Sustainable WASH interventions as populations transition from relief to development

Developing a framework for strategic analysis and planning

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Accronyms

BSF	BioSand Filter
CATS	Community Approaches to Total Sanitation
CLTS	Community Led Total Sanitation
CPE	Water Point Committees: Haiti. *Comités de Point d'Eau*
DINEPA	National Directorate of Drinking Water and Sanitation: Haiti. *Direction Nationale de l'Eau Potable et de l'Assainissement*
DMT	Disaster Management Teams (former units in Tearfund – now Operational Teams)
DRR	Disaster Risk Reduction
HHWT	Household Water Treatment
O&M	Operation and Maintenance
PHAST	Participatory Hygiene and Sanitation Transformation
SSB	Stabilised Soil Blocks
WASH	Water, Sanitation and Hygiene

Executive summary

A number of NGOs, including Tearfund, have increasingly introduced demand-led approaches into their WASH interventions during the recovery phase of an emergency response, in place of supply-driven interventions. This change in approach has enabled disaster-affected communities with poor access to WASH services to become empowered in the design and management of their own solutions, leading to increased ownership and community-managed operation and maintenance. In certain cases, the change in approach has also promoted economic revitalization through the development of sustainable livelihoods' opportunities. Tearfund's international WASH programme wants to better understand how processes and approaches towards transitioning from humanitarian relief aid, through early-recovery and towards longer-term development objectives, can improve the likelihood of sustainable outcomes of interventions.

Research carried out in 2011-2012 has begun to identify the features of demand-led WASH interventions that will lead to greater success and sustainability, as agencies transition support through relief to early recovery and eventually to exit from interventions. The research has looked at this issue in the context of responses to both rapid and slow-onset disasters that are the result of either natural circumstances or due to conflict, in rural and urban settings. Evidence for the research has primarily been based on a range of interventions from Tearfund's disaster response programmes in Haiti and Sudan (Darfur region), while also drawing lessons from Tearfund's programme in Afghanistan. The author has sought to assess the outcomes of on-going programmes implemented to support post-emergency WASH reconstruction, implemented after the immediate relief response.

The research adopts a theory of change approach to develop a framework for strategic analysis and planning to achieve more sustainable outcomes from demand-led approaches to WASH in transition. The key elements of this framework are that reduced dependency during the transition from humanitarian assistance to long-term sustainable development is achieved through the introduction of interventions that are primarily demand-led and/or livelihoods-based. The conditions of the operating environment determine both the extent to which such implementation approaches are likely to be successful and the optimum time for their adoption.

Drawing on the analysis of opportunities and constraints from the case studies, the research attempts firstly to define the key elements and attributes of the operating environment and secondly to frame a set of 'indicator groups' that describe the status of these different elements of the operating environment. The key elements are: needs and demand; local participation; local to national capacity; alliances and partnerships; governance and accountability; livelihoods (linking to finance opportunities); internal financial resources: economic and external financial resources; conflict, insecurity and vulnerability.

The framework offers a first step towards developing a more robust, evidence-based and widely-accepted approach with associated guidelines and tools. An important next step is to establish and test a set of outcome-focused indicators to identify movement – or signalling – in status of the operating environment. With programme intervention approaches flexible and responsive enough to permit on-going change during the actual implementation period, outcome indicators can be developed and tested that will act as the 'signals' for a changing operating environment.

The transition process

"Currently, the architectures of relief and development assistance differ in many respects. Decisions are made based on different criteria, with survival paramount in the humanitarian phase and MDGs and national strategies in the development phase. A 'gap' exists between these phases that must be bridged" (UN, 2006:5).

The gap between humanitarian assistance and long-term sustainable development is often exacerbated by the internal structures of both implementing agencies and donors. Humanitarian assistance is characteristically delivered through structures operating in parallel to national government mechanisms, targeting individuals and communities through local means that often bypass local and national authorities, particularly in conflict-affected and post-conflict environments (Stoddard and Harmer, 2005). This may in part be driven by the non-existence, or affected capacity, of government agencies following an emergency. The agencies involved in providing humanitarian aid are often not those involved in planning for long-term sustainable development, while donors often fund humanitarian aid and development assistance through separate mechanisms. This can lead to incompatibilities in targets and outcomes of the different assistance programmes.

As a result, an increasing number of agencies that provide both humanitarian and development assistance, including Tearfund, are developing strategies to integrate their approaches between humanitarian and development activities, as a way to increase their effectiveness.

In 2009 Howard and Bartram (2009) identified a clear need to bridge the gap between the activities of humanitarian aid and development. They argued that this can be achieved through making improvements to the physical, institutional, societal and environmental resilience of affected populations, thereby adding value and relevance to humanitarian interventions. Lessons from recent global disasters and the responses made to them are clearly stating that managing effective transition from relief to recovery is a critical concern. The process of transition needs to be context-specific, adopting approaches suitable to that context (UNDP, 2005).

The Cluster Working Group on Early Recovery (CWGER) sees Early Recovery as enabling the process of transition from emergency response programmes to longer-term recovery, reconstruction and development approaches. Early Recovery is seen as a multidimensional process that can build-on humanitarian assistance programmes and stimulate opportunities for sustainable development.

Tearfund's emergency WASH responses, formerly managed by the Disaster Management Team (DMT) programme, recognize that where interventions continue to operate in post-emergency and post-conflict contexts they reach a stage where support needs to transition from focussing on emergency relief responses. This provides a means to stimulate early recovery approaches and eventually move towards inventions suited to the longer term development of direct beneficiaries and populations at large.

