

7

GUIDING PRINCIPLES AND STANDARDS

Chapter Seven relates to the following WCC responsibilities:

- ✓ Applying appropriate technical standards;
- ✓ Monitoring performance.

The chapter is split into the following five sections:

7.1	Establishing agreed guiding principles and standards	<ul style="list-style-type: none"> ▪ Overarching principles for humanitarian response ▪ Guiding principles for the WASH Cluster ▪ Defining appropriate standards for WASH ▪ How to establish and review guiding principles, policies and standards
7.2	Integration of Hygiene Promotion in WASH programming	<ul style="list-style-type: none"> ▪ Hygiene Promotion: pivotal to effective WASH interventions ▪ The role of the WCC in Hygiene Promotion ▪ What is Hygiene Promotion? ▪ Addressing Hygiene Promotion in an emergency ▪ Hygiene Promotion: approaches and methods
7.3	Promoting accountability to affected populations	<ul style="list-style-type: none"> ▪ Accountability in the Cluster Approach ▪ Promoting accountability to affected populations
7.4	Reviewing WASH Cluster performance and capturing lessons learned	<ul style="list-style-type: none"> ▪ Reviewing WASH Cluster operations ▪ WASH Cluster Performance Review process ▪ Sharing good practice and lessons learned
7.5	Using advocacy to promote the interest of the WASH Cluster	<ul style="list-style-type: none"> ▪ What is advocacy? ▪ Advocacy in relation to the WASH Cluster ▪ Compiling an effective advocacy message ▪ What channels can be used? ▪ Public information and dealing with the media

7.1 Establishing agreed guiding principles and standards

7.1.1 Overarching principles for humanitarian response

Principles are the rules or laws which guide any humanitarian action. They provide the ‘ethical framework’ within which the WASH Cluster operates and the underlying basis for WASH Cluster policies and standards.

There are a number of overarching principles that apply to the WASH Cluster which can be seen as ‘non-negotiable’, these include:

- **Humanitarian and Human Rights laws;**
- The **Code of Conduct** and commitment to the humanitarian imperative and principles of humanity, impartiality, participation and accountability;
- **Principles of Partnership** as defined under the Humanitarian Reform process (see section 8.1 for details).

The Humanitarian Imperative

All possible steps should be taken to prevent or alleviate human suffering arising out of conflict or calamity, and that civilians so affected have a right to protection and assistance.

The Sphere Project Humanitarian Charter, 2004

7.1.2 Guiding principles for the WASH Cluster

a) Defining guiding principles for the WASH Cluster

While the above sets out an ethical framework for the WASH Cluster, a range of unwritten rules or guidelines will be needed which outline ‘acceptable’ behaviours and the way in which activities should be carried out. These ‘**guiding principles**’ are particularly important in establishing shared understanding where there is a diverse range of actors or interests, as in the WASH Cluster.

The WASH Cluster Performance Review Tool (see section 7.4) incorporates a range of measures for WASH service delivery, predictability, quality, accountability and leadership. This provides a useful and practical guide to considering principles and policy.

When setting up the WASH Cluster it may be useful to agree Guiding Principles in relation to:

WASH Cluster approaches and behaviours, e.g. :

- **Equitable assistance** for all affected groups, e.g. refugees, IDPs, affected communities, and host communities.
- **Building on local structures and capacity building**, e.g. prioritising support for projects implemented by local and national actors.
- **Collaborative approach**, e.g. coordination of HP, and commitment to ensure coverage of all aspects of WASH in any location.
- **Participation**, e.g. commitment to community involvement in all assessments of their needs and planning, design, and implementation of subsequent response programmes.
- **Inter-cluster coordination and collaboration**, e.g. use of common approaches, tools, and shared responsibilities (see *section 1.5*).
- **Good governance and accountability**, e.g. reporting to affected populations and involvement in decision making, and a Complaints Handling system.
- **Gender based approach** to the WASH response.

WASH Cluster practice, e.g. :

- **Compliance with international and national standards** (see details below).
- **Sourcing material and human resources**, e.g. use of renewable resources, resistance to ‘poaching’ of local NGO or government staff.
- **Evidence based interventions** based on objective assessment of damage, risks, and vulnerabilities, and drawing on knowledge and experience of what works and what does not work in practice.
- **Emergency preparedness and disaster risk reduction**, e.g. integrated flood or drought management measures.
- **Early recovery and long-term sustainability**, e.g. reduce reliance on emergency water supply measures, such as trucking.
- **Integration of priority cross-cutting issues**, e.g. equitable gender and age representation in WASH Cluster decision making, environmentally friendly WASH programming (see relevant IASC guidelines in Resources below).
- **Multi language / media communications**, e.g. agreement to use of visual aids, translation, and interpretation, and dissemination of information in different media to ensure equal opportunities for participation and access to information

b) WASH Cluster Policies

Policies are the written guidelines which steer WASH Cluster action in line with agreed Guiding Principles.

For example, if the WASH Cluster adopts a principle of supporting evidence based interventions, there may be a series of policies developed in relation to:

- Focus on areas with limited access to resources, e.g. ground water.
- Focus on areas with limited support, e.g. presence of NGOs, or government.
- Targeting particular categories of vulnerability.

Similarly, if the WASH Cluster supports a principle of promoting environmental protection and sustainability, there may be a series of policies in relation to:

- Use of salvaged or sustainable natural resources, e.g. timber, bricks, etc.
- Design of temporary structures that can be resited or dismantled, e.g. sanitation facilities.

The WASH Cluster will also need to be guided by existing government policies and regulations, e.g. National water or sanitation policies, Poverty Reduction strategies, etc.

7.1.3 Defining appropriate standards for WASH

Key points in establishing standards

- ✓ Base standards on evidence-based good practice.
- ✓ Take full consideration of existing national standards, and both the local and emergency context, in determining appropriate standards.
- ✓ Build consensus amongst Cluster actors based on the evidence put forward.
- ✓ Keep standards to a minimum - focus on the critical issues.

Standards established by the WASH Cluster define the specification (quality and quantity) for WASH Cluster interventions. The Global WASH Cluster has adopted the **Sphere Minimum Standards in Disaster Response** as the baseline for guiding WASH programming and action.

The **Sphere Common Standards** should be considered before defining technical requirements, and they provide an essential foundation for WASH Cluster interventions by ensuring that attention is paid to the local context and all aspects of the project cycle.

