

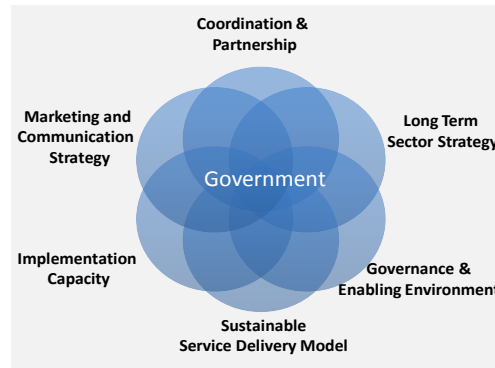
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Large Scaling Up

From “Haute Cuisine” to “Good Fast Food” - taking advantage of the momentum for large scaling up in the water supply & sanitation sector

Outcomes of the 26th AGUASAN Workshop
Gwatt, Switzerland, 21-25 June 2010

Rapporteur: André Olschewski, Skat





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Acronyms

CoP	Community of Practice
GWP	Global Water Partnership
IFI	International Financing Institutions
ISW	International Secretariat for Water
IWRM	Integrated Water Ressource Management
LTSS	Long Term Sector Strategy
MDG	Millenium Development Goals
M&E	Monitoring and Evaluation
MWE	Ministry of Water and Environment of Uganda
NGO	Non Governmental Organisations
ODF	Open Defecation Free
O&M	Operation and Maintenance
PCM	Project Cycle Management
SDC	Swiss Development Cooperation
SWAP	Sector Wide Approach
VIPP	Visualization in Participatory Process
WatSan	Water and Environmental Sanitation Sector
WSP	Water and Sanitation Program





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About this Presentation

Overall Topic:

- The workshop was dedicated to the topic of **Large Scaling Up** in the Water Supply & Sanitation Sector: Development of key elements defining the enabling environment needed for a sustainable scaling up of approaches on a large scale under the lead of the government.

Relevance of this document:

- Documentation of workshop outcomes
- Reflection on the key messages by external visitors at the end of the workshop
- Linking to related initiatives
- Basis for further work and documentation produced by participants

Key audience and users:

- Workshop participants
- Interested experts within institutions of workshop participants

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What is AGUASAN?

- Interdisciplinary Swiss Community of Practice (CoP) since 1984
- Wide range of specialists (Swiss Agency for Development and Cooperation, NGOs, Universities, Consultants, International Organizations)
- Key practices: regularly meetings (4 x/year) and annual Workshop
- Sharing practical experiences, exchanging ideas and opinions, generating know-how together and promote wider and deeper understanding of key issues in Water and Sanitation in developing countries

Core Group	Associated Partners	Invited Guests
		





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AGUASAN Workshop Series

- Annual international AGUASAN Workshop in Switzerland
- Field staff, desk officers, researchers, consultants, other sector specialists and wider development practitioners from all over the world
- Five days of collective reflection on a cutting edge sectoral theme
- Mix of thematic inputs, group work and discussion on case studies and individual inputs
- Elaborate strategies and conceptual tools of practical use for development





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Large Scaling Up: Rationale

- In past years donors in WatSan started to change and harmonize their funding practices, in particular through adaptations of requirements and funding conditions towards Multilateral and Budget Support approaches like SWAP
- Anyhow some countries will not reach the **MDGs** in the WatSan sector by 2015, so there is urgent need to accelerate coverage in WatSan
- Although “islands of success” exist, still **big challenges** are ahead in order to achieve sustainable solutions for WatSan, one issue is medium term Operation & Maintenance (O&M) of systems
- **Large Scaling Up** could be one potential contribution to these challenges
- As Large Scaling Up approach is rather new in WatSan, there is need for further experiences and discussion

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Large Scaling Up: Rationale

- For the AGUASAN Workshop 2010 **Scaling Up** has been defined as: ..“ accelerating service coverage from islands of success to entire population and ensuring that adequate institutional arrangements are in place to support sustainable management of services”
- The set up of **Large Scaling Up** is alike: A Development Partner developed and promotes a working service supply model for rural water supply & sanitation, which is introduced and upscaled through programs of the Government in order to increase coverage within a short period of time based on large financial support from International Financing Institution(s) (IFI).
- Large Scaling Up will urge actors towards **harmonization** of funding requirements and priorities and strategies for WatSan, e.g. issue of subsidies or participation of citizens in planning processes.

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Key Questions in AGUASAN Workshop 2010

Key Questions at the beginning of the AGUASAN Workshop:

- **Generic Level:** What is needed, which are the pre-conditions for a successful Scaling Up?
- **Context-Specific level:** How is it done/which are the principles followed for action?

Additional Key Questions:

- Which are the constraints of key stakeholders in the context of **large investments** in WatSan sector?
- What adaptations and mechanisms are required so that **successful service delivery models** can be replicated at large scale by somebody else and in a short time?
- How to assure a more **demand responsive approach** in Large Scaling Up?
- How to assure **quality** within a process of Large Scaling Up? Is “Good Fast Food“ really good enough in the medium term?



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Workshop Specific Objectives

- Learning from practical regarding concepts for large scaling efforts and broadening the **evidence base about successful and failing** scaling up processes;
- Identifying **barriers and triggers** that affect the scalability at regional / national levels of service delivery models;
- Defining how to **adapt service delivery models** to get shaped for large scaling up efforts;
- Developing **practical strategies and tools** for fostering Large Scaling up initiatives;
- Locating **gaps / open issues** which would require further action and analysis



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Workshop Features

Topic-related key inputs

- Francois Münger, SDC Water Initiative
- Letitia Obeng, GWP, former World Bank
- Aaron Kabirizi, Government of Uganda (MWE)
- Eddy Perez, WSP Sanitation
- Steven Geiger, SDC

A series of topic cases

- [Total Sanitation & Sanitation Marketing, India](#) (Ajith Kumar/ WSP)
- [ProGoAS - Rural Water Supply and Sanitation Project, Mozambique](#) (Pierre-Olivier Henry, Antonio Vasco, Helvetas)
- [AGUASAN Rural Water Supply, Nicaragua](#) (Carmen Pong/SDC, Nelson Medina/WSP)
- [Regional Rural Water and Sanitation Program, Uzbekistan](#) (Olivier Normand, ISW)

Exchanges in plenary, working group sessions, storytelling, excursion





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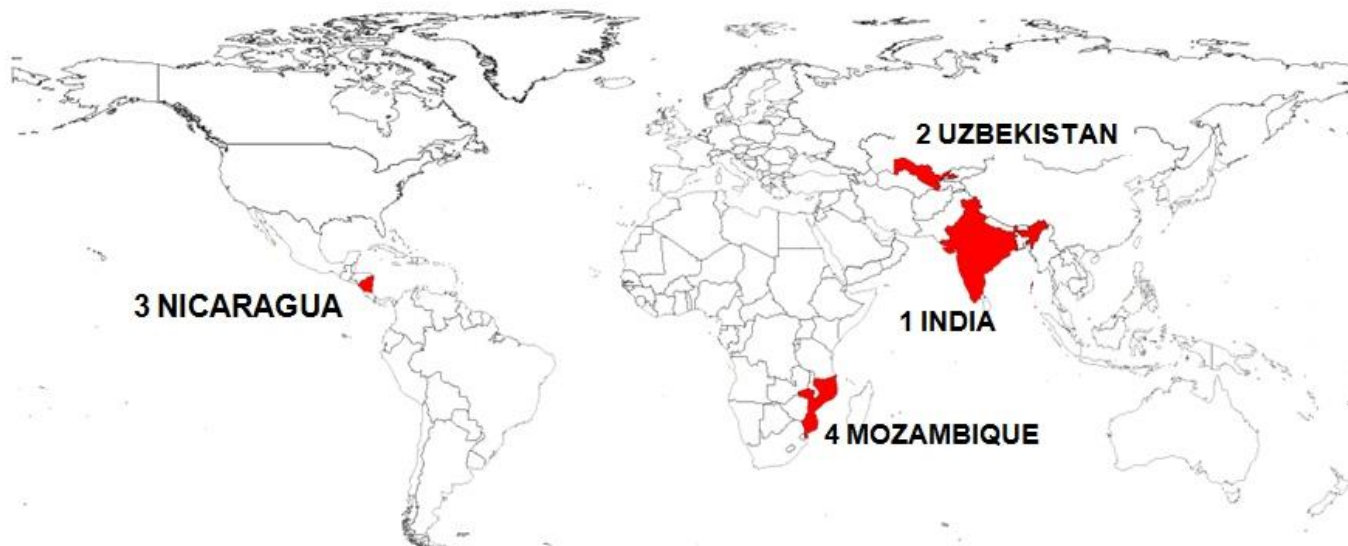
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- 1 [Total Sanitation & Sanitation Marketing \(WSP/Gov India\)](#)
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Case Study: India

Total Sanitation & Sanitation Marketing, A. Kumar (WSP India)

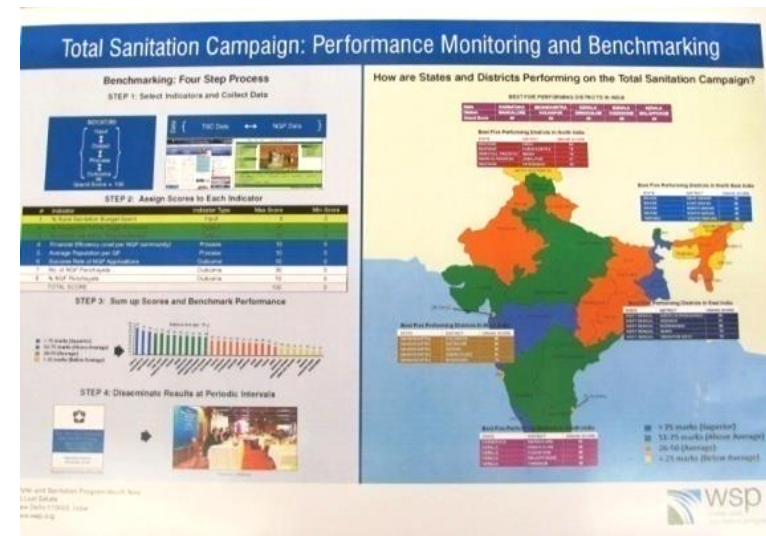
One key message:

Open Defecation Free (ODF) villages are top priority goals concerning Sanitation in India. In order to stabilize high level of ODF areas a Total Sanitation and Sanitation Marketing Campaign was launched and monitored in different states and districts.

As one key success factor the national government has successfully established a supportive environment including financial mechanisms. Also a high level of capacity on district level and of private sector was available.

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[Input Case study: India 2](#)



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Case Study: Uzbekistan

Rural Water Supply & Sanitation, O. Normand (ISW)

One key message:

Activities of the project have so far not been actively supported by the national government, rather they have been tolerated. A fast scaling up of activities does not seem to be very realistic in an immediate future, rather a long term ongoing support and strengthening of local capacities. With this approach at least a continuity and trust building atmosphere can be established so that more demanding activities can come directly from the government itself.

[Input Case study: Uzbekistan](#)





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Case Study: Nicaragua

AGUASAN Rural Water & Sanitation, C. Pong (SDC) and N. Medina (WSP)

One key message:

Two major donors active in the field of Rural Water Supply & Sanitation, SDC and World Bank planned to become more active in Nicaragua, but had different approaches in the beginning. Finally the two donors managed to agree on a joint approach.

Major supportive factors in this process have been, that the national government had its clear vision of a common approach and that it was not willing to accept competition between donor approaches. Also both donors have been willing to agree on one common approach.

[Input Case study: Nicaragua](#)





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Wording and Definition

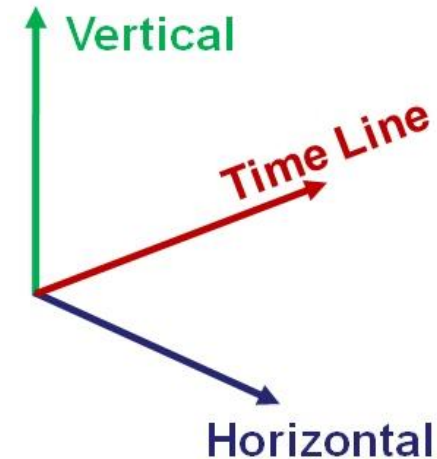
Understanding, wording and definition of key terminology was implicitly generated as a result during the workshop.

Scaling Up can be described in its three key dimensions as follows:

Vertical: embedding of approach into local, regional and national institutions; streamlining with national policies and strategies; involvement of different institutional levels including key actors in other sectors

Horizontal: broaden and increase of coverage; replication on operational level; linking with other actors in the sectors;

Timeline: extension of lifetime of infrastructure and services; issue of lifetime of policies, strategies, support and funding commitments



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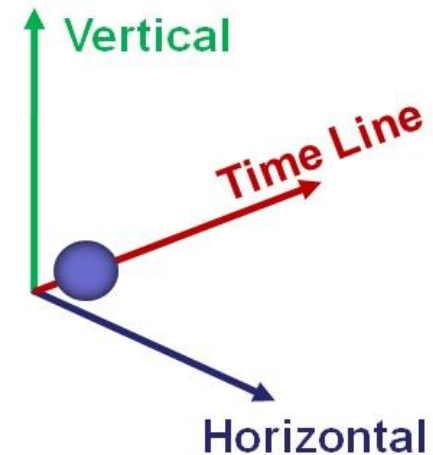
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Wording and Definition

Piloting:

- Is about testing of one approach or a selection of technologies in a limited, defined arrangement over a short period of time
- Is usually implemented in a small restricted geographical area
- Is very often focused on a single technical or functional aspect
- Involvement of other key sector institutions or partners in Piloting is often very limited
- Only **informal** linkages between the Pilot and national governmental institutions; hardly any integration of underlying approach into national policies and strategies, e.g. National Water Supply Strategy



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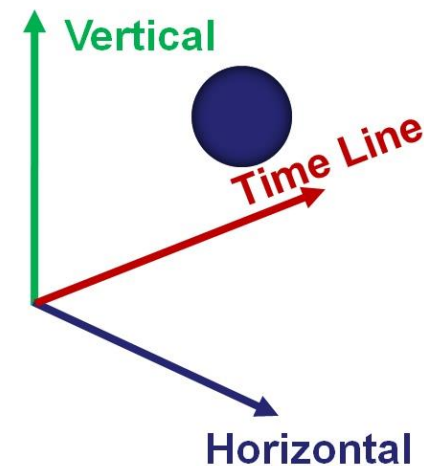
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Wording and Definition

Working at Scale:

- Outcomes and impacts of the activities are **targeted** to influence a wide range of actors and activities in the sector.
- Is not just replication of small projects or pilots, it is more open in the sense of any systematic approach, which has relevant **impacts on entire sector**.
- Involving and influencing all **key institutional actors** on all levels, no restriction in terms of regional coverage.
- Working at scale also includes approaches based on strong **Private Sector Initiatives**, such as Market-Based-Approach.