From supply-driven to demand-led WASH approaches

During the recovery phase of an emergency response and when working with returnee populations, a number of NGOs, including Tearfund, have increasingly introduced demand-led approaches into their WASH interventions, in place of supply-driven interventions. This change in approach has enabled disaster-affected communities with poor access to WASH services to become empowered in the design and management of their own solutions, leading to increased ownership and community-managed operation and maintenance. In certain cases, the change in approach has also promoted economic revitalization through the development of sustainable livelihoods' opportunities. Tearfund has been applying such an approach in several conflict affected and post-emergency contexts, including Afghanistan, Haiti and Sudan (Darfur region).

Demand-led approaches

Demand-led approaches are considered to be processes and actions that empower the affected population to address needs they perceive to be important, through individual, household or community levels of engagement. (Agencies also need to engage at higher levels of sector coordination or political influence, to address issues of sustainability and scale within demand-led approaches – such as when introducing social marketing techniques).

Livelihood-based interventions

Livelihood-based elements of demand-led approaches are considered to be those interventions that seek to enhance opportunities for sustainable livelihoods within the community through improved WASH services. Such interventions enable and enhance access to sustainable income-generation, employment opportunities and skills development, as a means through which to improve human, social, physical and financial assets.

WASH services and interventions

WASH services are limited to aspects of the provision, operation and maintenance, repair and cost-recovery (where appropriate) of domestic water supplies (source to consumption), on-site sanitation (household, communal and institutional latrines) and hygiene promotion to encourage safe personal hygiene behaviours (primarily handwashing with soap and safe water handling).

The range of WASH interventions considered as supply-driven or demand-led in the context of transition from relief to recovery, are drawn from the following examples (Table 1).

> This report is based on research conducted in 2011-2012. It is accompanied by a full research report and two case study reports based on field research carried out in Haiti and Sudan (Darfur region).

Table 1: WASH interventions adopting different approaches	
Supply-driven interventions	**Demand-led and livelihood-based interventions**
Water **NGO installs and/or distributes a water supply, with water treatment** Examples: • Water tankered to collection points • Temporary water supply (with treatment and distribution network) to collection points • Distribution of household water treatment units: water filters, chlorination units (bucket, tablets, etc.)	**Water** **Water supply provided and/or managed by others** Examples: • WASH committee trained to manage and maintain the water system • Community-based management of a supply (protected spring, handpump, borehole, etc.), with cost-recovery for O&M • Local vendors (often independent) provide water
Sanitation **NGO constructs latrines, with cleaning and emptying services** Examples: • Household or communal latrine facilities provided • Cleaning and emptying (sludge trucking) services	**Sanitation** **NGO promotes a response that is driven by the affected population** Examples: • Community-Led Total Sanitation (CLTS)[1] • Community Approaches to Total Sanitation (CATS)[2]
Hygiene **NGO delivers hygiene education messages and distribute hygiene kits** Examples: • Hygiene education campaign promoting safe handwashing • Distribution of soap, hygiene kits, cholera kits	**Hygiene:** **NGO promotes safe hygiene behaviours, to be adopted and sustained by affected population** Examples: • Participatory Hygiene and Sanitation Transformation (PHAST) • Local production of soap, handwashing units, dish racks and other hygiene-related items
	Livelihood-based interventions **NGO trains others in manufacture and marketing of essential WASH components** Examples: o biosand filters (BSFs) o latrine slabs

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[1] CLTS is a methodology to mobilize communities to end practices of open defecation. It provides facilitation that allows communities to analyse their own situation and agree actions to achieve open defecation free (ODF) status. CLTS focuses on behaviour change and community mobilisation to achieve an ODF community, rather than building household latrines.

[2] CATS is UNICEF's approach to community based sanitation, that incorporates a range of approaches – including CLTS, Total Sanitation Approaches and others. UNICEF has developed CATS to allow greater flexibility in determining the most appropriate approach in a given setting. CATS addresses hygiene behaviours (in particular handwashing), which are sequenced and integrated into sanitation programmes appropriately.

Key features affecting success in transition

Tearfund's longer-term intention of introducing demand-led approaches at as early a stage as possible in their emergency WASH programmes is to reduce the risk of undermining the dynamic local mechanisms of coping strategies, which leads to a culture of dependency on external support within the affected population. Avoiding this dependency improves the chances of successful, sustainable outcomes from the interventions and services provided.

> **Theory of change: achieving sustainable outcomes through reducing dependency**
>
> Theory of change provides the basis of a framework for making sense of the *process of change* that is brought about by a set of interventions. Key to this framework is that reduced dependency during the transition from humanitarian assistance to long-term sustainable development is achieved through introducing interventions that are primarily demand-led and/or livelihoods-based. The conditions of the operating environment determine both the extent to which such implementation approaches are likely to be successful and the optimum time for their adoption. This framework therefore requires the key elements of the operating environment to be identified. Project and programme monitoring is then based on clear definitions and measurement of corresponding outcomes, rather than the more typical monitoring of inputs and outputs.

The conceptual aims, principals and guidance relating to the full spectrum of "stages" in the process of transition collectively contribute towards a set of **elements of the operating environment (the context)** within which interventions will be applied – at whatever stage along the 'continuum' the situation actually is. Each element reinforces the significance of the context in which an approach is adopted – which may have more influence on the likelihood of its success than the content of that approach *per se*. This is not to say that responding to the context simplifies the matter. Each of the **elements** will contain a number of sub-components, or characteristics, that need to be identified and explored at the local level to be able to understand their likely individual effects on the degree of success that will be possible. Neither can reporting against the context (i.e. what is affecting the project) be used as a replacement for ensuring that the content (i.e. what is actually done in the project) achieves agreed quality standards. Both content and context need to be addressed together.

When operating through a process of transition, the extent to which elements of the operating environment **change in each setting** needs to be monitored in order to apply WASH approaches adapted to the changing local context. Monitoring this change cannot rely on the activity-based indicators more typically adopted when reporting on humanitarian interventions (such as the number of people receiving safe water, number of latrines constructed, percentage of people practicing safe hand washing and so on), but needs to develop higher level outcome indicators that assess aspects of the local context.