Common standards							
Participation	Initial Assessments	Response	Targeting	Monitoring	Evaluation	Aid worker's competencies and responsibilities	Supervision, management and support of personnel

The [Sphere Minimum Standards in WASH](#) (Chapter 2) provide the basis for defining the technical requirements of WASH Cluster interventions.

Water Supply, Sanitation and Hygiene Promotion					
Hygiene Promotion	Water Supply	Excreta Disposal	Vector Control	Solid Waste Management	Drainage
Standards					
1: Programme design and implementation - covering all aspects of water, excreta disposal, solid waste disposal, etc.	1: Access and water quantity	1: Access to, and numbers of, toilets	1: Individual and family protection	1: Solid waste collection and disposal	1: Drainage works
	2: Water quality	2: Design, construction and use of toilets	2: Physical, environmental and chemical protection measures		
	3: Water use, facilities, and goods		3: Chemical control safety		

Care is needed in distinguishing between the Sphere Standards, around which there is generally consensus, and the Sphere Indicators, which can be the cause

for significant disagreement. It is important to make reference to national standards as well, as these often take precedence over Sphere. Then determine indicators which are appropriate to the local and emergency context and available capacities.

For example, under the Sphere water supply standard 1: there can be little argument that people should have safe and equitable access to sufficient water for drinking, cooking, and personal and domestic hygiene. However, there may be great debate over the indicators that outline how much water that should be and where it should be located.

Strategies that may be useful in addressing disagreement over appropriate indicators include:

- ✓ Reference to the **Sphere Guidance Notes** which are included for each Sphere standard. These highlight practical experience and areas of potential controversy, and can assist in determining appropriate indicators in relation to the local context.
- ✓ Adopting a phased approach to the attainment of standards through a series of staged indicators over time, e.g. the indicators adopted for tracking the availability of improved sanitation facilities following Cyclone Nargis in Myanmar were: one latrine per 100 persons after 60 days, one latrine per 50 persons after 90 days, one latrine per 36 persons after 120 days, until the target of one latrine per 20 persons was reached.
- ✓ Consideration of alternative indicators which are more familiar within the context, e.g. the Joint Monitoring Programme for Water Supply and Sanitation (JMP) indicators developed by UNICEF and WHO for monitoring progress towards the global water and sanitation goals (Millennium Development Goals): <http://www.unicef.org/wes/mdgreport/definition.php>.

Indicators adopted by the WASH Cluster should:

- ✓ build on existing national standards in the first instance,
- ✓ take the local and emergency context into account,
- ✓ strive for the Sphere indicators as a minimum, where feasible.

7.1.4 How to establish and review guiding principles, policies, and standards

a) Role and actions for the WASH Cluster Coordinator

- ✓ Focus on establishing a mechanism for the coordination of guiding principles, policies, and standards, not on the detail itself;

- ✓ Ensure compliance with all necessary international and national laws and regulations through the policies and standards adopted;
- ✓ Facilitate a process for reaching broad consensus;
- ✓ Ensure that the principles, policies, and standards proposed provide sufficient clarity for WASH Cluster actors and address all critical aspects of the WASH response;
- ✓ Establish an effective mechanism for the review and updating of policies and standards when required.
- ✓ Where national policies and standards fall below international best practice, advocate for the enhancement of existing national standards.

Opportunity to review and enhance national standards - Bangladesh

In the emergency response following Cyclone Sidr, there was lack of clarity about the government of Bangladesh standards for pond cleaning and pond sand filtration.

The WASH Cluster offered a forum for dialogue to resolve the issue and find the most appropriate technical solution. This also gave the Department of Public Health Engineering the opportunity to review their own standards.

Bangladesh WASH Cluster Review, March 2008

b) Establishing guiding principles and standards

- ✓ Identify critical issues around which clear guidance is needed, through the Steering or Advisory Group.
- ✓ Establish a mechanism for Cluster partners to suggest or raise issues about which guiding principles or policies are required.
- ✓ Undertake research and ground work for policy development and standard setting through technical or working groups.
- ✓ Facilitate an effective feedback mechanism between technical and working groups and the wider WASH Cluster forum.
- ✓ Clearly articulate, in all relevant languages, and widely disseminate agreed policy and standards to all WASH Cluster stakeholders, including affected communities.

Guiding principles, policies, and standards will be developed continuously as more is learnt about the emergency situation and the most appropriate form of response.

c) **Important considerations in establishing and maintaining appropriate standards¹⁵**

Potential problems or shortfalls	Strategies to address problem
Inadequate consideration of standards relating to the process of WASH interventions, e.g. availability and standardisation of information, participation of, and accountability to, affected populations	Set key standards to monitor the performance of the WASH response process, drawing on the Sphere Common Standards for guidance.
Tendency to focus on quantitative outputs, rather than qualitative outcomes , e.g. monitoring the number of latrines constructed, rather than whether they are well constructed and being used.	Identify a mix of quantitative and qualitative indicators in relation to each standard. Determine HOW they can realistically be measured and by WHOM.
Tendency to focus on raising awareness of standards rather than strategic consideration of whether standards (esp. Sphere) are appropriate and can be achieved .	Build on existing standards; consider how they can be enhanced in line with Sphere, where feasible. Take account of the emergency phase, e.g. in early recovery it should be national standards that apply.
Poor monitoring of compliance with standards and limited power to take remedial action, e.g. National and local authorities may have good understanding of performance requirements, but lack the resources to enforce them.	Advocate for resources to enable national and local authorities to monitor WASH performance and compliance, in order to: Help build capacity Strengthen monitoring and accountability Provide the 'authority' (legitimacy) needed to demand compliance or remedial action.
Inadequate review and revision of standards in line with the changing context, e.g. the problems which need to be addressed have changed.	Regularly review WASH Response Plans, starting from problem analysis. In this way appropriate adjustment to standards and indicators can be made.

¹⁵ Extracted from WASH Cluster evaluations in DRC, Uganda, Bangladesh, Yogyakarta.

