

UN-Water GLAAS 2012 Evaluation Meeting

2- 3 October 2012, Bern, Switzerland

Final Report (21 November 2012)

This report summarizes discussions held during the second UN-Water GLAAS Evaluation meeting that was hosted by the Swiss Agency for Development and Cooperation (SDC) in Bern on 2 and 3 October 2012. Forty-five experts in water and sanitation, health, and economics and finance, were in attendance from both developed and developing countries. Other participants represented government agencies, non-governmental organizations (including professional associations), bilateral development organizations, regional development banks, multilateral organizations, and academia.

Contents

1. Executive Summary	2
2. Introductory Sessions	8
3. Working Group Presentations and Discussions.....	10
4. Tracking WASH Financing (TrackFin)	13
5. Country and Partner Monitoring	14
6. Next Steps	17
7. Annexes.....	20
Annex 1: Agenda	20
Annex 2: List of Participants.....	24
Annex 3: Action Plan and Timetable.....	34
Annex 4: Working Group 1—Background Paper	35
Annex 5: Working Group 1—Summary of Deliberations.....	44
Annex 6: Working Group 1—Content Options.....	47
Annex 7: Working Group 2—Background Paper	49
Annex 8: Working Group 2—Summary of Deliberations.....	52

List of abbreviations

1. Executive Summary

Introduction and objectives

The 2nd UN-Water GLAAS evaluation meeting¹ was convened in Bern, 2-3 October 2012, with participation from 45 experts in water and sanitation and related fields from a range of countries and organizations. The objectives were to: a) review the overall strategic direction of GLAAS; b) review the GLAAS process; c) review the GLAAS products and communication activities; d) agree on recommendations for next steps and long-term goals, and; e) establish linkages with other monitoring and WASH sector assessment initiatives that make up the "global monitoring landscape".

Conclusions

The participants at the meeting agreed that GLAAS fulfils a unique role within a complex global monitoring landscape. It is the only authoritative global report on WASH “inputs” (e.g. such as enabling environment determinants, policy framework and application, financing streams, and human resources) for countries and external support agencies. As such, it provides a valuable snapshot on the efforts and approaches being applied by countries and external support agencies to improve and sustain access to water, sanitation and hygiene services. Equally, it highlights bottlenecks to increasing access to water and sanitation services and to the attainment of the MDG water and sanitation target. GLAAS plays an important role involving non-water sectors, like finance, that indirectly, but significantly influence delivery of WASH services. Participants appreciated that the GLAAS products are useful for achieving a common understanding regarding the country’s sector status and capacity to reach established country targets. Additionally, it allows for comparative analysis amongst participating countries and enables presentation of the evidence to deliver advocacy messages to high-level policy-makers and the media. Additionally:

- For many countries undertaking the GLAAS exercise —especially working through the questionnaire—was seen as a means to inform national planning and policy development in a structured way; it was also seen as a catalyst to strengthen identified weaknesses in WASH monitoring and planning systems.
- For external support agencies, it was considered important to have the ability to review a regularly updated global picture of status, progress and challenges in relation to the WASH enabling environment as a basis for informed decision-making in the implementation of their support allocation strategy.

Participating countries mentioned the added value of the GLAAS process, indicating that GLAAS is an opportunity for governments, donors and CSOs to interact and communicate through which mutual understanding, planning, partnership and capacity can improve.

While there was broad agreement that GLAAS was useful, it was acknowledged that further work should be done to improve the relevance and impact of GLAAS, both for its global audience and for contributing countries. To this end, participants agreed on a series of recommendations, outlined below, to optimize its featured content, thematic focus areas, and methodology. Indeed, it was agreed that GLAAS should not shy away from these challenges: *“It’s a long term investment but it’s worth it.”*

¹ The first GLAAS evaluation meeting was convened in the Hague, 21-22 June 2010.

Aware that GLAAS is one of several global and regional monitoring initiatives contributing to a wider framework, it was recognized that GLAAS cannot by itself address some of the broader concerns raised by participants. Therefore certain recommendations were formulated to target the wider monitoring community with indications on how they could optimally inter-relate with GLAAS.

It was agreed that GLAAS could yield the greatest benefit to countries by recognizing the key role of national monitoring frameworks, working in alignment with these and seizing opportunities for their strengthening. There was consensus that the bedrock for the GLAAS data collection exercise should be country level sector information and monitoring systems.

Participants felt that reform of WASH monitoring was needed to harmonize the work of various fragmented initiatives and to ensure cooperation and use of common approaches. Moreover, there was consensus that GLAAS could function more optimally by drawing on the data generated from scaled-up, comparable and regularly performed country-led WASH assessments. This implies continued efforts by those countries already carrying out regular Joint Sector Reviews, and for countries with weak monitoring systems, increased use of sector analysis tools like Country Status Overviews (CSOs) or Bottleneck Analysis Tools (BATs), or a lighter version of these as a gap filling measure. Thus, the GLAAS plan of work will need to outline a series of data collection activities that permit an orderly transition to using data from country-led assessments, with the expectation that these will be established progressively. Through its links with countries, international organizations, NGOs and partnerships like Sanitation and Water for All (SWA), GLAAS could contribute to the rationalization of the global monitoring landscape by:

- Advocating global cooperation among countries and external agencies and partners (e.g. UNICEF and WSP) to support regular, sustainable, country-owned, monitoring and sector assessment processes. These “Country-Led Assessments” of WASH efforts would take different forms depending on country needs and capacities and build on CSO-type approaches.
- Encouraging a process to initiate development of guidelines or standards, which would include promotion of common metrics and quality-assured monitoring processes.

GLAAS Guiding Principles

A number of points were cross-cutting in nature and repeated at various points throughout the meeting. These included:

- Supporting, through the structured and systematic GLAAS process, the strengthening of national monitoring systems both to enhance the quality of data collected at country level and to contribute to capacity building;
- Preferentially using established data sources and cooperate with existing global monitoring platforms;
- Ensuring the relevance of GLAAS to those who need evidence for decision-making, benchmarking and progress tracking (e.g. national governments, the Sanitation and Water for All Partnership, and donors);
- Ensuring that GLAAS influences a chain of actions that ultimately leads to increased and sustained provision of WASH services through use of a ‘theory of change’ type of analysis.

Content and Presentation

Most participants felt that biennial reports should be more focused (for example on subjects like financing or human resources) with the implication that other topics be cut. Yet many also proposed additional issues for inclusion. These contradictory recommendations could potentially be reconciled by presenting core and ancillary information in different formats (e.g. the biennial report itself could be supported by web-based documents). Additional recommendations on content include:

- The GLAAS global report must be short and tightly focused on overall trends and problems (a “menu of options” for contents of the 2014 report is presented in Annex 6)².
- Intensify the focus on financing such that it is the core issue addressed by GLAAS (this would include further developing the “TrackFin” initiative.).
- Strengthen the analysis of additional financing-related issues, including “donor behaviour” such as aid targeting, and national processes such as investment planning and allocation of budgets.
- Strengthen the focus on human resource capacity and gaps—but not necessarily in every report.
- Confine GLAAS content to “input” data; refrain from collecting coverage data (e.g. for schools and health care facilities) which should be the domain of the JMP or other recognized international organizations with the capacity to monitor water and sanitation facilities in these locations in the future.
- Measure different parameters at different frequencies; refrain from reporting every two years on issues that do not change significantly within that time period .
- Make better use of existing data sets. For instance, only a small proportion of the data collected in 2011 was analysed and presented in the 2012 report. An opportunity exists to produce a report based on additional analysis of the 2011 data, potentially with some new data from 2013.
- Be opportunistic: consider agreeing on main thematic areas and key messages before producing the report and in alignment with others (e.g. the theme of the SWA HLM).

Dissemination

Suggestions related to communicating GLAAS products included the following:

- Segment the audience and develop matching products (e.g. one-pager with key messages relevant for high level political decision makers, broader set of data available on website for national use).
- Re-examine the timing of the publication in light of the fact that SWA would ideally need the GLAAS evidence to feed into the SWA High Level Meeting (HLM) preparatory phase, which would imply publication several months before the High Level Meeting HLM.
- Develop an online presentation portal that would also be used for interactive data submission and validation, and would be updated continuously.
- Strengthen the dissemination of GLAAS messaging through the web.
- Establish a country focal point to assist feeding GLAAS analysis back into national planning and reporting processes.
- Identify national fora and national plans where GLAAS findings and analysis can be reported and actioned.

² Annexes are available in the full meeting report.

- If necessary, organise regional and/or national-level meetings for policy makers to inform national planning and policy processes.
- Provide countries with analysis tool and guidelines to use and present resulting data, including to facilitate dissemination of the evidence to decision makers at national level.

Methodology

Participants discussed approaches to strengthen the quality of GLAAS data, particularly information collected through the questionnaire. The questionnaire was judged to be too long, with some questions duplicative, some irrelevant to certain countries (e.g. if MDG target was achieved) and too many questions open to interpretation. For some key areas such as financing, it was pointed out that there were insufficient data to guarantee a sound and statistically significant analysis. Some felt strongly that while this was true, there was a need to be pragmatic and still present what data there was, but with clear caveats. It was also pointed out that a paucity in data on certain issues provided important information by itself. The recommendations were to:

- Work with a smaller amount of data and increase quality in order to reduce the burden to respondents and increase the reliability of results. This implies focusing on a smaller set of parameters that can meaningfully be monitored at global level. One way to do this is to identify those questions from the GLAAS questionnaire that are and reliably answered and to consider dropping those that are not. The need for questions with narrative answers could be reconsidered and could be complemented by data gleaned from key informant interviews.
- Linked to the above, establish a core set of indicators;
- Simplify the questionnaire language, consider additional validation of translations, and prepare a reference guide to help interpret questions and possibly give advice on where to find the information;
- Reduce the length and the complexity of the questionnaire
- Revise the questionnaire to an easily navigable modular format (e.g. like a tax form);
- Improve the data credibility and transparency by requiring the sources of data to be explicit and by introducing a validation system
- Strengthen the analysis component (e.g. include country case studies to show the link between the inputs captured by GLAAS and the sector outcomes captured by JMP); and,
- Consider benchmarking between comparable countries of similar typology
- Progressively reducing the reliance on a questionnaire-based approach to the eventual goal of relying on data from country-led sector assessments.
- Increase availability of data by involving more stakeholders: i) encourage multi stakeholder meetings as a key step in data collection; ii) re-word certain questions to include additional stakeholders.

The GLAAS Implementation Process in Countries

There was a consensus, especially among country and regional representatives, regarding the need to improve the data collection methodology in countries and embed it within national processes. They recognized the important actions were to undertake the following, (with the GLAAS team itself not necessarily undertaking all the activities):

- Establish/strengthen the national GLAAS coordination mechanisms, including by linking to the focal points of existing WASH monitoring platforms.

- Diversify the data collection process by utilizing the national level monitoring processes where present; using data from sector analysis processes (CSOs, BAT) where carried out; and align geographic focus and timing of processes to feed into GLAAS, to avoid gaps/overlaps).
- Position GLAAS as a continuous process, with attention given to “pre-” and “post-” data collection work. This would imply creating better feedback loops between country and global efforts.
- Mainstream stakeholder consultation in the processes, including facilitating country inputs into the questionnaire design so it can be adapted to local contexts and provides acceptable definitions and concepts.
- Organize timely sensitization workshops to increase technical knowledge and understanding of the GLAAS objectives, questionnaire and output amongst project offices and government staff
- Involve countries at an earlier stage so that they can own the data collection process and learn from it. In this regard, the timeframe to collect data in countries was seen as too short, and it was suggested allowing the national GLAAS process to have a duration of 2-3 months.
- Link GLAAS to country-recognised sector framework for planning and sustainable management (e.g. Joint Sector Reviews) where these take place.
- Create and reinforce synergies between GLAAS, JMP and country level assessments (CLAs).
- Disseminate country-level findings to national policymakers and policy advocates (via country profiles and regional highlights). Potential activities include: organize a workshop to disseminate findings; and make results accessible through a web tool.
- Encourage governments to actively support increased participation of NGOs, Civil Society Organisations and private sector in GLAAS data collection and validation.