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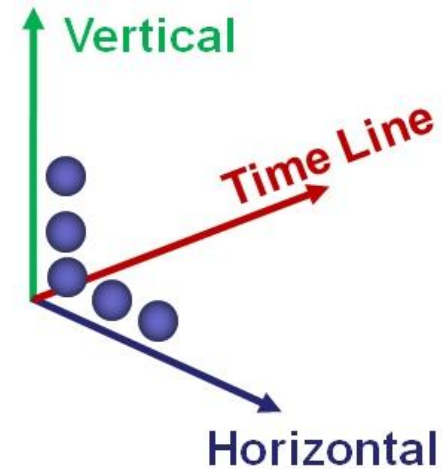
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Wording and Definition

Piloting at Scale:

- Involvement of all relevant actors in the Piloting from the very beginning, such as Ministries, Local Governments, Civil Society including NGO's
- Piloting is accompanied by Capacity Building of relevant institutions and by integration of key processes (such as information and communication, supply chain and private sector development)
- Model to be tested needs to be in line with national policies and strategies. Potential conflicts with other approaches or legal constraints are anticipated and captured from the beginning.
- Piloting at Scale is the attempt to incorporate the complexity of working at scale while maintaining the experimentation mode without being already full-scale



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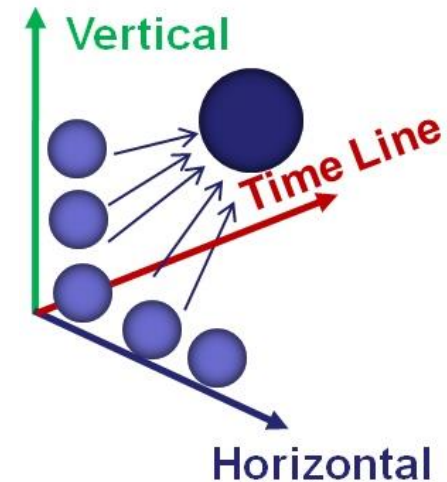
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Wording and Definition

Large Scaling Up (situation with respect to three dimensions):

- Introduction of a demonstrated successful service delivery model
- Sufficient capacity in sector to absorb large funding
- Harmonization of approach into national policies and strategies
- Integration of approach in activities on all levels and in other relevant sectors and on a larger regional scale
- Substantial long term funding of implementation according PCM based on long term strategy
- Targeting at national policy objectives, efficient performance of approach



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Framework for Large Scaling Up

Development of Framework using:

- Participatory process
- Workgroups
- VIPP (Visualization in Participatory Process)
- Case Studies



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Framework for Large Scaling Up

Six **Key Elements** to initiate and foster successful **Large Scaling Up** between Governments, Development Agencies and Financing Institutions in the WatSan Sector:

1. [Coordination and Partnership](#)
2. [Long Term Sector Strategy](#)
3. [Good Governance and Enabling Environment](#)
4. [Sustainable Service Delivery Models](#)
5. [Implementation Capacity](#)
6. [Marketing and Communication Strategy](#)

Strong **inter-linkages** exist between all six key elements. No top priority element, rather follow a **comprehensive approach**.

One mandatory requirement: **For Large Scaling Up the Government has to be in the driver's seat!**

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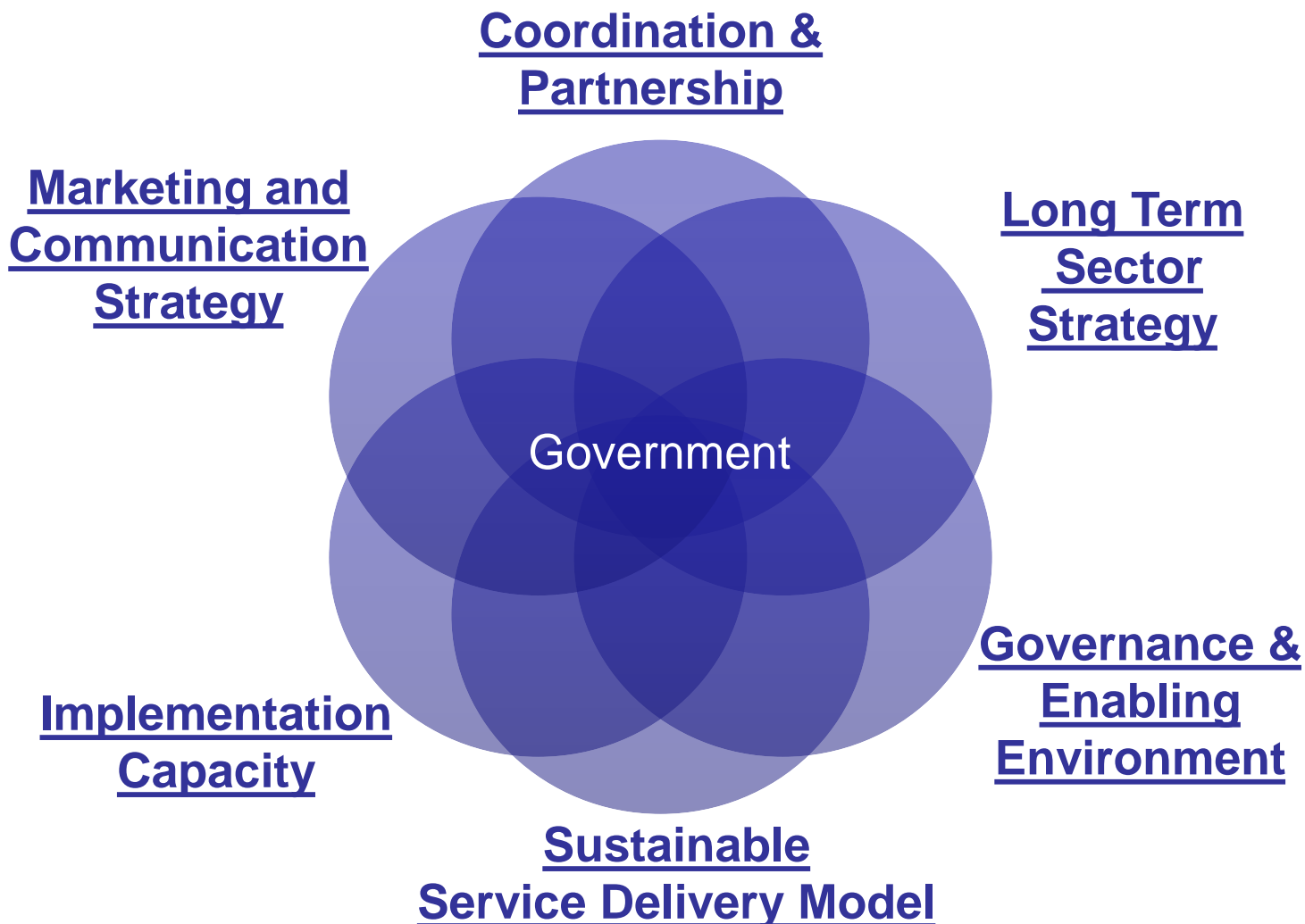
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Framework for Large Scaling Up („The Flower“)





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1. Build up Structures and Processes leading to Coordination and Partnership

- Successful Scaling Up efforts require effective and trustful partnerships between key stakeholders
- Clear defined **roles and responsibilities**, long term commitment of key actors, timely Information and ongoing Policy Dialogue are fundamental basis of **partnership**.

Main Roles of Key Actors in Large Scaling Up are:

- **National Government:**
 - **Is in driver's seat**
 - Harmonisation of Policies, Strategies and Programs
 - Creating and Maintaining enabling environment
 - Monitoring outcomes of programs and strategies;
 - Guarantee continuity in strategies, policies, legal and financial framework;
 - Coordination of Budgeting and funding
 - Policy Dialogue and Information

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1. Build up Structures and Processes leading to **Coordination and Partnership**

Roles of Key Actors in Large Scaling Up (Cont.)

- **Local Governments**

- Facilitate and support implementation, Technical Support
- Awareness rising and Information
- Streamlining of local actors, Enforcement, Coordination
- Monitoring of activities and outcomes

- **Communities**

- Express demand, participation in planning
- Contribution in cash, work, kind
- Developing funding schemes
- Responsible for O&M and financial management

- **NGO's/Civil Society**

- Information, awareness rising
- Training and Capacity Building
- Support in implementation
- Oversight



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1. Build up Structures and Processes leading to Coordination and Partnership

Roles of Key Actors in Large Scaling Up (Cont.)

- **Private Sector**
 - Service Provider
 - Microfinance
 - Supply Chain
- **Development Partners**
 - Development, documentation and promotion of service delivery model
 - Technical Assistance including O&M,
 - Capacity Building and Training
 - Role moves from implementer to facilitator of implementation
- **Donors and IFIs**
 - Funding of programs according to funding requirements
 - Advisory support with focus on streamlining and monitoring government processes towards objectives (sector performance measurement)

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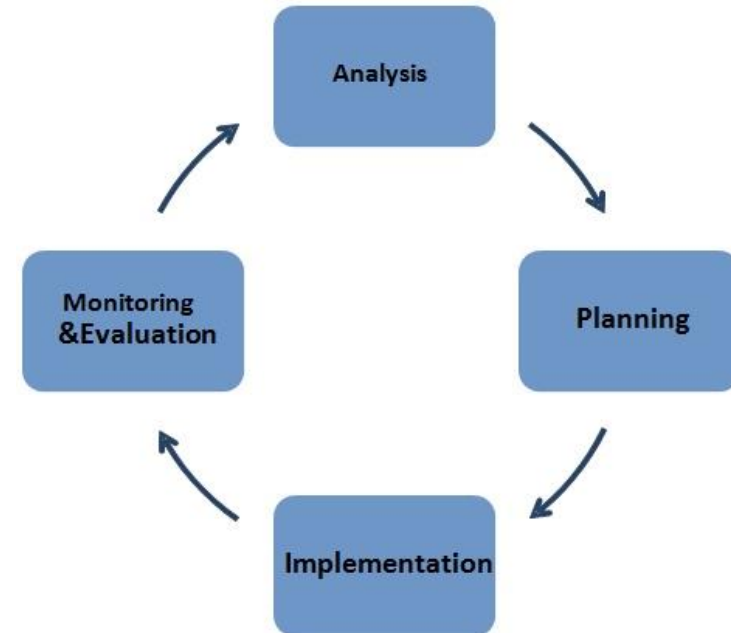
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1. Build up Structures and Processes leading to Coordination and Partnership

Project Cycle Management (PCM):

- Detailed planning of activities according to PCM simplifies definition of roles, interfaces, responsibilities and processes in Large Scaling Up.
- PCM combined with Project Risk Analysis forms basis for comprehensive and proactive planning and coordination
- A signed Code of Conduct rises accountability and commitment of actors involved.



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1. Build up Structures and Processes leading to Coordination and Partnership

Scaling Up might require modifications to the institutional arrangements within the sector, changes in financial policies and possibly a review of legislation.

Scaling Up efforts can benefit from a strategy which:

- Includes all stakeholders from the beginning of the PCM,
- Is based on lessons / experiences from successful service delivery models tested at scale in the country,
- Includes a robust, comprehensive capacity building strategy to build up institutional capacities within central and local government, NGOs and support service providers,
- Has a strong monitoring mechanism which tracks outputs and outcomes,
- Is embedded in a comprehensive communication strategy to communicate timely and adequately to target stakeholders



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2. Following a **Long Term Strategy** including sufficient Funding for Follow up

- A consolidated **Long Term Sector Strategy (LTSS)** is pivot for sustainability of results
- Sufficient **time** is needed to achieve results following the LTSS
- **LTSS** needs to be realistic and correspond to other **National / Country Strategies** of relevant sectors, such as Health (e.g. Water Quality Standards), Education (sensitisation of school children, hygiene education etc.) or Agriculture (Water for Food)
- **Ownership and implementation of LTSS is at Government level** (in central and local governments).
- Donors strategies providing long term support are **harmonized** with national strategies in order to support LTSS.
- Implementation is embedded in **concept for institutional strengthening** and in a **Communication Strategy** which is linked to the **Policy Dialogue**.



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2. Following a **Long Term Sector Strategy** including sufficient Funding for Follow up

Mechanisms have to be introduced to link LTSS to

- An **Action Plan**, which is based on Planning and Budgeting process of central and local Government.
- Financial resources to local governments need to be allocated and **released** according to objectives, priorities and schedule of LTSS
- A **Monitoring and Reporting System** focusing on outcomes and impacts of Large Scaling Up, considering relevant sustainability dimensions and crosscutting issues (such as Gender, Good Governance, Water Resource Management and Climate Change).
- A **Performance Measurement Framework**, transparently documenting effective expenditures, increase in coverage and level of functionality. Increasing **accountability** through transparent reporting to key stakeholders (see also in [References](#)).



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2. Following a **Long Term Sector Strategy** including sufficient Funding for Follow up

- Underlying approaches in Large Scaling Up, e.g. decentralized water supply, or Ecosan-toilets have to be **integrated** in national policies, strategies and programmes
- Related activities of Government and other actors (donors, private sector, other sectors) have to be **streamlined** and **coordinated** to capitalize synergies from Large Scaling Up efforts (such as Private Sector invests in production of toilets)





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3. Establishing **Good Governance** and an **Enabling Environment**

Key stakeholders must be able to engage in meaningful ways (see also Paris Declaration). The Government is in charge to establish an **enabling environment**: (see also in [References](#)):

- **Policy and Legislation**, including visions, goals and standards for Water Supply or Sanitation. Laws and codes must support these policies
- **Governmental Leadership**. Leadership on national and local level for Scaling Up of the selected models,
- **Good Governance and Accountability**. Government and donors fix clear rules for mechanisms, on how accountability and transparency is introduced in Scaling Up approach.
- **Decentralisation**, current context in many countries is dominated by decentralisation.of provision of public services. Selection of models and framework for Implementation of Scaling up has to consider context of decentralisation.



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3. Establishing **Good Governance** and an **Enabling Environment**

- **Inception Phase: Before** planning and strategy development, an **assessment** of the **enabling environment** (political, financial, institutional, legal, capacity aspects) and of the **governance** context itself needs to be conducted collaboratively,
- **Planning Phase:**
 - **Agreement** on consultation and information mechanism between Government and Donors
 - **Information concept developed and implemented**, addressing other target groups including pupils in schools using different media (comics, radio/TV spots, drama etc)
 - Performance Contract signed for service delivery
- **Implementation Phase: Enforcement** of Water management legislation and performance contracts through legally established enforcement units (“Water Rangers”)



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3. Establishing **Good Governance** and an **Enabling Environment**

- Mechanisms for Multi-directional **accountability** are defined and established for central and local level including measures in case of non-compliance.
- Clear and transparent planning, budgeting, contracting and reporting **procedures** introduced;
- Sufficient targeted **resources** are allocated for participation, monitoring and reporting
- **Institutional strengthening** needed to support Policy Dialogue and participation; within institutions improvements could be supported by using incentives.