The following **elements** of the operating environment were found through the research to influence the approach that WASH interventions take through all stages of transition (details can be found in the full research report). They are therefore proposed as the basis for assessing the extent to which demand-led implementation approaches are demonstrating success in a given context.

Table 2: Key elements of the operating environment influencing the approach taken
• **Needs and demand**   • **Participation**: local   • **Capacity**: local to national   • **Alliances and Partnerships**   • **Governance and Accountability**   • **Livelihoods** (linking to finance opportunities)   • **Financial resources**: Internal   • **Economic and financial resources**: External   • **Conflict, Insecurity and Vulnerability** (political, social, environmental)

Demand-led approaches used in different types of emergency

A number of agencies have implemented demand-led approaches in different contexts and at various stages within the relief-to-development continuum. They have been applied in the context of a range of types of emergency – from rapid onset natural emergencies to chronic, complex emergencies.

Table 3: Demand-led approaches used in different types of emergencies		
Type of emergency	**Demand-led approaches used : examples**	**Examples**
Complex emergency - IDPs living in host communities	• Community Approaches to Total Sanitation (CATS) to promote sanitation improvements • Participatory Hygiene and Sanitation Transformation (PHAST) – to encourage sustained use of latrines, reuse of latrine slabs and safe hygiene behaviours • Training WASH Committees to manage water points and/or payments for water • * Training artisans in constructing latrines using stabilized-soil blocks (SSBs) for environmental protection	Darfur
Complex emergency - Settled communities, with significant arrival of returnees	• Community-Led Total Sanitation (CLTS) to promote sanitation improvements • PHAST to promote improved handwashing • Social marketing to promote handwashing with soap or ash • * Training artisans in building and marketing biosand filters (BSFs) for household water treatment	Afghanistan South Sudan
Natural disaster - Affected population remaining in own community (villages or towns)	• CLTS for promoting an end to open defecation (Haiti) • CATS to promote safe latrine use & maintenance (Pakistan) • * Training masons to construct latrine slabs & biosand filters • Training water point committees (CPEs) to manage water sources, supplies and payments • * Partnership with supplier of locally-made household water chlorination system	Haiti Pakistan
Natural disaster - IDPs in camps, host or resettlement communities	• Training water committees to manage shared water points • CLTS to promote improved sanitation practices to protect health in a flood-affected area	Haiti Pakistan

Note: * indicates approaches with a focus on sustainable livelihoods.

More details on experiences of the CLTS interventions can be found in Greaves (2012).

Context: affecting the appropriateness of demand-led approaches

As conditions in the operating environment change, each element of the context (defined earlier) will play a role in determining the extent to which demand-led approaches to WASH services can be effectively applied and are likely to achieve successful outcomes in the longer term. These elements will not all change in equal measure, or in the same timeframe. Indeed some elements may take a 'backward step' (such as a breakdown in security, an unexpected environmental crisis or financial instability), potentially triggering a return to more supply-driven approaches in some areas. In general, as opportunities to transition towards early recovery strategies present themselves, changes in approach should be identified and new, or adapted, interventions considered.

Where agencies can respond to changes in the operating environment, demand-led approaches become a more realistic choice. Considering the changed elements of the operating environment (as compared to those in which supply-driven approaches are more likely to be needed), the characteristics indicating that external support can be replaced by locally-sourced capacities can be summarised as:

- **Needs, demand and participation**: needs can be met through local means, demands can be adequately expressed, and effective participation is sufficient to ensure health can be protected,
- **Capacity**: skills and resources are available, or can be built, within the affected population or from local / national actors to ensure appropriate action is taken,
- **Alliances and partnerships**: connectivity between existing actors in-country are sufficient to ensure basic services are available,
- **Governance and accountability**: governance and accountability mechanisms are present and able to ensure services will be sustained (financially and technically),
- **Livelihoods**: livelihoods' opportunities can be re-established, as sufficient trust or resilience is present for financial viability, security, access to resources, etc.
- **Internal finances**: families have (access to) some money to pay for basic services or essential products,
- **External finances**: funds are available and sufficiently flexible to adopt demand-led approaches (including building capacity and establishing livelihoods),
- **Conflict, insecurity and vulnerability**: the political, social or environmental security context is sufficiently stable to enable longer-term planning and implementation strategies.

Where such characteristics have been found to be present in the operating environment, a range of demand-led approaches have been implemented. The extent to which they have been successful in securing more sustainable outcomes in WASH services is now considered.

Measuring the success of demand-led interventions in transition

To understand how success of demand-led interventions may be measured in the context of transition, we can first consider how the success of different interventions depends on the basis by which success is to be measured.

If interventions are being measured within a humanitarian framework (typically based on supply-driven approaches and concepts), success may be measured against a project logframe on the basis of achieving input and output targets, such as: number of latrines constructed, percentage increase in rates of handwashing among children, or percentage of the population having access to and consuming adequate amounts of safe water.

The proposed framework for monitoring and measuring success in transition is based on the proposition that reduced dependency during the transition from humanitarian assistance to long-term sustainable development is achieved through the introduction of interventions that are primarily demand-led and/or livelihoods-based. Measuring the success of these implementation approaches is more complex and requires the measurement of outcomes.[3]

- **Demand-led** approaches may include measuring against indicators associated with an increase in knowledge, attitudes and practice (KAP) of hygiene behaviours within the community, records of the Water Committee collecting user fees and carrying-out routine maintenance of the water point, or the extent to which open defecation has reduced in a community.
- **Livelihood-based** interventions may involve measuring the increase in skills and capacity of trained individuals, or sales achieved by local entrepreneurs selling WASH-related products.

