

Watsan and PRSPs

Integrating Watsan activities within PRSP development and implementation

A Concept Note to DFID, IUDD from ODI/WaterAid

Rationale

Access by the poor to affordable and safe water supplies and environmental sanitation is central to global concerns over poverty reduction (DFID, 1999, and recent 'Bonn Statement', 2001); this fact will doubtless be reiterated at the Johannesburg 'Earth Summit II' in 2002. The problems associated with lack of access to water and sanitation have been widely documented over the past decade and, increasingly, are understood in terms of sustainable livelihoods impact. The broader understanding of the water-sanitation-poverty linkages that this entails represents a significant step towards more comprehensive and integrated poverty reduction approaches (see Nicol, 2000; SecureWater, 2001, WaterAid 2001).

National efforts at addressing poverty reduction are increasingly focused on the process of Poverty Reduction Strategy Paper development, particularly in sub-Saharan Africa¹. This process—led by major multilateral donors—aims to achieve comprehensive and integrated programmes at a national level. However, a broadening understanding of poverty within the Watsan sector has yet to be reflected in wider PRSP development, particularly in terms of process (sub-national development and participation of water sector institutions) and content (broader adoption of a sustainable livelihoods approach). A recent draft report by the WSP emphasised that whilst water and sanitation concerns were frequently expressed during participatory poverty assessments, these concerns have rarely been reflected in the interim or final PRSPs themselves (WSP, 2001). There is a danger, therefore, that both a vital element in understanding the nature and causes of poverty—the status of poor people's access to safe water supply and environmental sanitation services—and a key instrument in addressing poverty reduction is being inadequately integrated or, worse still, left out altogether within the PRSP process.

The challenge is therefore threefold: 1) to understand how WSS-poverty issues are reflected in the PRSPs, 2) to identify and address issues of inclusion by local government, civil society, community and the private sector in the process of PRSP development, implementation and monitoring; and 3) to build better understanding of WSS-poverty linkages into programmes, action plans and monitoring indicators under PRSPs, particularly ones that derive from more integrated and poverty-focused approaches. Sustainable livelihoods thinking on water supply and sanitation, by focusing on household livelihoods and water and sanitation, helps to link not only poverty reduction approaches more fully within the water sector (for instance in terms of monitoring indicators), but also assists in linking what happens at a household level to the wider policy environment, including, for instance, policy and institutional processes such as DRA² being championed by the WSP and others (see SecureWater, 2001).

Fundamental policy issues that are emerging include the capacity of an SL-based approach to:

- i) improve understanding of financing options and issues at a local level through better understanding water and sanitation access and use within the household and community economy³;
- ii) improve monitoring and evaluation of the poverty impacts of supply interventions through a more sophisticated linking of economic assets and economic costs in water supply and sanitation interventions⁴;
- iii) increase understanding of the resource management, institutional and policy environments and the prospects for more sectorally and institutionally integrated approaches.

¹ 32 of the 41 "initially identified" for both HIPC and PRSP development are in SSA. (WSP, 2001).

² Demand Responsive Approaches.

³ Key issues surround the trade-offs between financial sustainability and poverty reduction objectives.

⁴ Specifically the role, importance and productive value of water in different livelihood activities and the impact of changes in the nature of water supplies on household productivity.

A further major reason to address the qualitative and quantitative inclusion of WSS within PRSPs is related to their increasing role as platforms for financing. At one level PRSPs provide a “country-owned framework to strengthen the impact of public action on poverty, and to promote progress towards the International Development Targets (IDTs)” (WSP, 2001); at another they are a useful framework for the “provision of all external assistance” (ibid.). The linkage of PRSPs to financing processes is therefore a likely outcome for most if not all currently-engaged SSA countries. Poorly-integrated WSS issues and programmes will probably have lasting consequences for mobilising financing within the sector. This is particularly the case where Medium Term Expenditure Frameworks are established in parallel, setting out a three-year budget for policies and programmes included within the PRSPs. Hence, major strategic issues exist for sectoral donors, national institutions and, ultimately, poor communities. This makes current analysis of the situation and recommendations for future action on WSS and PRSPs of immediate concern.