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4. Establishing **Sustainable Service Delivery Models**

- For different country-specific contexts, **demonstrated successful examples** of how WASH status can be improved at scale need to be documented and monitored.
- So far only little is known and documented on sustainable service delivery models in medium term (see also [References](#))
- New Models have to be developed which explicitly include scale issues for subsequent replication. Piloting at scale is to demonstrate an approach which has successfully included the vertical dimension and which can then be replicated horizontally.
- **Testing** on intermediate scale helps to adjust models while scaling up; do monitoring and documentation of implementation and results
- Issue of **critical mass** and effects of **transition** on the demand side (e.g. less population due to migration) or supply side (e.g. climate change) have to be considered in the PCM and within selection process of service delivery model(s).

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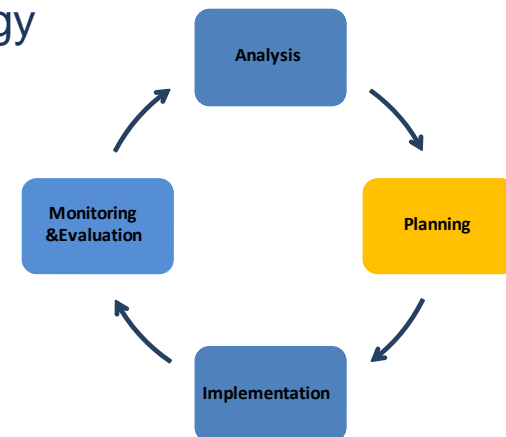
4. Establishing Sustainable Service Delivery Models

Planning Phase

- Define operational and strategic objectives (linked with national strategic plans, define standards agreed by government)
- Review existing experiences and pilot projects,
- Assess existing human and institutional capacities within the sector
- Develop mechanisms to strengthen sector during all PCM phases including organisational and financial management arrangements
- Assess status of enabling environment,
- Adapt processes, conditions and materials for working at scale
- Develop and introduce communication strategy
- Establish participation of key stakeholders
- Implementation of mitigation measures

Main actors:

- Line ministries, local governments
- Development partners
- Civil society



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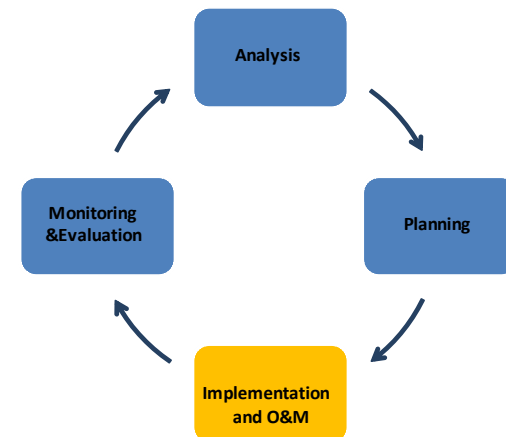
4. Establishing Sustainable Service Delivery Models

Implementation Phase including O&M

- Engage implementation partners, led by government
- Follow transparently official procurement procedures
- Include capacity building aspect (build up CoPs) and expertise within sectors
- Develop guidelines
- Exposure visits to Pilots
- Report on early success to support further efforts
- Training of Technicians for O&M

Main actors:

- Local governments
- Development partners
- Private Sector, Civil society



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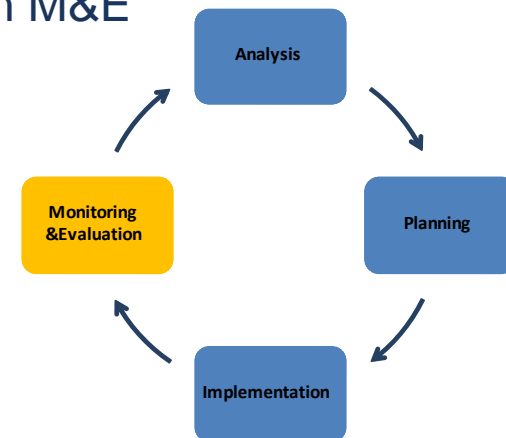
4. Establishing Sustainable Service Delivery Models

Monitoring & Evaluation Phase (M&E)

- Develop, consolidate and establish comprehensive indicator system including monitoring procedures and sector monitoring tools (MIS)
- Monitor and evaluate outputs, outcomes, impact and performance towards project objectives and sustainability criteria
- Documentation of context and interlinkages (WatSan , IWRM), Tools, outputs and outcomes
- Training of staff at local and central level on M&E
- Disseminate information

Main actors:

- Line ministries, local governments
- Development partners
- Private Sector, Civil society



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4. Establishing Sustainable Service Delivery Models

Analysis Phase

- Interpretation
 - Results according to objectives and benchmarks, Credibility Checks
 - Develop lessons learned, determine need for adaptations
- Proposals for adjustments including financial consequences for key stakeholders, Discussion of results and lessons learned
- Documentation and Dissemination of information and conclusions
- Decision making on planning and funding
- Policy Dialogue and Advocacy

Main actors:

- Line Ministries, donors, Local governments
- Development partners
- Private Sector, Civil society



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5. Ensure sufficient **Implementation Capacity** on relevant institutional levels

- **Working at scale is not just replicating small pilot projects.**
- Working at scale significantly changes quantity, quality and dynamic of **working procedures** and of **material and financial flows** in the sector and in different regions.
- Large Scaling Up will challenge many institutions and actors on national and local level involved, in particular in terms of **institutional, organisational and human capacity**.
- Need for building up **implementation capacity** exist at **all** levels and within all actors:
 - Public Sector: National and local governments, municipalities
 - Private Sector: construction, masons, supply chain, microfinance
 - Civil Society: NGO's, CBO's
 - Donors
- Most probably new or revised **procedures, codes and legal interlinkages** need to be introduced between different actors.



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5. Ensure sufficient **Implementation Capacity** on relevant institutional levels

Increasing Implementation Capacity in an **organisation** includes:

- Technical skills including logistics and O&M aspects
- Financial capacities, controlling, procurement, contract management
- Human Resource Development including Training
- Project Management and Quality Assurance
- Documentation, Communication and Marketing

Increasing Implementation Capacity in a **sector** includes:

- Organisation of key sector actors, in particular to enhance information, coordination, market research and advocacy (e.g. umbrella organisation of service providers or NGO's)
- Development and establishment of Sector Performance Measurement Framework including reporting mechanisms
- Build up learning capacity within sector (e.g. CoP)
- Marketing and Advocacy for sector, in order to attract funds and competent staff (fairs and events, visibility in media etc.)



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5. Ensure sufficient **Implementation Capacity** on relevant institutional levels

Strategies for improving/enabling implementation at scale:

- Consistent **long term capacity building strategy** for WASH sector including Community of Practice
- Medium term commitment for **financial resource** allocation and mobilization from donors, IFIs and government
- **Advocacy** for capacity development, e.g. within CoP
- **Access** to knowledge and other resources, e.g. exchange visits to/from other projects in the field of Scaling Up, www-networks, sector wide learning such as CoP
- Promote “**business approach**” and professionalization of WASH sector, including systematic HR Development
- **Curriculum development** for key actors including options for career development

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5. Ensure sufficient **Implementation Capacity** on relevant institutional levels

Sector wide knowledge and learning are introduced from the beginning phase. Relevant actors include:

- **Partners within Scaling Up project**, e.g. for organising exchange to other implementation projects in the WatSan sector
- **Support Service Providers**, for specific services as preparation of training, material, evaluation etc.
- **Institutional framework** responsible for developing the enabling environment, even if outside the project organisation, such as Ministry of Finance or Planning, Ministry of Education etc.
- **International networks and Resources** (e.g. Thematic Group on Scaling Up, since 2010 in Rural Water Supply see [References](#))



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6. Define and Implement a professional **Marketing and Communication Strategy**

DO GOOD AND COMMUNICATE !

Using systematic **Marketing** and **Communication** to boost approach and to support activities of Scaling Up projects. Main objectives of a comprehensive **Marketing and Communication Strategy** are

- Assure **dissemination of relevant information** on planned and ongoing activities to all actors involved; also to civil society in donor countries,
- Marketing of the entire **approach** or of successful technologies (but not of specific products),
- Provide inputs for **specific market research** (changes in demand, supply, technologies, costs etc.),
- Assure systematic **documentation** of outcomes and impacts,
- Support **Policy Dialogue**, in particular towards local and central government, existing and potential new donors and the public



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6. Define and Implement a professional **Marketing and Communication Strategy**

Key actors in definition and implementation of marketing and communication strategy are:

- The donors/investors
- The “driver” (government)
- The implementing agency/agencies

Apart target audience additional actors relevant as **supportive actors** will be addressed such as:

- Opinion leaders (at national and sub-national level)
- Private entrepreneurs
- Citizens and Civil Society

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6. Define and Implement a professional **Marketing and Communication Strategy**

Prior to implementation of Marketing and Communication Strategy relevant **mechanisms of consultation and dissemination** have to be defined between key actors, with respect to

- Target Audiences
- Content and Messages
- Timing and Coordination with other actors
- Types of media to be used
- Focal point for final decisions, questions and follow up
- Funding of activities



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Opportunities from a Crosscutting Perspective

Opportunities within Large Scaling Up from a **crosscutting perspective**:

- Attraction of additional funding based on successful Large Scaling Up projects. New funding from the sector, other external donors or within the country. Using Large Scaling Up to enhance role of Private Sector in WatSan sector.
- Non-compliance with MDG's will force Governments to show which approach they intend to follow in order to improve the situation in coming years. Large Scaling Up could be one eligible solution.
- In many countries the provision of public services is supposed to take place through decentralised structures. Scaling Up might support this process of decentralisation by involving the regional level strongly in the planning and implementation of the service delivery models.

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Opportunities from a Crosscutting Perspective

- The global economic development presents new and more potent donors that support different approaches of development cooperation. Large Scaling Up is only one of many approaches. Some donors and countries follow other strategies and link additional pre-conditions to their involvement (links with trade contracts etc.).
- Donors but also Governments are in a competitive situation. There is clear need to create awareness, to promote good practice and to document on success stories with respect to Large Scaling Up approach.
- More **proactive** marketing, information and planning in scenarios and follow up are needed. Large Scaling Up is a good vehicle to foster these principles.

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Risks, Issues and Challenges from a Crosscutting Perspective

Additional risks, issues and challenges within Large Scaling Up from a **crosscutting perspective**:

- **Lack of institutional capacities**, low qualifications, high turnover of human capacities:
 - Building up of sufficient institutional capacities from the beginning is key, clear donor commitment and support needed to keep up commitment even if progress is slow
- Long term process, time frame for initial start and first results, **loss of momentum after beginning**:
 - Even with huge funding, scaling up will take some time to show up successful results. Behavior and established processes cannot be changed too fast as learning and building up of trust is linked with time and experience.



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Risks, Issues and Challenges from a Crosscutting Perspective

Lack of political will / low commitment of line ministries / resistance to change / strategy remains sheet of paper:

- Government will and commitment is key, unless Scaling Up won't be sustainable.
- Champions in key Ministries and local governments needed to support the process of Scaling Up.
- Trustful relationship between key actors needed based on Policy Dialogue, clear roles defined in a signed Memorandum of Understanding with clear performance indicators and commitment.



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Risks, Issues and Challenges from a Crosscutting Perspective

Political Changes / Instability

- Government and donors elaborate and agree on stepwise Scaling Up leading to a robust set up; in case of instabilities, the efforts so far could be sustained at least for some time (e.g. activities could go on at least in some parts of the country).
- Decentralised structures and involvement of all key stakeholders could lead to a more stable framework which is able to be reactivated after instability has ceased.

Market Distortion due to large funding

- Impacts of Large Scaling Up on economy are different in a large and in a small country
- Government and donors build up capacities and establish mechanisms (monitoring, procurement, contract management, others) to assure transparent procurement processes, effective controlling and contract management and to avoid market distortion (price control, benchmarking, regulation)

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Risks, Issues and Challenges from a Crosscutting Perspective

Competition for resources, in particular financial resources

- Large Scaling Up might foster competition in terms of financial and human resources from the beginning.
- Transparent control and reporting mechanisms have to be defined in a Sector Policy Statement in the beginning
- Reduce or even avoid market distortion for material or staff by introducing and following transparent procurement procedures, dedicated recruitment policy and job enrichment programs.

Resistance of Donors and Governments to plan in longer timeframes

- Scaling Up need commitments from donors for long term support following the proposed key elements.
- Large Scaling Up increases pressure on donors to report on success quickly. A proactive communication is needed.

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Risks, Issues and Challenges from a Crosscutting Perspective

Loss of focus on WatSan aspects through interference from Microfinance market

- Interferences from microfinance activities (such as too high interest rates) which might result in loss of quality and lack of focus on overall WatSan objectives.
- Government monitors and evaluates activities of microfinance sector and their impacts on clients

Lack of Pro Poor Elements due to focus on Large Scaling Up

- Noncompliance of MDG will mainly affect poorest part of population, living mostly in rural areas with no or low level of support
- Pro Poor activities and specific M&E need to be anchored in Large Scaling Up approach. O&M systems and reporting mechanisms feed in and support the planning and budgeting cycle on regional and national level.

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Open Questions

Proper documentation of experiences from Large Scaling Up in all project phases needed. Main open questions are:

Processes of Planning and Implementing Large Scaling Up

- How to estimate funds needed and time needed for a successful scaling up process?
- How to anticipate impacts from third parties such as other big donors?
- How to chose among others **the** service supply model to be used within Scaling Up? Which are key criteria for the selection of the model or the models?
- How to integrate more demand driven approaches?
- What are the main driving factors for Scaling Up?
- Which are the decisive key factors for successful scaling up?
- Which steps should be followed, which pitfalls exist? Are there differences in the Scaling Up of Water Supply and of Sanitation?



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Open Questions

Monitoring the upscaled Set-Up

- How to best monitor the Scaling Up Process? Which are **key indicators for success**? Which are the criteria to measure sustainability (within the project, within the wider context)?
- **When** to assess if a scaling up process has been successful and sustainable?
- How to best **exchange experiences** on Large Scaling Up?

Establishing the upscaled Set-Up

- How to **avoid dependence** from external donor funding? Which core elements exist within an upscaled concept that have to be funded by own means?
- What happens if target scale has been reached? How does the exit strategy look like?
- When and how to introduce the exit strategy of donors?