Resources

-  **The Sphere Project Humanitarian Charter and Minimum Standards in Disaster Response**, 2004
-  **Joint Monitoring Programme for Water Supply and Sanitation**, Water for Life - making it Happen, UNICEF and WHO, 2005
-  **WHO Technical Notes for Emergencies**, WEDC, Jan 2005
 - Cleaning and disinfecting wells, Technical Note No. 1
 - Cleaning and disinfecting bore holes, Technical Note No. 2
 - Cleaning and disinfecting water storage tanks, Technical Note No. 3
 - Rehabilitating small-scale piped water distribution systems, Technical Note No. 4
 - Emergency treatment of drinking water, Technical Note No. 5
 - Rehabilitating water treatment works, Technical Note No. 6
 - Solid Waster Disposal, Technical Note No. 7
 - Disposal of dead bodies, Technical Note No. 8
 - Minimum water quantity, Technical Note No. 9
 - Essential hygiene messages, Technical Note No. 10
 - How to measure chlorine residual, Technical Note No. 11
 - Delivering water by tanker, Technical Note No. 12
 - Emergency Sanitation - planning, Technical Note No. 13
 - Emergency Sanitation - technical options , Technical Note No. 14
-  **IASC Women, Girls, Boys and Men - Different needs - equal opportunities**, 2006
Guiding best practice on the integration of gender in humanitarian programming, with specific guidance for WASH.
-  **IASC Guidelines for HIV interventions in emergency settings**,
Guidelines on the integration of HIV in humanitarian programming with examples for WASH.
-  **Protection Cluster Working Group (2007), Handbook for the Protection of Internally Displaced Persons**
Guidelines for ensuring good Protection practice, including in WASH, in humanitarian programming.
-  **UNHCR, Handbook for the Protection of Women and Girls**, 2006
Examples of best practice from UNHCR for ensuring adequate attention to protection issues, including WASH, in interventions.
-  **IASC Humanitarian Action and The Environment**, 2007
Guiding best practice on the integration of the environment in humanitarian programming, with specific guidance for WASH.
-  **IASC Learning from older people in emergencies**, 2007
Guiding best practice on the integration of old age in humanitarian programming, with specific guidance for WASH.
-  **CSLT Cross-cutting issues - key things to know**, 2007

- http://www.unicef.org/wes/index_documents.html
- http://wedc.lboro.ac.uk/who_Technical_notes_for_emergencies/
Water Engineering Development Council (WEDC) site with wide range of resources and publications, including the WHO Technical Notes above.
- <http://www.lboro.ac.uk/well/>
The WELL website is a focal point for information about water, sanitation, and environmental health and related issues in developing and transitional countries.

7.2 Integration of Hygiene Promotion in WASH programming

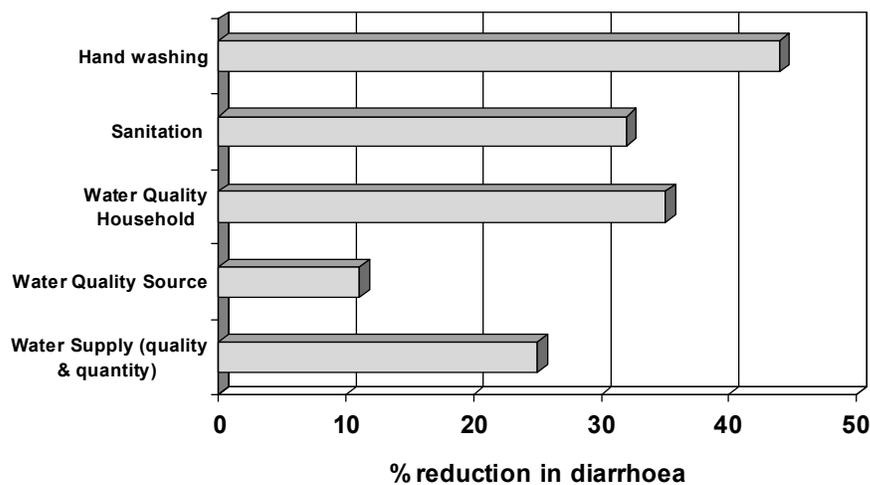
The content of this section is drawn from a comprehensive range of guidance and tools produced by the Global WASH Cluster Hygiene Promotion project. See <http://www.humanitarianreform.org/Default.aspx?tabid=343> for details.

7.2.1 Hygiene Promotion: pivotal to effective WASH interventions

Water and sanitation related diseases contribute significantly to the number of deaths and incidence of sickness in emergencies. During protracted conflict, diarrhoeal diseases can kill more people than the fighting itself.

The overarching aim of any WASH intervention in a humanitarian emergency is to reduce these levels of avoidable mortality and morbidity.

Water, sanitation, and hygiene interventions to reduce diarrhoea in less developed countries: a systematic review and meta-analysis, Fewtrell et al (2005)



Data leads to some controversy, partly due to the difficulty of splitting impacts of interventions. For example:

* Hand-washing is not possible without a water supply, so 'hand-washing' is in fact 'water supply and hand-washing'

** Water quality at household will also have involved some hygiene promotion when setting up the household water treatment processes

However good the provision of water and sanitation infrastructure, without interventions to ensure that people use the facilities in the best possible way, high levels of mortality and morbidity will persist. The importance of hand washing is well documented (as highlighted in the previous diagram), but is just one area of hygiene promotion that also includes involving people in designing suitable facilities and maintaining them (refer to the Hygiene Promotion Framework later in this section).

7.2.2 The role of the WCC in hygiene promotion

Currently, the way in which Hygiene Promotion (HP) is implemented varies widely between different agencies, particularly national and local agencies, for which the concept may be quite unfamiliar. Furthermore, HP often gets little attention in emergency coordination meetings.

As WCC try to ensure:

- ✓ clarity about the purpose of HP, and common understanding and commitment to appropriate approaches to implementation,
- ✓ inclusion of HP in all aspects of WASH programming and in WASH Cluster meetings,
- ✓ additional support for HP coordination through an individual focal point, specialised in HP, or a working group which brings together different agencies involved in HP,
- ✓ coordinated HP briefings, orientation, operations, and training tools for use by WASH agencies, building on tools developed by the Global WASH Cluster HP Project. Further details can be found below under Resources, or at www.humanitarianreform.org.

7.2.3 What is Hygiene Promotion?

Hygiene Promotion is the **planned, systematic approach to enabling people to take action to prevent or mitigate water, sanitation, and hygiene related diseases**. At its best it can facilitate community participation and accountability in WASH interventions.

The principle strategies for preventing diarrhoea in an emergency are:

- ✓ Safe disposal of excreta,
- ✓ effective hand washing, and
- ✓ reducing the contamination of household drinking water.