Next steps

In the last session of the GLAAS 2012 Evaluation Meeting, and based on the background work, discussions and interventions, the WHO GLAAS Secretariat proposed a series of next steps in a table, which included both internal recommendations directed at the GLAAS team and recommendations directed towards the wider international WASH community. The full table is presented in the body of the report, while an abbreviated version is presented below.

Products / Processes	UN-Water GLAAS	Other stakeholders
Country	<ul style="list-style-type: none"> • Improve GLAAS methodology, including questionnaire • Produce country templates • Provide increased technical assistance (e.g. sensitization workshops) 	<ul style="list-style-type: none"> • Run post-GLAAS workshops • Ensure established M&E country focal point • Increase implementation of sector analysis tools like CSO • Support the scaling up of sustainable “Country-Led Assessments” (CLAs)
Regional	<ul style="list-style-type: none"> • Publish Regional Highlights • Undertake additional regional analysis 	<ul style="list-style-type: none"> • Undertake regional analysis workshops • Run post-GLAAS dissemination workshops
Global	<ul style="list-style-type: none"> • Publish biennial report • Create Web-based information portal for GLAAS data submission, validation, presentation • Support thematic methodology on tracking funding to WASH and pilot results • Draft “Country-led Assessment” concept paper + mapping of monitoring initiatives • Expand analysis of human resources 	<ul style="list-style-type: none"> • Analyse human resources aspect of the sector (e.g. IWA) • Draw on data from partner monitoring (WaterAID analysis on aid, SWA global advocacy (SWA and HLM; IRC WASHcost) • Develop guidelines or standards for WASH input monitoring • Align with post-2015 monitoring planning process for WASH

2. Introductory Sessions

Opening

Francois Muenger, Senior Water Adviser, SDC, opened the meeting on behalf of SDC. He outlined SDC's approach to development aid for the water sector, stressing the benefits of working through partnerships in a globally coherent manner. He highlighted one cluster of activities in particular, the "Watsan 3A+" strategy, designed to provide the evidence for a strong political voice for water and sanitation, and founded on three pillars: water and sanitation data acquisition (e.g. through the WHO/UNICEF Joint Monitoring Programme), data analysis (e.g. through UN-Water GLAAS) and advocacy (e.g. through the Sanitation and Water for All Partnership.) GLAAS was cited as being central to inform SDC decision-making. With the current attention given to reformulating global development goals for post-2015 period, he expressed concern at the dispersion of the "water voice" and recommended that the water sector come together in order to establish a unified and influential position.

Federico Properzi, Chief Technical Advisor, UN-Water, welcomed participants on behalf of the UN-Water Chair. He reminded participants of the increasing relevance of GLAAS as a UN-Water report representing the UN-System, within the context of the post-2015 development agenda. *"A lot is at stake in the next decade and GLAAS has an important role to play to support this development with evidence"*

During the round of introductions participants expressed their support for GLAAS as a single authoritative global report and offered to help strengthen it through their experiences.

Robert Bos explained the rationale for the meeting, indicating that participants should seize this important opportunity to improve the effectiveness of GLAAS and to implement needed and feasible "course corrections". He indicated that in preparation for this meeting, two informal working groups had been convened to review GLAAS priorities and linkages with countries, and to develop recommendations to inform the meeting.

Meeting Objectives

Mr Bos then presented the objectives of the meeting, which were to:

- Review the overall strategic direction of GLAAS.
- Review the GLAAS process (e.g. methodology and approach to implementation).
- Review the GLAAS products and communication activities.
- Agree on recommendations for next steps and long-term goals.
- Establish linkages with other monitoring initiatives that make up the "Global monitoring landscape".

Participants subsequently agreed to the agenda (see Annex 1) and welcomed Kerstin Danert as facilitator/moderator and Marie-Alix Prat as rapporteur. The meeting was chaired by François Muenger.

Background to GLAAS

Peregrine Swann set out the rationale for GLAAS, tracing back its origins to the 2006 UNDP Human Development Report, "Beyond scarcity: Power, poverty and the global water crisis". The report highlighted the need to make water and sanitation a human right, the importance of developing national WASH strategies and supporting these through development aid, with efforts framed by a global action plan. The impetus of the report led DFID to articulate a Global Call to Action to reform the global WASH architecture with "Five Ones" (one national plan, one national coordinating group, one

lead UN agency at national level, one global annual report³, and one global meeting to decide action.) Building on the “one annual report” concept, GLAAS was conceived, initially as the Global Annual Assessment of Sanitation and Drinking-water. Responding to a request from the UN-Water Chair, WHO agreed to be the executing agency.

Progress made on GLAAS has been encouraging with the pilot “Proof of Concept” report in 2008 covering eight countries. The GLAAS 2010 report presented data from 42 countries and 24 donors/external support agencies; the GLAAS 2012 report collected data from 74 countries⁴ and a similar number of donors and ESAs as in GLAAS 2010. GLAAS data have been used as evidence to inform the deliberations of the Sanitation and Water for All High Level Meeting, convened every two years in conjunction with the World Bank/IMF spring meetings, and in a sequence that aligns with the GLAAS publication. UN-Water GLAAS is becoming a recognised feature in the monitoring landscape thanks to UN support, financial support from donors, effective advocacy from international and regional NGOs, active participation from developing country governments, and collaboration with key international stakeholders.

Dick van Ginhoven, Senior Advisor for Water and Sanitation, Directorate General for International Cooperation, the Netherlands reflected on the 2010 evaluation of GLAAS that was held in the Hague. He summarized the meeting recommendations, which included improving the links between GLAAS data collection and national monitoring processes, moving from an annual to biennial report (with the subsequent name change to Global Analysis and Assessment of Sanitation and Drinking-water), improving data on WASH financing and human resources, and strengthening links between WASH and health outcomes. In his opinion GLAAS has been moving in a positive direction, having strengthened its analysis in many of these aspects. He felt that more could be done to argue the health and economics cases. He also felt that WASH should be joined to water security and IWRM discussions to effect political change. He indicated that GLAAS remained a crucial contribution to the originally articulated “5 ones” process, which was in fact “3 ones” at national level and “2 ones” at the global level that had morphed into GLAAS and SWA. He reiterated the importance of GLAAS providing the evidence that serves the political initiative that is SWA. He questioned how we can better reflect SWA objectives and HLM commitments in GLAAS, and how we should link GLAAS with the 2014 High Level Meeting. In this regard, he suggested an opportunistic approach to GLAAS 2014 as 2014 will be a year of transition toward new post-2015 targets.

Current Approach to the GLAAS report

Bruce Gordon, Technical Officer, WHO outlined the approach to developing the 2012 GLAAS report, noting that the process aspired to meet the ambitious GLAAS objectives of identifying drivers and bottlenecks to progress towards MDG 7 target C (and national targets) and of serving as a repository of global data for decision-makers.

³ DFID’s original vision for the report was to capture a) current levels of access to safe water and adequate sanitation, highlighting where progress is lagging behind; b) which countries have good national plans for achieving the targets, and which countries are implementing them; c) the proportion of developing country public budgets going to water and sanitation; d) the extent to which donors are fulfilling their promises, including looking at future financial commitments; and e) what countries need to do to address the challenges in the report.

⁴ One additional country submitted data too late to be included in the 2012 GLAAS report, but this data is included in the compiled raw data available on the GLAAS website.

He acknowledged that the essential product was the biennial report itself, but highlighted how the GLAAS process also develops regional highlights, country and ESA (External Support Agency) reports for SWA High Level Meeting, and a country data repository (as one excel file, which is now available on the web site and which contains all relevant country information). A series of products relating to the GLAAS commissioned research on tracking financing at national level (TrackFin initiative) will become available shortly.

With respect to the GLAAS methods, Mr Gordon underscored the preference to use available information (e.g. from Country Status Overviews, Creditor Reporting System data). In the absence of readily available and comparable data, comprehensive GLAAS country and ESA questionnaires had, however, been developed. These questionnaires have become a cornerstone of the GLAAS method. They serve as a means to acquire data for the GLAAS report, but perhaps more importantly, to catalyse and structure WASH discussions at national level.

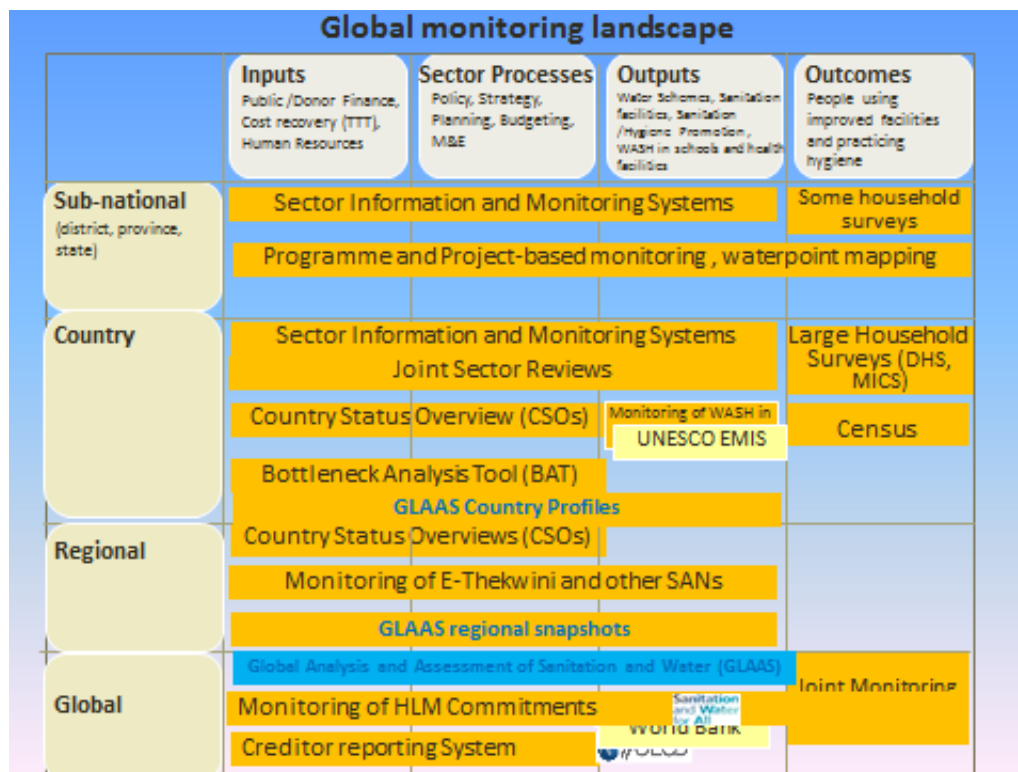
Data collection for GLAAS has been a collaborative effort involving cooperation at global (SWA/UNICEF, WSP/CSO), regional and national level (WHO offices, GLAAS country focal points, ministries). It was recognized that some countries needed to make further efforts to align with the recommended implementation practices of convening a national sensitization workshop and a stakeholder consultation, with the questionnaire being used as a reference for wider consultation. Finally, results were formally signed off by government and validated by external stakeholders.

He also pointed out that, as common practice thus far, the process had avoided pre-selecting a particular focus and associated messages in advance of analysing the data. Analysis of the raw data drove the identification of key messages and development of themes. However, assessing the data for key determinants of, or barriers to, progress was difficult. Data were compared across geographical, economic, sectorial and urban/rural areas (e.g. targeting of aid; lack of financing in sub-Saharan Africa), and data relationships were identified (e.g. capacity to absorb financing vs. sufficiency of funds). The results were then put into context (analysis of narrative responses, external data, experts, follow-up interviews) before finally being presented in short narrative format or graphical format (often as a “dashboard”).

3. Working Group Presentations and Discussions

Clarissa Brocklehurst, Chair of Working Group on GLAAS Content, Focus and Themes, noted that many global and country level monitoring initiatives are being, or have recently been, set up. This reflected the high demand to improve monitoring in the WASH sector. At the same time, it is clear that this WASH monitoring landscape is crowded, suffering from duplication and fragmentation.

Fig 1: Global monitoring landscape for WASH



It was agreed that GLAAS should move forward with due consideration for the wider context within which it operates. It should therefore not only focus on an appropriate role within this landscape, but also in partnership with others, assist in driving efforts toward a coherent and integrated monitoring framework.

Ms Brocklehurst then presented a summary of deliberations of the Working Group she chaired on GLAAS Content, Focus and Themes. The group tackled the question of what GLAAS should be attempting to achieve, what priority areas should be proposed for the 2014 GLAAS report and touched on possible methods that might be best suited to meet these objectives. The background paper written to spark discussion within this group, together with the group’s subsequent report, are presented in Annex 4.