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6. **Contacts and References**

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[Key Findings and Results](#)

[Reflections and Open
Questions](#)

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Contacts and References

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Publications and Links mentioned by Resource Persons:

Resource Material for Sanitation (WSP)

- <http://www.wsp.org/wsp/global-initiatives/global-scaling-sanitation-project>

Other interesting Links related to Scaling Up highlighted by AGUASAN Steering Committee:

Input of Thematic Group on Scaling Up (IRC):

- http://www.scalingup.watsan.net/redirect/content/download/204/1586/file/Framework_ScalingUp_Version_1_Aug2005.pdf

Water and Environment Sector Performance Report 2010 (Ministry of Water and Environment, Uganda):

- http://www.mwe.go.ug/MoWE/85/Joint_Sector_Review_2010

Input Paper of Rural Water Supply Network (RWSN):

- http://www.rwsn.ch/documentation/skatdocumentation.2009-07-27.8158674790/prarticle_view
- <http://www.rwsn.ch/>



Scaling up Sustainable Rural Sanitation



Ajith Kumar
WSP-SA, Delhi, India
ckumar1@worldbank.org

- ❖ **Development of rural Sanitation Sector in India**
- ❖ **The Total Sanitation Campaign**
- ❖ **TSSM supporting TSC**
- ❖ **Results**
- ❖ **Factors supporting scaling up**



Historical Development of the Rural Sanitation Sector in India

- ❖ Traditional approaches - Main **assumption** was that open defecation happens due to **people being poor** – once support is given for infrastructure, open defecation will cease and total sanitation will be achieved.
- ❖ Despite millions of rupees of expenditure and construction of millions of toilets, **open defecation continued.**
- ❖ In 1981, only 1% of rural population had access to sanitary facility, scaling up to just **21% in 2001** (as per Census of India, 2001)

Historical Development of the Rural Sanitation Sector in India

- ❖ Traditional open defecation has been a major public health concern. Support is given to encourage the use of latrines.

- ❖ Despite millions of latrines built, millions of people still defecate in the open.

- ❖ In 1990, the government launched a national program for rural sanitation. By 2001, 10% of the population had access to sanitary facilities, scaling up to 25% by 2001 (India, 2001)



Behavior Change is the key, not infrastructure

Collective outcomes for public health gains – Open Defecation Free environments

access to sanitary facilities per Census of India

The TOTAL SANITATION CAMPAIGN (TSC)

1999 – 2012; 606 districts; US\$ 4 billion budget

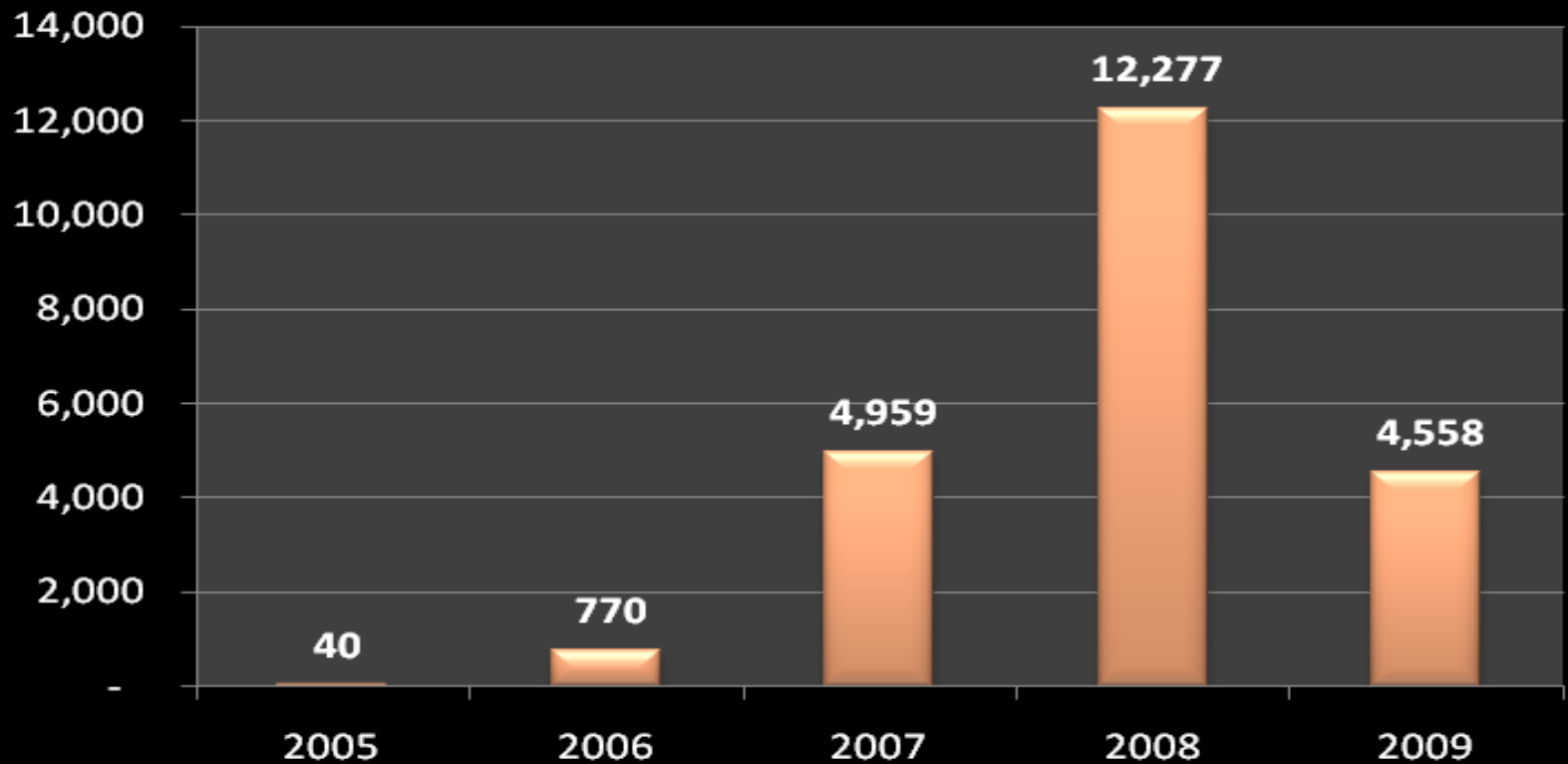
‘Community Led, Demand driven approach

Focus on software – demand creation – than hardware

Limited ‘incentive’ for Below Poverty line (BPL) households – currently about US\$ 50

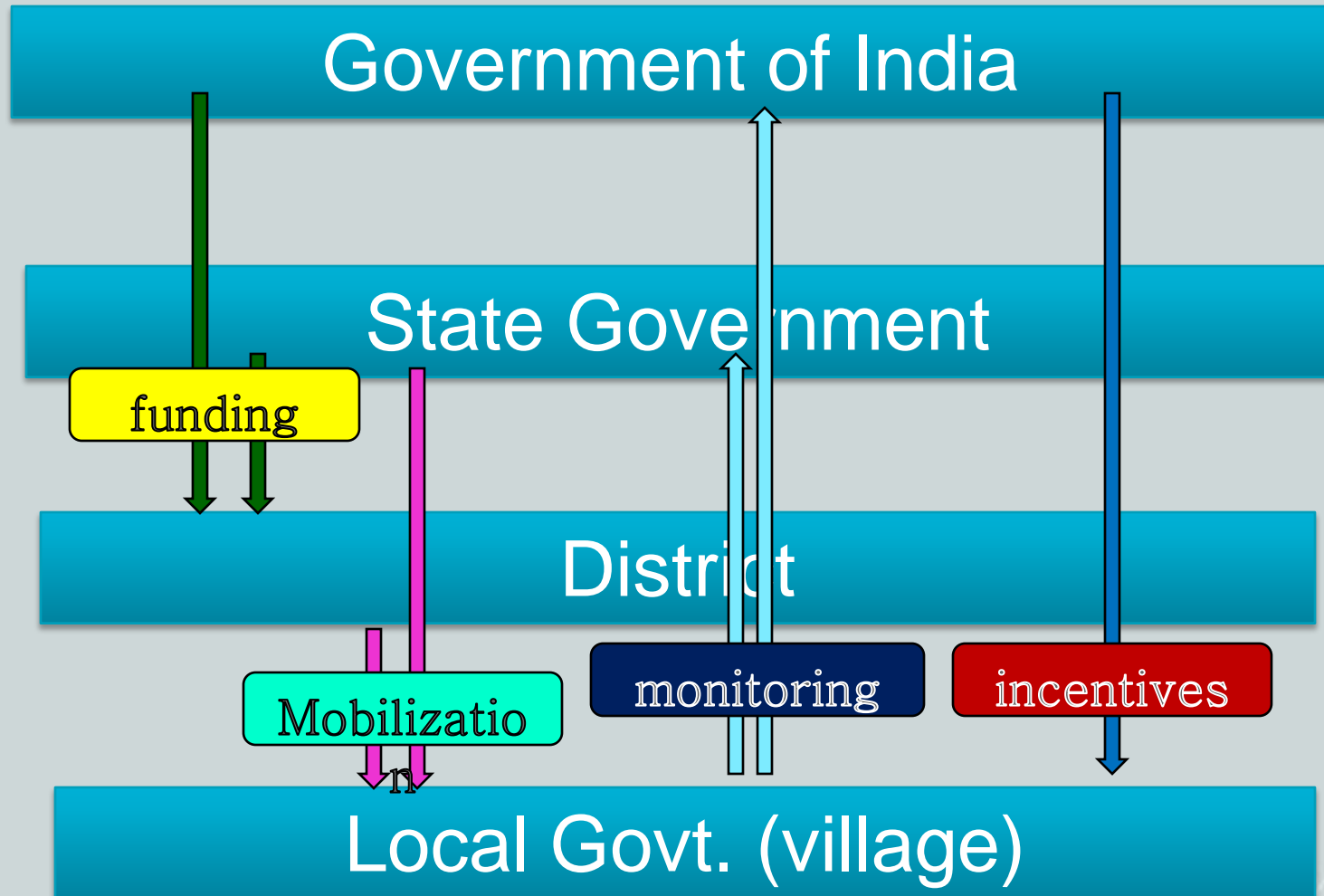
Emphasizes ‘Total Sanitation’ – Open Defecation Free, school sanitation, environmental sanitation (Solid and Liquid waste management)

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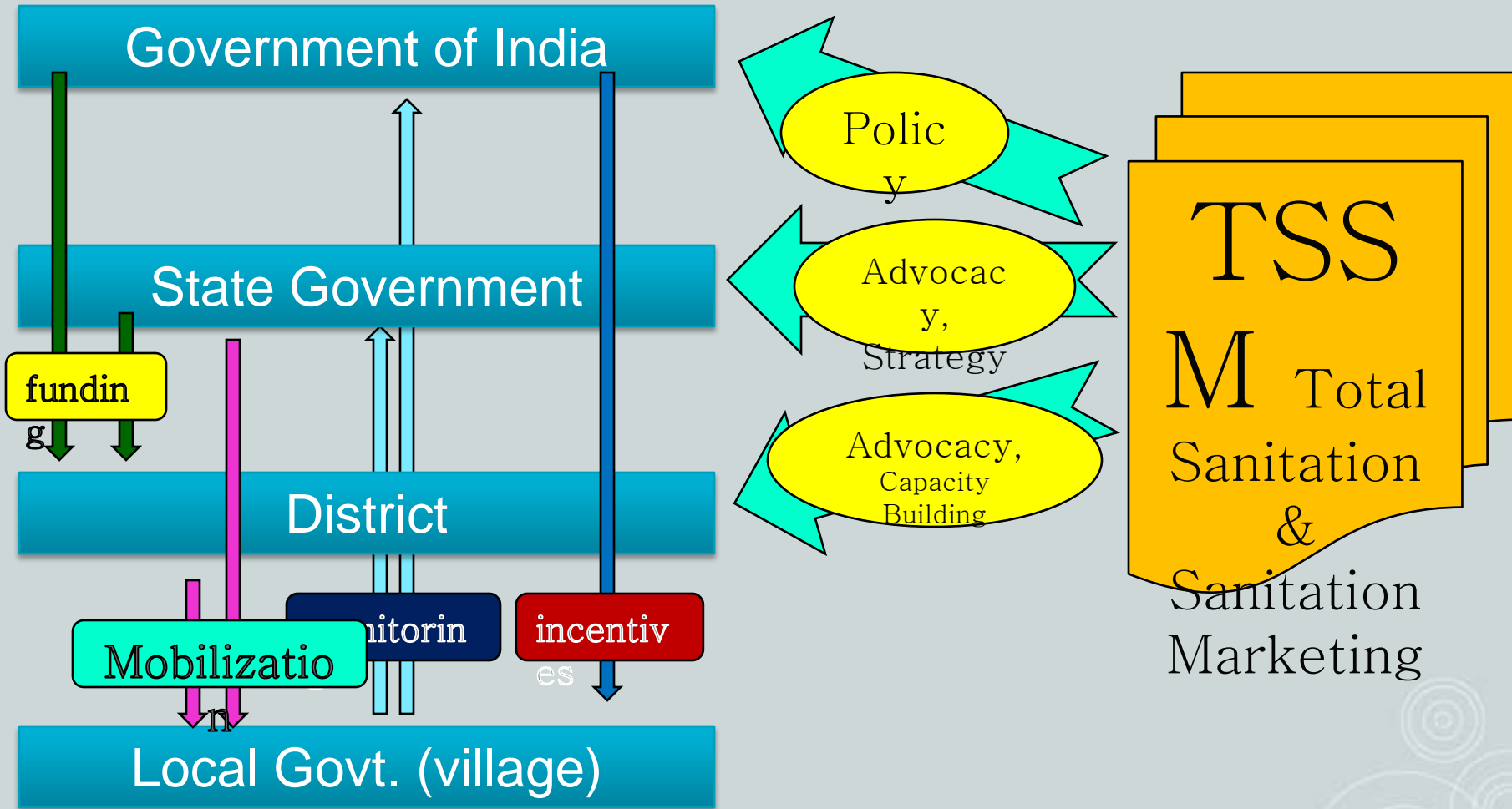


~ 9% of total GPs in country

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TOTAL SANITATION and SANITATION MARKETING (TSSM)



Advocacy for a community led approaches to reach total sanitation – policy and practice