In the **context of transition**, the measure of success also relates to the Theory of Change, which provides the basis on which to draw evidence from the field. Adoption of a particular approach can then be assessed against the elements (characteristics) in the wider environment – considering the extent to which the context is likely to **enable or constrain** a general move towards longer-term sustainability through the transition continuum. In terms of the overall development of the strategic framework, analysis of these opportunities and constraints will offer important guidance for the future framing of indicators.

The level of success is therefore influenced by the extent to which the intervention reflects and overcomes the **opportunities and constraints** within each local context.

The following two cases are of Tearfund's WASH interventions; in support to IDP camps and host communities in the Darfur region of Sudan and earthquake-affected villages of Haiti. They highlight some of the opportunities and constraints identified in relation to elements of the operating environment and changing context in each. Full details can be found in case study reports based on the research that accompany this report.

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[3] In this report, outcomes are defined as "the sustained use or production of benefits"

Case 1: Tearfund's WASH response in Darfur region, Sudan

The protracted nature of Darfur's conflict and resulting insecurity has made implementing any transition processes extremely challenging for Tearfund and other I/NGOs working with displaced populations, host communities and villages in the region. The extent of constraints towards adopting demand-led approaches in Darfur has resulted in there being few discrete examples of where interventions could be considered to be demand-led and are showing signs of likely longer-term impact beyond the provision of direct support from Tearfund.

The few specific demand-led approaches and interventions, being introduced and adopted by Tearfund's Disaster Management Team (DMT) programme, may be seen as early indications of a shift towards demand-led interventions.

Opportunities towards successful introduction of demand-led approaches while few, were found to be:
-   High levels of community awareness and **demand** created around WASH services
-   Local attitudes and **capacities** being steered towards transition-related approaches
-   The need to build **capacity** is acknowledged in the Government's Strategic Plans
-   Strategic Plans also acknowledge the need for sustainable tariff systems, to enhance sustainability of WASH services
-   Communities are **engaged** in a process of taking responsibility for longer-term O&M needs of facilities – as external funds reduce and eventually end
-   Key **donors** (such as OFDA) are adopting a recovery agenda

While there are a few examples of demand-led interventions being used within Darfur region, the constraints acting against longer-term sustainable outcomes of these interventions are dominant. The constraints are particularly strong in relation to the lack of opportunities for affected populations to participate in any response, the potential to build livelihoods-based responses, availability of finance within households to pay for even essential services and the overarching security situation influencing the mind-set of all actors in the region.

Constraints influencing key elements of transition in Darfur can therefore be summarised as:
-   Low willingness of communities to **participate** in actions – exacerbated by many years of supply-driven approaches,
-   Low **capacity** of government to fill the gap that will be left as INGOs withdraw support,
-   A lack of **finance** in families and limited opportunities for income generation for IDPs,
-   On-going **insecurity** and uncertainty about the future of the region, limiting the ability for IDPs to return to home villages or consider adopting longer-term approaches beyond daily needs.

Case 2: Tearfund's WASH response in villages in Haiti

While Tearfund has seen a level of success in bringing demand-led interventions into their support to these earthquake-affected villages, key constraints remain to be overcome. These are most strongly associated with engaging villages in alliances and partnerships to secure longer-term support (particularly as governance mechanisms will take time to strengthen), addressing the mind-set of free services in the longer-term to ensure financial viability of products and services, and the overall vulnerability of communities and families in Haiti to extremes of climate change and poverty.

Opportunities towards successful introduction of demand-led approaches have been found to be many, including:
- **High awareness** amongst communities of the need for safe water use, excreta disposal and handwashing is high, influenced by information campaigns following the cholera outbreaks
- **Needs and demands** have been allocated adequate time and facilitation skills to be expressed by villagers
- Local leadership mechanisms have remained strong in affected villages, enabling villagers to express a **willingness to participate** in action
- **Local capacity** addressed through various means: Agency's facilitation skills built before carrying out CLTS in villages; attention given to capacity of community members to manage water supplies; villages linked to local agents providing follow-up support for household water chlorination.
- **Accountability** mechanisms are building from the grass-roots upwards, while the Government (DINEPA) is adopting and implementing **appropriate policy and strategies** through its process of reform
- Sanitation and water supply interventions adopted are based on generally **low-cost solutions** – lowering capital and O&M costs and requiring little external support for infrastructure
- **Communities are settled,** with signs of being willing and able to work together

Constraints influencing the likely success of demand-led approaches through transition in Haiti can be summarised as:
- weak **connectivity** between communities and **accountable systems of governance** (still to be established through a process of decentralisation) to provide longer-term support and recognition towards community-based management structures,
- inadequate **coordination** between approaches adopted by a multiplicity of agencies (INGOs, NGOs, CBOs, FBOs) often operating in the same community – affecting the range of strategies and interventions made and subsequent willingness of communities to **pay for goods and basic services**,
- little consideration given to the existing capacity within the **local private sector** to initiate – or be central to – future support mechanisms as NGOs withdraw from direct support, and
- insufficient attention to **livelihood potential** and opportunities, and
- **vulnerability** of communities to the impact of future climate-change related natural disasters, exacerbated by extreme poverty affecting most of its citizens.

Case 3: Review of Tearfund's BioSand Filter programme in Afghanistan

Tearfund has applied demand-led approaches and livelihood based interventions into several emergency contexts, with particularly notable success in the Kapisa Province of Afghanistan. Here, Tearfund has focused its efforts in supporting conflict-affected communities on elements of facilitation, promotion, marketing and training. Elements of the construction, production and distribution of water and sanitation products have been left to the local community, homeowners and artisans to manage. In some instances the programme has adopted a social marketing approach, applying marketing techniques in a systematic way to achieve specific behavioural change for a common, social good – such as improved and sustainable sanitation.