Method

This two-year research and advocacy project brings together two key institutions engaged deeply in policy and practice issues in WSS and PRSPs. ODI has been at the forefront of PRSP analysis and policy development in recent years, focusing on a range of issues including ways of effectively integrating SL-based approaches within their development. Currently ODI hosts and runs the ‘PRSP Monitoring and Synthesis Project’. In addition, the Water Policy Programme at ODI is leading the ‘SecureWater’ project, which is examining in detail the scope for building sustainable livelihoods approaches for the poor into DRA policy development and implementation at a national level (see www.securewater.org). There is significant tie-in with the proposed research because PRSPs are being viewed as an opportunity for countrywide scaling up of DRA (WSP, 2001).

WaterAid is engaged in WSS programme development within a number of SSA countries. The organisation has already been involved at a practical level in the development of PRSPs and of the 15 countries where WaterAid works 10 are at various stages of PRSP development. WaterAid’s involvement ranges from helping to coordinate sectoral NGO input in Uganda to assisting in lobbying for greater civil society input in Ethiopia through representations to the major national donor network. In the latter case this has included the preparation of a technical paper on behalf of the CRDA Water Working Group, outlining priorities for full inclusion in the PRSP of small-scale irrigation and WSS. Elsewhere in Malawi and Zambia WaterAid has been building networks with other NGOs working in the sector as a first step to addressing their participation within PRSP processes. WaterAid Malawi and Zambia have also led the new networks in producing critiques of the water and sanitation sections of PRSPs and lobbying government PRSP teams to include WSS or amend the WSS sections of interim PRSPs. WaterAid Tanzania on the other hand is currently involved in helping to develop monitoring indicators for WSS and poverty. At an international level, WaterAid UK is building awareness within the WSS sector through an e-conference and seminar at the Fifth Global Forum of the Water Supply & Sanitation Collaborative Council and meetings with the Streams of Knowledge coalition, raising as a key issue the need for engagement by the WSS sector in the PRSPs. It is also involved in UK NGO networks working to lobby the WB and IMF on the conduct and content of PRSPs. Concerns expressed by the organisation include the need for an increased focus on WSS, ensuring that PRSPs becomes a vehicle for enforcing established good practice and developing good governance mechanisms in the sector, focusing in particular on greater participation by civil society stakeholders to avoid top-down programming.

The research and advocacy project will seek early linkage and collaboration with institutions already involved including the WSP-Africa office in Nairobi, DFID regional offices and WB country missions. The project will focus on an analysis of content and process of PRSP development, implementation and monitoring. In the process, it will build and strengthen civil society networks and linkages with local government to ensure local priorities are reflected in national PRSP priorities, processes and resulting expenditure plans. International and regional advocacy will also be undertaken through co-ordinated action (e.g., lobbying meetings and delegations) towards identified policy and decision-makers. The research and advocacy will be in three main phases over the two years, timed to coincide with major dissemination opportunities as a way of integrating the research into advocacy activities at international, regional, national and local levels:

Phase I: *Inception: From January to June 2002:* undertaking preliminary case studies in five SSA countries, culminating in a May meeting on experience to-date to take place in Nairobi, co-organised by the WSP-Africa and a local partner;
Output: thematic briefing paper; five outline case studies, detailed research work programme and outline national and international advocacy strategy; research and advocacy network

established; Website set-up; and input into the WB-IMF PRSP review process (which is currently ongoing).

Phase II: *Main Research Period: From July 2002 to February 2003*: detailed case study research in five SSA countries covering a range of PRSP development stages

Output: Sharing of experience to date; Synthesis briefing paper based on early research produced in advance of Johannesburg meeting (early September) at which an advocacy side event will be held; by end of Phase II five country briefing papers also produced as well as full Research Report feeding directly into dissemination at the Third World Water Forum in Kyoto (March 2003); the development of detailed international and national dissemination and advocacy strategy will begin.

Phase III: *Advocacy: From March to December 2003*: aim is to 1) influence future engagement of civil society; 2) increase appreciation of and use of a SL-based approaches to sectoral development within PRSPs; 3) develop effective ways of increasing financing and improving the effectiveness of financing available to the sector through PRSP development and implementation;

Output: video and multimedia CD-ROM; website dedicated to WSS and PRSPs further developed and, linked to www.securewater.org, www.waterandlivelihoods.org, WaterAid, ODI; these materials will be formally launched at the III World Water Forum special event organised by the project following which they will be disseminated widely through the networks established during the project.