Exposure to best practices, workshops

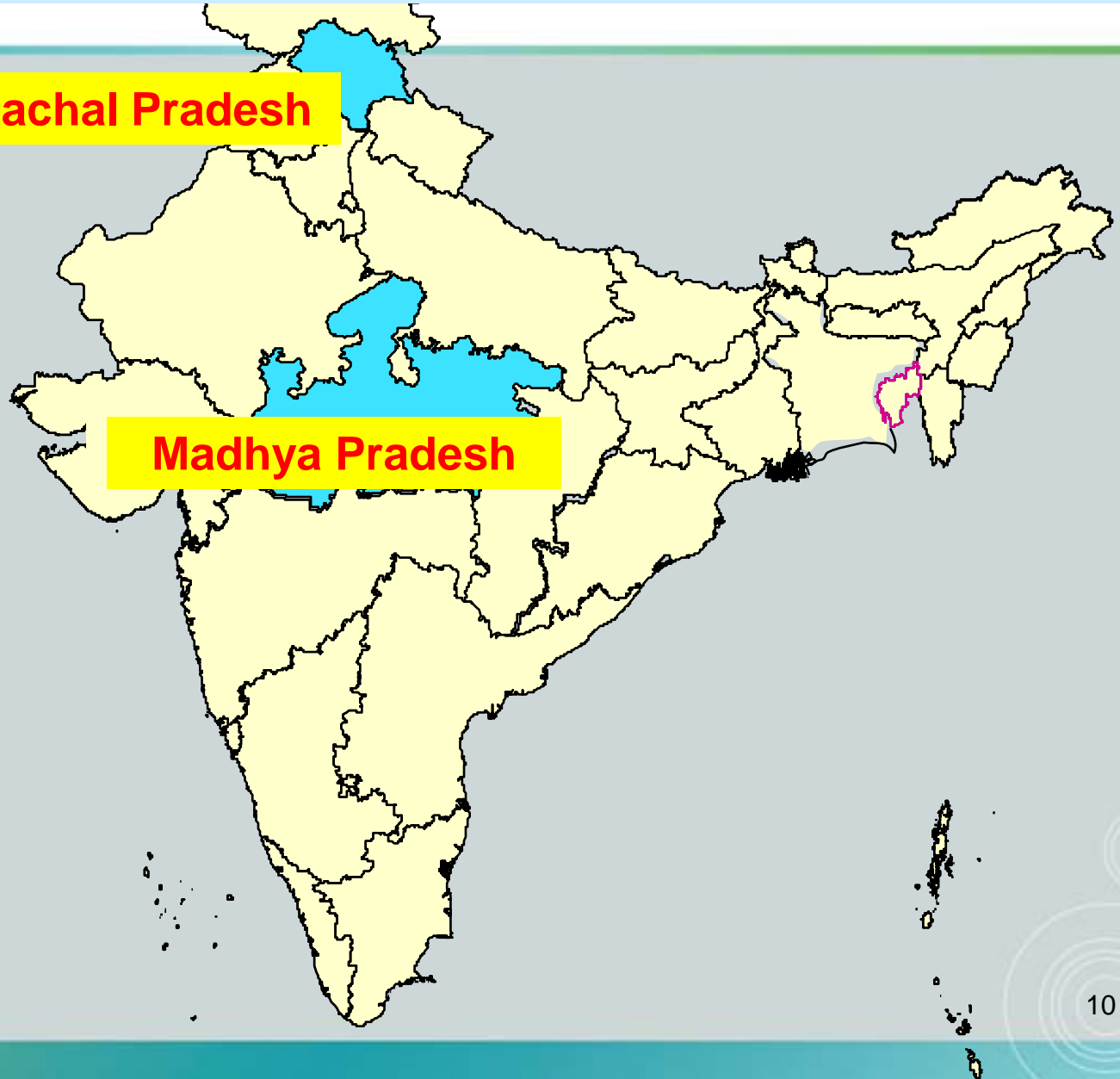
Capacity Building of practitioners towards better outcomes

Enabling supply of products and services

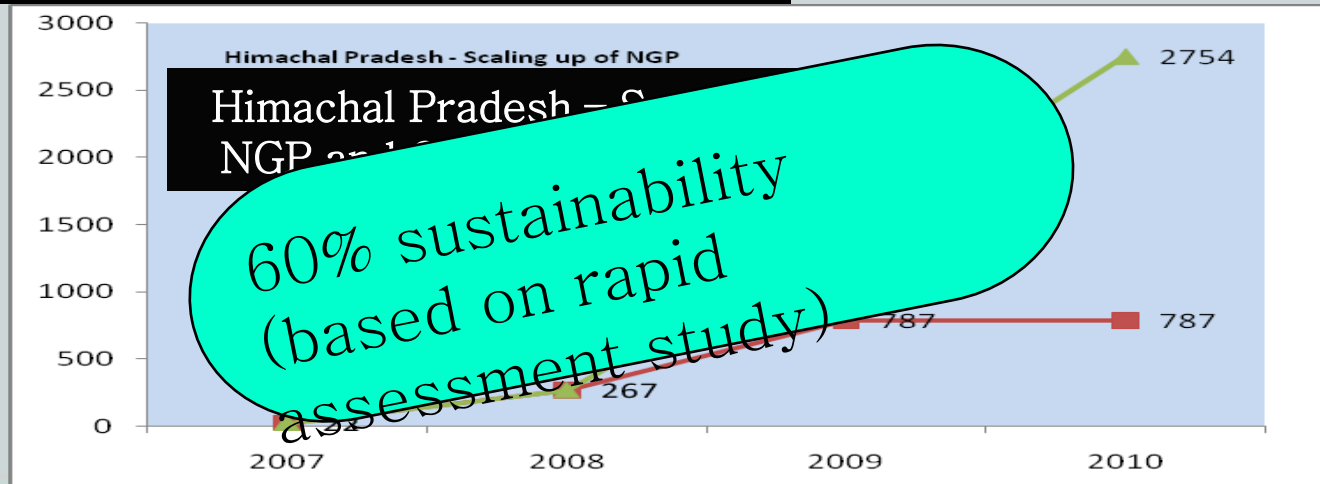
Strengthen monitoring systems

Himachal Pradesh

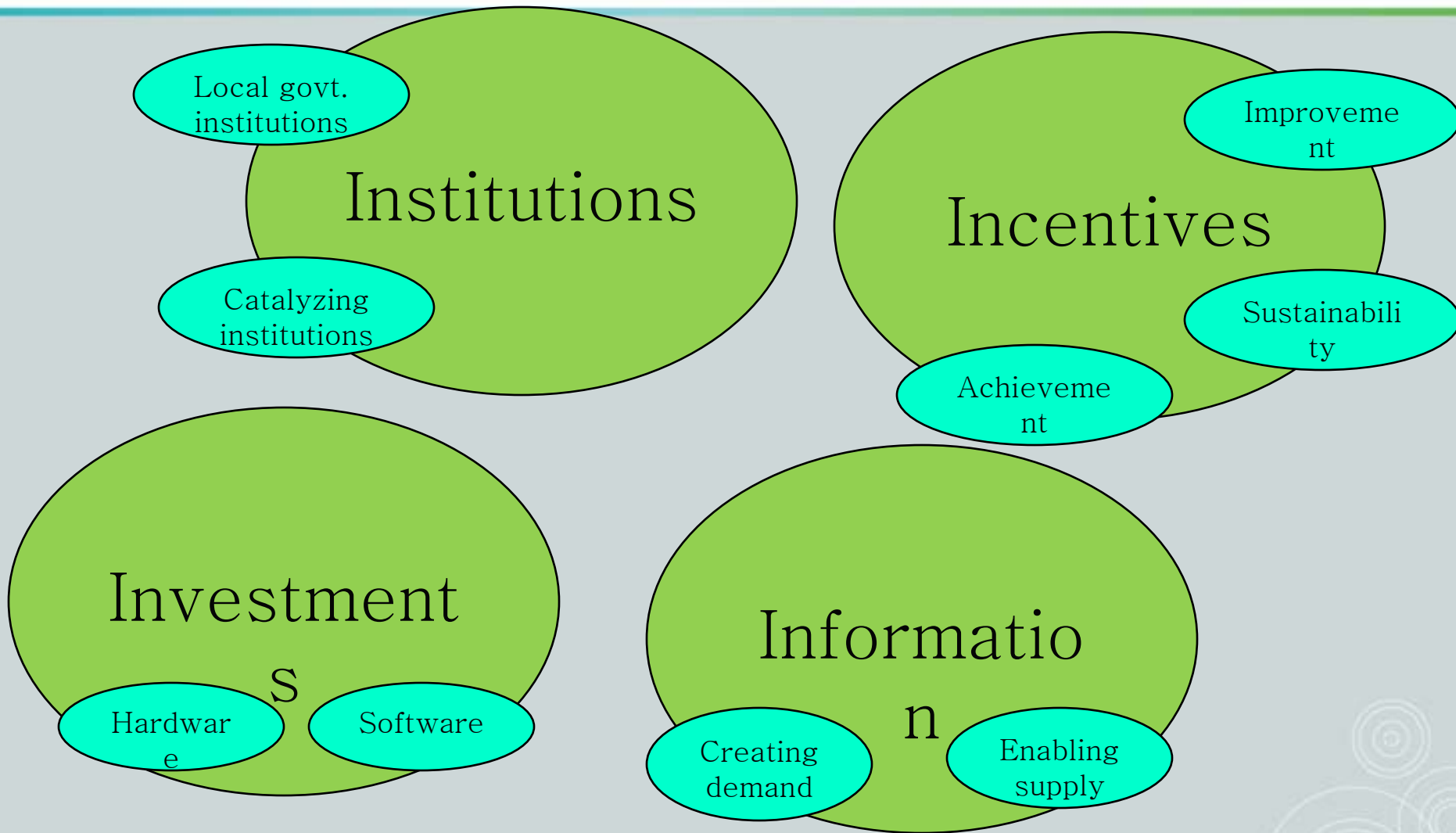
Madhya Pradesh



Results....



Scaling up – the ingredients.....



Scaling up – the ingredients.....

ENABLING ENVIRONMENT

Local govt.
institutions

Institutions

Catalyzing
institutions

Incentives

Improvement

Sustainability

Achievement

Investment

Information

Hardware

S

Software

Creating
demand

n

Enabling
supply

Thank you
Open for Discussion

21 June 2010



AGUASAN Workshop 26

Mozambique Case – ProGoAS

Scaling-up RWSS through Good
Governance Principles



ProGoAS

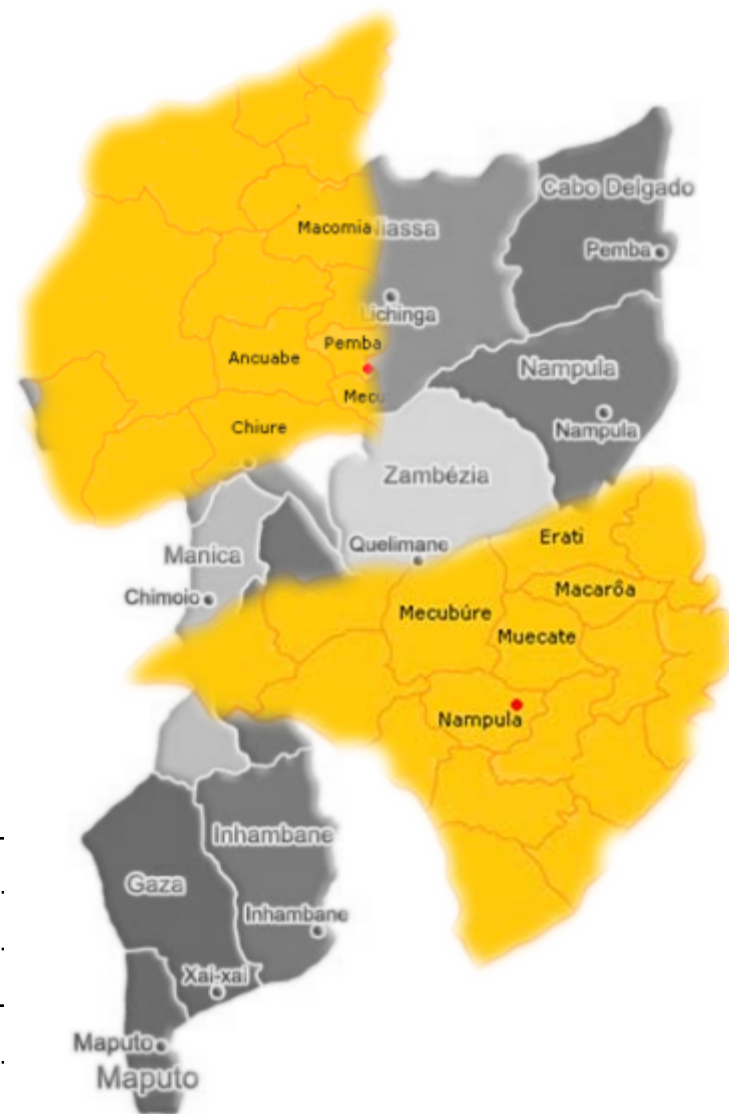
- **Location**

- ✓ Northern Mozambique
- ✓ 8 Districts of Nampula and Cabo Delgado Provinces

- **Context**

- ✓ NWP and PESASR 2007
- ✓ PARPA (Poverty Reduction Plan)
- ✓ MDGs

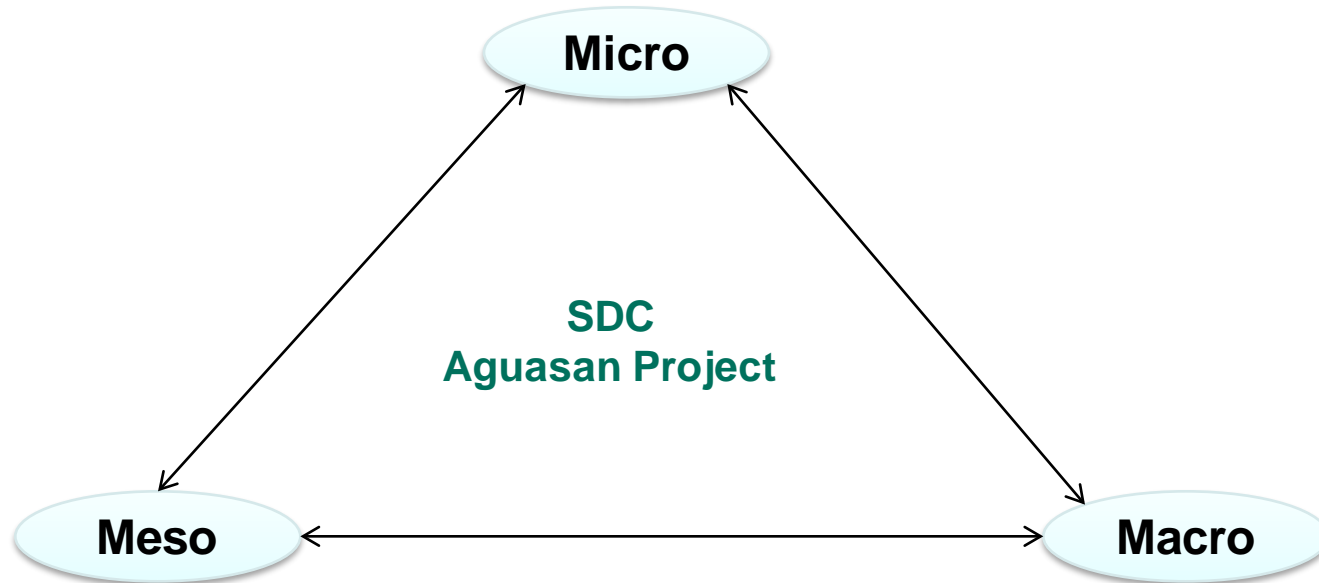
Rural WatSan Coverage	Actual	MDG's
	2009	2015
Rural Water National	54%	70%
Rural Water Cabo Delgado	61.3%	70%
Rural Water Nampula	40.7%	70%
Rural Sanitation National	40%	60%
Rural Sanitation Cabo Delgado	--	60%
Rural Sanitation Nampula	--	60%



Up scaling strategy

RWSS Projects:

