some organizations are more direct in their approach (taking on an advisory role to government or building capacity within local government) other approaches are more implicit (introducing pilots to show-case best practices). It is possible to distinguish between different types of interventions that address social inclusion in WASH programming. We can identify actions that are working towards:

1. **Bridging the gap:** This category refers to WASH interventions that aim towards bridging the gap of the excluded in gaining more and better (physical) access to high quality, affordable and acceptable WASH facilities. Some examples are:
  - ▶ working towards including the poorest neighbourhoods and slums that would usually be left out in the water supply network, by making available a dedicated investment fund. The money can be used to allow for pipelines to make detours to reach a particularly poor area.
  - ▶ partnering with local social enterprises to provide cheap, washable sanitary pads to girls and women, in combination with educational opportunities on how to manage your period, so that menstruation would not negatively affect school attendance.
2. **Addressing root causes:** This category of interventions refers to activities that work towards removing the institutional barriers to social inclusion, therefore eliminating structural impediments for improving social inclusion. Some examples are:
  - ▶ advising national governments to analyse the policy landscape and determine where policies and targets might need to be changed to more successfully integrate inclusive WASH approaches (including MHM) in government programmes & strategies.

An example is WSSCC, which works with national and local government in transforming policies concerning MHM.<sup>82</sup>

- ▶ building capacity to better analyse and understand different barriers people face to accessing WASH services within local government and partner agencies – e.g. the UN effort to include disabled people in social development.<sup>83</sup>
  - ▶ introducing pilots for possible replication by governments on larger scale; also, as a means for changing mind-sets of governments towards more inclusive approaches – e.g. for example the pilot project conducted by WaterAid and PFPH in Madagascar.<sup>84</sup>
3. **Changing mindsets:** While it is an important sub-component of addressing the root causes, the category of ‘changing mind-sets’ deserves specific attention as many organizations partaking in this mapping have an explicit focus on these types of interventions. These relate to those activities that aim towards increasing understanding of barriers to social inclusion among WASH sector funders, implementers and stakeholders. Some examples are:
    - ▶ raising awareness on the importance of addressing barriers to inclusion among government and implementing agencies in cooperation countries will help the approach to be more readily taken up in project proposals and be translated ‘on the ground’ and avoid running the risk of ‘paying lip service’.
    - ▶ educating male engineers to ensure that their knowledge is not limited to WASH, but also includes a sensitivity to the needs and vulnerabilities of marginalized groups, such as women and girls.
    - ▶ changing selection criteria for project staff from an engineering background to those with a social science background can help to ensure a better gender focus and focus on so-called ‘soft activities’. For example, engaging with other sectors outside WASH. Recently, a session was organised at WEDC41 on the partnership with women rights and organizations focusing on disabled people.<sup>85</sup>

It is important to note that organizations must ensure that any approach taken is participatory, especially in large-scale programmes. This is a dilemma organizations face where they have to not only target collaboration with other partner organizations or the local government but also guarantee meaningful participation of the citizens. When working on large-scale programmes, organizations have to also work towards encouraging participation from diverse sections of the society.

Most importantly of all, if policy objectives are to reduce inequities in human development outcomes, then achieving them through WASH sector investment alone will not be feasible. Cross-sector coordination is required to reduce inefficiencies in resource allocations and to harmonize and improve data collection efforts, which will be critical to monitoring progress made<sup>86</sup> – which brings us to the next section of Monitoring, Evaluation and Learning.

### IN CONCLUSION

#### Findings:

- ▶ Organizations employ different approaches to social inclusivity: 1) bridging the gap; 2) addressing root causes; 3) changing the mindset of funders, implementers and stakeholders; 4) monitoring, evaluating and learning from the present documentation, research and learnings of peer organizations.
- ▶ Complementarity and coordination of such activities and approaches are key if programmes aim to reducing inequities in sustainable human development outcomes with WASH investments.

#### Challenge:

##### Focus:

- ▶ Many implementing organizations focus their interventions at one level only; e.g. at community level for changing local mind-sets about gender roles or ODF. Achieving sustainable change for social exclusion at scale demands addressing multiple issues at the same time (including mindset, root causes, local service delivery, adequate policy frameworks etc.). This requires concerted efforts that go beyond community level and thus demand active collaboration and alignment of organizations across all levels.
- ▶ Empowerment of the poor should receive attention within WASH themes, but also requires cooperation with organizations that have specific expertise or other relevant activities of as WASH specialists alone will not be able to do the job.

##### Financing:

Organizations are experimenting with alternative or innovative finance mechanisms to ensure sufficient funding is allocated to pro-poor WASH programmes. Private capital for infrastructure investment is expected to become increasingly important for services. This is relevant in light of upscaling interventions, such as upscaling access to sanitation for the (urban) poor. GIZ, for example, addresses this by promoting sanitation subsidies for urban households. While seeing these subsidies as crucial instruments in scaling up sanitation, in practice subsidies are often regarded with much suspicion. Therefore, organizations are seeking avenues to allocate ‘blended finance’ in which public and private funds are combined.