While WASH interventions focus mainly on the prevention or reduction of diarrhoea, malaria may also be a cause of significant mortality, and hygiene promotion is equally relevant in helping to address this issue. Where the key

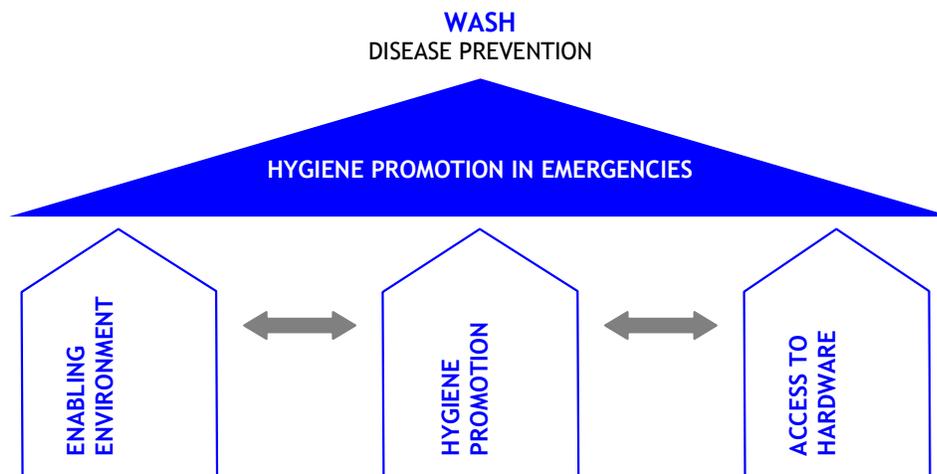
priorities are being well managed, it may be more appropriate to focus on an environmental clean up to further reduce the risks of transmission of disease.

Whatever the focus of Hygiene Promotion, the emphasis must be on **enabling and mobilising** women, men, and children to take **ACTION** to mitigate health risks (by adhering to safe hygiene practices), rather than simply raising awareness about the causes of ill health.

Hygiene Improvement Framework

In addition to tackling WASH related diseases, HP ensures **optimal use of water, sanitation, and hygiene facilities**. Previous experience indicates that without HP, these facilities are often designed and used in an ineffective and unsustainable manner.

Access to hardware, combined with an **enabling environment AND Hygiene Promotion**, will result in **improved hygiene**. This is represented below by the **Hygiene Improvement Framework for Emergencies** which was developed by USAID. (See the Global WASH Cluster **Hygiene Promotion in Emergencies** briefing paper under Resources for further details).



7.2.4 Addressing Hygiene Promotion in an emergency

Consider HP at all stages of the project cycle, and continuously assess and review. This will ensure that approaches to HP, communication strategies, and training programmes are adjusted to facilitate safer hygiene practices as rapidly as possible.

Project cycle stage		Steps
Initial assessment		<p>Step 1 - Rapid assessment to identify the incidence and severity of risk practices, and get an initial idea of what the community knows, does, and understands about WASH.</p> <p>Step 2 - Consult men, women, and children on their different hygiene needs and the contents of hygiene kits, e.g. sanitary towels, razors, potties, etc.</p>
	Planning	<p>Step 3 - Select the highest or most widespread risk practices for intervention (with objectives and indicators). Identify hardware and resource requirements.</p> <p>Step 4 - Define the target groups (may be whole community, with special focus on those caring for young children). Identify stakeholders: those that can influence the target groups, e.g. elders, teachers, traditional birth attendants.</p> <p>Step 5 - Define the strategy for intervention and communication channels and initial messages for all groups. Determine advocacy and training needs.</p> <p>Step 6 - Set up outreach system and recruit & train fieldworkers</p>
Implementation		<p>Step 7 - Begin implementation and continue assessing situation.</p>
	On-going assessment	<p>Step 8 - Gather quantitative and qualitative data (through participatory techniques) and establish baselines. Further investigate motivational factors for safe hygiene practices, and refine key messages accordingly.</p>
	Monitoring	<p>Step 9 - Establish whether hygiene kits and sanitation facilities are being used, and whether people are satisfied with them. Monitor hand washing practices and household water quality standards.</p>

		<p>Step 10 - Increase interactive approaches and identify and implement training for longer-term community groups. Refine implementation and communication plans in relation to monitoring outcomes. Continue monitoring and training.</p>
--	--	--

Adapted from Guidance Manual on Water Supply and Sanitation: LSHTM/WEDC 1998

7.2.5 Hygiene promotion - approaches and methods

a) Community mobilisation

The community may be reached through:

- ✓ A Cascade Outreach System involving outreach workers (volunteers / mobilisers / animators - at least one per 500 people), supervised by trained hygiene promoters and supported by skilled professionals.
- ✓ Peer educators, e.g. teenagers or young mothers.
- ✓ Hygiene Clubs established in each affected area.
- ✓ Building on local skills and capacity, identified in the initial WASH assessments.

b) HP staff, volunteers, and training

The WASH CC can facilitate a consistent and coordinated approach to HP through encouraging the adaptation of generic **Job Descriptions** and the organization of **training for field Hygiene Promoters** and **Community Mobilisers** at sub-national level. Comprehensive details of both are incorporated under Resources.

Voluntary workers

Where risks to health are high and intensive outreach work is necessary, volunteer workers are unlikely to want to work long hours for little or no reward.

Payment in kind, e.g. bicycle, tee shirts, hygiene items, etc. may be an option, but some agencies, e.g. government, local NGOs may not have the resources to provide any incentives. The WASH Cluster will need to agree a universal approach that does not disadvantage local actors or create unsustainable expectations at community level for the future, e.g. payment for water and sanitation committees.

c) Communications

Both the **available mass media** (e.g. community radio, leaflets, posters) **AND other more interactive methods** are recommended for effective HP. Even in an acute emergency try to hold some initial discussions with individuals and community groups to better understand motivational factors for changing behaviour, and explore appropriate communications to encourage safer practice.

No need to re-invent the wheel; there is a wealth of HP material available. Check the Global HP Project WASH Visual Aids CD and UNICEF library resources. Find web links under Resources below.

As the emergency evolves, more widespread use of methods that foster discussion should be encouraged.

In developing communication materials, remember that health benefits are not always the main motivating factor for changes in behaviour. The need for privacy and safety, convenience, social status, and esteem may sometimes be stronger driving forces than health arguments.

d) Participatory methods

Among the most useful participatory methods are 'community mapping' exercises, focus group discussions, exercises using visual aids to stimulate discussion and mobilisation (such as three pile sorting, chain of contamination, and pocket chart voting). See the Rapid Staff Orientation package in Resources below.