There was debate on the subject of GLAAS balancing its role as a global report versus contributing to national processes. It was acknowledged that engagement at the national level has to occur as national data needs to be collected to feed in the global report.

Ms Inge Klaassen, Ethiopia Country Programme Coordinator of the IRC International Water and Sanitation Centre, presented a summary of deliberations from her Working Group on ‘GLAAS Implementation and Country Linkages’ (presented in Annex 8). Three key issues were presented: a) GLAAS process and linking: how to align GLAAS with existing country processes and maximise opportunities for linkages?; b) pre-phase GLAAS: how to implement GLAAS at national level?; and c) Post-GLAAS & feedback loop: how can data analysis & feedback increase national ownership and use of the GLAAS report (and vice versa)?

Countries provided positive statements such as *“GLAAS is a good reporting system to realise where countries are...”*; *“GLAAS is an opportunity at country level to design evidence-based policies and improve performance”*; *“We need a balance between information collection for the global perspective and for national use.”*

Apart from reporting on financial input and human resource components, there are not significant difficulties in the collection of data and reporting. Some considerations mentioned were that NGOs, CSOs and Private Sector are not as involved in the GLAAS review process as they could – or should – be. Also, it was mentioned that from 2008 to 2012, the survey pattern changes slightly, giving the impression that GLAAS is still on trial. The question was raised whether GLAAS knows what it wants to report on and for/to whom.

Participants went on to address the question of whether GLAAS should be a “light” version of a CSO (WSP Country Status Overview) aggregated into a global report or focus on being a global report with very brief presentations of country data. This question links to the choice of methodological approach as a “light” CSO-type approach would likely require the provision of substantial external technical support, such as through national consultants.

In this regard, it was pointed out that a range of different types of countries needs to be covered. These include countries that:

- a) Already have a good national system for institutional analysis and monitoring
- b) Have partially developed systems that rely on such initiatives as the CSOs for institutional bottleneck analysis and data review
- c) Possess very weak or collapsed monitoring systems may see GLAAS as an important entry point to build or re-build sector capacity.

For this third type, “light” CSOs may be needed to produce a better quality and more complete set of data. However, GLAAS does not have the capacity and resources to undertake this itself.

Linking Local to International Monitoring

Kirsten Danert’s presentation on Uganda’s “National monitoring of rural water supplies” provided an insight as to how national performance review and monitoring systems can be developed and strengthened over time by Governments and how they can provide data for the GLAAS report.

Piers Cross emphasized that weak WASH monitoring systems had been recognized as a major and long-standing area of weakness. The “fixes” that haven’t worked have been piecemeal projects that have not been “owned” by government. Sustainability of these systems are undermined when the information has not been used.

He highlighted the importance of linking between national and international monitoring. He observed that developing good country information systems is critical as it directly contributes to accountability, evidence for decision-making and by extension national leadership. He noted both the demand for a country-focused approach and the desire for one global monitoring system. Considering this need, Mr Cross then laid out a series of steps to consider for integrating a CSO-type process into GLAAS:

- Step 1: Developing a concept paper on methodology for country-level analytic processes to build common methodology, building on lessons of CSOs, bottleneck analyses and other country analytic monitoring processes
- Step 2: Mapping out existing country sector monitoring systems – gives basis for selecting where CSOs are needed most
- Step 3: Building a compact between different agencies for common approach and dividing up country support responsibilities between agencies: WSP, UNICEF, WA, ISW, IRC, UNDP
- Step 4: Piloting a country level approach in a range of countries
- Step 5: On basis of piloting and global mapping, prepare plan for integrating country monitoring process into GLAAS 2014 or future GLAAS processes

Deliberation of Breakout Groups

Breakout groups further took up these issues. The groups felt that ultimately GLAAS was about targeting the interface between global, regional and national levels by focusing on specific topics that are relevant to this interface e.g. finance flows, human resources, human rights, aid effectiveness.

Participants suggested that the primary GLAAS audience was those stakeholders that focus at the global level. This included high-level political decision makers: the UN General Assembly and ministers and parliaments in donor countries who influence allocations for ODA. At the regional, level, Regional Development Banks could use the regionally-aggregated data for benchmarking. Audiences at the national level included ministers of finance and parliaments (bodies that influence national budget allocations for WASH) and high level decision makers in other sectors such as health and education, and civil society, to ensure accountability and transparency.

The following were considered as the key objectives for GLAAS:

1. To provide evidence for high level decision making e.g. funding allocations within and between sectors
2. To put forward standards for monitoring a small set of parameters that are relevant at both global and national high level decision makers e.g. standard financial reporting, standard methodology to analyse HR capacity.
3. To be an advocacy tool (e.g. technical to political, civil society to government)

Participants expressed some divergence of opinions on what should be the content of GLAAS. At present, it focuses on the WASH sector (Water, Sanitation and Hygiene) but there might be a need to broaden the boundaries given the general shift towards examining WASH issues (e.g. IWRM) as part of the overall “water security” framework. Questions were raised on including hygiene since hygiene as a “sector” is even more difficult to define and hence track. Potential focus themes suggested were: policies and legislation (tracking of the human right to water), impacts on health, economic benefits, and equity.

4. Tracking WASH Financing (TrackFin)

There was consensus on the need to better track financing to inform decision making at a global and national level. Based on this prior consensus, WHO is investing in the development of a methodology in order to allow better tracking of financing to WASH, referred to as TrackFin.

Sophie Trémolet presented the overall objective of TrackFin, which is to define and test a globally accepted methodology to track WASH financing at national level. A short-term milestone included collecting better WASH financing information for GLAAS 2014. The long-term goal would be to develop a methodology which builds upon governments' statistical systems and mainstreams data collection, and to encourage countries to adopt this common framework to track their financial data of WASH sector. The following was agreed:

- It will be important to maintain relations with other institutions and work together to design a globally accepted methodology to track financial flows.
- There was a consensus during this evaluation meeting that GLAAS should be embedded in national systems. This means that results should answer policy questions set by national policy makers and that they should be made comparable to feed into GLAAS.
- The methodology needs to be embedded in internationally agreed systems and standards used (or that will be used) in countries: SNA (System of National Accounts) and SEEA-W (System of Environmental-Economic Accounting for Water) and in particular, SEEA-W quadrant "improving drinking water and sanitation"

A number of comments were expressed on the design of the methodology and the way in which it could build upon other initiatives (see Section 5 for a description of these initiatives), including:

- the need to clearly delineate the boundaries of the WASH sector, for TrackFin but also for GLAAS as a whole;
- possibilities of building upon existing methodologies, such as WASHCosts (for unit cost data and cost calculation methodologies), or the Pan African monitoring and evaluation which aims to monitor the implementation of the eThekweni declaration;
- the need to deal with financing issues such as losses due to corruption or the fact that the amounts budgeted tend to differ from amounts actually spent;
- the need to capture financial flows from a variety of sources, including households, but also NGOs, private foundations, non-OECD donors or the private sector;
- the need to examine who receives financing in order to identify who might be left behind (which is important in order to monitor the implementation of the human right to water);
- the need to build on existing statistical systems to the extent possible (and JMP has extensive experience in this area that GLAAS could draw from); and,
- the need to consider financial flows against service levels, and ultimately build-in cost-effectiveness analysis in the interpretation of financial figures.

The next steps will be to develop the methodology to track financing and test it at a country level with a current focus on defining the WASH sector boundaries using existing statistical classifications and selecting countries for testing.

5. Country and Partner Monitoring

Participants at the meeting were asked to briefly present on-going initiatives that could contribute to the GLAAS report and process at various levels, including global methodological development, strengthening of national monitoring systems, the provision of political support at the global level or the development of comprehensive datasets and tracking mechanisms.

5.1. WASH BAT - Bottleneck Analysis Tool (UNICEF, WB)

- WASH BAT is a tool developed by UNICEF and the World Bank as part of the Marginal Budgeting for Bottlenecks approach. It is a tool **to analyse bottlenecks in the delivery of WASH services** in urban and rural areas based on the analysis of 4 key enabling main themes: environment and equity, supply, demand and quality.
- The WASH BAT is built on CSOs with 27 indicators and also uses other existing tools.
- UNICEF supports key interventions to implement WASH BAT in countries. It is actually more a compact set of many interventions and tools.

For more information on Marginal Budgeting for Bottlenecks, see:

- <http://www.devinfolive.info/mbb/mbbsupport/index.php>
- http://www.who.int/pmnch/topics/economics/costing_tools/en/index12.html

5.2. Pan African Monitoring and evaluation system (AMCOW)

- The African Union from African head-of-states has been tasked with **monitoring the commitments taken by African head of States through the [Sharm El Sheikh declaration](#) in 2008 and evaluate their performance in the WASH sector.**
- It stems from the Africa 2025 Water Vision.
- It is a set of minimum indicators based on a common monitoring framework that are linked to targets of the MDGs and Africa Water Vision. It is developing common tables that will feed into a common Pan African database.
- They are currently harmonizing actions at country level and setting country focal WASH M&E points.

5.3. WASHCost (IRC)

- WASHCost is a **methodology for monitoring and costing sustainable WASH services**. It assesses costs looking at the entire life cycle of service delivery (known as the **“life-cycle costs approach”**) and compares them against levels of service provided.
- The methodology has been tested at scale in Burkina Faso, Ghana, India, and Mozambique.
- Potential contribution of WASHCost to GLAAS:
 - It can support country studies and help track costs and service levels
 - Symposium “Monitoring sustainable WASH services” sector-wide conference Addis (9-12 April)
- For more information, see: <http://www.washcost.info/>

5.4. JMP - Joint Monitoring Programme (WHO/UNICEF)

- The Joint Monitoring Programme (JMP) for Water Supply and Sanitation is the official United Nations mechanism tasked **with monitoring progress towards the Millennium Development Goal (MDG) relating to drinking-water and sanitation.**
- The JMP publishes updated estimates every two years on the use of various types of drinking-water sources and sanitation facilities at the national, regional and global levels. From this year, estimates will be updated yearly (although the official report will come out every two years).
- For more information, see: <http://www.wssinfo.org/>

5.5. Water Aid Resources

- “[Addressing the shortfall](#)” is a report commissioned by WaterAid and written by Development Initiatives, to complement UN Water's 2012 GLAAS report by putting resourcing of the water and sanitation sector - specifically the role of Official Development Assistance, or aid - under the spotlight.
- The [WASHWatch website](#) is an open source platform to monitor WASH policies and commitments. Members can edit information in real time for greater transparency.

5.6. Human resource capacity gaps studies (IWA)

- The methodology employed assesses countries’ **HR capacity gaps to attain MDG and full service coverage** in terms of capacity shortages (in number of skilled professionals) and gaps in skills and competences. They inform decision making to bridging gaps and shortages with specific recommendations to countries.
- The outputs are country reports and briefing notes (15 countries) and a synthesis of these individual country level reports.
- For more information, see: <http://www.iwahq.org/1s3/development/hr-capacity-gaps-study.html>

5.7. Blue Books ([International Secretariat for Water](#))

- Blue Books were launched in 2003. They are **in-depth and independent analyses of water and sanitation services in countries from NGOs, civil society, parliamentarians** etc. They assess investments needed to attain MDGs and gaps and what is really done.
- The books can be used for decision making and advocacy. They are tools for dialogue at a national level.
- For more information, see: <http://www.sie-isw.org/en/lobbying-tools/blue-books>

5.8. Global Sanitation Fund (WSSCC)

- GSF collects data on how much is spent on sanitation in its programmes and how funds are allocated.
- GSF supports Monitoring and Evaluation in countries implementing their programs to have information on their performance without burdening them.
- For more information, see: <http://www.wsscc.org/gsf>

5.9. Europe atlas on water supply and sanitation

- It is a mapping tool developed by WHO Regional office for Europe.
- It is not a data collection tool but it **presents WASH data from different sources** (JMP and GLAAS) and Information Systems through maps.
- <http://www.waterandhealth.eu/>

5.10. ASEAN Regional Platform for monitoring programs

- It is a joint platform of ASEAN countries and regional partners that includes discussions on GLAAS and JMP. It looks at **how these monitoring reports can be relevant for WASH within the region**.
- Regional perspectives would bring a real insight to the study. For the 2012 report on GLAAS they want to make regional highlights and compare countries among the region.