<sup>82</sup> <https://europa.eu/capacity4dev>

<sup>83</sup> [http://www.un.org/disabilities/documents/best\\_practices\\_publication\\_2011.pdf](http://www.un.org/disabilities/documents/best_practices_publication_2011.pdf)

<sup>84</sup> [https://rwsnforum7.files.wordpress.com/2016/11/full\\_paper\\_0256\\_final-submission\\_edithveromaminaiina.pdf](https://rwsnforum7.files.wordpress.com/2016/11/full_paper_0256_final-submission_edithveromaminaiina.pdf)

<sup>85</sup> [http://www.communityledtotalsanitation.org/sites/communityledtotalsanitation.org/files/Jones\\_Making\\_CLTS\\_ever\\_more\\_inclusive.pdf](http://www.communityledtotalsanitation.org/sites/communityledtotalsanitation.org/files/Jones_Making_CLTS_ever_more_inclusive.pdf)

<sup>86</sup> The World Bank (2017) Reducing inequalities in water supply, sanitation, and hygiene in the era of the sustainable development goals. Synthesis report of the WASH Poverty Diagnostic Initiative. Executive Summary.

**Dilemma:**

Funding agencies, institutions and implementing organizations are partly dependent on the guiding policy frameworks provided by their national governments. If targets for social inclusion are not defined in national policy then a lower level of integration of such approaches by the respective organizations may be expected. That said, predefining clear targets on social inclusion limits organizations' flexibility and puts additional pressure on them to invest in working towards, and measuring, results that may not be relevant to all contexts.

## 5.6 Monitoring, evaluation and learning

As mentioned above, it is important to note that multiple organizations argue that social inclusion is a relatively new concept to them. While the awareness of HRTWS obligations was already adopted by most organizations, translating these similar principles to the social inclusion framework appears to be more challenging than expected. A lack of specific social inclusion goals or targets is one of the contributing factors to the struggle. Also, for some organizations, existing programmes cannot easily be adapted to fit the discourse and framework associated with social inclusion. It appears that organizations are only recently embarking on new programmes that offer them the opportunity to introduce new social inclusive targets and indicators. Also, besides the perceived relative novelty of the emphasis on social inclusion, the SDG targets are presented only as 'monitoring standards', and not introduced as firm policy recommendations. As a consequence the targets are not always integrated in strategies or programmes of governments or funding agencies.

Having said that, what do organizations focus on in their monitoring of social inclusive WASH programmes? It is observed that while dedicated social inclusion monitoring frameworks are still lagging behind, organizations are working towards identifying the components that should be addressed by WASH programmes or projects that pertain to be socially inclusive. Most organizations use corresponding categories referring to the three 'common barriers' categories as mentioned in the Conceptual Framework (see section 1.1): social factors, economic and political factors, and physical, environmental and geographical factors.

Table 7 provides a list of a number of social inclusion monitoring tools and instruments presented by the mapped organizations. While the overview is not exhaustive, it provides an opportunity to build on existing indicators and monitoring guidelines for inclusive WASH programming.

Table 7 Tools and instruments for monitoring and evaluation of socially inclusive WASH programmes

Tool or instrument	Organization	Description
<b>UNICEF Sanitation Monitoring Toolkit</b>	UNICEF	Depository of current approaches to sanitation monitoring, including guidance on how to use various monitoring instruments and links to the latest tools and resources. It is organized into seven thematic areas: 1) Enabling environment; 2) National sanitation access; 3) Community Approaches to Total Sanitation (CATS); 4) Equity; 5) Sustainability and sector performance; 6) Sanitation marketing; 7) WASH in schools.
<b>UNICEF Sustainability Checks</b>	UNICEF	Guideline and tool to monitor the sustainability of WASH services, with special attention for social norms conducive to stop ODF and broader factors underlying sustainability and inclusion.
<b>EQND in WASH diagnosis</b>	WSSCC	Offers recommendations to address EQND in WASH programming, based on extensive assessment. Detailed recommendations include 'do's and don'ts' in community level programming; categorisation of clusters and ways to integrate EQND into M&E and learning.
<b>Gender and WASH Monitoring Tool (GWMT)</b>	PLAN	Designed to better integrate and monitor gender strategies in WASH programmes.
<b>Ensuring Equity &amp; Inclusion to WASH</b>	BRAC	Assessment report on BRAC's achievements and practices on equity and inclusion in its WASH programme. Contains useful indicators focusing specifically on social inclusion in Chapter 6.4: Key monitoring indicators for WASH.