An assessment of existing local resources is important, as this will help to ensure that culturally appropriate methods and tools are employed. Even if tools are not available for HP, similar tools or approaches used in public health education may be readily adapted for HP.

Resources

-  **Hygiene Promotion in Emergencies** - A Briefing Paper, Global WASH Cluster HP Project, 2007
Useful to disseminate to WASH Cluster agencies for common understanding.
-  **UNICEF Hygiene Promotion Manual**, WES Technical Guidance Series No. 6, 1999
-  **Annotated bibliography**, Global WASH Cluster HP Project, 2007
List of HP tools and resources
-  **Global WASH Visual Aids CD** available at www.humanitarianreform.org
-  **List of essential hygiene promotion equipment for communication**, Global WASH Cluster HP Project, 2007

-  Orientation Workshop Package - **Handouts**, Global WASH Cluster HP Project, 2007
-  Orientation Workshop Package - **Facilitator's Resources**, Global WASH Cluster HP Project, 2007
-  Orientation Workshop Package - **Power points**, Global WASH Cluster HP Project, 2007
-  **Training Package for Hygiene Promoters**, Global WASH Cluster HP Project, 2007
-  **Training Package for Community Mobilisers**, Global WASH Cluster HP Project, 2007

-  **Generic Job Descriptions** for HP staff and volunteers, Global WASH Cluster HP Project, 2007
-  **Rapid Staff Orientation Package**, Global WASH Cluster HP Project, 2007
Focuses on how to engage women, men, and children in WASH interventions, plus materials for a half-day staff and community orientation workshop.

- <http://www.humanitarianreform.org/Default.aspx?tabid=343>..
Link for Global WASH Cluster HP project information
- http://www.unicef.org/wes/index_documents.html
UNICEF hygiene promotion related resources

7.3 Promoting accountability to affected populations

7.3.1 Accountability in the Cluster Approach

The intention of the Cluster Approach is to ‘strengthen overall levels of accountability for humanitarian response’.¹⁶

However, as indicated in the Evaluation of the Cluster Approach in 2007, emphasis to date has been on improving upward accountability to the Humanitarian Coordinator and donors, rather than downwards to the affected population.

Key accountabilities within the WASH Cluster?

The **WASH Cluster Coordinator** is accountable to:

- The affected population
- The WASH Cluster Lead Agency (CLA) at country level
- WASH Cluster agencies and other Clusters

Further details are outlined in sections 1.2 and 1.3.

The **WASH CLA** is accountable to:

- The affected population
- The HC / RC and HCT
- WASH Cluster agencies
- National government (for information and coordination)
- Donors and others providing funding or resources for their programmes

WASH Cluster partners are accountable to:

- The affected population
- National government (for information and coordination)
- Donors and others providing funding or resources for their programmes
- Each other

National government and state institutions are accountable to:

- The affected population
- Donors and others providing funding or resources for their programmes

WASH Cluster performance in improving accountability

¹⁶ IASC Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response, Nov 2006.

Most of the WASH Cluster evaluations to date¹⁷ have indicated improvements in upward accountability to the HC and international donors, as a result of the Cluster Approach. This is largely because of improvements in filling gaps and coverage of needs, and more comprehensive reporting.

Accountabilities to government have varied depending on the emergency context and capacity of government before the emergency. In addition, at country level there have been differences in the levels of accountability nationally and locally, with closer collaboration at local level in Uganda and Bangladesh.

In all cases, there have been limitations in the achievement of accountability to the affected populations, with a reliance on the accountability measures at individual WASH agency level, rather than a common approach.

7.3.2 Promoting accountability to affected populations

WASH Cluster accountability to affected populations

Downward accountability demands that:

The people and communities with whom the WASH Cluster work systematically inform Cluster decisions and implementation, throughout the lifetime of the cluster response, and are respected as the most important judges of programme impact.

Adapted from the WASH HP Project Orientation Package, 2007

WASH Cluster provisions to facilitate downward accountability include:

i) Information exchange

An appropriate platform for providing information to affected communities and individuals on the WASH Cluster role and purpose, its plans, and entitlements for relief assistance (e.g. agreed standards and indicators).

Information must be provided in a way that can be accessed, understood, and explained to others, e.g. in local languages and posted in public places.

ii) Two-way consultation

Opportunities for two-way consultation with those being assisted. This should occur as close to the start of humanitarian relief operations as possible, and continue throughout the response.

¹⁷ Bangladesh, DRC, Uganda, Yogyakarta

Effective two-way consultation will enable the exchange of information and views between the Cluster and affected groups in relation to:

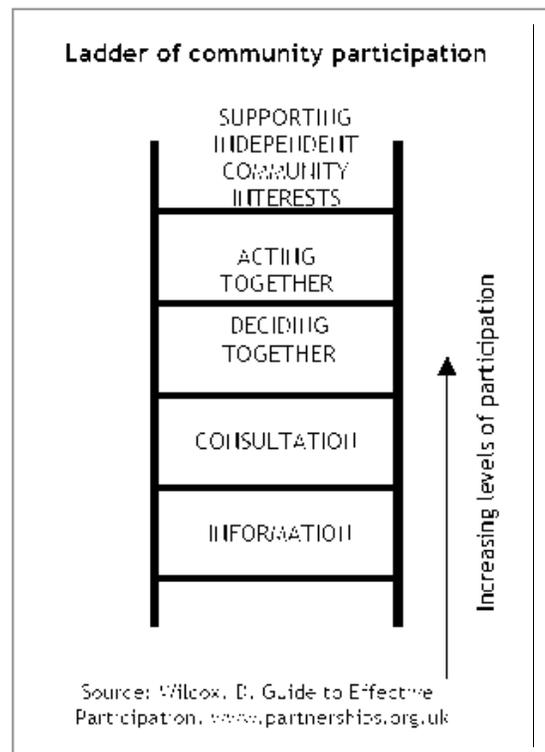
- The needs, aspirations, and concerns of affected communities and individuals about the emergency and proposed WASH response;
- WASH Cluster response plans;
- Relief entitlements (e.g. minimum standards and indicators);

Simply consulting the affected population on decisions that have already been taken will not provide a sound basis for accountability.

iii) *Community involvement*

Opportunities for community participation in defining needs, assessing priorities, outlining plans, and managing implementation, such as:

- ✓ **Hygiene Promotion** can facilitate partnership with affected communities and provide a structure for accountable programming.
- ✓ **Partnership and consortia arrangement** with local organisations provides a platform for local involvement in WASH programming.
- ✓ **Technical and working / sub-groups** at sub-national level facilitate local community input to WASH Cluster decision making and provide a feedback mechanism for affected communities.
- ✓ **Recruitment of local staff and volunteers**, e.g. for water and sanitation committees, facilitates regular community involvement.



iv) *Systematic feedback and complaints handling mechanisms*

Systematic feedback mechanisms that enable:

- Opportunities for affected communities to feedback on WASH Cluster impact in addressing their needs and priorities, and the resultant changes to their lives.