5.11. Sanitation and Water for All (SWA)

- It is the **only global political platform for WASH** with 85 partners including 40 developing countries. SWA is a global platform that plays out at national level. It connects all initiative and bring them into policy dialogues
- **Objectives:** Support political prioritisation of WASH, evidence-based decision making and strong national planning, investment and accountability frameworks, and strengthen global and regional processes.
- Monitoring is part of the “System Strengthening” program. For instance “Harmonising data” is a discussion that could happen within SWA.
- Can work with GLAAS on: Advocacy, global dialogue, National and regional level coordination and program implantation.
- For more information, see: <http://www.sanitationandwaterforall.org/>

6. Next Steps

In the last session, the WHO GLAAS Secretariat proposed a framework for understanding the many interventions needed to achieve the objectives discussed at the meeting. This was presented in the form of a matrix that included the interventions the GLAAS team could undertake, and those suitable to other stakeholders. The first column of this matrix thus becomes the GLAAS an action plan.

	UN-Water GLAAS	Other stakeholders (in coordination with GLAAS)	
	Shorter-term objectives	Shorter-term objectives	Long-term objectives
Country			
Products / Processes	<ul style="list-style-type: none"> • Improve GLAAS methodology (Work Package 1) • Produce country templates • Carry out pre-GLAAS sensitization workshops • Provision of technical assistance to support the GLAAS assessment process 	<ul style="list-style-type: none"> • Run post-GLAAS workshops • Increase implementation of sector analysis tools like CSO + WASH-BAT type approaches and applying CSO-light to fill gaps • Ensure established M&E country focal point 	<ul style="list-style-type: none"> • Support the scaling up of sustainable “Country-Led Assessments” (CLAs) • This implies support to progressively strengthen Joint Sector Reviews and transitioning from CSO-like approaches to country-owned processes that provide consistent and comparable datasets.
Regional			
Products / Processes	<ul style="list-style-type: none"> • Publish Regional Highlights • Undertake additional regional analysis 	<ul style="list-style-type: none"> • Undertake Analysis workshops • Run Post-GLAAS dissemination workshops 	
Global			
Products / Processes	<ul style="list-style-type: none"> • Publish biennial report • Create Web-based information portal for GLAAS data submission, validation, presentation (Work Package 2) • Support Thematic – “Trackfin” methodology and pilot results • Draft “Country-led Assessment” concept paper + mapping of monitoring initiatives (Work Package 3) • Expand analysis of human resources 	<ul style="list-style-type: none"> • Analyse human resources aspect of the sector (e.g. IWA) • Explore other themes (WaterAID analysis on aid, impact of WASH on health) • Undertake “Output” monitoring (Schools, health care facilities, wastewater) • Undertake global advocacy (SWA and HLM) • Expand? WASHcost data + methods 	<ul style="list-style-type: none"> • Ensure global cooperation to support the progressive scaling up of Country-led Assessments (Harmonized approach to monitoring among agencies) • Develop guidelines or standards for WASH monitoring (to ensure the use of common metrics and standard, quality-assured methodologies) • Align with post 2015 monitoring

Work Package 1: Revision of methodology and implementation approach (for 2014 Report)

- a. Revise questionnaire and approach to data collection (simplify, reduce “less + is more”, tailor to country typology and if required with translations (translations to be validated))
- b. Selection of core set of indicators

- c. Guidelines and tools for implementing process/questionnaire / data analysis
- d. Address periodicity of reporting for certain issues
- e. Quality assurance for data (clear sourcing, follow-up and validation)
- f. Considerations for supplementing with a consultant-based approach
- g. Increase ownership of GLAAS (e.g. provide tool to allow countries to design and present own country profiles; tailor questionnaire or concepts)
- h. Lengthen time given to reporting (e.g. 2-3 month for the National GLAAS process)

Work Package 2: Explore IT options to move GLAAS online (for 2014 Report)

- a. Data collection (including transparent identification of sources)
- b. Data validation (including comments from NGOs etc)
- c. Data presentation

Work Package 3: Initiate shift to global coordinated CLA (longer-term + with partners)

- a. Full paper exploring country to international monitoring linkages (for GLAAS, for others)
- b. Map of who does what and availability of existing data sources
- c. Compact between agencies
- d. Pilot approach (other agencies)

The meeting concluded with the adoption of this action plan and of the associated time table, which is presented in Annex 3.

7. Annexes

Annex 1: Agenda

Evaluation Meeting – UN-Water Global Analysis and Assessment of Sanitation and Drinking-water (GLAAS)

Bern, Switzerland, 2-3 October 2012

PROVISIONAL AGENDA

DAY 1 - Tuesday 2 October

8:30 – 9:00	Arrival and registration	
9:00 – 9:30	Welcome Introductions Meeting objectives, expected outcomes, and review of agenda	Francois Muenger, SDC and Federico Properzi UN-Water Robert Bos, WHO Robert Bos, WHO
9:30 – 10:15	Session 1: Background Rationale for GLAAS (10 min) The GLAAS 2012 Report – approach taken and key findings (10 min) Reflections on previous GLAAS evaluation in 2010 (5-10 min) Discussion	Peregrine Swann Bruce Gordon Dick van Ginhoven Kerstin Danert
10:15 – 10:30	Coffee break	
10:30 – 11:30	Session 2: GLAAS objectives working group report and discussion* Content: <ul style="list-style-type: none"> • The mandate and role of GLAAS in the current WASH monitoring landscape • GLAAS objectives and focus • Discussion on audience and value-added of GLAAS • Priority issues for future 	Led by Clarissa Brocklehurst

11:30 – 12:30	Session 3 Country linkages working group report and discussion Content: <ul style="list-style-type: none"> • GLAAS participation and use/benefits at country level • Harmonization with existing country review processes 	Inge Klaassen Facilitated by Kerstin Danert
12:30 – 13:45	Lunch	
13:45 – 14:30	Session 4: Donor perspectives Effectiveness of GLAAS approach, and utility of report to External Support Agencies	Led by Peregrine Swann
14:30 – 15:30	Session 5: Breakout groups: a) What should GLAAS do b) Options for types of reports (thematic reports, snapshots, “interactive database” c) Structure of report (ie table of contents) d) Link between monitoring and influencing policy	Kerstin Danert
15:30 – 15:45	Coffee break	
15:45 – 16:45	Breakout groups report back to plenary	Kerstin Danert
16:45 – 17:00	Day 1: Summary discussion Closing comments	Kerstin Danert Johan Gély

DAY 2 Wednesday 3 October

8:30 – 8:45	Overview of the previous day	Marie Alix Prat
8:45 – 9:45	Session 6: Development of a Method for Tracking WASH Financial Flows	Sophie Tremolet Facilitated by Bruce Gordon
9:45 – 10:15	Session 7: Presentations – linking local to international monitoring Presentation 1: Uganda Case Study (15 min) Presentation 2: Linking national and international monitoring (15 min)	Kerstin Danert Piers Cross Facilitated by Bruce Gordon
10:15 – 10:30	Coffee break	
10:30 – 11:00	Discussion	
11:00 – 12:30	Session 8: Country and Partner Monitoring Activities and Discussion Relevant participants to share 1 pager and 5 min presentation on a) initiative description and b) how it can contribute to GLAAS and vice-versa e.g. WSP, Country Status Overviews; IWA – Mind the Gap, HR Capacity; IRC – WASHCost; Water Lex; UN-Water sister reports; AMCOW – pan-African M&E; OECD; SWA, HLM Monitoring WaterAid; Donor monitoring initiatives (TBD) Others (TBD)	Each participant that is associated with or knowledgeable on a monitoring initiative Facilitated by Kerstin Danert
12:30 – 13:45	Lunch	
13:45 – 15:15	Session 9: Methodology: options for the future Taking into account input from the participants and working groups Content: <ul style="list-style-type: none"> • Information collection methodology • Data sources • Data availability and quality • Usefulness for decision-making • Opportunities for improvement and collaboration 	Bruce Gordon to introduce Plenary discussion facilitated by Kerstin Danert

15:15 – 15:30	Coffee	
15:30 – 16:30	Session 10: Next steps <ul style="list-style-type: none"> • The draft programme of work for GLAAS 2012-2014 • Lessons learned, conclusions, recommendations 	Robert Bos Kerstin Danert
16:30	Closure of the meeting	Muenger François

Annex 2: List of Participants

Mr Hamed BAKIR
Adviser, Rural Health & Environment
Centre for Environmental Health Activities (CEHA)
World Health Organization, Regional Office for the Eastern Mediterranean
P.O. Box 926967
Amman 11190 - Jordan
bakirh@ceha.emro.who.int; bakirh@who.int

Ms Clarissa BROCKLEHURST
48 Lorne Avenue
Ottawa, Ontario - Canada K1R 7G7
clarissa.brocklehurst@gmail.com

Dr Sue CAVILL
Consultant
27 Cranbrook Drive
Maidenhead, Berkshire SL6 SA - United Kingdom
suecavill@hotmail.com

Dr Andrew COTTON
Director, WEDC, Loughborough University
The John Pickford Building
Loughborough LE11 3TU - United Kingdom
a.p.cotton@lboro.ac.uk
<http://wedc.lboro.ac.uk/>

Mr Piers CROSS
Consultant
24 Duncombe Rd., FOREST TOWN
Johannesburg 219 - South Africa
Piers.cross@gmail.com

Dr. Kerstin DANERT
Director RWSN Secretariat
RWSN - Rural Water Supply Network
<http://www.rural-water-supply.net/en/>
hosted by Skat Foundation
Vadianstrasse 42, CH-9000 St.Gallen - Switzerland
web: <http://www.skat.ch>

skype: dkerstin
Skat_Swiss Resource Centre and Consultancies for Development

Mr Kiran DARNAL
Senior Divisional Engineer
Department of Water Supply and Sewerage
Panipokhari, Kathmandu - Nepal
darnalk@hotmail.com

Ms Cécile DENORMANDIE
Task team leader - Water & Sanitation Division
Agence Française de Développement (AFD)
5 Rue Roland Barthes
75598 PARIS CEDEX 12 - France
denormandiec@yahoo.fr

Mr David ELKAÏM
Eau et assainissement
Ministère des Affaires Etrangères
Direction générale de la mondialisation, du développement et des partenariats
27, rue de la Convention
CS 91533 – 75732 PARIS Cedex 15 - France
david.elkaim@diplomatie.gouv.fr

Ms Catarina FONSECA
WASHCost Project Director
Senior Programme Officer,
IRC - International Water and Sanitation Centre
Bezuidenhoutseweg 2
2594 AV, The Hague - The Netherlands
www.washcost.info - www.irc.nl
fonseca@irc.nl

Mr Johan GELY
Program Manager
Federal Department of Foreign Affairs (FDFA)
Swiss Agency for Development and Cooperation (SDC)
Corporate Domain Global Cooperation
Water Initiatives
Freiburgstrasse 130, Office: A 2124
CH - 3003 Bern - Switzerland
johan.gely@deza.admin.ch
Web: www.deza.admin.ch

Mr Nasir HASSAN, PhD
Team Leader-Environmental Health (ENH)
Building Healthy Communities & Population
World Health Organization (WHO)
Regional Office for the Western Pacific (WPRO)
U.N. Avenue
Manila 1000 - Philippines
hassanm@wpro.who.int

Ms Lucia HENRY
Partnerships & Policy
Water and Sanitation for Africa, WSA
Pan-African Intergovernmental Agency
03 BP : 7112 Ouagadougou 03 - Burkina Faso
luhenry@yahoo.com
Skype: lucia.henry
Website : www.wsafrica.org

Ms. Inge KLAASSEN
Ethiopia Country Programme Coordinator and Associate
IRC International Water and Sanitation Centre
Kirkos sub city, Kebele 02/03, Housenr. 400, Gabon Street, Arsho Building 3rd Floor,
Addis Ababa - Ethiopia
Skype: inge_klaassen
klaassen@irc.nl
Website: www.irc.nl

Dr. Detlef KLEIN
International Water Policy and Infrastructure Senior-Adviser
Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
Postfach 5180
65760 Eschborn -Germany
detlef.klein@giz.de
www.giz.de