Organizations do not always see themselves as taking the lead in the monitoring activities of inclusive WASH service delivery. This is seen as a role for communities (as rights-holders) and (local) governments (as duty-bearers). Communities are seen as relevant in taking a certain degree of responsibility in monitoring service delivery and holding duty bearers accountable when services are not up to standard. The second stakeholder, government institutions, is deemed important as they carry the responsibility to monitor results following socially inclusive WASH interventions on a national scale and can use the acquired data directly as input for future national policy development and interventions. To assist stakeholders in monitoring activities, UNICEF has provided a monitoring toolkit, which compiles different methods, approaches and tools to monitoring strides in sanitation efforts. Box 5 provides a more elaborate description of this toolkit.

**TEXT BOX 7 – SANITATION MONITORING TOOLKIT**

*Monitoring social inclusion is a challenge for many organizations in the WASH sector. Although in recent years a trend has become visible towards more efforts in this regard, comprehensive instruments that successfully capture the complexity of social inclusion are still lacking. The UNICEF Sanitation Monitoring Toolkit addresses this issue to some extent by providing a clear overview of what monitoring instruments are available and offering guidance on how they should be used.*

Most sanitation monitoring focuses on coverage and key performance indicators in terms of household level access and facilities constructed. In recent years a shift has become visible towards more monitoring on behavioral and quality outcomes, such as issues of equity, social inclusion and sustainability. Instruments that measure such outcomes lack harmonization, causing discrepancies between data from, for instance, national governments and implementing agencies.<sup>1</sup> While the UNICEF Sanitation Monitoring Toolkit does not offer an overarching instrument for systemization and harmonization, it does provide a clear overview of what instruments are currently in existence and how they can be used.

In essence, the Sanitation Monitoring Toolkit is a website aimed at WASH professionals. It provides them with access to current approaches to sanitation monitoring. The toolkit has been organized into seven thematic areas, all of which contain tools that are useful for monitoring on social inclusion in WASH:

- 1) Monitoring the enabling environment;
- 2) Monitoring national sanitation access;
- 3) Monitoring Community Approaches to Total Sanitation (CATS);
- 4) Monitoring equity;
- 5) Monitoring sustainability and sector performance;
- 6) Monitoring sanitation marketing;
- 7) Monitoring Water, Sanitation and Hygiene (WASH) in schools

<sup>1</sup> UNICEF Monitoring Toolkit website , accessed 3 May 2018

The organizations partaking in this mapping referred to certain leading questions for the focus of their evaluations. The compilation of questions, drawn from the different organizations' tools and guidelines, presented in Table 8 has been framed here in the OECD/DAC evaluation criteria, as these guide programme coordinators to organize evaluations in such a way that they should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors.

**Table 8** Selection of MEL and questions for socially inclusive WASH programming

<b>Relevance</b>	<ul style="list-style-type: none"> <li>▶ Has the programme prioritized basic access and focus on progressive realization toward safe and sustainable WASH for all, while reducing inequalities?</li> <li>▶ Were target groups included in determining the kind of services, and the location of services, most suitable for them?</li> <li>▶ Has the programme attended to the impact of individual-related inequalities that are relevant in every country of the world, such as those based on sex/gender, age, disability, and health conditions imposing access constraints experienced both inside and outside the household?</li> <li>▶ Did the programme address spatial inequalities, such as those experienced by communities in remote and inaccessible rural areas and slum-dwellers in (peri-) urban areas?</li> <li>▶ Has the programme addressed group-related inequalities that vary across countries, such as those based on ethnicity, race, nationality, language, religion, and caste?</li> </ul>
<b>Efficiency</b>	n.a.
<b>Effectiveness</b>	<ul style="list-style-type: none"> <li>▶ • Did the programme focus on inequalities, and shine a light on the poorest of the poor?</li> <li>▶ • Was everyone (i.e. women and girls, people with disabilities and/or mobility restrictions) included?</li> <li>▶ • Did the programme and the intervention design effectively target those who are most in need?</li> </ul>
<b>Impact</b>	Were people satisfied with the service they were given access to?
<b>Sustainability</b>	n.a.

WaterAid uses a process monitoring method to assess the quality of participation in their “Undoing Inequality” programme. It aims to understand and address the barriers that disabled, older and chronically ill people face when accessing water, sanitation and hygiene services in Zambia and Uganda.<sup>87</sup>