Tearfund's biosand filter programme was introduced into a context of a conflict-affected region, with displaced people returning to their home communities as the security situation allowed. The security situation was however gradually improving, to the extent that communities were able to plan for the longer-term, while supporting elements (from the Government including biosand filter technology into their national WASH implementation through to the availability of resources at local level) were becoming established.

Opportunities supporting the introduction of this demand-led and livelihood based intervention also include: the biosand filter technology already being used in the country, communities having identified a need to secure safe water in their homes, mosques and schools promoting knowledge about use of biosand filters and adequate donor funds allocated to support the start-up of entrepreneurs to make and sell the filters within local communities.

Constraints were identified in relation to people's ability and willingness to purchase the biosand filters at the market price. This being the strongest constraint identified suggests that the context was sufficiently enabling to allow the adoption of a much longer-term and development-oriented perspective that would mean adjusting market prices to match people's spending priorities within available finances.

Enhancing success in transition

Whatever approach – or intervention within a given approach – is to be adopted, the way in which it is carried out needs to respond to the changing context. Approaches will need to respond to how demand is expressed by affected populations and how much that demand can be responded to, increasingly through national and local mechanisms as external support is withdrawn. Ideally, both the expression of demand and the means to respond to that demand will be sufficiently balanced to enable progress towards more successful outcomes.

The following examples are elements of the working context that would need to be considered and adapted to during transition.

Needs and demand

Communities may require greater support to identify ways in which their needs and demands can be met in the early stages of recovery, particularly when facing uncertainty around future plans and prospects of returning to "normality".

Identifying and responding to expressed needs and demands can inform the implementing agency of how to respond more effectively, as a first step in adopting a demand-led approach. There is not always a cost implication from asking people what their needs and demands are – although there is a time element to ensuring effective consultation and response. There are however significant cost implications of not enabling people to express their needs and demands, usually in the medium- to longer-term. Unfortunately those who become responsible for picking-up these costs are rarely the humanitarian agencies that are the cause of it.

Participation

Greater attention needs to be given by agencies to enabling appropriate and effective levels of participation from beneficiary communities as transition occurs, paying particular attention to who is engaged in participatory processes and what response will be taken on the basis of outcomes of that process.

There is an on-going discussion around the extent to which non-monetary subsidies can, or should, be used to stimulate (or perhaps enable) participation. This mostly relates to situations where communities as a whole, groups or individuals within the community, remain particularly vulnerable and without the means to respond to raised demand through their own resources. Examples of such subsidies include providing a simple tool to enable vulnerable households (displaced, nomadic, living with insecurity, etc.) to dig latrines following a CLTS triggering process. This continues to be a much-debated topic and needs more thorough research to identify the extent to which levels of incentives (or subsidies) can and do enable higher levels of participation and improved outcomes.

Alliances and Partnerships / Governance and Accountability

NGOs need to pay sufficient attention to ensuring connectivity between affected populations and the range of actors and partners who could offer support, in the eventual absence of the NGOs.

This is not only to be done when planning to exit from direct support, but needs to be considered from the early days of an intervention and become gradually integrated into the whole process of planning, coordinating and implementing stages of transition towards exit. In this way the process of exiting will have already seen a significant hand-over of support roles to other actors.

Livelihoods

Lessons from previous disasters recognise that building livelihoods support into recovery programmes is essential, but that it is also a complex issue. This is often exacerbated by the limited understanding within the humanitarian agencies of coping capacities that an affected population actually holds (Beck, 2005). If greater attention is to be given to enhancing the potential of sustainable livelihoods, there needs to be an increased understanding of not only what approaches are likely to be successful, but also under what circumstances.

Such approaches increase the range of options (in this case for household-level water treatment), using locally manufactured and supplied goods made available to households at an affordable price. This in turn helps to enhance future resilience within the community itself in meeting their needs and demands, as well as improving resilience of the supply chain to respond to that demand.

Financial resources: Internal and External

To achieve longer-term sustainable outcomes from interventions within transition, responses need to begin to address life-cycle costs of goods and services. As agencies withdraw direct support, the affordability of interventions will depend increasingly on the ability- and willingness- to-pay of beneficiaries (service users), supported by internal structures (local and national government, local NGOs, CBOs, private entrepreneurs, and so on) acting as service providers. Agencies need to give more attention to supporting sensitization and promotion of a range of appropriate and affordable service choices, alongside development, skills-training and marketing of local supply mechanisms. Unless this occurs, the long-term functionality and sustainability of services will be at risk.

Such an approach may require that the levels-of-service implemented as part of the response during transition, becomes increasingly aligned to the pre-disaster situation with modifications to suit newly established capacities and resources. Adopting demand-led approaches such as CLTS for sanitation and "self-supply" for water services will become more relevant in ensuring responses are financially viable through matching the financial means of service users, their providers and promoters in the longer term.

Capacity

Adopting a more flexible and context-specific approach requires enhanced skills and competency of agency staff. In addition, greater flexibility within donor funding arrangements would be needed to enable agencies to introduce more sustainable solutions as soon as possible in the transition process.

Solutions would then be collectively identified, planned, adopted and introduced as the context changes through transition. Elements of capacity building would need to

be an integral part of this process – again requiring donor funds to be adequate and sufficiently flexible to ensure capacity can match the transfer of responsibilities to local management mechanisms. The process would also need a gradual transfer of financial responsibility to enable local means of on-going support – ensuring as far as possible that each stakeholder can afford to carry out their role without jeopardising aspects of the health, equity, or security to service users.

Observable social indicators: time for transition?

The optimum time for transition from supply-driven to demand-led approaches is relatively unexplored territory. In this respect the research has:

- confirmed that the conditions of the operating environment determine the extent to which such implementation approaches are likely to be successful, and
- elaborated the relevant elements of the operating environment and their sub-components

There is no set of clear indicators developed to help humanitarian agencies determine the right time to commence transition, or the extent to which a change in approach, in response to transition, is likely to be successful. Importantly, any such indicators need to "point towards" a set of outcomes that can be effectively and efficiently measured. Such outcome-based indicators would provide the signal that it is time to change – from supply-driven to demand-led approaches. As yet, they do not exist.