Activity chart	Jan 02	Feb	Mar	Apr	May	Jun (end Ph. 1)	Jul	Aug	Sep	Oct	Nov	Dec	Jan 03	Feb (end Ph. 2)	Mar	April ... Dec (end Ph. 3)	
Inception Activities																	
Developing research network (incl. stakeholder analysis)																	
Preparing country research (content analysis of PRSPs from Water/SL perspective)																	
Regional meeting (hosted by WSP)					Nairobi												
Briefing paper 1 (inception)						Paper 1											
Research Activities																	
Country research undertaken																	
Country seminars held								Countries									
Regional meeting of all country researchers and UK partners																	
Briefing papers 2-7 (one thematic) and five country papers produced																	
Research report completed and published																	
Dissemination and advocacy																	
World Bank WSS symposium																	
Johannesburg event									J' Burg								
Kyoto event																	Kyoto
Advocacy materials produced																	
Advocacy and follow-up																	

References

DFID (1999) Addressing the Water Crisis: Healthy and more productive lives for poor people. Strategies for achieving the International Development Targets, Department for International Development, London.

SecureWater (2001) Secure Water: building Sustainable Livelihoods for the Poor into Demand Responsive Approaches. Concept paper prepared for the International Conference on Freshwater, Bonn 2001.

Nicol, A (2000) A sustainable livelihoods approach to water projects: Issues for policy and practice, Working Paper 133, ODI, London

Norton, A. and Foster, M (2001) The potential of using sustainable livelihoods approaches in poverty reduction strategy papers. A discussion paper for DFID. ODI, London.

Thin, N., Underwood, M. and Gilling, J. (2001) Sub-Saharan Africa's poverty reduction strategy papers from a social policy and sustainable livelihoods perspective. A report prepared for DFID, Oxford Policy Management.

UNDP (2001) UNDP Support for Poverty Reduction Strategies—the PRSP Countries, Interim Report, September.

WSP (2001) Water Supply and Sanitation in PRSP Initiatives—A Desk Review of Emerging Experience in Sub-Saharan Africa (SSA), Draft for Discussion, September.

WaterAid (2001) Looking Back. Impact of Water and Sanitation Projects. June 2001.