- WASH Cluster reporting at community level on progress and assessed achievements / impact.
- Input of affected communities to WASH Cluster reviews and performance evaluations.
- An independent mechanism for handling community complaints about the conduct of WASH Cluster actors, e.g. failure to adhere to agreed standards, abuse of position, inequitable treatment, etc.

✓ ***Regular review of WASH Cluster plans and priorities***

Regular review of WASH Cluster response plans, processes, and priorities in the light of feedback received, and subsequent reporting to stakeholders on the changes made, or reasons why they were not possible.

Resources

- 📖 **The Code of Conduct: Principles of Conduct for The International Red Cross and Red Crescent Movement and NGOs in Disaster Response Programmes**
- 📖 **HAP 2007 Standard in Accountability and Quality Management**, International
- 📖 **The Good Enough Guide - Impact Measurement and Accountability in Emergencies**, OXFAM Publishing, 2007
- 📖 **UNHCR, A community-based approach in UNHCR operations**, 2008
- www.ecbproject.org
Web-site for the Emergency Capacity Building project - incorporates resources and best practice in Accountability and Impact Measurement.
- <http://www.hapinternational.org/projects/publications.aspx#books>
HAP International web-site for advice and resources on accountability.
- <http://www.alnap.org/>
Learning, accountability, and performance in humanitarian response.

7.4 Reviewing WASH Cluster performance and capturing lessons learned

7.4.1 Reviewing WASH Cluster operations

a) WASH Cluster reviews

Undertaking a review of the Cluster performance is important in:

- understanding the impact of utilisation of the Cluster approach on the progress and results of the WASH response,
- giving people from the different stakeholder groups an opportunity to reflect on how well they are working together and whether the Cluster is working effectively for them,
- finding ways to improve Cluster performance, and
- sharing ideas and learning with others.

Such a review can be undertaken through a **real-time evaluation** and / or a **'lessons learned' exercise**. The global WASH Cluster has developed a standard **WASH Cluster Performance Review Tool** to facilitate this process (detailed below).

b) Common weaknesses in WASH Cluster performance

The WCC responsibilities in relation to performance concern the overall performance of the WASH Cluster in addressing humanitarian needs in the WASH sector. The WCC is not responsible for monitoring and reporting on the performance of individual Cluster actors.

The performance of individual Cluster actors will, however, have an impact on the confidence and trust placed in them with regard to on-going Cluster activities, e.g. selection of projects for funding, leading working groups, sub-national coordination. etc.

Country level WASH Cluster evaluations to date¹⁸ have tended to highlight weaknesses in the quality and accountability of Cluster performance, rather than capacity or operational issues. Areas of particular concern include:

- Community level participation and accountability
- Integration of cross-cutting issues
- Local capacity building
- Emergency preparedness and early recovery

¹⁸ WASH Cluster evaluations from Yogyakarta, DRC, Uganda, Bangladesh, Somalia

c) WASH Cluster Performance Review Tool

This tool offers a simple, tried-and-tested framework for carrying out a WASH Cluster performance review. It is designed for use by the Cluster Coordinator or review initiator and the review team (see resources below). It is designed for implementation approx two months after a rapid-onset emergency, and every two years for Roll Out countries.¹⁹ However, the timing will depend on the practicalities of getting access and gathering timely, accurate data.

The tool provides performance indicators, a review methodology and supporting tools, and templates for data collection, analysis, and reporting.

d) Measures of performance

The Performance Review Tool incorporates a series of performance measures relating to the overall objectives, outputs, and processes of the Cluster Approach. Performance indicators are based on recognised standards, such as the IASC ToR for Cluster/Sector Lead Agencies and Sphere standards. These should be complemented by any additional standards agreed at country level (see *section 7.1*).

Evaluations may be carried out to examine all, or part of the overall humanitarian response, e.g. within UNICEF, inter-agency real time evaluation, sector response, etc. The Wash Cluster and WCC may be asked to contribute to the ToR for such evaluations, and provide external evaluation teams with information.

Performance objectives	Main performance areas
Effectiveness	<i>WASH service delivery (linked with the WASH Cluster Monitoring Tool)</i>
Predictability Accountability	<i>Management of programming Quality of delivery</i>
Leadership Partnership	<i>WASH Cluster coordination mechanisms</i>

7.4.2 WASH Cluster Performance Review process

All stakeholder groups should be involved in the review process, cascading from the Humanitarian Country Team to community level.

¹⁹ Roll out of the Cluster Approach is underway in 26 countries with on-going emergencies

The process needs to be well organised in advance and is therefore generally facilitated by an external consultant who is responsible for training three to four WASH Cluster representatives in using the survey methodology (see Resources for a sample ToR).

The Review process begins with awareness raising of all stakeholders, collection and analysis of data (as appropriate for the context), and a one-day workshop to consolidate findings, identify good practices and lessons learnt, and agree priority actions.

7-step methodology for a WASH cluster performance review

Step 1	Mobilise the Performance Review team - Brief WASH Cluster stakeholders - Agree high-level plan and timing of the assessment - Identify actors to join the review team - Recruit an external facilitator
Step 2	Collect data via questionnaires - Distribute questionnaires to all relevant stakeholders - Return completed questionnaires to the review team
Step 3	Conduct initial analysis - Data analysis and identification of priorities for discussion
Step 4	Collect data via interviews - Conduct interviews with all stakeholder groups, if possible - Focus on obtaining qualitative information
Step 5	Conduct analysis and prepare (preliminary) findings - Prepare presentation of findings, etc. for workshop
Step 6	Final review workshop - Include all stakeholder groups among partners - Review initial findings, identify opportunities and constraints, agree priority actions and follow-up processes
Step 7	Produce final report and circulate - Refine data analysis - Prepare and disseminate final report

7.4.3 Sharing good practice and lessons learned

Good practice and lessons learned can be identified through the various review processes outlined above. However, capturing good practice and lessons learned is not enough. A significant weakness in humanitarian aid is passing on, and applying this learning elsewhere.