Ideally, there would be an equivalent to the "Beaufort scale"[4] for the process of transition – in which a set of clear indicators can be used to identify a change in conditions and inform an appropriate response to that change, but which themselves represent much more detail behind each level on the scale. In the absence of such a tool, we return to the key elements that can be used to monitor changes in the operating environment (local through to national context).

Table 4 offers a first step in attempting to frame indicators in relation to the different elements of the operating environment, drawing on the analysis of opportunities and constraints from the case studies. These clearly need development and refinement through further research and a process of wider consultation involving a range of agencies. In this way a greater body of evidence from the field and expertise within the WASH sector can be used to refined and enhance these indicators.

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[4] The Beaufort scale is an empirical measure that relates wind speed to observed conditions either at sea or on land.

Table 4: Observable social indicators influencing the time and process of transition	
Context	**Observable social indicators.** Relate to achieving an adequate "status" in:
Needs and demand	• Clear understanding and responsiveness by agencies to the needs of the affected population • Demand for services being expressed – or if stimulated can be met by a capable supply service and effective levels of information • Social cohesion has been sufficiently (re-) established to enable expressed needs and demands to represent the widest possible user groups
Participation: local	• Confidence being expressed by the affected population in their ability to participate in approaches that move to the next stage of transition – affected by issues of political and social security, environmental stability, health context, etc. • Communities express or demonstrate adequate levels of willingness to pay / invest in improved WASH facilities or services
Capacity: local to national	• Identified level of capacity and skills adequate to take-on <u>agreed responsibilities</u> by the most appropriate stakeholder: community, local government, private sector or others. • Information available to identify who can provide which skills and to what extent
Alliances and Partnerships	• Operational space for humanitarian agencies and donors to engage with the government and/or private sector – free from interference: 'no-strings-attached' • Mapping of the range of possible partners available and willing to provide support (linked to capacity issue above)
Governance and Accountability	• Governance mechanisms address significant concerns, such as: o capacity gaps, decentralized accountability, decision-making and action. • Accountability mechanisms are established between actors
Livelihoods (linking to finance opportunities)	• Evidence of (self-)mobilization of private, informal service providers • Supply services (materials, equipment, tools, etc.) can support anticipated livelihood-based activities
Financial resources: Internal	• Households have some level of trusted source of household finance – sufficient to enable payment or investment in improved WASH facilities or services • Demands placed on household finances will not jeopardize other essential items and services (food, shelter, medicine, etc.)
Economic and financial resources: External	• Funding arrangements by donors allow agencies sufficient flexibility to adapt approaches to respond to changes in context and plan for, or introduce transition-related activities – including support to capacity building – with explicit agreement.
Conflict, Insecurity and Vulnerability	• Broader indicators of security context, environmental degradation and social vulnerabilities are monitored and integral to decision-making processes

Factors to consider to achieve success in transition

Success in the transition process is going to be directly related to the way in which the design and application of an intervention responds to the context in which it is introduced. Each context will be specific to a given place, but also to a given time – given that the operating environment will be in a process of change. Referring back to the social indicators proposed earlier, the factors to achieve success in transition can be drawn from these. They are proposed as illustrative examples through which a response to the status assessment of the social indicators could be used to feed back into the planning and implementation of future interventions – accounting for the local context. How this maps onto the reality of a WASH response in a state of transition would relate to the extent to which the observable social indicators were identified and responded to.

To be in a better position to state how these factors influence the success of a transition process requires much more thorough assessment and critical review of each of the elements influencing the local context. Once these elements were expanded on and refined, and more details of the characteristics of each element identified, this would then need to be tested-out as an agency adapts their WASH response through transition, in a range of different contexts.

Table 5: Factors influencing success in transition	
Context	**Factors to consider to achieve success in transition**
Needs and demand	• Communities' identified and expressed needs are within the scope of agency competency, resources and mandates to be responded to. • As communities express a demand for services, agencies identify capable providers of supply services, in consultation with the communities.
Participation: local	• Communities demonstrate confidence (through demonstrated willingness and ability to contribute financially or through non-financial means) to engage in the next stage of the transition process. • Communities receive sufficient information and advice from agencies to become aware of the (increasing) responsibilities that they will take on themselves to meet their own demands, as transition occurs.

Capacity: local to national	• Agencies prepare and communicate a roles / responsibilities matrix, adapted to changing contexts. The matrix would indicate:
	  o level of capacity and skills available / required from a range of stakeholders,
	  o responsibilities of appropriate stakeholders to appropriate tasks, and
	  o how the changing context influences these (capacity and responsibilities).