Mr Evariste KOUASSI-KOMLAN
Senior Adviser, Water, Sanitation and Hygiene (WASH)
UNICEF
Three UN Plaza, New York, NY 10017 - USA
Skype: eltos24
ekouassikomlan@unicef.org

Ms Cindy KUSHNER
Secretariat Coordinator
Sanitation and Water for All (SWA)
Water, Sanitation and Hygiene (WASH) Section
UNICEF
Three UN Plaza, New York, NY 10017 – USA
ckushner@unicef.org
www.sanitationandwaterforall.org

Ms Marta LITWINCZIK
Researcher
National Secretary of Sanitation
Ministry of Cities
Setor de Autarquias Sul, Quadra 01, Lote 01/06, Bloco "H"
Ed. Telemundi II
Brasília/DF - CEP: 70070-010 - Brazil
marta.czik@gmail.com; marta.litwinczik@cidadas.gov.br
www.cidades.gov.br

Mr Fabio Beniamino LOSA
Senior Monitoring and Evaluation Specialist
OWAS & AWF
African Development Bank
13, rue du Ghana
BP 323 – 1002 Tunis Belvédère – Tunisia
f.losa@afdb.org

Mr Rolf LUYENDIJK
Senior Statistics and Monitoring Specialist,
Water and Sanitation, Statistics and Monitoring Section,
UNICEF
Three UN Plaza, New York, NY 10017- USA
rluyendijk@unicef.org

Ms Amanda MARLIN
Water Supply & Sanitation Collaborative Council (WSSCC)
15 Chemin Louis-Dunant
1202 Geneva - Switzerland
Amanda.Marlin@wsscc.org

Dr Olga MIRSHINA
Head Specialist

Ministry of Health
Navoi Str. 12
Tashkent - Uzbekistan
mop-61@mail.ru

Mr François MUENGER
Director, Water Initiatives
Federal Department of Foreign Affairs (FDFA)
Swiss Agency for Development and Cooperation (SDC)
Freiburgstrasse 130
CH - 3003 Bern - Switzerland
francois.muenger@deza.admin.ch

Ms PAYDEN
Sanitary Engineer
WSH/SDE
World Health Organization Regional Office for South-East Asia
IP Estate, Ring Road
New Delhi 110002 - India
payden@searo.who.int

Ms. Fiorella POLO
Monitoring and Outreach Specialist, Secretariat
Sanitation and Water for All (SWA)
Water, Sanitation and Hygiene (WASH) Section
UNICEF
Three UN Plaza, New York, NY 10017 - USA
fpolo@unicef.org
www.sanitationandwaterforall.org

Ms Marie-Alix PRAT
Consultant
Trémolet Consulting Limited
104 St George's Avenue
N7 0AH London - United Kingdom
Marie-alix@tremolet.com

Mr Federico PROPERZI
Chief Technical Adviser
UN-Water
Chemin Dunant 15

Geneva 1202 - Switzerland
Federico.Properzi@unwater.org
www.unwater.org

Ms Lily RYAN-COLLINS
Infrastructure Adviser, Water, Sanitation and Hygiene Team
Human Development Department, Policy Division
Department for International Development (DFID)
1 Palace Street
London SW1E 5HE – United Kingdom
L-RyanCollins@dfid.gov.uk

Mr Roland SCHERTENLEIB
Water and Sanitation in Developing Countries Eawag
Überlandstrasse 133
P.O.Box 611
8600 Dübendorf - Switzerland
Office FC-F29
roland.schertenleib@eawag.ch

Dr Enkhtsetseg SHINEE
Technical Officer
WHO European Centre for Environment and Health
Hermann-Ehlers-Strasse 10,
53113, Bonn - Germany
enkhtsetsegs@ecehbonn.euro.who.int

Mr. Hikaru SHOJI
Senior Water and Sanitation Engineer
African Development Bank
13, rue du Ghana
BP 323 – 1002 Tunis Belvédère – Tunisia
H.SHOJI@afdb.org

Mr Tom SLAYMAKER
Senior Policy Analyst (Governance)
WaterAid
47-49 Durham St, London, SE11 5JD - United Kingdom
tomslaymaker@wateraid.org

Ms Juana SOTOMAYOR
Human Rights Officer

Special Procedures Branch
Office of the United Nations High Commissioner for Human Rights
Palais Wilson, 52 Rue des Pâquis CH-1201 Geneva - Switzerland
Mailing Address: UNOG-OHCHR, CH-1211 Geneva 10, Switzerland
Web: www.ohchr.org
jsotomayor@ohchr.org

Mr Peregrine SWANN
Consultant
32 Dover Street
CANTERBURY CT1 3HQ - United Kingdom
ps_consulting@btinternet.com

Mr Paulo TEIXEIRA
Regional Advisor on Urban Health
Pan American Health Organization
Regional Office for the World Health Organization
525 Twenty-Third Street, N.W.
Washington D.C. 20037 - USA
teixeirp@paho.org

Ms Sophie TRÉMOLET
Trémolet Consulting Limited
104 St George's Avenue
N7 0AH London - United Kingdom
sophietremolet@googlemail.com
www.tremolet.com
Skype: sophietremolet

Mr Dick C. VAN GINHOVEN
Sr. Advisor Water and Sanitation
Directorate General for International Cooperation
Ministry of Foreign Affairs
P.O.Box 20061
2500 EB The Hague - The Netherlands
dc-van.ginhoven@minbuza.nl

Mr Anselme VODOUNHESSI
Program Officer Monitoring and Evaluation
facilitating Water and Sanitation goals in Africa

GIZ African Union Office, Support to AMCOW and AUC
Lideta Sub-City, Kebele 15
House No. 372, Roosevelt Ave
P.O. Box 12631
Addis Ababa - Ethiopia
anselme.vodounhessi@giz.de

Ms Maggie WHITE
Secrétaire Générale Associée
Associate General Secretary
International Secretariat for Water (ISW)
9 rue Labat
75018 Paris - France
mwhite@sie-isw.org
www.sie-isw.org

Mr Tom WILLIAMS
Regional Group & Programmes Director
International Water Association (Den Haag office)
Koningin Julianaplein 2 (7th floor)
2595 AA The Hague - The Netherlands
Tom.Williams@iwahq.org

Ms Suree WONGPIYACHON
Director
Bureau of Food and Water Sanitation, Department of Health,
Ministry of Public Health
88/22 Tiwanon st
Nontaburi 11000 - Thailand
Tel: 66-2-5904181-2
Fax: 66-2-5904188
Mobile: 08-1137-7744
Suree.w@hotmail.com

WHO Secretariat

Mr Robert BOS
Coordinator,
Water, Sanitation, Hygiene and Health
World Health Organization

Department of Public Health and Environment
20 Avenue Appia, 1211 Geneva 27 - Switzerland
bosr@who.int
www.who.int/water_sanitation_health

Mr Bruce GORDON
Un-Water GLAAS Project Manager
Water, Sanitation Hygiene and Health
Public Health and Environment,
World Health Organization,
Geneva, Switzerland
gordonb@who.int
www.who.int/water_sanitation_health
www.who.int/water_sanitation_health/glaas

Mr Rifat HOSSAIN
Water, Sanitation, Hygiene and Health
Public Health and Environment
World Health Organization
Geneva, Switzerland
hossainr@who.int

Ms Cathy JUNG
Secretary
Water, Sanitation, Hygiene and Health
Public Health and Environment
World Health Organization
Geneva, Switzerland
jungc@who.int

Annex 3: Action Plan and Timetable

	2012			2013												2014					
	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Meetings																					
Evaluation meeting	█																				
SWA partnership meeting		█																			
JMP/GLAAS SAG meeting			█																		
GLAAS global implementation meeting				█	█																
Trackfin country workshops				█	█	█															
Regional implementation workshops					█	█	█														
Monitoring symposium, Ethiopia (IRC)							█	█													
Trackfin expert group meeting							█	█													
Stockholm events											█										
SWA High Level Meeting																			★		
Follow-up workshops (country and regions)																				█	█
Revision and preparatory activities																					
Evaluation meeting report	█	█																			
National - International monitoring linkage	█	█	█																		
WP1: GLAAS questionnaire / indicators	█	█	█																		
WP2: Mapping + use of national monitoring		█	█	█	█																
WP3: IT options for data collection		█	█	█	█																
Structure of 2014 Report			█	█	█																
Trackfin methodology 1		█	█																		
GLAAS implementation																					
GLAAS data acquisition in countries																					
Data analysis																					
Report writing																					
Peer review																					
Launch of GLAAS 2014 report																				★	
Dissemination and advocacy																					
Trackfin pilot implementation				█	█	█	█	█	█	█											
Trackfin support to wider 2014 GLAAS participants				█	█	█	█	█	█	█	█	█	█	█							

Annex 4: Working Group 1—Background Paper

Working group 1 –GLAAS Content, Focus, Themes and Research Questions

Informal background paper to prompt discussion!

Clarissa Brocklehurst, July 2012

Task

This working group has been tasked by WHO with answering the following questions:

- What should GLAAS be attempting to achieve?
- What should the GLAAS focus areas be?
- What priority areas should be proposed for the 2014 GLAAS report?(e.g. finance, , human resources, sustainability, hygiene)
- What type of specific information should be investigated in more depth by GLAAS?
- What methods are most suited to meet the objectives identified above and how can we improve data credibility issues? (linking with other Working Groups on country processes and methodology)

In considering these questions, it is proposed that the group take into account global and national monitoring needs, other WASH monitoring initiatives, reflections on GLAAS products and experiences to date, and the efficiency and feasibility of any proposed actions. Some reflections on these issues follow.

The global monitoring landscape

In order to better understand the role of GLAAS, it is useful to review the overall monitoring landscape at country, regional and global levels. The number of monitoring initiatives has grown over the last few years, with several new entrants. These include not only GLAAS, which issued its first full report in 2010, but also the monitoring of commitments made during the regional sanitation conferences (the “SANS”: AfricaSan, LatinoSan, EASAN, SACOSAN), the very new Bottleneck Analysis Tool piloted by UNICEF in 2012, and recent expansion of waterpoint mapping in many countries. Other, well-established platforms such as the JMP are in the process of evolving as they consider their role post-2015.










A summary framework or “map” (see graphic) of the monitoring initiatives shows areas of overlap and opportunities for streamlining. This could include both the merger of parallel monitoring initiatives and the aggregation of data at one level to provide inputs to monitoring instruments at another. The map also shows areas where monitoring efforts still need expanding and strengthening, particularly national level monitoring; this is important as national monitoring is the basis of effective sub-national, national and global decision-making.

How can GLAAS, as a major monitoring initiative, support streamlining and rationalization of this rather messy landscape?

The map of the monitoring landscape has been organized by the following categories, each with its own challenges:

- **Inputs** – money, people – information on these is often not available or consolidated, and is confounded by the fact that some sector investment is “off budget”
- **Sector processes** – policy, strategy, government planning, monitoring and evaluation – there is limited information on these “foundations” in the sector and even less analysis of how processes link to outputs and outcomes
- **Outputs** – numbers of schemes, facilities, hygiene promotion programs– monitoring of these is plagued with problems of definitions, data collection and the fact that no two countries collect data in the same way
- **Outcomes** – people using improved water supplies and sanitation facilities and practicing improved hygiene – despite a consensus since 2000 that this information will be user-generated (from household surveys) there are still problems with definitions and monitoring instruments

A fifth column, **Impact**, could be added. However, impact monitoring such as assessment of health impacts is usually done from outside the WASH sector, so is not included here.