The **WASH Cluster Performance Review mechanism** is currently the only formal mechanism for sharing learning and best practice. Formal and informal reviews

from Uganda, Liberia, Somalia, DRC, Yogyakarta, and Bangladesh have already made a significant contribution to improving global WASH Cluster performance. These review reports are incorporated in Resources in *section 1.2*)

At regional level - the REWAs also play a role in disseminating best practice from global level and sharing lessons within the region.

At global level - the Global WASH CAST team promote learning and best practice through a range of projects and resources such as the Hygiene Promotion and Information Management projects.

Resources

-  WASH Cluster Performance Review Tool, Version 1, Dec 2008
-  WASH Cluster Performance Review, ToR for Facilitator, Dec 2008
-  WASH Cluster Performance Review Tool - Workshop slide pack, Power point Dec 2008
-  WASH Cluster Performance Review Tool - Briefing Pack for Cluster, Power point Dec 2008
-  WASH Cluster Performance Review Tool - Workshop agenda, Dec 2008
-  WASH Cluster Performance Review Tool - Analysis spreadsheet, Dec 2008

-  Beck, T (2006), **Evaluating Humanitarian Action** using the OEDC-DAC criteria, ALNAP
Useful guidelines on evaluating humanitarian aid programmes in line with international performance criteria.
-  **The Good Enough Guide** - Impact Measurement and Accountability in Emergencies, OXFAM Publishing, 2007
Highly practical guide on designing basic monitoring and evaluation systems with a view to measuring outcomes and impact.

- <http://www.humanitarianreform.org/Default.aspx?tabid=347>
Link to further information on the Global WASH Learning Project

7.5 Advocacy and public information for promoting the interests of WASH

7.5.1 What is advocacy?

Advocacy means making a persuasive argument for a specific outcome.²⁰ Advocacy arguments are context specific and must be based on clear evidence.

There are different forms of advocacy; the most persuasive involve arguments or communications that are targeted at rights issues or political interests, to **create political will**. In principle, any advocacy argument or communication must serve a purpose (or contribute to the objectives and interests) for the group or individual being targeted.

Advocacy may be carried out by a group of like-minded people in a public way, e.g. collective WASH cluster ‘statements’, or by individuals in a private way, e.g. WCC dialogue with government representatives.

7.5.2 Advocacy in relation to the WASH Cluster

WATER is the key aspect of WASH that has political interest and can be used as an entry point to tackling other issues. In contrast, advocacy communications centred around hygiene, solid waste, or sanitation are less likely to generate much political support.

Human Right To Water (HRTW)

The following international protocols provide some guidance on the HRTW:

- General Comment N° 15 was adopted in 2002 by the UN Committee on Economic, Social, and Cultural Rights (CESCR). This text is an interpretation of the International Covenant on Economic, Social, and Cultural Rights (Decision E/C.12/2002/11) and is a non-binding legal instrument. However, it is the most precise text on the HRTW.
- The Universal Declaration of Human Rights (1948) recognises implicitly the right to water (especially through article 25).
- The Geneva Convention (1949) and its two protocols (1977) protect the right to water in times of conflict. The Convention on the Elimination of All Forms of Discrimination against Women and the Convention on the Rights of the Child (1989) explicitly recognise the right to water of women and children.

²⁰ UNICEF Emergency Field Handbook

a) Role of the WCC and WASH Cluster partners in advocating for the Cluster

It will be a bonus if, as WCC, you are an effective and confident advocate, but it is not a requirement. For many people, advocacy may be a function in which they have very limited experience. In this case:

ACF are conducting a number of regional workshops on Advocacy and the Right to Water and Sanitation in Emergencies. Contact clanord@missions-acf.org for details.

- ✓ Source the necessary expertise from other actors within the Cluster;
- ✓ Elicit WASH Cluster agreement for a nominated person or agency to support you with advocacy;
- ✓ Work alongside a more experienced partner to build up confidence;
- ✓ Alternatively, establish a working or sub-group to provide support in developing appropriate advocacy strategies and communications and providing advice;
- ✓ Source professional support from the CLA and UNICEF Communications function. However, be aware that they may well be focused on communicating to raise funds, rather than advocacy and rights issues.

Advocating for the human right to water in Gaza

Israel's imposition of severe restrictions on the movement of people and goods at Gaza's border crossings, and its reduction of supplies of fuel and electricity, triggered a humanitarian crisis in the Gaza Strip.

In October 2007, ten Israeli and Palestinian human rights organisations petitioned the Israeli Supreme Court, seeking an injunction against fuel and electricity sanctions. They argued that reduced fuel and electricity supplies would cause widespread damage to essential services in Gaza, including health systems, water wells, and sewage treatment facilities. Furthermore, they stated that the disruptions amounted to collective punishment of the civilian population.

By April 2008, about 95 per cent of Gaza's water wells and sewage pumping stations were non-operational because of equipment, supplies, fuel, and power cuts. Despite continued advocacy efforts, the Israeli Supreme Court ruled against them.

Source: The Human Right to Water and Sanitation in Emergency Situations: An Advocacy Tool WASH Cluster Project 2008 - see Resources below