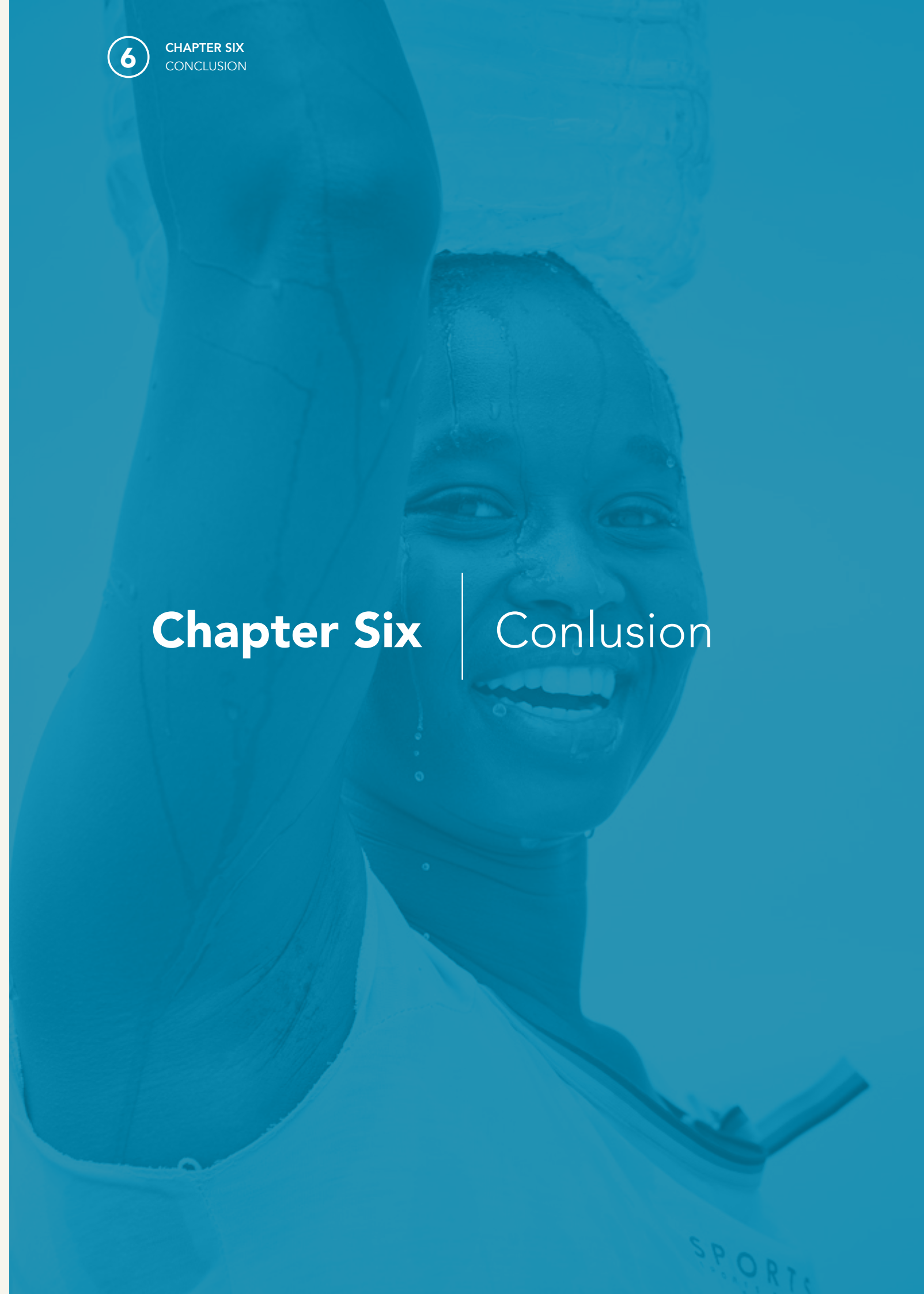
While progress is being made in developing monitoring frameworks, in general most organizations indicate that this proves to be the most daunting task of all. Currently, most programmes do not include ‘hard targets’ for social inclusion,

but they do acknowledge the importance of social inclusion targets. However due to the nature of the sector it appears to be difficult to set clear targets and formulate indicators. Traditionally, the WASH sector is used to monitoring on ‘hard’ quantitative targets, and the social inclusion perspective forces a move towards more qualitative targets.

This shift in perspective also requires a new level of understanding and increased availability of capacity to ensure that the quality of data collected and analysed is up to standard.

## Chapter Six | Conclusion

<sup>87</sup> <https://washmatters.wateraid.org/publications/undoing-inequity>





## 6. Conclusion

The study findings underline that organizations that participated in the study are increasingly becoming aware of the need for addressing “social inclusion” as a precondition for achieving lasting change in the sector, overcoming existing inequalities and reaching universal access to sustainable services for all. The present efforts in developing new organizational strategies that include a more prominent socially inclusive approach have the potential to inspire other development organizations with a less prominent track record in the area of social inclusion.