Alliances and Partnerships	• Humanitarian agencies and donors identify mechanisms through which to engage with the government, local private sector providers and other stakeholders, while ensuring critical standards (neutrality, equity, transparency, etc.) can be maintained. • Agencies make available and communicate information on the extent to which a range of stakeholders provided services pre-disaster. *This can be used to inform levels of post-disaster willingness and ability to provide support with capacity and responsibilities (linking to capacity context above).* • Agencies improve means to coordinate and share tools and frameworks (relating to DRR, ER, transition, sustainability, etc.) between relief and development agendas – within the same agency or between agencies.
Governance and Accountability	• Agencies align processes to hand-over responsibility to other providers, in response to improving governance structures and mechanisms of accountability. • Agencies engage in on-going dialogue (national and local) around governance and accountability, to ensure optimum use of pre-existing and developing mechanisms.
Livelihoods (linking to finance opportunities)	• Communities demonstrate signs of, (self-) mobilization of private, informal service providers, to which agencies can identify opportunities to align opportunities for livelihood based approaches. • Agencies incorporate means to enhance or mobilize supply of goods and services (skills, materials, equipment, tools, markets, etc.) that will be required to support anticipated livelihood-based activities.
Financial resources: Internal	• Levels of available household finance – current and likely future levels – are matched by a change in agency response and approach. This must account for external "shocks" and other priorities that may affect allocation of finance for other priorities (food, shelter, etc.).
Economic and financial resources: External	• Agencies and donors negotiate and monitor changes in adequate and suitably flexible funding arrangements – that can respond to changes in the national and local context as transition occurs. • *For implementing agencies to undertake transition-based initiatives effectively requires funding that is sufficient, flexible, and responsive to risk. Agencies and donors need to develop stronger working partnerships, based on experience, expertise and trust to be able to address this.*
Conflict, Insecurity and Vulnerability	• Agencies (and donors) integrate and address elements of the local and national security context, environmental degradation and social vulnerabilities into decision-making processes. This should include integrating elements of DRR into responses that increase capacity, and decrease vulnerability and hazard.

Responses also need to consider the extent to which any of the opportunities and constraints, or assumptions and risks, could become a "killer assumption" and cause failure in the transition process in that particular aspect – if not the whole of the programme. Depending on the context, some "killer assumptions" may be more likely than others and their level of influence will change. Future research will need to pay particular attention to the analysis of risks and assumptions with respect to the overall theory of change.

By way of example, areas where context may become particularly *vulnerable* are likely to be in relation to:
- **Capacity** – including the extent of knowledge, experience and skills amongst humanitarian agencies and donors that sees the application of appropriate interventions that can respond to a given context and changes in that context.
- **Confidence** in and **competency** of government, to respond directly or enable external agencies to respond without excessive levels of control and interference.
- **Financial flexibility** within funding arrangements to respond to changes in the context – accounting for available household (internal) finances as well as levels of flexibility in external (donor and programme-based) finances to plan for, or introduce, explicitly agreed transition-related approaches.
- **Environmental fragility** affecting vulnerability in climatic, political, security or health matters.
- **Security** levels: the real or potential threat of return to conflict, or reoccurrence of a disaster, affecting the presence of external support agencies, movement of populations and balance of priorities between disaster preparedness measures and disaster response measures.

Proposed framework

The following table brings the various components together. These then form the basis of a framework for strategic analysis and planning of the potential to achieve more sustainable outcomes from demand-led approaches to WASH in transition.

Table 6: Components for strategic analysis and planning of demand-led approaches in transition						
	Type of emergency	**Elements and characteristics**	**Factors of success**	**Social indicators (observable)**	**Project-specific opportunities and constraints**	
Component	Overall context	Agreed set of elements relevant to the working environment (context)	Agreed requirements of a project or programme, in relation to each social indicator	Extent to which success factors are achieved for transition to be appropriate	**Opportunities** for sustainable outcomes identified for the project	**Constraints** to sustainable outcomes identified for the project
Description	*Broad description of the context*	*Characteristics of each element of the changing context, affecting the opportunity for sustainable outcomes as transition occurs*	*What needs to be addressed (for each characteristic), for the approach to achieve sustainable outcomes*	*Extent to which characteristics have been responded to in a given context, against agreed factors of success*	*Assessment of opportunities in the working environment, supporting on-going transition of a particular intervention*	*Assessment of constraints in the working environment, hindering on-going transition of a particular intervention*

The framework for strategic analysis and planning can then be introduced as an adapted logframe – one that addresses a project or programme in transition. Based on a standard logframe (addressing the project Goal, Purpose / Objectives, Outputs and Inputs / Activities) the **transition logframe** provides the structure through which to monitor how changes in the working environment are influencing the project and how the project is responding to those changes.

The opportunities and constraints of the working environment (in place of assumptions and risks) become the significant force on which decisions are to be made. They will need to be monitored effectively against the agreed elements first, so that upward-aggregation of the monitoring indicators identifies – or signals – the necessary change in status (of the social indicators) that will trigger a change in implementation approach, either towards or away from demand-led WASH service delivery. Results from monitoring the opportunities and constraints (outputs) are then assessed against the agreed observable social indictors to give the outcomes. The extent to which these outcomes are being achieved signals the time for appropriate changes to processes and actions in the project (impact).

Table 7: Transition logframe – a framework for strategic analysis and planning			
Narrative summary	**Observable social indicators**	**Opportunities**	**Constraints**
Goal: **Sustainable WASH service delivery**	*Processes and actions enhancing sustainable outcomes*	*Extent to which adaptations may achieve wider impact*	*Extent to which adaptations may achieve wider impact*
Purpose: **WASH service delivery / implementation approach adapted, in response to transition status assessment** ***(i.e. "signals of change" in social indicators)***	Resulting transition in approaches, processes and actions of WASH interventions	Opportunities for adapting the approach	Constraints against adapting the approach
Outputs: **Status assessment of the working context, against each element***	Assessment of change in the working context of the project / programme	Opportunities affecting the project / programme	Constraints affecting the project / programme
Inputs / Activities: **Monitoring the working context**	*Resources to monitor changes in the working context*	*Ability to monitor*	*Limitations & reactions to monitoring*

* Elements include: Needs & demand, Participation, Capacity, Finances, etc.

Examples of how this logframe might <u>start</u> to be completed, based on findings from the research in Haiti and Darfur, are included in Appendix 1.

Next steps: further research required

This study has started to explore the possibility of adopting a particular framework to better understand the contextual elements of transition of WASH interventions in a variety of situations. It has considered a number of demand-led approaches implemented by Tearfund in their DMT programmes in post-emergency and post-conflict countries. By assessing these approaches against elements of the operating environment in each particular case – from their impact on beneficiaries through to the roles and engagement of national and local stakeholders – it has identified the opportunities and constraints to the successful adoption of each approach. This has provided the basis on which to begin to explore both possible modifications to approaches and possible social indicators to enhance the success of processes of transition and the interventions to adopt.