- ✓ ProGoAS (Nampula and Cabo Delgado)
- ✓ WaterAid (Niassa Province)



Capacity Building:

- ✓ Provinces
- ✓ Districts
- ✓ Local NGO's
- ✓ Private Sector

Policy Dialogue & Donor Coordination:

- ✓ DNA
- ✓ CPs

ProGoAS - Summary of Project

- **OBJECTIVE** - to enhance socio-economic development and poverty reduction through improved local governance and decentralized water and sanitation service provision in rural districts in Cabo Delgado and Nampula provinces
- **SERVICE DELIVERY MODEL** – Districts governments, private sector and communities provide and manage rural WatSan services to gradually take their role and responsibilities in maintaining and expanding service coverage
- **EXPECTED OUTPUTS** – CDCs and local councils identify issues, discuss and plan the development of their communities; private sector service providers deliver an enlarged range of WatSan products and services; access to public WatSan infrastructures is improved and supported by hygiene and sanitation promotion

Scaling-up - Main Results and Lessons learnt

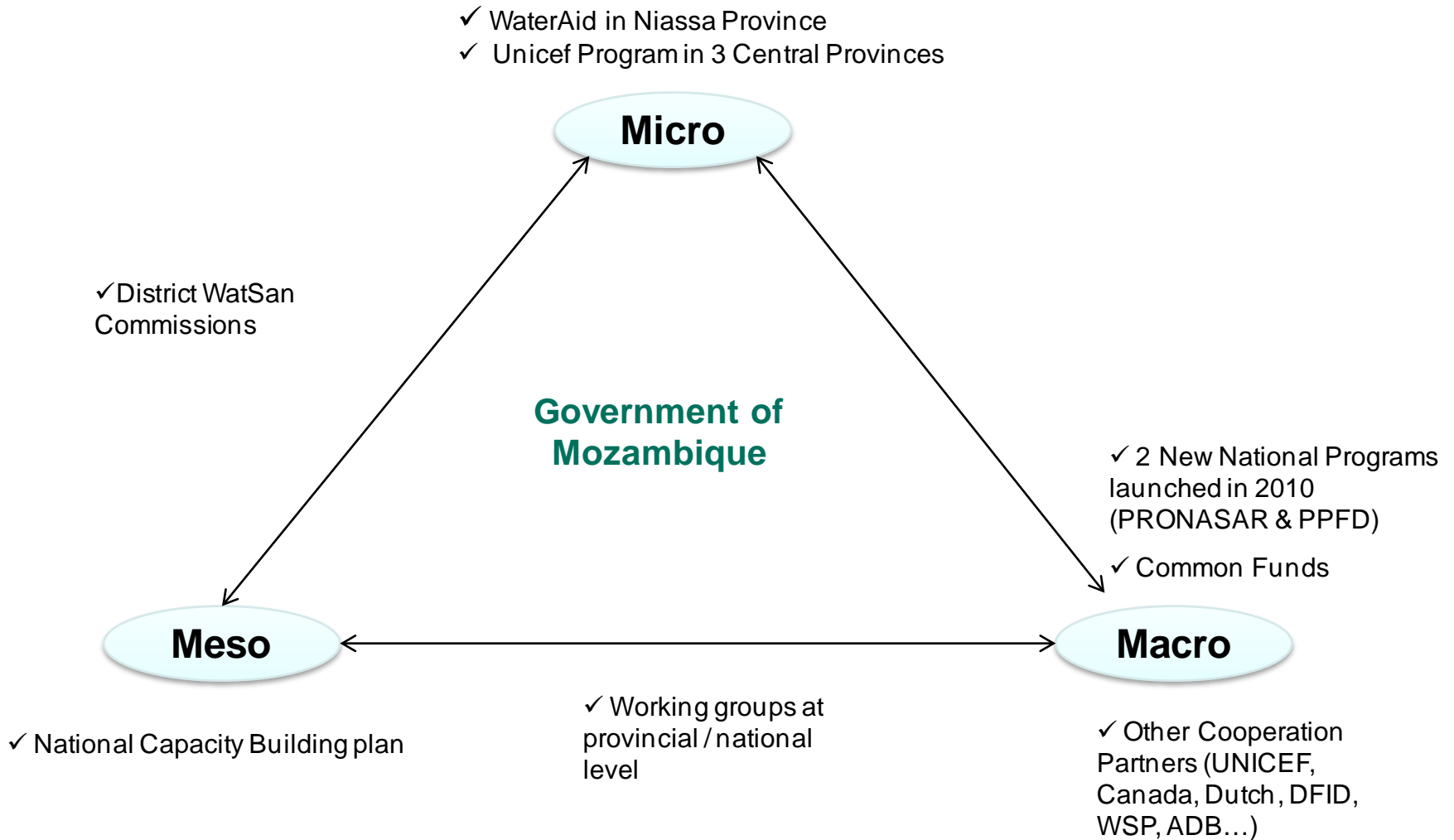
Main Results

- District authorities started to assume to play their roles as coordinator in the planning and implementing processes
- Sustainability models for CDCs started to be used by other partners at provincial level
- Active Technical working groups at both provincial and national levels
- Capacity building and decentralization process recognized by the national policy
- Favourable atmosphere among stakeholders (incl. local leaders, Coop. Partners etc)

Lessons learnt

- Limited human resources at district level hinders WatSan services provision and good governance
- The inclusion of WatSan in the CDCs did not only improve access to water for communities but also provide income from water use that can be used for other community needs
- Governance inclusion in the participatory planning process and dissemination of the project principles create greater confidence and better acceptance inside communities

Scaling-up Opportunities



Remaining Challenges and open issues

Challenges:

- Decentralization still in process – participatory planning process at it's early stage
- Lack of skilled Human Resources at lower levels (districts)
- Politicization of the participatory process
- Large traditional WatSan Programs with huge budget – not respecting national policy etc
- Sustainability of WatSan groups and investments in WatSan
- Documentation of experiences and its dissemination

Open Issues:

- How to influence big investors with traditional thinking
- Notion of Good Governance in the Mozambican Context

PHOTOS



PHOTOS



Obrigado/Thanks

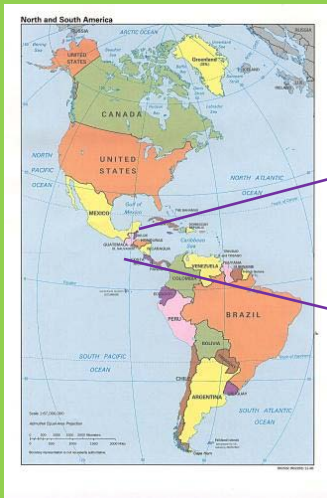


NICARAGUA

SDC – WB – Government
Partnership

RWS SERVICE DELIVERY MODEL

CONTEXT NICARAGUA RWSS



Nicaragua– Central America

- . 6.0 million, 53% urban, 47% rural
- . 130,000 square kilometers
- Second poorest Country Latin American
- Under High Risk Disaster

	WATER		SANITATION	
Urban	94% (Country data)	98% (JMP)	62.1% (Country data)	85% (JMP)
Rural	42.2% (country data)	63% (JMP)	79% (country data)	37% (JMP)

THE CASE:

RWS SERVICE DELIVERY MODEL

- ✓ **HARMONIZATION SDC-WB**
- ✓ **POTENTIAL TO ATTRACT NEW FUNDS**

AGUASAN/SDC has supported RWSS since the 80's, with

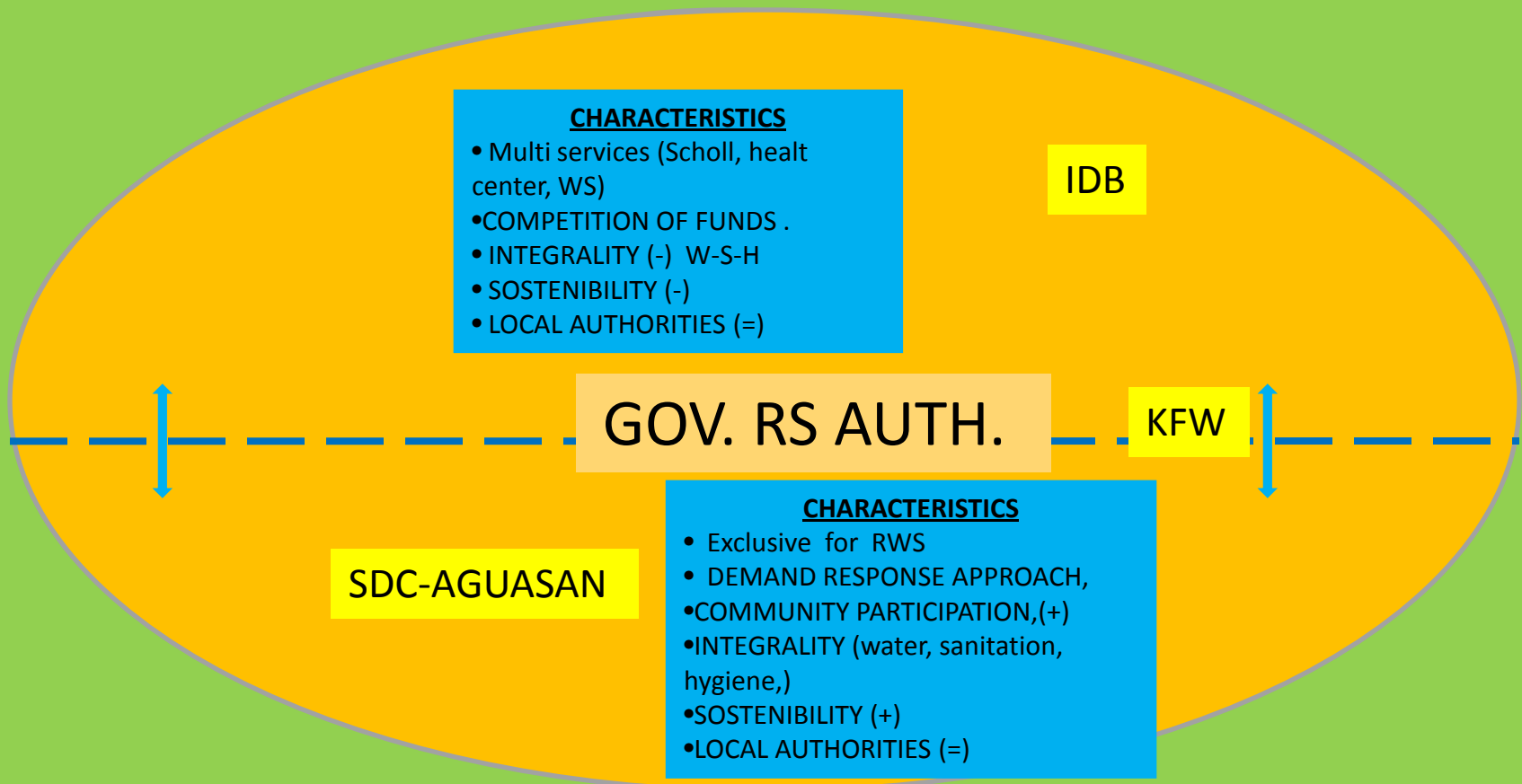
- Investment
- Development of new initiatives
- Capacity building

CREDIBILITY AND CONFIDENCE

Institutional REFORM RWSS IN 2004:

- NEW INSTITUCION IN CHARGE OF RWSS (FISE Social Investment Fund)
 - Its was created in the 90's to increase employment,
 - Good capacity to execute funds
 - Low capacity to involve rural communities

TWO MODELS IN THE SAME GOVERNMENT INSTITUTION

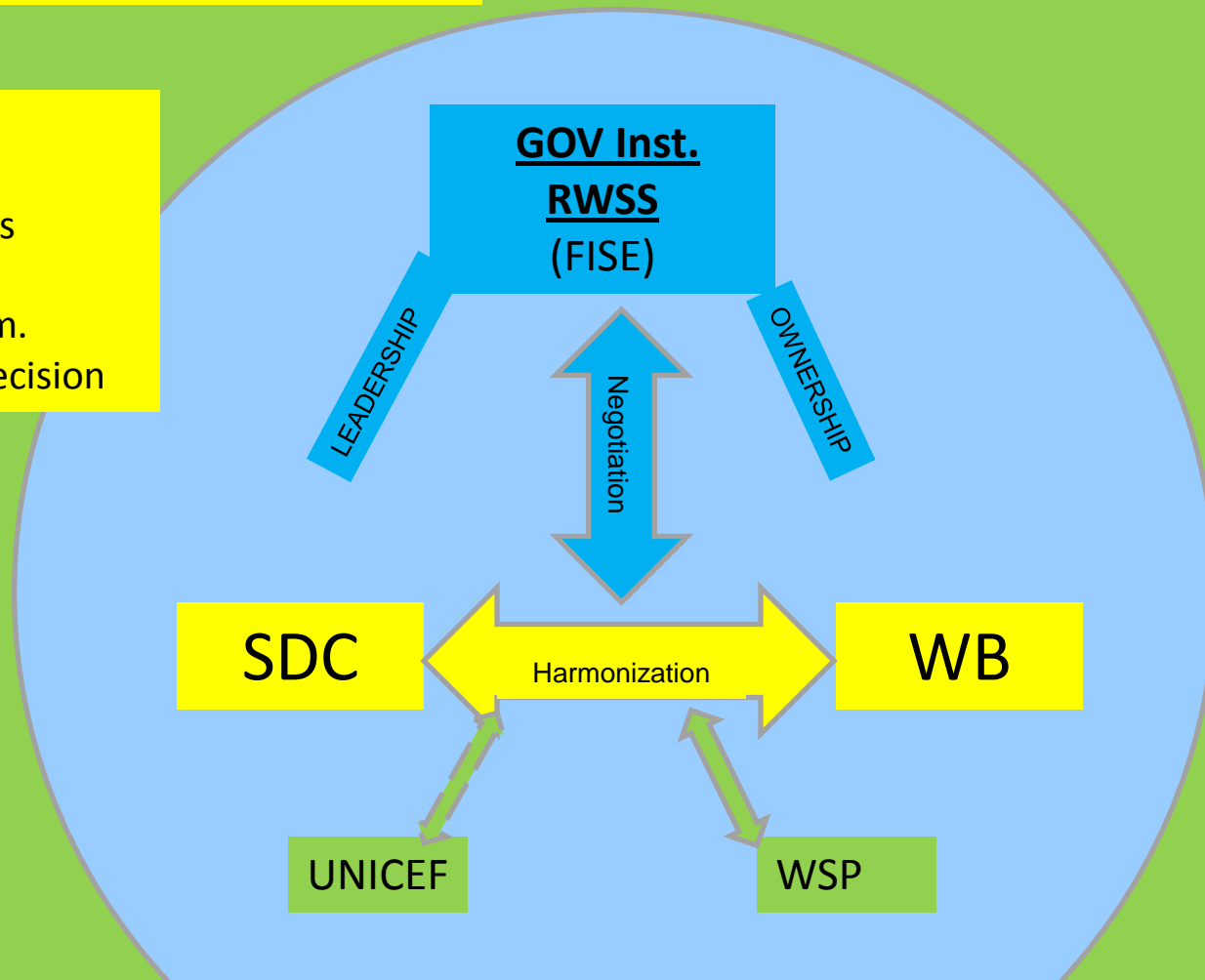


- TWO DIFFERENT MODELS APPLIED
- LARGE INFLUENCE FROM MULTILATERAL
- LOCAL AUTHORITIES OPPOSITION AGAINST COMPETITIVE FUNDS
- LEARNING, MUTUAL INFLUENCE SDC –AGUASAN /MULTI....GOV.