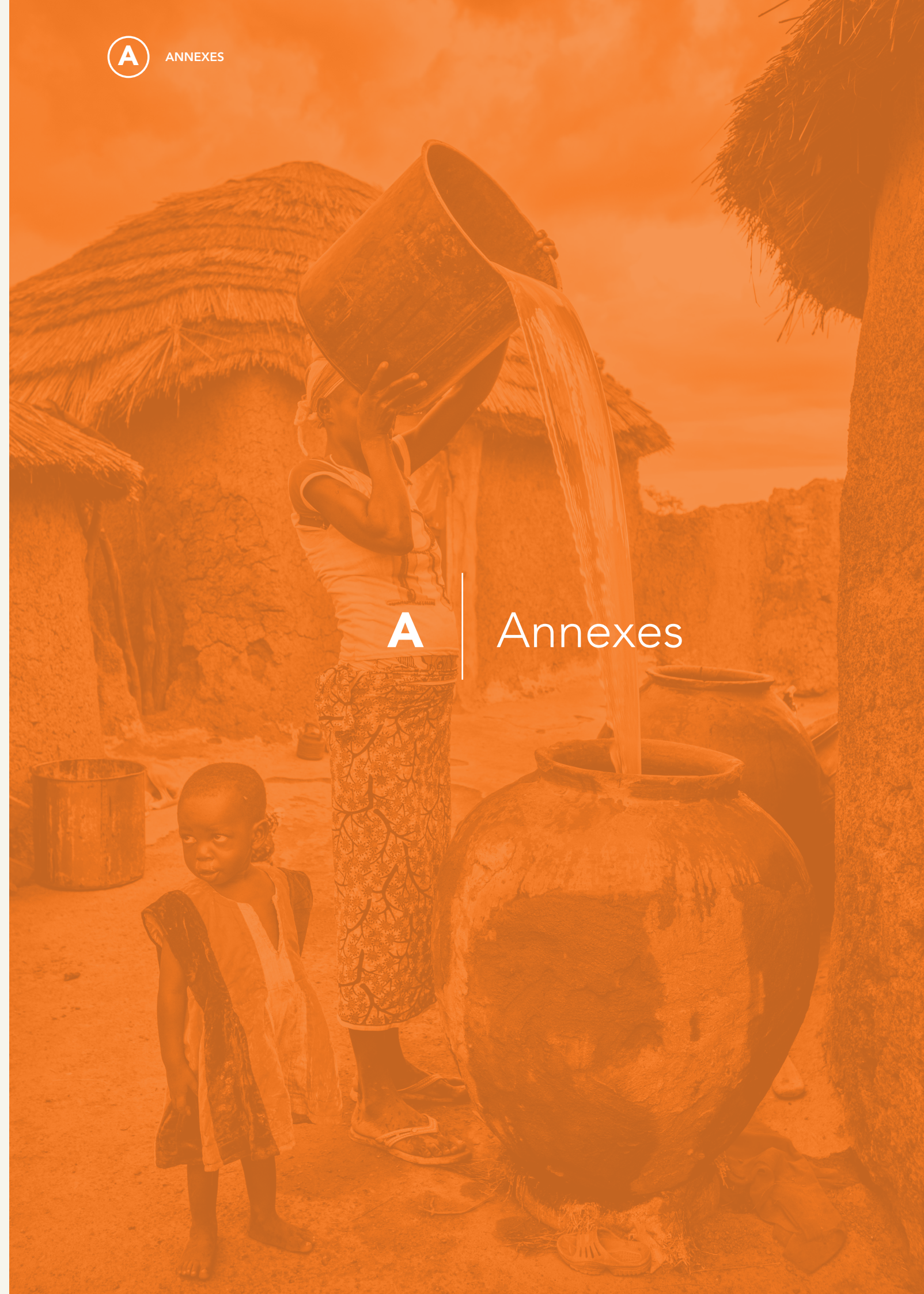
The study identifies a gap between what organizations have formulated in their strategies and programmatic approaches (e.g. in respect to their commitment to the HRtWS and “leaving no-one behind”) and the actual opportunities for implementation (e.g. available knowhow, resources and dedicated capacities) to make their social inclusion theory work in practice. The results of the present study highlight the availability of, and experiences with, a wide range of approaches, methods and tools that collectively form a solid and valuable basis to draw from in overcoming the gap between social inclusion policies and its implementation in WASH programmes.

The operational framework model (Annex I), which includes critical issues and questions to be addressed in each stage of the programme cycle, has proved to be a valuable model for systematically documenting and assessing the approaches, methods and tools used by the different organizations for ensuring social inclusion in the design, implementation and monitoring of their WASH programmes. However, a systematic assessment of the enabling environment would significantly add to the benefits of using this programme cycle model as it would enable identification of the underlying root causes for exclusion as well as the opportunities for structurally addressing them.

The Watershed team considers the current knowledge and experiences with social inclusion WASH programming captured in this document a helpful and inspiring source for its collaboration with the MFA in strengthening the social dimension in its WASH programmes and projects. We will use the findings of the study in the development of a paper that will put forward options for strengthening social inclusion in the implementation of the Dutch WASH strategy.