Whilst an outline framework has been proposed on which to build, this is intended only as the first step. Through the process, it has become clear that there is widely-held consensus that *"things are not as they should be"* in the extent to which transition-related WASH interventions could and are being effectively adopted. It is also clear that this area has not received much attention from humanitarian agencies, development agencies or the research community to build an evidence-base from which to create a more robust and widely-accepted framework, guidelines and tools in WASH transition.

This implies firstly that agencies need to invest time and resources to discuss, agree and establish a set of observable, outcome-focused indicators. Based on these indicators, measurable outcomes (or results) can be developed that are specific to a programme or intervention, to identify movement – or signalling – in the operating environment to show when it is appropriate to transition. Secondly, it implies that the programme intervention approaches themselves are sufficiently flexible and responsive to permit on-going change during the actual implementation period – to the extent that supply-driven and demand-led approaches can be applied simultaneously (with supply-driven approaches diminishing as demand-led approaches become more dominant) during the transition process.

A number of agencies are expressing interest in developing this further. This process would need to explore in more detail the elements of the operating environment and their influence on the likely success of demand-led WASH interventions through the transition process – in a range of contexts. By generating much more detail and understanding of a range of "community typologies" through the process of change, the characteristics most strongly influencing likely success of a range of interventions (from supply-driven to demand-led) could be investigated further. Central to this process will be the development and testing of agreed outcome-focused indicators and measurable outcomes for use when responding to a changing operating environment.

It is already clear that some of the elements that could be explored in more detail include, but are not limited to:

- **The extent and conditions under which non-monetary subsidies** may enable vulnerable communities to respond to demand created through demand-led approaches
- **How flexible donor funds** can and need to be, to enable the planning and introduction of certain agreed demand-led initiatives in response to the changing environment – including elements of capacity building
- **Developing indicators of success** to enable effective monitoring and evaluation of the actual transition process.

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Appendix: Transition logframe examples
(Outputs and purpose)

Transition logframe : Example from earthquake-affected villages of HAITI			
Narrative summary	**Observable social indicators *(OVI)***	**Opportunities** *(Assumptions)*	**Constraints** *(Risks)*
Purpose : WASH service delivery / implement-ation approach adapted, in response to transition status assessment *(i.e. "signals of change" in social indicators)*	**Changes in WASH interventions – based on the extent to which social indicators are achieved against agreed 'norms' for Haiti projects. e.g.** ***Needs and demand:*** *Clear understanding and responsiveness by agencies to the needs of the affected population* ***Capacity:*** *Identified level of capacity and skills adequate to take on agreed responsibilities by the most appropriate stakeholder* ***Livelihoods:*** *Evidence of (self-) mobilization of informal service providers. Supply services can support anticipated livelihood-based activities*	**Opportunities for adapting the approach** *Based on assessment results*	**Constraints against adapting the approach** *Based on assessment results*
Outputs: Status assessment of the working context, against each element	**Assessment of change in the working context of the project / programme** Informed by changes in: - Needs and demand - Capacity - Livelihoods - etc.	**Opportunities affecting the project's working context. e.g.** ***Needs and demand:*** *Approaches enabling needs and demands to be expressed (adequate time and facilitation skills)* ***Capacity:*** *Skills of facilitators enhanced before introducing approaches into villages* ***Livelihoods:*** *No input at this stage*	**Constraints affecting the project's working context. e.g.** ***Needs and demand:*** *Alternative sources of water not operated under community-managed systems* ***Capacity:*** *Longer-term needs not fully addressed yet, in relation to: durable latrine design, functionality of water schemes, etc.* ***Livelihoods:*** *Limited opportunities for livelihoods identified*

Transition logframe : Example from WASH interventions in DARFUR			
Objective summary	**Observable social indicators (OVI)**	**Opportunities (Assumptions)**	**Constraints (Risks)**
Purpose : WASH service delivery / implement-ation approach adapted, in response to transition status assessment *(i.e. "signals of change" in social indicators)*	**Changes in WASH interventions – based on the extent to which social indicators are achieved against agreed 'norms' for Darfur projects. e.g.** ***Needs and demand:*** *Clear understanding and responsiveness by agencies to the needs of the affected population* ***Capacity:*** *Identified level of capacity and skills adequate to take on agreed responsibilities by the most appropriate stakeholder* ***Livelihoods:*** *Evidence of (self-) mobilization of informal service providers. Supply services can support anticipated livelihood-based activities*	**Opportunities for adapting the approach** *Based on assessment results*	**Constraints against adapting the approach** *Based on assessment results*
Outputs : Status assessment of the working context, against each element	**Assessment of change in the working context of the project / programme** Informed by changes in: - Needs and demand - Capacity - Livelihoods - etc.	**Opportunities affecting the project's working context. e.g.** ***Needs and demand:*** *High level of community awareness created around WASH services* ***Capacity:*** *Integrated approaches to WASH adopted (by the agency). Mind-sets and skills enhanced towards transition-related approaches* ***Livelihoods:*** *Skills training in production of soil-stabilized blocks (SSBs) for latrine block construction*	**Constraints affecting the project's working context. e.g.** ***Needs and demand:*** *Dependency culture created through extensive use of supply-driven approaches over many years. Extremely low levels of ability-to-pay for basic services* ***Capacity:*** *Limited capacity of CBOs and lack of technical knowledge. Mind-set change has come late – dependency culture created. Limited capacity / skills of local government* ***Livelihoods:*** *Lack of resources to scale-up construction using SSBs. Limited attention to potential for small-scale entrepreneurs*