2008 HARMONIZATION/ SCALING-UP

The situation in 2007-2008

- ❑ Water and Sanitation Priority
- ❑ SDC was designing new Aguasan's Program.
- ❑ WB was planning a RWSS Program.
- ❑ HARMONIZATION as a Political Decision



- ✓ One Model and Strategy OWNED by GOV. (FISE)
- ✓ Common Manual to investment in the RWS.
- ✓ Funds: \$3.0 millions SDC, \$30.0 Millions WB
- ✓ Program to develop capacity building.
- ✓ FUTURE:POTENTIAL TO ATTRACT NEW FUNDS.

WE INVITE YOU TO JOIN OUR GROUP TO KNOW MORE

- HOW WAS THE HARMONIZATION/SCALING-UP PROCESS?
- WHAT WAS OUR KEY CONTRIBUTION TO THE SCALING-UP SOLUTION?
- ARRANGEMENTS, ADJUSTMENTS AND MECHANISMS?
- LESSON LEARNT?
- CHALLENGES ?

THANK YOU - GRACIAS

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Behavior Change is the key, not infrastructure

- ❖ Despite millions of latrines built, millions of people still defecate in the open.

**Collective outcomes for public health gains –
Open Defecation Free environments**

- ❖ In 1999, the government launched the Total Sanitation Campaign (TSC) to provide access to sanitary facilities, scaling up the program across India, (2001)

access to sanitary facilities per Census of India, 2001

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1999 – 2012; 606 districts; US\$ 4 billion budget

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Focus on software – demand creation – than hardware

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Emphasizes ‘Total Sanitation’ – Open Defecation Free, school sanitation, environmental sanitation (Solid and Liquid waste management)

The **NIRMAL GRAM PURASKAR** (NGP – Clean Village Prize)

Given to **Gram Panchayat** (village local self government) for achieving 'Total Sanitation'

GPs get US\$ 1,000 to US\$ 10,000 (based on population)

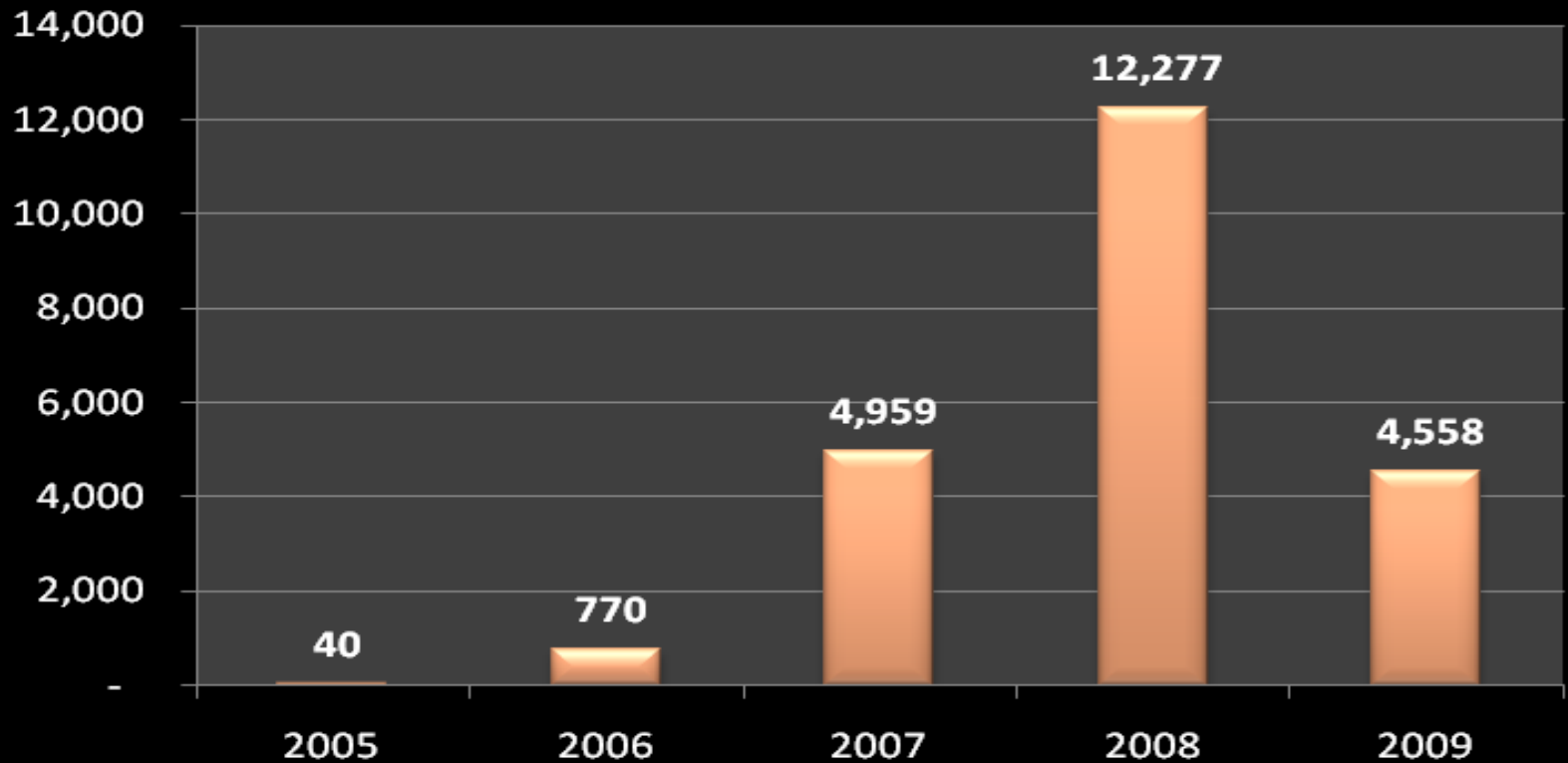
On the basis of third party objective monitoring

22,000 GPs won till date

~ 9% of total GPs in country

The *NIRMAL GRAM PURASKAR* (NGP – Clean Village Prize)

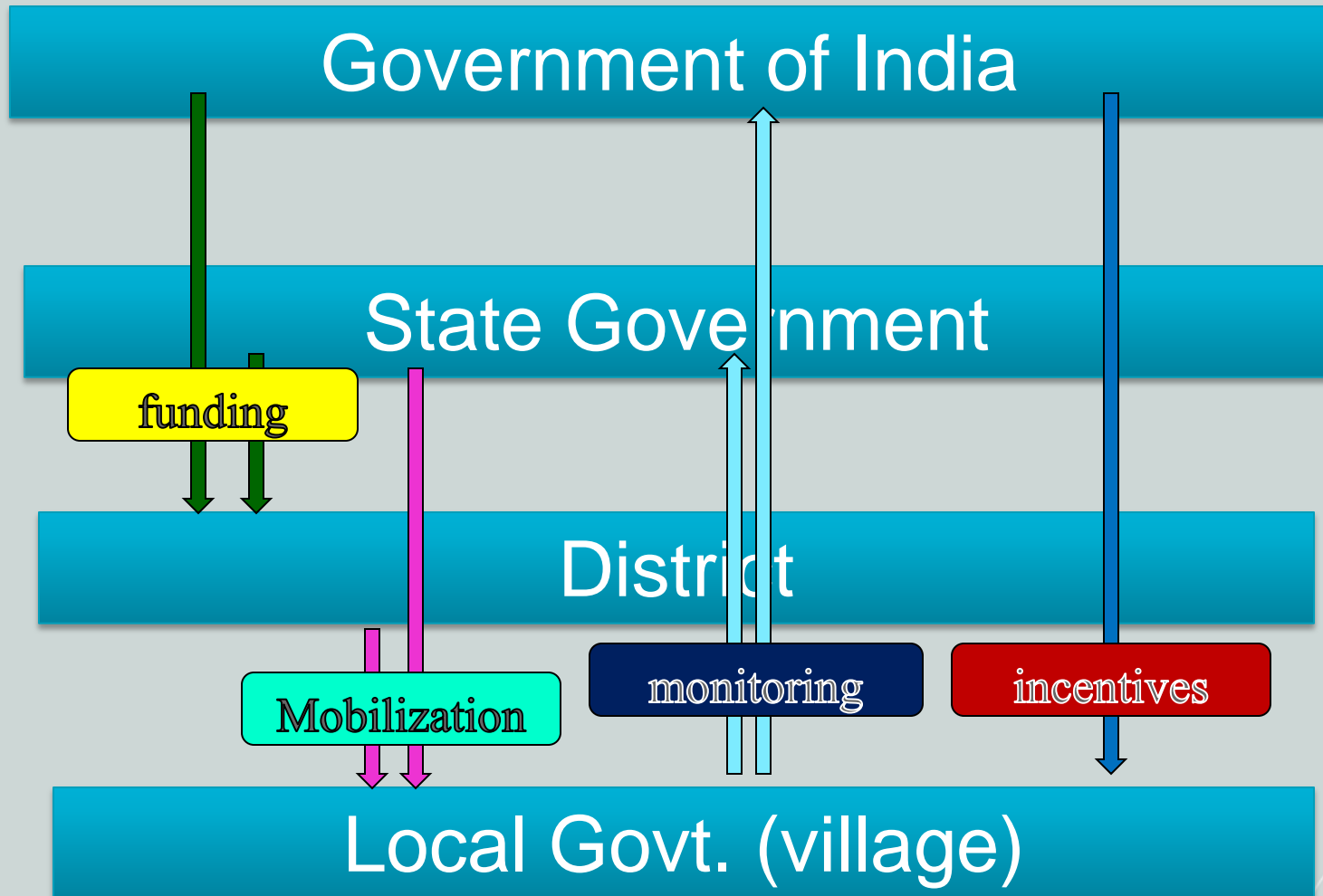
Open to Open Development Villages



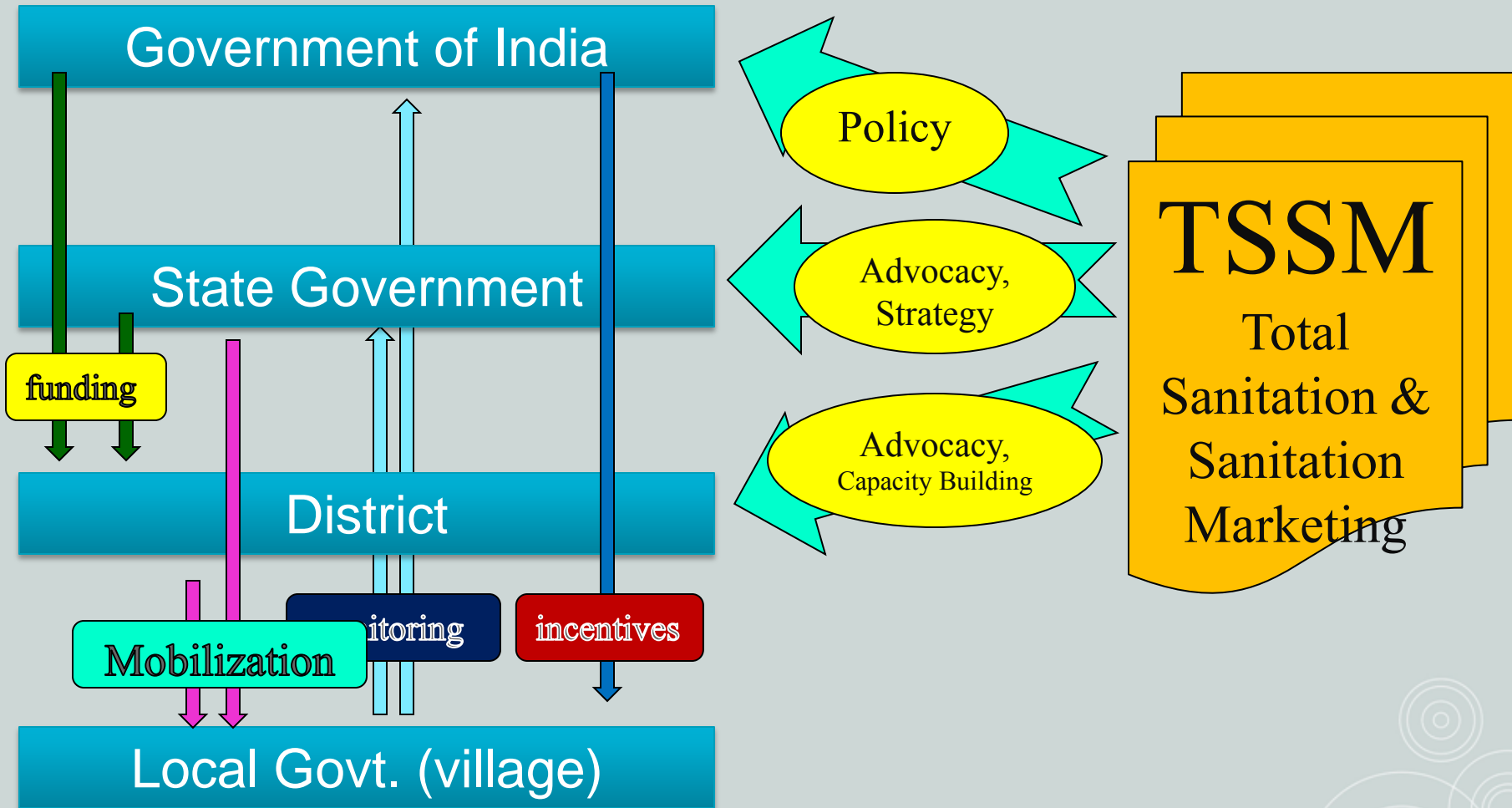
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~ 9% of total GPs in country