We recognise that many additional experiences relevant for the translation of social inclusion policies into the practices of WASH programmes remain under developed in this document. Similarly we might not have yet fully explored in our analysis the richness of the existing experiences. However we trust that the present document will provide a useful resource for all sector professionals and organizations with an interest in translating social inclusion policies and strategies into the implementation of WASH programmes that effectively contribute to reaching the poorest and most marginalized groups.

This report is very much a work in progress document and we encourage further comments, insights and or questions.



## A | Annexes



## Annex 1 Operational model to assess social inclusion within WASH programme cycle



## Annex 2 Roles and responsibilities of development actors regarding social inclusion in the human rights framework

	Human rights obligations with regard to tackling inequalities (by promoting inclusion)	Relation to government of target country	Practical examples of social inclusion intervention
<b>State Agencies</b>	Development cooperation agencies, belonging to governments, have the obligation to comply with the human rights to water and sanitation. This includes the progressive realisation of these rights with a focus on the most in need and excluded.	Funders and partner countries should work together to develop policies and programmes that prioritize identified individuals and groups. State agencies must respect country's ownership of program and their conduct must be in line with the partner country's laws and regulations. State agency can influence policies from host countries and partner organizations by setting funding criteria.	<ol style="list-style-type: none"> <li>The bilateral agency can assist the Government in meeting its obligations under human rights law, including targeting those most in need and eliminating discriminatory practices.</li> <li>The bilateral agency can influence Government's policies and strategies on inclusion.</li> <li>The bilateral agency can partner with, or fund organizations that empower citizen to claim rights.</li> <li>Make country ownership of development cooperation a priority.</li> <li>The agency can stimulate WASH and IWRM integration and climate resilient WASH services.</li> </ol>
<b>International financial institutions</b>	International organizations, including states, have obligations under international human rights law and must take into account human rights, including non-discrimination and equality, in their lending policies, credit agreements and other international measures.	Funders and partner countries should work together to develop policies and programmes that prioritize identified individuals and groups. Funders must respect country ownership and their conduct must be in line with the partner country's laws and regulations. Funders can influence policies from host countries and partner organizations by setting funding criteria.	<ol style="list-style-type: none"> <li>The Development bank can assist the Government in meeting its obligations under human rights law, including on targeting those most in need and eliminating discriminatory practices.</li> <li>The Development bank can influence Government's policies and strategies on inclusion.</li> <li>The development Bank can partner with, or fund organizations that empower citizen to claim rights.</li> <li>Make country ownership of development cooperation a priority.</li> <li>Refrain from imposing conditionality in the provision of loans and grants that risk undermining the non-discrimination and equality</li> </ol>
<b>UN Agency</b>	<p>The level of the obligation to tackle inequalities and discrimination depends on whether the UN Agency is formed by states. (UNICEF's executive board is made up of state representatives, but its regional and national offices are non-government organizations).</p> <p>When part of a collective group, as members of international or regional organizations, states have the obligation to realize the human rights to water and sanitation through policy, decision-making processes and the activities of those organizations. International organizations are also bound by the human rights-related provisions in their constitutions.</p>	Funders and partner countries should work together to develop policies and programmes that prioritize identified individuals and groups. Funders must respect country ownership and their conduct must be in line with the partner country's laws and regulations. Funder can influence policies from host countries and partner organizations by setting funding criteria.	<ol style="list-style-type: none"> <li>The UN agency can assist the Government in meeting its obligations under human rights law, including on targeting those most in need and eliminating discriminatory practices.</li> <li>The UN Agency can influence Government's policies and strategies on inclusion and WASH/IWRM integration needed for social inclusion.</li> <li>The UN Agency can partner with, or fund organizations that empower citizen to claim rights.</li> <li>The UN Agency can actively advocate for inclusion of marginalized people.</li> <li>Make country ownership of development cooperation a priority</li> </ol>

	Human rights obligations with regard to tackling inequalities (by promoting inclusion)	Relation to government of target country	Practical examples of social inclusion intervention
<b>NGOs - international</b>	Non-governmental organizations are bound by national laws (and not international human rights treaties). They therefore do not have an obligation to fulfil human rights (and to tackle inequalities and discrimination) but they do have a responsibility to respect these rights. This means that their decisions and actions shall not have a negative impact on the human rights of the people impacted by their interventions.	NGOs must abide by national rules and regulation, can assist the government in fulfilling its human rights obligations, can influence policies through advocacy.	<ol style="list-style-type: none"> <li>1. The NGO can assist the Government in meeting its obligations under human rights law, including on targeting those most in need and eliminating discriminatory practices.</li> <li>2. The NGO can influence Government's policies and strategies on inclusion through consultations and advocacy</li> <li>3. The NGO can built awareness and empower citizen to claim rights and partner with other organizations to do so.</li> <li>4. Make country ownership of projects a priority</li> </ol>
<b>National and local NGOs/ CSOs</b>	Non-governmental organizations are bound by national laws (and not international human rights treaties). They therefore do not have an obligation to fulfil human rights (and to tackle inequalities and discrimination) but they do have a responsibility to respect these rights. This means that their decisions and actions shall not have a negative impact on the human rights of the people impacted by their interventions.	The NGO/CSO must abide by national rules and regulation, can assist the government in fulfilling its human rights obligations, can influence policies through advocacy, and can represent individuals and communities in rights-claims.	<ol style="list-style-type: none"> <li>1. The CSO can assist the Government in meeting its obligations under human rights law, including on targeting those most in need and eliminating discriminatory practices.</li> <li>2. The CSO can influence Government's policies and strategies on inclusion through consultations and advocacy</li> <li>3. The CSO can built awareness and empower citizen to claim rights and partner with other organizations to do so.</li> </ol>