	Inputs Public and Donor Finance, cost recovery (TTT), human resources	Sector Processes Policy, strategy, planning, budgeting, M&E	Outputs Water schemes, sanitation facilities, sanitation and hygiene promotion, WASH in Schools and health facilities	Outcomes People using improved water sources and sanitation facilities, and practicing hygiene
Sub-national (district, province, state)	Sector information and Monitoring Systems Government Agencies in charge of water, sanitation, health, education – urban/rural – line Ministries etc Project and Programme-based Monitoring, Waterpoint Mapping Development Partners, NGOs etc			Some large household surveys National Statistics Offices
Country	Sector information and Monitoring Systems National Agencies in charge of water, sanitation, health, education – urban/rural Joint Sector Reviews National Agencies in charge of water, sanitation, health, education, budgeting and finance			Household Surveys Censuses National Statistics Offices <i>JMP country profiles can be produced</i>
	Country Status Overviews (CSOs)  Bottleneck Analysis Tool  <i>GLAAS country profiles possible but not currently prepared</i>		Monitoring of WASH in Schools UNESCO Education Monitoring System (EMIS) <i>Waterpoint mapping?</i>	
Regional	Country Status Overviews (CSOs)  Global Analysis and Assessment of Sanitation and Water (GLAAS)  (<i>regional snapshots</i>) Monitoring of eThekweni Declaration and other regional sanitation conference commitments Asian Development Bank “Water Outlook”, African Union, AfDB?			Joint Monitoring Programme (JMP)   <i>Regional snapshots, global data updates</i>
Global	Global Analysis and Assessment of Sanitation and Water (GLAAS)  Monitoring of SWA HLM Commitments  OECD Creditor Reporting System  <i>CSOs in the future?</i>		Monitoring of WASH in Schools UNESCO EMIS IBNet utility monitoring World Bank <i>RegNet? ADB Water Utility Databooks?</i>	

There are additional data collection initiatives not mentioned here that are outside the WASH sector - for example, global monitoring of aid effectiveness catalyzed by the Paris and Accra Declarations. There are also global WASH research initiatives such as WASH Cost, implemented by IRC, which provide information on particular aspects of the sector.

Donors fund many different monitoring components: GLAAS, JMP, CSOs, bottleneck analysis, water mapping and related global studies such as WASHCost.

The monitoring challenge

While the JMP has for many years been the primary source of information on the WASH sector at a global level, and has served the sector well with information on *outcomes* of efforts to scale up coverage (that is, the numbers of people using improved water and sanitation), the sector also needs information on many other aspects of performance.

In particular, decision makers in developing country governments and donors need information about sector *inputs and processes* which provide insight into gaps and bottlenecks that hold back progress towards universal access. The information has to be **actionable**:

- for **donors** it should relate to mismatches in available resources and needs, which can be addressed by more aid, and better targeting of aid
- for **developing countries** it should relate to gaps in financing, institutional capacity, policy, planning and human resource capacity which can be addressed by institutional reform, strengthening of policy, comprehensive national planning, efficiencies in public expenditure processes, recruitment, training and strategic allocations of national budget.

In addition, for those undertaking sector advocacy, the information should provide a credible basis from which to promote sector achievements and expose areas that need further attention. It should contribute to transparency in the sector by informing all stakeholders of the state of inputs, such as donor financing, and processes, such as government policy setting, and the trends. Many countries and donors have made commitments (through the SWA partnership, aid effectiveness compacts, the regional sanitation conferences, and other mechanisms) and the progress against these needs to be followed and achievements, or lack of them, made public.

How can the GLAAS best provide timely and actionable data to decision-makers and advocates?

Despite the urgent need for this information, it must be collected in a cost-effective way that maintains an appropriate balance between the resources used for implementation and for monitoring. As it is used by politicians and decision makers at a high level, it must be presented in a highly understandable, accessible and compelling manner.

A further challenge lies in strengthening national and sub-national monitoring, currently carried out well in some countries but in a somewhat *ad hoc* way in others, often limited to data collected on individual projects and programs rather than systematically country-wide. Ideally, a robust national information system would provide detailed information on WASH (system status, number of unserved, human resource gaps etc) in each local government area, suitable for management decision making, and these data would be aggregated at national level.

Does the GLAAS have a role to play in supporting development of national management information systems for WASH?

GLAAS: Experience to date

The GLAAS report has, in a short space of time since the first pilot in 2008, proven itself to be an important and vital contribution to the WASH Sector, establishing a new monitoring platform, creating a unique dataset which makes available information that was previously unavailable in a comprehensive form, and spawning a vibrant dialogue about sector investments. The 2012 GLAAS Report is an impressive document, with important messages for decision makers. It was produced in a tight time frame using a remarkable amount of data.

The 2012 GLAAS, like the one before it in 2010, was produced to coincide with a Sanitation and Water for All High Level Meeting. In fact, the two initiatives grew out of the same call for more attention to the water and sanitation sector. DFID's "Call to Action" in 2007 called for both a global annual report and a global high level meeting at which the findings of the report would be considered by Ministers. The rationale behind both a global report and a high level meeting was that Ministers would be convened to make commitments and decisions based on clear, quantified evidence on the bottlenecks and drivers in the sector. Implicit in the "five ones" are thus the development of one national sector information system and one global sector monitoring framework.

DFID's 'Five Ones' framework for more effective global action on water and sanitation

At the international level:

- Produce one global annual report.
- Hold one global high level annual meeting.

At the national level:

- Draw up one national water and sanitation plan for each country.
- Form one water and sanitation coordination group in each country.
- Have one lead UN body in each country.

The preparatory process to ready countries to attend the SWA HLM is a combination of multi-stakeholder review and consultation and inter-Ministerial dialogue and is the time when evidence is reviewed and commitments are made. The GLAAS report thus has a well-defined, eager and accessible audience whose actions can have a profound impact on the sector.

There were numerous challenges with aligning the 2012 GLAAS with the 2012 HLM, which have been outlined in more detail in a note from the SWA Steering Committee. In brief:

- **Timing** – the timing of the GLAAS, released in early April only a few days before the HLM, hampered its effectiveness.
- **Integration** – the link with SWA and the parameters that SWA tries to track and draw decision-makers' attention to (especially commitments from previous HLMs) was less than optimal.
- **Methodology** – though it could shed light on important gaps and bottlenecks in the sector, the GLAAS questionnaire was cumbersome and time consuming to complete, and though it generated a great deal of information, some of it was of questionable reliability and/or did not lend itself to useful analysis.
- **Coherence with other sector reports and data collection activities** – the relationship with the JMP in particular needs attention, and there are calls for less "extractive" data collection and processes that are better aligned with country systems.

- **Reader impact** – the lengthy nature of the report, the wide range of contents and the graphics used do not fully reflect the needs of the high-level audience of politicians and senior bureaucrats.

How can the GLAAS develop stronger links with SWA and the HLM Dialogue? Can GLAAS data collection help countries think about the sector in a more comprehensive way and shed new light on priorities?

In keeping with the ambition to better align the global monitoring initiatives, an additional area that requires review is the relationship between the GLAAS and the JMP. The GLAAS reports and the JMP data updates are clearly highly complementary – the one reporting on the inputs to the sector, and the other reporting on the outcomes. The existence of reporting on inputs and processes has helped explain why, for instance, rural coverage lags behind urban, and why so many African countries are off-track. GLAAS reporting has shown that aid is not well-targeted to the countries with lowest coverage, and that policy and strategy are unevenly developed between the four subsectors (urban water, rural water, urban sanitation and rural sanitation).

This complementarity has not always been capitalized on; in 2012 GLAAS report was a highly narrative report, including many references to other findings and reports in the sector (including the JMP itself), while the 2012 JMP update was a predominantly graphical report, more focused on one subject – that of sector progress in coverage - and included only data from the JMP dataset. There are also some questions of consistency – for instance, having data on school and health facility services in the GLAAS is not consistent with the idea of the GLAAS report being about the “inputs” to the sector. This is really a component of coverage monitoring, which raises the question of whether it should be part of the biennial JMP report. More discussion and review are needed.

Likewise, consideration is needed of ways to strengthen the links between GLAAS and other data collection methods in the sector. These include the AMCOW Country Status Overviews (CSOs) carried out by WSP, and the new Bottleneck Analysis Tool (BAT) being piloted by UNICEF, both of which collect detailed data on processes and inputs through a consultative process with national governments (note that in 2010 GLAAS collaborated closely with the CSOs being carried out in Africa at the time, and data were shared). One great advantage of these platforms is that they are carried out through country-driven processes, rather than an extractive data collection exercise, and can also be used to strengthen national and sub-national monitoring and countries’ own Joint Sector Reviews.

How can GLAAS create stronger links with other data collection methods and monitoring initiatives? Can GLAAS help in the formulation of a shared monitoring framework that all sector partners agree to?

Learning from the experience of GLAAS and SWA

There is a huge opportunity to learn from the experience of the GLAAS reports so far, and to evolve the GLAAS into a platform that can have even greater impact on the decisions made by governments of developing countries and by donors. There is strong momentum for the idea of *evidence-based decision making*, and the GLAAS presents a crucial part of the evidence.

The growing influence and reach of the SWA partnership makes it the ideal audience for the information the GLAAS presents, and the preparatory process for the High Level Meeting could be the main global process during which the GLAAS data and analysis are used. Likewise, the GLAAS could become the main vehicle through which progress against HLM commitments is tracked.

The three main objectives of Sanitation and Water for All are *increased political prioritisation, improved evidence-based decision-making and strengthened national planning processes*. GLAAS findings should be an important input to HLM preparations and preparation of future commitments; for instance, quantifiable information on sector human resource capacity needs could lead to concrete commitments to address them, and information on donor investments and targeting could challenge donors to take action on shortcomings and improve “good donorship”. Future GLAAS reports could be aligned with these objectives and the data collected, analysed and presented in a way that allowed decision makers to clearly see what action was needed to overcome gaps and bottlenecks.

The GLAAS also can inform the proposed intention of SWA to develop and articulate a ‘framework’ for a strong sector. This framework, to be endorsed by all SWA partners, would be based on mutual learning and support, strengthen country-led action, and support collective progress towards universal coverage. Strengthening monitoring and evaluation systems would be an essential component of the SWA Framework, and SWA seeks to align global monitoring efforts with strengthened country-led national systems. This is a challenge for GLAAS, as the data collection process to date has been specific to GLAAS and highly extractive. There is significant will to build national capacity, however, and GLAAS can be part of this process.

In order to play an optimum role in analysis and assessment of gaps and bottlenecks in the sector, the GLAAS report should provide information on the following subjects:

1. **Political will and leadership** - sector leadership, roles and responsibilities (lead agencies etc); inter-sectoral linkages; advocacy within the country for water, sanitation and hygiene; and support to the Sanitation and Water for All partnership
2. **Policies, planning and coordination** - articulated planning priorities; development of credible national plans; improved targeting to poor and vulnerable; equity criteria; decentralization, recognition of the human right to water and sanitation and progressive realization; and collaboration, including donor coordination and alignment with internationally agreed aid effectiveness principles (such as those in the Paris Declaration)
3. **Monitoring and accountability** - implementation and monitoring of previous commitments; periodic sector reviews; sector monitoring; evidence of impact; understanding of consumer demand and attention to citizens’ voice; stakeholder participation
4. **Financing** - Sources of financing (national and external); adequacy of financing, sector budgets; capital vs recurrent spending; absorption of funding; prioritization of off-track countries by donors; support to countries wishing to improve planning for results; alignment of finance with national plans; creation of specific budgets for sanitation and hygiene, tracked separately
5. **Human resources** - capacity gaps, training needs, gender aspects

Where can GLAAS add value? What are the most important data gaps that GLAAS can attempt to fill, in order to ensure decision makers have the evidence and information they need for action?