Narrative Summary (NS)	Verifiable Indicators (OVI)	Means of Verification (MOV)	Assumptions/Risks
<p>GOAL</p> <p>1. To enhance the sustainable livelihoods of urban and rural poor people through the provision of better water and sanitation facilities</p>			
<p>PURPOSE</p> <p>1. To improve the integration of water and sanitation programmes and stakeholders in the overall development, implementation and monitoring of Poverty Reduction Strategy Papers in five sub-Saharan African Countries</p>	<p>1a. WSS-poverty links articulated in PRSPs 1b. WSS institutions working in partnership with counterparts in other sectors 1c. Multi-stakeholder dialogue in the development of water and sanitation inclusion in PRSPs 1d. Medium Term Expenditure Framework accompanying PRSPs reflect WSS priorities</p>	<p>1a. PRSP documents make explicit reference to WSS-poverty links 1b. Cross-institutional arrangements and meetings established 1c. Recorded involvement of wide range of civil society, government and private sector stakeholders in dialogue 1d. MTEF documents show increase in WSS allocations for rural districts and poor peri-urban areas</p>	<p>1. Governments keen to improve the integration of water and sanitation within PRSP development and implementation 2. Governments keen to prioritise services to the poor.</p>
<p>OUTPUTS:</p> <p><u>Phase I (6 months)</u></p> <p>1. Thematic Briefing Paper produced and addressed to policy makers 2. Five outline Case Studies presented at Water and Sanitation Programme workshop in Nairobi 3. Water/PRSP network and interactive website developed 4. Inception report completed and Work Programme established for next phase</p> <p><u>Phase II (8 months)</u></p> <p>5. Five country Briefing Papers developed from initial case studies 6. Synthesis Paper drawing on lessons of case studies for presentation at WSSD in Johannesburg 7. Research report completed and design of advocacy and influencing tools outlined in report with versions adapted for different capacity building contexts; dissemination plan developed 8. Detailed strategy for national, regional and international policy advocacy developed</p> <p><u>Phase III (10 months)</u></p> <p>9. Presentation at 3rd World Water Forum in Kyoto and WSSCC 6th Global Forum in Senegal 10. Advocacy tools developed for presentation at 3rd World Water Forum in Kyoto & refined following Kyoto</p>	<p>1. Thematic briefing paper circulated to policy makers in five target countries, to relevant donor governments, and to WB/IMF departments 2. Workshop held in Nairobi and five outline case studies presented 3. Website on-line by May and provides water/PRSP network node 4a. Inception report produced and circulated to key stakeholders in five countries and through WSP programmes 4b. Outline advocacy strategies produced and shared with local WSS networks for refinement & action planning 5. Briefing papers distributed (in draft form) at WSSD in Johannesburg, then completed by February 2003 6. Synthesis paper distributed at WSSD and presented at side event 7. Research report publication and dissemination 8. Advocacy strategy & plans finalised and promoted with WSS networks (e.g., Streams of Knowledge network) and Freshwater Action Network (FAN) 9. Synthesis paper and case studies presented at 3WWF and WSSCC forum seminars 10a. Pilot advocacy tools and website materials completed and piloted at Kyoto Forum, March 2003. 10b. Advocacy tools/materials finalized & used</p>	<p>1. Circulation list produced and feedback received from target institutions 2. Report on workshop in Nairobi produced and includes discussion of five outline case studies presented Project reports; communications received by research teams 3. Website hits recorded and network dialogue written up 4a. Circulation list to key stakeholders and records of feedback received 4b. Record of network meetings 5. Distribution list and record of feedback received 6. Distribution list and record of feedback received at WSSD 7. Circulation list and feedback received; report of dissemination seminars 8a. Record of meetings with WSS networks for co-ordinated advocacy planning & action 8b. Record of information produced by FAN, and other WSS listserves 9. Seminar reports 10a. Record of advocacy tools prepared and distributed at Kyoto, feedback received 10b. Network reports, including media clippings</p>	<p>1. Governments and other stakeholders continue to be receptive to research output 2. Dissemination and feedback on report and deliberations possible in current political environment 3. Availability of open policy processes at national, regional and international levels for policy advocacy on the issues covered.</p>
<p>ACTIVITIES:</p> <p><u>Phase I: Inception (6 months)</u></p> <p>1. Inception workshop in May/June to review concepts, methods, experiences and dissemination/advocacy pathways 2. Inception report incorporating concept briefing, workshop and outline workshop plan for next two phases of project 3. Research network developed and stakeholder analysis completed 4. Content analysis of PRSPs and water and sanitation undertaken from a sustainable livelihoods perspective</p>	<p>1. Inception workshop held. 2. Inception report completed 3a. Institutional collaboration on network and website up and running by June 2002 3b. Membership list of local networks and stakeholder analysis report 4. Content analysis completed and presented in Inception report 5. Discussions held in five countries involving range of stakeholders 6. Case studies completed on inclusion, participation and SL</p>	<p>1a. Participants list outlines level of stakeholder involvement 2. Inception report distribution list and feedback received 3. List of collaborating institutions and network participants; agenda for monthly website updates 4. Inception report section on PRSP content analysis 5. Records of meetings participants and meetings agenda; meetings evaluations completed 6. Case study reports to DFID and</p>	<p>1. Economic and social environment continues to be suitable for research 2. No restrictions apply on the participation of stakeholders 3. Travel to/within the study areas by project participants remains possible</p>

<p><u>Phase II: Main Research Phase (8 months)</u></p> <p>5. Country meetings to assess level of stakeholder involvement in five case study countries</p> <p>6. Case studies in five countries on issues and experiences of including water and sanitation within PRSP development and implementation</p> <p>7. Research report covering the main thematic and case study issues raised during the research,</p> <p>8. Advocacy strategy meetings at country and international levels</p> <p><u>Phase III: Follow Up (10 months)</u></p> <p>9. Seminar at WSSD event in Johannesburg (Sept 2002), Kyoto 2003, Senegal 2003 and production of materials for distribution at these conferences. Creation of other opportunities for dissemination.</p> <p>10. Development, piloting and finalising of advocacy and dissemination tools</p>	<p>approaches</p> <p>7. Research report completed</p> <p>8. Outline advocacy plans and lobbying targets</p> <p>9. Seminars held and other materials produced and distributed at these seminars and conferences</p> <p>10a. Advocacy tools demonstrated at Kyoto, March 2003</p> <p>10b. CD ROMs and other advocacy tools available by mid-2003</p>	<p>feedback received on case study reports</p> <p>7. Research reports to DFID, feedback received on reports</p> <p>8a. Information on WSS civil society listserves</p> <p>8b. Research findings referred to in government briefings, PRSP monitoring indicators for WSS reflect SL approach</p> <p>9. Seminar reports & conference reports</p> <p>10. Distribution lists of advocacy tools and recorded use by organisations and governments, media</p>	
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