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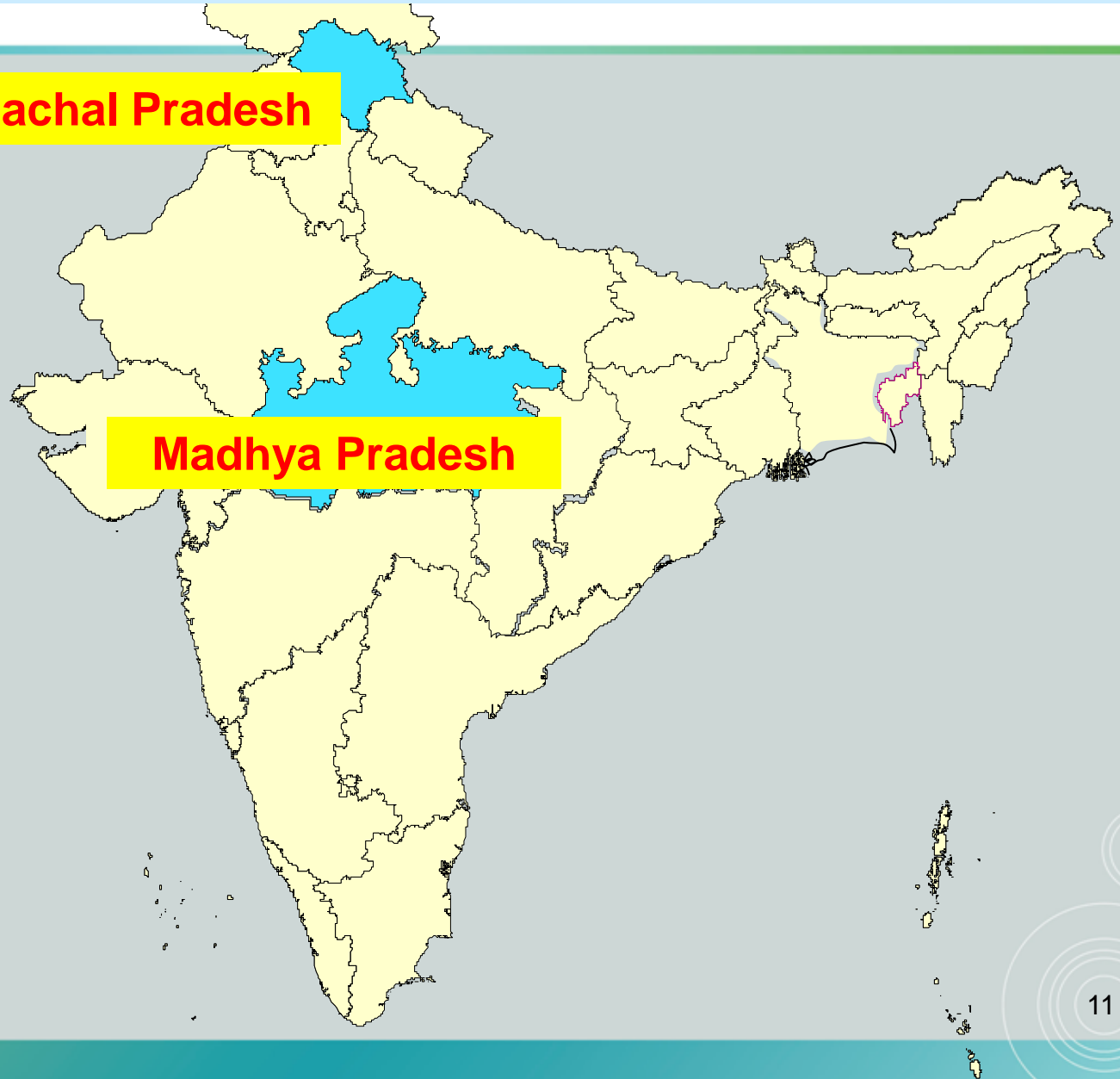
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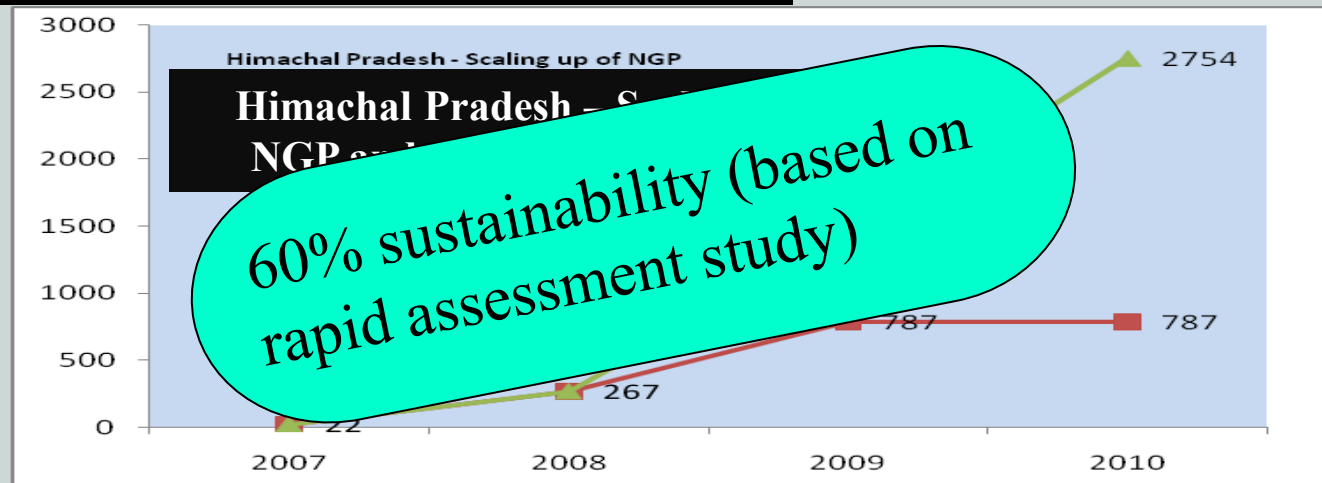
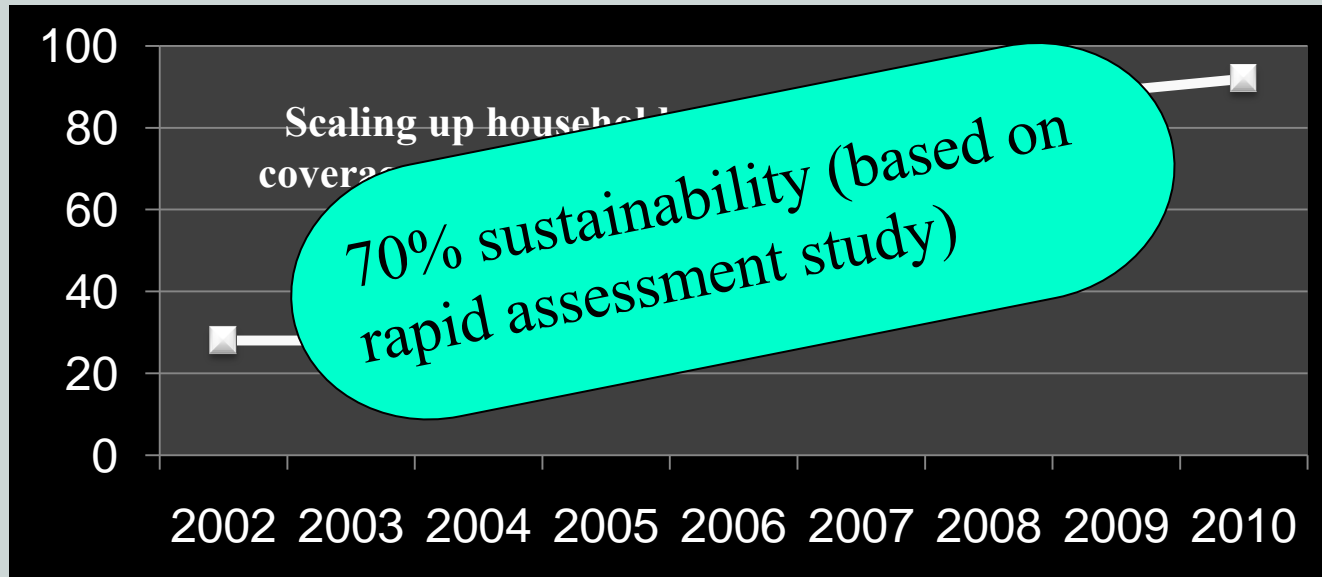
Strengthen monitoring systems

Himachal Pradesh

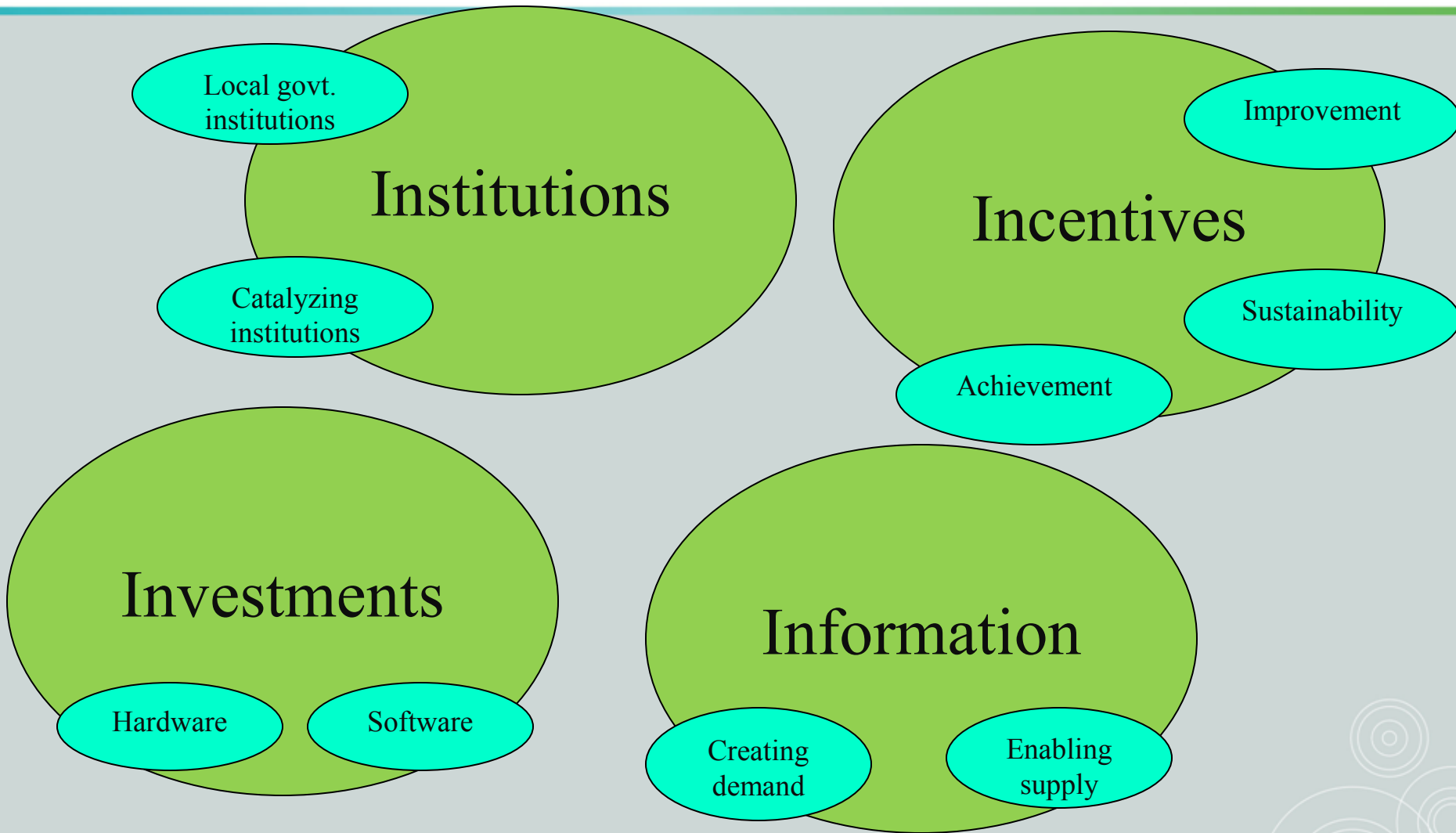
Madhya Pradesh



Results....



Scaling up – the ingredients.....



Scaling up – the ingredients.....

ENABLING ENVIRONMENT

Institutions

Local govt.
institutions

Catalyzing
institutions

Incentives

Improvement

Sustainability

Improvement

Investments

Hardware

Software

Information

Creating
demand


Enabling
supply

Thank you
Open for Discussion

AGUASAN WORKSHOP 26 (2010)

Regional Rural Water Supply and Sanitation Project

FROM LOCAL PILOT TO NATIONAL

 Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra



Gwatt – Switzerland, 21st – 25th June 2010



Uzbekistan

- Capital: Toshkent
- Languages: Uzbek & Russian

- 448,900 Km²
- Pop: 27 Mln
- Density: 56
- GNI per capita 1050 us\$
- 25% poor
- <2,100 kgcals/p/d
- Government: Presidential Democracy



Ferghana Valley

- High density population: 400 inhabitants/km²
- Mostly rural 60%
- Former soviet territory with old infrastructures often in a bad state of repair
- Water supply is quite abundant but a lot is used for irrigation, essentially for cotton



Project characteristics

- Drinking Rural water supply
- Demand driven
- Decentralised systems, community managed
- Strong hygiene and sanitation component
- Building up on existing infrastructures (boreholes)
- Tariff based on full cost recovery
- Implemented at local level with the support of regional authorities but little involvement of national bodies
- Project starts to be considered as a potential answer to part of the water situation of the country

Place of the project

- Operating for 12 years in the region and for 8 years in the country
- Compared to the needs of Uzbekistan (4.5 M people) the project is modest (100,000 people)

But:

- The project is the only one in the rural water supply
- It comes out at a price per capita (75 USD) which is much lower than the one of the government (130 USD)
- WB and AsDB recognise the value of the project and would like that SDC is playing a key role in coordinating the aid in the rural water sector

Scale of needs

- In the whole country, in rural areas, 6.5 million people (38% of the rural population) have no access to safe drinking water.
- The objective by 2020 is that 85% of the rural population has access to safe drinking water. This means 4 million people to cover in 10 years
- Fund requirement (estimate) for the whole water sector: 2 Billion US\$
- Already committed: 100 MUS\$
- Funding gap: 1,9 MUS\$

Elements for scaling up

- Hygiene is under scaling up. A manual has been built up and a cascade training of key actors at regional level is under implementation
- Scaling up of the technical and social approach is lagging behind. A manual has been built up by the project but still needs to be approved and owned by the government
- Legal framework for the management of the water systems is potentially available at national level but needs to be confirmed
- Legal tools constructed at local level and proposed to the national level are not yet confirmed
- IFI's are interested in the approach proposed

A very cautious approach

- A cautious involvement of national authorities:
 - One technical organisation, Uzkommunhizmat, in charge of advising the government on water issues is interested in the approach but does not move
 - One organisation, NANNOUz supporting associations was moving but is disappearing for political reasons
 - A law on Water Users Associations exists but it is only applied to irrigation water
 - A need to build up Regional Federations of Drinking Water Users Associations bringing technical and managerial support

Further questions

- How to build up a safe fund for the **financial** management of the amortisation/investment?
- Mutualisation of the tariffs?
- Training /retraining of a large number of engineers able to build up new water systems (scarce **resources**)
- How to convince the **government** to adopt a model that is interesting because it is cheap but that they find politically dangerous?
- How to better **coordinate donors** when bilateral donors have their own strategies?

Благодарю за внимание !