The opportunity

Thus, based on this preliminary review, it is posited that three main opportunities present themselves for GLAAS:

1. **Become a key component of a cohesive, streamlined, global monitoring framework, aggregating data from a number of sources into an authoritative global report on sector inputs and processes that complements the JMP;**
2. **Support the development of a strong sector analysis tool at country level, supported by a national management information system for WASH and drawing on bottleneck analyses and processes such as the CSO and BAT, that is adapted to the country context and can provide reliable and comparable data that are compatible with GLAAS; and,**
3. **Link to the SWA High Level Meeting dialogue in terms of timing, content and dissemination.**

The Working Group's Tasks

The working group is invited to consider these issues, questions and proposals. Returning to the questions posed by WHO to the group, these subjects for discussion are proposed:

<p>What should GLAAS be attempting to achieve?</p>	<p>Where should it fit into the global monitoring landscape? How can GLAAS support streamlining and rationalization of this landscape? What should GLAAS's relationship be with JMP, national sector analytic approaches like CSOs and Bottleneck analyses? How can the GLAAS develop stronger links with SWA and the HLM Dialogue? How should it define its key audience or "clients"? How can GLAAS be of greater value to countries? (in considering this the working group should link with the country-processes working group)</p>
<p>What should the GLAAS focus areas be?</p>	<p>Where can GLAAS add value? Finance, human resources, sustainability, hygiene?</p>
<p>What priority areas should be proposed for the 2014 GLAAS report?</p>	<p>What are the key priority issues in the immediate future that GLAAS can attempt to catalyze discussion and action on?</p>
<p>What type of specific information should be investigated in more depth by GLAAS? (e.g. quantitative information on finance, staffing needs, core indicators, case studies on good procurement practices, sustainability policies of external support agencies)</p>	<p>How can GLAAS create stronger links with other data collection methods? Can GLAAS help in the formulation of a shared monitoring framework that all sector partners agree to? What are the most important data gaps that GLAAS can attempt to fill, in order to ensure decision makers have the evidence and information they need for action?</p>
<p>What methods are most suited to meet the objectives identified above? (e.g. survey questionnaire, literature review, case studies, in-depth country data collection, data validation, etc.) and how can we improve data credibility issues? (Linking with other Working Groups on country processes and methodology)</p>	<p>Given the clients and the current data collection in the sector, and the need for more alignment with country-led processes, what data collection methods will provide the data needed, through the most appropriate methods? Can GLAAS data collection help countries think about the sector in a more comprehensive way and shed new light on priorities? What process lessons can be learnt from CSOs and bottleneck analyses? Does the GLAAS have a role to play in supporting development of national management information systems for WASH? What are the implications for planning the next GLAAS survey in terms of resources, partnerships, timescales?</p>

Annex 5: Working Group 1—Summary of Deliberations

Clear consensus:

- The GLAAS report must be short and tightly focused
- GLAAS should be relevant to those who need evidence for decision-making, benchmarking and progress tracking (national governments, SWA, donors)
- Purpose and intended audience should be more clearly stated
- GLAAS should focus on financing, particularly “donor behaviour”, and national processes such as investment planning and allocation of budgets
- GLAAS should analyse human resource capacities and gaps, but perhaps not in every report
- Coverage information should come out of GLAAS (WASH in schools, health centres, hygiene, inequity in coverage etc.) and go into JMP – this implies even further alignment and coordination of the two reports
- Developing methodology and data sources will take time, but is worth it (rather than a report, “GLAAS can better be described as a process”)

Difference of opinion:

- Should the primary audience be purely global, or purely national, or both?
- How much detail to include on national level issues? Should the GLAAS be a “lighter” version of an institutional bottleneck analysis tool?

Recommendations:

1. Rely more on **government agencies’** own data collection methods
 - a. Rely less (or even not at all) on questionnaires to collect data
 - b. Develop less “extractive” data collection methods – aim for a scenario whereby the GLAAS would be built up from national-level monitoring processes
 - c. Take advantage of the **Country Status Overviews** (and other similar sector analysis tools) and their potential to deliver reliable data - align data collection with CSOs as much as timing will allow
 - d. Emulate similar data collection methods where CSOs are not being carried out (use of third-party consultants, participatory process etc.) – learn from experience of JMP which abandoned questionnaire-based data collection in the 1990s
 - e. Build capacity to collect, analyse and report (including human resources)
 - f. Encourage contributions from different ministries
 - g. Promote the progressive harmonization and alignment between global and national monitoring systems – seek to make them mutually reinforcing
2. Maintain strong **focus on investment flows** (“don’t move away from finance”)
 - a. Provide data that allow aid effectiveness in the WASH sector to be measured- where aid is being targeted etc
 - b. Take advantage of indicators developed through global aid effectiveness tracking

- c. Develop methodologies and provide data that assist countries to track their own national investments (including household investments)
 - d. Provide data that give insight into absorption
- 3. Work with a **smaller amount of data**, and select data to be included according to the following criteria:
 - a. The data relate to information that influences government decision making
 - b. The data are accurate and reliable – better to have small amount of really reliable data for a large number of countries than a lot of unreliable data, some of it for only a small subset of countries (“less with more accuracy rather than more with less accuracy”)
 - c. Aim to focus on parameters which can be meaningfully monitored at global level – avoid going into too much detail on issues that are likely to be specific to national contexts (leave that to more detailed processes such as Joint Sector Reviews and/or CSOs? – this implies some careful balancing)
 - d. Generate data that can be used to benchmark sector development and progress, and make comparisons across countries/regions/sectors –distill a small number of norms and standards
- 4. Measure **different parameters at different frequencies**:
 - a. report every two years on things that change in a two year period, such as investment flows
 - b. report every four years (that is, in alternate reports) on things that change more slowly, such as the policy environment or human resource capacity
- 5. Make **human resource capacity** a major focus
 - a. Seek to achieve a true understanding of what constitutes capacity, and define it
 - b. Don’t limit to just numbers of trained people, but also linked to an enabling policy environment, strong institutions linked by effective institutional arrangements, reliable evidence base that supports informed decisions about capacity development, human resource management system and independent performance appraisal system
 - c. Don’t shy away from the necessary investment in methodology – it is worth it - consider investing in human resources systems, including software, that will support countries in data collection and information management
 - d. Report on this slow moving aspect of the sector frequently, but with rigour
- 6. Strive to make GLAAS data **useful to countries** (not just for donors, which seems to be a common perception)
 - a. Create feedback loops into national planning, strategy development and policy-setting
 - b. Structure reporting so that it creates an awareness of WASH enablers or barriers at country level and global level, at least in countries in which these barriers are relevant and not analysed by any other means
 - c. Include aspects of implementation monitoring such as the regulation of service providers and other quality assurance mechanisms
 - d. Link to recognised sector framework of country-led planning, implementation, sustainable management, monitoring

7. Make GLAAS the primary reporting mechanism for the achievement of the **objectives of SWA**, and for major **commitments made at the SWA High Level Meetings**
 - a. Report not only on major commitments made at the HLMs but on whether they are carried through in national plans and budgets
 - a. Report not only on whether donors have signed up to aid effectiveness principles but on whether they have operationalized them, and how effectively aid is being targeted and delivered etc
 - b. Report on major global trends in terms of achievement of SWA initiatives, but not necessarily the very country-specific HLM commitments (or do this anecdotally)
8. **Simplify the main GLAAS report and clarify its audience**
 - a. Keep the main GLAAS report short and concise (“keep GLAAS small and simple”)
 - b. Create a more logical flow and clear conceptual framework for the document
 - c. Clearly define primary audiences (developing countries, global decision makers) – add this to an introduction – also make the introduction “inspirational”
 - d. Use the website to provide more details on some topics or present annexes (in order to keep the main report concise)
 - e. Make better use of graphics to deliver a concise message
 - f. Periodically drill down on specific issues or themes, possibly by issuing other reports
 - g. Ensure the presentation allows GLAAS information to be used for strong and compelling sector advocacy

Annex 6: Working Group 1— Content Options

Possible Structure of Future GLAAS Reports – *note, not all chapters would go into all reports*

6. Introduction

- GLAAS data – how collected, how it can be accessed etc
- What are the primary audiences and how can they use the GLAAS
- What are the underlying assumptions of the GLAAS –relate back to sector framework (i.e. country-led planning and implementation, long-term and reliable finance and partnerships, management for sustainability, national monitoring for decision-making)
- “inspirational” text

7. Political will and leadership

- Sector leadership, roles and responsibilities
- Political priority of water, sanitation, hygiene, MHM
- Political priorities of targeting the poor and marginalized/discriminated against

8. Legal and institutional framework

- National policies – whether they exist, how they are being developed
- recognition of the human right to water and sanitation and progressive realization
- Regulatory frameworks?
- Coordination (within sector, and with other sectors)
- Review mechanisms

9. National strategies and plans

- Strategies and plans, planning priorities
- decentralization
- targeting of the poor and marginalized/discriminated against in national plans

10. Monitoring, reporting and accountability

- National monitoring and review mechanisms
- attention to citizens’ voice and stakeholder participation
- some ideas on how reports/information are shared – accessibility and transparency

11. Financing from national sources

- estimates of financial resource requirements (capital and recurrent) and budgets, compared to available national finance
- National financial resource commitments:
 - Government finance
 - How much from national and how much from local governments?
- Absorption of funding from national sources
- Household finance (tariffs and self supply)
- creation of specific national budgets for sanitation and hygiene, tracked separately
- Prioritization and targeting of national funding within countries: urban/rural, poor, marginalized

12. External Financing

- Sources of external financing (donors, development banks, foundations, NGOs)
- prioritization of off-track countries by development partners
- donor coordination and alignment with internationally agreed aid effectiveness principles (such as those in the Paris Declaration)
- NGO coordination and adherence to national policies and guidelines
- Prioritization and targeting of aid funds within countries: urban/rural, poor, marginalized

13. **Human resources** (report every four years as this moves slowly?)

- capacity gaps
 - numbers of trained people,
 - enabling policy environment,
 - institutions,
 - institutional arrangements,
 - human resource management systems,
 - independent performance appraisal systems
 - reliable evidence base that supports informed decisions about capacity development
- analysis of gender and diversity issues
- human resource requirements for WASH (clearly stating what is known and what is not known and noting that in reality, there are different ways of structuring the sector)
- For a select number of countries - existing government staffing structures (with an analysis on their adequacy)?

(Note that this TOC assumes that schools and health care facility data are presented in a separate report, or in the JMP.)

Annex 7: Working Group 2—Background Paper

Working group2– GLAAS Implementation and Country Linkages ***Informal Background paper to prompt discussion*** *Version: 21th August 2012*

Task

The purpose of this working group is to take forward the embedding of GLAAS into country processes, in order to develop capacities, harmonize work and benefit the countries. As part of this undertaking, the working group is tasked to review the following questions:

- What are the country perspectives on GLAAS, its perceived benefits and current difficulties surrounding data collection tasks and reporting?
- How could – and how should – GLAAS link to country processes and harmonize with current reporting systems (such as state financial reports or statistics departments)?
- How can GLAAS better optimize the use of available/external data?

The role of GLAAS

The UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water (GLAAS) monitors the inputs required to extend and sustain water, sanitation and hygiene (WASH) systems and services. GLAAS documents the various components of the *enabling environment*, which include: government policy and institutional frameworks; the volume, sources and targeting of investment; the human resource base; the nature of external assistance; and performance. GLAAS also analyses the factors associated with progress, or lack thereof, in order to identify drivers and bottlenecks; knowledge gaps; strengths, weaknesses and challenges; priorities and successes; and to facilitate benchmarking across countries.

GLAAS and Country Linkage

In the GLAAS process and its joint review (GLAAS evaluation with the developing country's government and civil society organizations), the GLAAS entry point is to be a reference for all countries and stakeholders. Within a short timeframe (2008-12), GLAAS has made its mark with many stakeholders, both in terms of its method as well as its publication. The level of country participation has increased and the target readership of GLAAS comprises donor organizations as well as senior technical and administrative staff of developing country governments and civil society organizations (CSOs), who are in a position to advise their ministers and the most senior policy and decision makers. To sustain its relevance and credibility, GLAAS continues to lay importance on securing and sustaining strong links to these stakeholders.

There is strong momentum for the idea of *national ownership*, and the GLAAS methodology and country linkages are crucial to its embedding into country processes. Countries' growing participation and input into GLAAS is evidence that significant will exists to continue building national ownership – and GLAAS can actively take part in this process. While holding this priority, GLAAS acknowledges

the benefit of being coherent with other sector reporting and (national) data collection activities, and of aligning with country systems. National and regional meetings have been vital for linking to national processes, such as annual sector reviews, for improving efficiency and effectiveness of data collection and for comparing data across countries. These joint data collection processes have a capacitating effect, forming the national process within the main global process of generating, analysing and using the GLAAS data. Likewise, depending on the country, GLAAS already is – or could become – the main vehicle through which progress is tracked against Government commitment and national planning processes.

To optimize and utilize the potential role and unique “added value” of GLAAS, it is essential to consider country perspectives on GLAAS and its potential benefits, and to identify possible solutions for improving linkages to country processes. The overarching aim is to integrate the GLAAS process into countries’ own data collection processes, while utilizing the best ways to present and disseminate GLAAS results in participating countries.

After two full GLAAS studies (2010, 2012), and with the third full GLAAS report coming up, there is now great momentum and interest to review the linking of GLAAS to Government data collection and WASH planning and programming processes in terms of timing, content and dissemination. This consideration is in line with the UN-Water GLAAS Evaluation Meeting (The Hague, Netherlands, June 2010) and the Strategy and Funding proposal (2011): to prioritize getting understanding on how GLAAS considers countries’ own data collection processes, and how in-country stakeholders experience and reflect on GLAAS products and processes to date – all with the purpose of ensuring sustainability and value for participating countries. The key question is how to ensure and maintain that the global report is relevant to individual countries.