## Annex 3 Semi-structured interview questions

### General social inclusion strategy

1. Could you briefly describe the work and objectives of your organization? What is your role within the organization?
2. What is the organizational strategy for social inclusion? If so, what does it entail; what are its core principles? (HRBA, pro-poor, other?)
3. Who are the "excluded" being prioritised by the organization?
  - a. Does the organization identify who they consider the most "excluded"?
  - b. On what grounds are people identified as "most excluded"? Are they identified at the level of country, group, type,...

### WASH specific strategy and programmes

#### Design/planning

4. Is social inclusion explicitly integrated in the WASH strategy?
  - a. If so, in what level of details is this 'social inclusion' imperative integrated in the strategy? I.e. how is social inclusion translated into programme design?
    - Is it included as a general objective, or are specific targets outlined?
    - Does the programme design give specific approaches to achieve social inclusion? If so, could you give some examples?
    - Does the programme design already envision strategies to monitor on social inclusion? If so, how?

5. Are specific groups of "excluded" identified as priority target-groups prior to the implementation of the WASH programme(s)?
  - b. If so, what criteria / conditions informed this prioritisation? I.e. on what grounds does your organization select its priority groups? (e.g. contextual analysis, identification of specific barriers to inclusion, etc.)
  - c. Are specific measures or interventions included in the programme design to ensure that the identified "priority-groups" are indeed included? If so, could you give some examples?
  - d. Are the WASH programmes aimed at addressing the root causes for exclusion for the identified groups?

### Programme implementation

6. How does your organization ensure that the "socially excluded" are reached in the practical implementation of its programmes? Can you give some examples of practical measures?
7. If the programme design includes specific guidelines to integrate social inclusion into WASH programmes
  - a. How do guidelines translate into practical implementation? Can you give examples?
8. Looking at the implementation of your organization's programmes, what are the main challenges/limitations when it comes to putting social inclusion strategies into practice?
9. What would you say are the most important practical interventions your organization implements to promote social inclusion?

### Monitoring, Evaluation & Learning

10. Does the organization keep track on the results of the "social inclusion" dimension?
  - a. Does the organization set targets for reaching the most excluded?
  - b. If so, are the targets set at organizational level or for WASH specifically?
  - c. Are social inclusion indicators part of M&E frameworks? If so, what are they? (I.e. How is social inclusion translated into measurable indicators?)
  - d. Does the organization use specific methods / M&E approaches to track progress in improving on social inclusion in WASH-reducing inequities, in their programme monitoring and reporting systems?
11. How does the organization learn from its experiences with addressing social inclusion?
  - a. Does the organization have documented experience with social inclusion in the WASH sector reported on their website?
  - b. How are lessons learned used and do they influence the organizational policies and practices?

### Conclusion

12. What are the main challenges and what are the main dilemmas in addressing social inclusion in WASH?
13. What would you consider the 3 main best practices to ensure social inclusion in WASH programmes?
14. What organization / agency do you regard as exemplary when it comes to ensuring social inclusion in WASH?



## Annex 4 Overview of interview respondents<sup>88</sup>

Name	Organization	Position	Date interview
Angie Saleh	UNICEF	WASH specialist	6 March 2018
Anke Verheij	WaterWorX	Programme officer	1 March 2018
Carolien van der Voorden	WSSCC	Head Technical Support Unit	22 March 2018
Joke Baak	Dutch MFA	WASH advisor	4 April 2018
Louisa Gosling	WaterAid	Quality Programme Manager	14 March 2018
Maitreyi B. Das	WorldBank	Global lead Social inclusion	28 March 2018
Mascha Singeling	Plan NL	Senior WASH expert	15 March 2018
Michiel Smet	NL embassy Benin	WASH expert	19 April 2018
Pim van der Male	Dutch MFA	Senior policy officer WASH	4 April 2018
Regina Rossmann	GIZ	Junior WASH expert	19 March 2018
Ridwanul Haque	BRAC	WASH divisional manager	18 April 2018
Tina Eisele	GIZ	WASH expert	24 April 2018