The Working Group Tasks

The review *‘GLAAS implementation and Country Linkages’* incorporates this momentum and is a significant step towards harmonizing work, and increasing the recognition of the report as one that is truly global while embracing national relevance and application. It is a response to the drive to (further) align global monitoring efforts with strengthened country-led national systems, data ownership and associated in-country capacity development.

The working group concerns itself with this key issue and, where felt appropriate, provides suggestions for improvement as part of the search to develop capacities, harmonize work, and benefit countries. In this light, the working group is tasked to review the following questions:

- i. What is the country’s experience with the GLAAS process, including benefits and any difficulties with data collection tasks and reporting? Is GLAAS content, including definitions and questionnaire, in line with countries’ needs and requirements?
- ii. Is the GLAAS output useful or not?

- iii. How could (or should) GLAAS processes and outputs link (or not) to country processes and harmonize with current reporting systems (such as state financial reports or statistics departments)?

If perceived as vital, the following questions could also be appraised:

- i. What would be the optimal support towards GLAAS data provision, management, review, resource allocation and decision making?
- ii. What are the perceived national capacity gaps and the capacity building requirements for implementation of GLAAS?
- iii. What are the implications for planning the next GLAAS survey in terms of resources, partnerships and timescales?

These questions need to be addressed while bearing in mind the numerous existing and developing WASH monitoring initiatives. To optimize country linkages, attention is given to providing suggestions for streamlining efforts and identifying opportunities to optimize relevance of the GLAAS report at national level.

Annex 8: Working Group 2—Summary of Deliberations

- GLAAS, through its structured and systematic approach, has already provided a mechanism to help certain countries understand WASH knowledge gaps and governance strengths and weaknesses
- GLAAS has the potential to strengthen national processes, enhance data management, and facilitate greater understanding of the factors influencing the delivery of WASH services
- This understanding can facilitate effective response through the high-level decision makers and holds the potential to be a good policy and planning data resource at National level.
- GLAAS methodology and process can be optimized to function more effectively, including to better support national WASH sector monitoring and planning processes.
- GLAAS can contribute to increasing sustainability of the delivery of WASH services when it improves understanding of WASH financial flows and the required human resources, and tracks equity initiatives.
- GLAAS increases transparency by tracking donor and country commitments and contributions to WASH.
- In general, the GLAAS questionnaire is regarded as a helpful tool for country assessment, as it presents for analysis, in a structured manner, key elements that determine a country's sector status.
- Apart from reporting on financial input and human resource components, there are not significant difficulties in the collection of data and reporting.
- NGOs and CSOs are not as involved in the GLAAS review process as they could – or should – be.
- The GLAAS questionnaire is too long and some of the data requested (e.g. on finances and human resources) is not directly or readily available. Some definitions are not clear and are open to interpretation.
- Time given to complete the GLAAS review is too short
- There is a lack of incentive to participate and report on GLAAS. For some countries, there is little perceived gain from completing the GLAAS questionnaire.
- From 2008 to 2012, the survey pattern changes slightly, giving the impression that it is still on trial. Does GLAAS know what it wants to report on and for/to whom?

KEY ISSUE 1	GLAAS PROCESS AND LINKING: HOW TO ALIGN GLAAS WITH EXISTING COUNTRY PROCESSES AND MAXIMISE OPPORTUNITIES FOR LINKAGES?
Observation	GLAAS is described as useful – both as a tool and as a resultant dataset that facilitates national assessment processes – but more so by countries with weak national monitoring systems in place, rather than countries with established and functioning evaluation systems in place.
	Therefore, there is a greater opportunity to maximise linkages with countries having weak national evaluation systems. Some of these countries tell us that GLAAS is a tool and a product that help them analyse their sector and institutional bottlenecks. It may also support them in developing their own national reporting system and/or embed GLAAS into their own periodic sector review.

	Especially where countries having stronger evaluation system, GLAAS seems to be perceived as a process with an output directed largely at the donor community rather the serving countries' needs and requirements.
	In order for GLAAS to be consistent and comprehensive in presenting countries' WASH situation within a global framework, some countries mention being willing to develop/modify their sector's evaluation management system to meet GLAAS
Recommendation <i>A largely technical task, involving Country Government team</i>	i. Revise approach to data extraction: for the quality and reliability of the information compiled by GLAAS, GLAAS needs to rely on existing processes that already collect and compile data at national level, preferably through nationally-owned processes like Joint Sector Reviews. Consultative processes can assist in translating existing data into an agreed international (GLAAS) standard.
	ii. Simplify language and consider additional validation of translations
	iii. Consider developing tailored methodologies (e.g. different versions of the questionnaire) for GLAAS, to countries with lower or higher monitoring capacity (perhaps best handled by omitting or adding sections, while maintaining a core set of questions).
	iv. Revise approach to collecting data at country level: <ul style="list-style-type: none"> – Revise/clarify those questions identified as unclear during the meetings. – Provide accompanying manual or guide, along with definitions, to clarify each question and process. – Group questions into sections that an individual national ministry or agency can answer wherever possible. – Facilitate country input into the future questionnaire design. – Provide a tool to allow countries to design and present their own country profiles (or develop profiles for countries upon request). – Promote this country summary to decision makers at national level.
	v. GLAAS cannot expect individual countries to have reporting systems that conform to its modality. However, by simplifying GLAAS questions, the required data can be more easily extracted from country's existing reporting system.
	vi. To some extent, government systems also need revision to provide financial data that can be categorized. If GLAAS is kept simple and concentrates on key points, countries can fit their amended financial reporting to GLAAS categorisation and requirements.
	vii. Establish a country focal point to assist coordinate data gathering. Strengthening of awareness and discussion builds greater commitment to provide accurate data to GLAAS. The focal point could be from WHO or UNICEF depending of country level capacity.
	viii. Collaborate with countries liaising with government departments
	ix. Allow flexible approach where countries can provide available data at that given point (previous year or recent year)
	x. Reduce the length and the complexity of the questionnaire in order to improve compliance, reduce the burden to respondents, and increase the reliability of results (would also reduce the volume of data requiring analysis): i) Examine which questions from the GLAAS questionnaire are most systematically and reliably answered and drop those that are not; ii) the need for questions with narrative answers could be reconsidered (and could be replaced by data of key informant interviews)

KEY ISSUE 2	PRE-PHASE GLAAS: HOW TO IMPLEMENT GLAAS AT NATIONAL LEVEL?
Observation	GLAAS arrives with little introduction, little opportunity to input into questionnaire and reporting, and has a short completion deadline.

Recommendations <i>High-level political task, involving ministers and sector stakeholders</i>	i. Prior commitment and interest, built through WHO and UNICEF, assists in facilitating the process. This advocacy work should be done in good time and initially take place from the highest level of WHO/UNICEF to Minister/ State minister level.
	ii. This high-level advocacy would facilitate the communication and commitment of WHO and UNICEF country officers and their Government partners involved in the GLAAS review work.
	iii. WHO has considerable outreach to high level of government staff. Such connections are confirmed invaluable for ensuring local buy-in to the GLAAS data gathering, and they add credibility to messages emerging from the report. Additionally: continue using the in-country connections of other organisations, such as UNICEF and WSP. The regional specialists also help to strengthen the GLAAS linkages to developing country Governments.
	iv. Organise workshops (with support of internal or external consultants) to increase technical knowledge and understanding of GLAAS objectives, questionnaire and output amongst project officers and government staff
	v. Increase availability of data by involving more stakeholders: i) foment multi stakeholder meetings as a key step in data collection; ii) reword certain questions to include additional stakeholders.
	vi. Mainstream stakeholder participation/consultation in the processes. In agreement with countries, seek to develop templates that provide acceptable definitions and concepts. In this case, the GLAAS approach is not totally fixed; countries may provide suggestions towards the questionnaire and indicators
	vii. Revise approach to data acquisition (i.e. reduce reliance on questionnaire and more use of in-country experts/validation by in-country experts)

KEY ISSUE 3	POST-GLAAS & FEEDBACK LOOP: HOW CAN DATA ANALYSIS & FEEDBACK INCREASE NATIONAL OWNERSHIP AND USE OF THE GLAAS REPORT (and vice versa)?
Observation	Countries expressed the desire to be more involved, and at an earlier stage, with questionnaire development and with analysis (leading to the report).
	Added value of the GLAAS <i>process</i> : GLAAS is an opportunity for Government, donors and CSOs to interact and communicate – through which mutual understanding, partnership and capacity can improve.
	At National level: the GLAAS report is useful for achieving common understanding among country sector partners regarding the country’s status and its capacity to reach the goal set for water sanitation. The GLAAS report serves as a reference for identifying areas to be strengthened.
	At Regional/Global level: i) The synthesis of data of all participating countries provides interesting information important for comparative analysis and for identifying potential opportunities to get donor assistance; ii) The GLAAS report is mentioned as useful for placing the country programme in the international context, justifying programme interventions and developing proposals.
	GLAAS findings and reporting is not disseminated and/or communicated well – or at all – at national fora.
	As a result, GLAAS data is not (sufficiently) utilised to inform National Government on key issues that GLAAS has identified for action. This data could have informed or prioritised Government’s national action plans and strategies during the strategy update cycle.
Recommendation: <i>A largely political task, involving ministers and all sector stakeholders</i>	i. Strengthen the GLAAS assessment function, which identifies priorities to be addressed.
	ii. Identify national fora and national plans where GLAAS findings and analysis will be reported and actioned
	iii. Establish a country focal point to assist feeding GLAAS analysis back into national planning and reporting processes. The focal point could be from WHO or UNICEF

	depending of country level capacity. (To consider: request government to appoint the country focal point)
	iv. Organise national-level meeting for Government to decide on key issues identified by the GLAAS for action . This GLAAS review session van update national action plans (and strategies, when within the strategy update cycle)
	v. Regional launches of GLAAS Report and post-GLAAS workshops for policy makers , to inform national planning and policy processes
	vi. With support of the country focal point, encourage strengthened Sector Coordination to use GLAAS while working towards joint planning and progress reporting. Such an institution is needed in order to complete, analyse and implement GLAAS processes (purpose, data collection, analysis and reporting) for all stakeholders related to the sector.
	vii. Engage with countries (not just regional office) on key issues of questionnaire development, analysis and findings – perhaps via webinar.
	viii. Share GLAAS at national level with donors to inform resource allocation decisions
	ix. Increase focus on financial monitoring (including SWA commitments, Sharm el Shiekh & eThekwini for the Africa Region), policy and strategy (not only formulation but also the level of implementation/commitment), and institutional arrangements including capacity for WASH delivery. Here strong synergy ought to be built between GLAAS & JMP and other global monitoring.
	x. Develop GLAAS regional profile to identify regional cross-cutting sector issues.
	xi. Translate the questionnaire and report (if required).
	xii. Put the Global GLAAS Report AND Country GLAAS Report on the website .
	xiii. Assure that reports are disseminated at all appropriate level
	xiv. Provide countries with analysis tool and guidelines to use with resulting data

List of abbreviations

ASEAN	Association of Southeast Asian Nations
BAT	Bottleneck Analysis Tool
CLA	Country Level Analysis
CSO	Country Status Overview
DFID	Department for International Development (UK)
ESA	External Support Agency
GLAAS	Global Analysis and Assessment of Sanitation and Drinking-Water
HLM	High Level Meeting
IRC	International Water and Sanitation Centre
ISW	International Secretariat for Water
IWA	International Water Association
IWRM	Integrated Water Resource Management
JMP	Joint Monitoring Programme for Water Supply and Sanitation
MDG	Millennium Development Goal
SDC	Swiss Agency for Development and Cooperation
SWA	Sanitation and Water for All
TrackFin	Tracking WASH Financing initiative
UNDP	United Nations Development Programme
UNICEF	United Nations Childrens Fund
WA	WaterAid
WASH	Water, Sanitation and Hygiene
WB	World Bank
WHO	World Health Organisation
WSP	Water and Sanitation Programme
WSSCC	Water Supply and Sanitation Collaborative Council