## Annex 5 WASH- Social Inclusion tools & guidelines<sup>89</sup>

Title instrument/ guide	Organization	Type	Description	Keywords
<b>WASH Poverty Diagnostic Initiative</b>	World Bank	Report / mapping	Initiative to better understand connection between poverty/vulnerability and access to WASH services. Identifies poor/vulnerable populations, binding constraints on improving WASH service delivery and ways to address those.	Including the poor Data
<b>Human Opportunity Index (HOI)</b>	World Bank	Tool	Methodology to determine to what extent people have access to opportunities, including WASH.	Barriers to Access Analysis
<b>Including Persons with Disabilities in Water Sector Operations</b>	World Bank	Guideline	Overview of key issues and challenges that persons with disabilities face in accessing water resources. Provides recommendations for disability-inclusive operations in the water sector and provides sample Indicators for Disability Inclusion in Water Operations.	Including people with disabilities Recommendations
<b>Toolkit - Water and Sanitation Services: Indigenous Peoples in LAC</b>	World Bank	Tool	Practical tools to promote inclusion of indigenous peoples in WASH service delivery. Offers concrete recommendations for implementation and policy.	Including indigenous peoples Recommendations
<b>World Bank Country Social Analysis (CSA) on Social Inclusion</b>	World Bank	Guideline	Guideline that offers sample questions for a social inclusion-focused CSA. Helps identify who is socially excluded and how; reasons why certain groups are excluded; and provides possible indicators and information sources on social exclusion.	Social inclusion Analysis

<sup>88</sup> A detailed information regarding approaches used by the mapped organization can be provided upon request.

<sup>89</sup> For Simavi WASH Programme Inclusion Assessment tool and Organisation Inclusion Assessment tools refer to: <https://simavi.org/long-read/social-inclusion-leaving-no-one-behind/>

<b>WASH Bottleneck Analysis Tool (BAT)</b>	UNICEF	Tool	Online tool to identify factors that prevent attainment of WASH sector objectives. Helps to develop costed and prioritized plans to remove bottlenecks, with particular emphasis on efficiency, equity and sustainability.	Barriers to access Analysis
<b>UNICEF Sanitation Monitoring Toolkit</b>	UNICEF	Tool	Depository of current approaches to sanitation monitoring, including guidance on how to use various monitoring instruments and links to the latest tools and resources. Organized into seven thematic areas: 1) Enabling environment; 2) National sanitation access; 3) Community Approaches to Total Sanitation (CATS); 4) Equity; 5) Sustainability and sector performance; 6) Sanitation marketing; 7) WASH in schools	Monitoring
<b>UNICEF Sustainability Checks</b>	UNICEF	Guideline / Tool	Guideline and tool to monitor sustainability of WASH services, with special attention for social norms conducive to stop ODF and broader factors underlying sustainability and inclusion. Annex contains extensive indicators, including ones particularly relevant for monitoring on social inclusion.	Social inclusion Monitoring
<b>Clusters of Disadvantage model</b>	UNICEF	Tool	Tool to identify the 'most excluded' by means of 5 'clusters' of disadvantage.	Social inclusion Analysis
<b>EQND in WASH diagnosis</b>	WSSCC	Report / Guideline	Offers recommendations to address EQND in WASH programming, based on extensive assessment. Detailed recommendations include 'do's and don'ts' in community level programming; categorisation of clusters and ways to integrate EQND into M&E and learning.	Social Inclusion Analysis Recommendations Monitoring
<b>Handbook on Community Led Total Sanitation (CLTS)</b>	PLAN	Guideline	Resource book for field staff, facilitators and trainers with practical recommendations for planning, implementation and follow-up of CLTS.	Social inclusion Recommendations
<b>The Equality Checklist</b>	WaterAid	Tool	Concise checklist that draws attention to most relevant factors of discrimination and inequalities. Helps formulate and evaluate proposed goals, targets and indicators for WASH.	Social inclusion Analysis
<b>WASH barrier analysis</b>	WaterAid	Tool	Participatory methodology to identify barriers to access WASH services. Document highlights key steps in the analysis focused on people with disabilities.	Including people with disabilities Analysis
<b>The Washington Group Short Set of Questions (WGs) on Disability</b>	WaterAid	Tool	Concise set of questions to identify people with functional difficulties, whilst avoiding social stigmas. Also allows for identification of other vulnerable groups, including older people or people with less severe physical challenges.	Including people with disabilities Analysis
<b>Ensuring Equity &amp; Inclusion to WASH</b>	BRAC	Report	Assessment report on BRAC's achievements and practices on equity and inclusion in its WASH programme. Contains useful indicators focusing specifically on social inclusion in Chapter 6.4: Key monitoring indicators for WASH.	Social inclusion Recommendations Monitoring