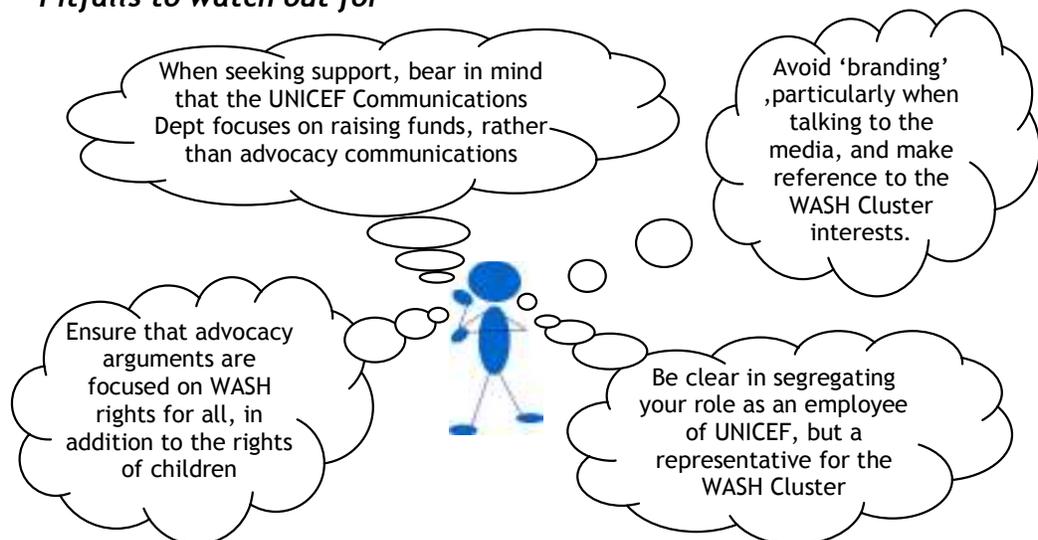
b) Developing an **advocacy strategy**

Steps	Activities
Initial / on-going assessments	Outline the advocacy issue and expected outcome. Find out the priorities of politicians and investigate other potential advocacy channels. Identify means of communication, e.g. media, word of mouth, religious groups, etc.
Analysis	Analyse your data and compile reliable evidence.
Implementation	Determine a single overarching communication message or objective.
Monitoring	Check whether the message has got across and assess the impact.
Review	Review and adapt the advocacy strategy.

c) **UNICEF support for the advocacy function**

Where UNICEF is the CLA, the UNICEF Communications Officer can provide valuable support with advocacy and communications, in particular accessing the media and raising awareness. However, care is needed in ensuring that it is the WASH Cluster's interests that are being represented, not just those of UNICEF. The WCC may be requested to pass communications (especially press releases) through the Communications Officer before publication.

Pitfalls to watch out for



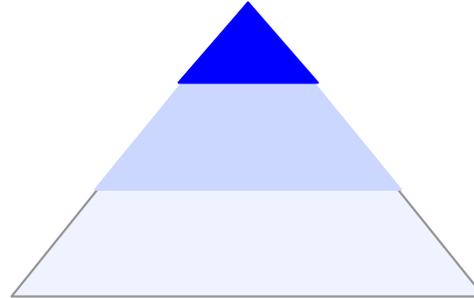
7.5.3 Compiling an effective advocacy message or campaign

A good tool for guiding advocacy communications is the POINT – SOCO – WIIFM triangle.

POINT – get to it FAST, develop short ‘sound bites’

SOCO – Single overarching communications objective

WIIFM – What’s in it for me



Tips for getting your message across

Don't worry about being nervous, but try to be clear	Emphasise the interests of the affected population	Speak with authority - ensure that you are well informed of the current situation
Keep to the point	Have a good punch-line and 'sound bites'	Avoid jargon and acronyms
Accurately describe needs	Talk from the heart	Present clear evidence

7.5.4 What channels can be used?

Key points in identifying an appropriate channel or group:

- ✓ It must provide access to decision makers;
- ✓ The advocacy issue must be in the interests of the group, i.e. serve a purpose for them in addressing their own objectives and problems;
- ✓ It must have the potential to influence political will.

What channels to use	Why?	What's in it for them?	Advocacy instruments to use
Politicians	tackle constraints, e.g. access, influence policy and political will	Publicity, votes	Negotiation
National and local govt authorities	tackle constraints, e.g. access, mobilize resources, influence political and community actors	Means for putting pressure on decision makers	Negotiation and briefings
Donors	Mobilize resources, influence funding priorities, gain political backing	Visibility, evidence-based funding, clarity on priorities	Briefings, field visits
Media	Raise awareness, generate public support, influence political actors	A story	Briefings, press statements, field visits
Community/religious leaders	Generate public support, mobilize resources	Means for putting pressure on decision makers, local reputation	Public education campaigns, negotiation, field visits
The military	Tackle constraints, e.g. access	Bargaining power	Negotiation

7.5.5 Public information and working with the media

Working with the media

The media can play an important role in disseminating information, particularly at community level, and in raising awareness of advocacy issues and resource requirements.

However, the media have their own agenda and care is needed in addressing sensitivities and ensuring accuracy in drafting releases for the press. Everything is on the record, even when they say it isn't.

Tips for interacting with the media

- ✓ Ask for questions before press interviews;
- ✓ Think through the possible questions that might be asked;
- ✓ Have a clear message and ensure that you get it across;
- ✓ If you are not fully informed don't do an interview;
- ✓ Be factual: only use figures that can be verified;
- ✓ Avoid predictions and don't be afraid to say "I don't know";
- ✓ When faced with a contentious question, use a bridging statement to get back to your own point, e.g. "I understand your concern, but the real issue is...";
- ✓ Be clear and positive, and where possible, include quotes.

A good news story is based on real news backed up by facts.

Source: UNICEF Emergency Field Handbook, 2005

Actions by the WCC / administrator:

- ✓ Establish contacts with local and international journalists and radio stations.
- ✓ Prepare immediate press releases and organise press briefings for publicising important information and events.
- ✓ Encourage field visits, particularly where current reporting is distorted or insensitive, or local capacities are being undermined.
- ✓ Establish a photo library - ensure sensitivity when using images of children and in reflecting the cultural context. Record photo source, location, and names of those photographed.
- ✓ Maintain an up to date overview of the situation and give a contextual background to press releases and statements,
- ✓ Make sure that you have nominated somebody to deal with the press who is competent and available at the right time.

Resources

- 📖 UNICEF **Emergency Field Handbook**, 2005 (pp 298-303 give guidelines on interacting with the press).
 - 📖 **WASH Advocacy Case Study**, Gaza, Palestine, 2008, extract from *The Human Right to Water and Sanitation in Emergency Situations: An Advocacy Tool* WASH Cluster Project 2008 (draft)
 - 📖 **Sanitation - a wise investment for health, dignity, and development, Key messages for the International Year of Sanitation**, UN-Water 2008
 - 📖 **Sanitation Communications Matrix**, UN-Water 2008
 - 📖 **Advocacy for Sanitation - a brief guide**, UN-Water 2008
 - 📖 **CSLT, Building an Advocacy Strategy**, 2007
 - 📖 Aubriot, J., **The Right To Water - Emergence, Definition, Current Situation and Stakeholder positions**, ACF
- <http://www.wsscc.org/en/resources/advocacy-material/wash-images-messages/wash-2007/index.htm>
 - <http://www.wsscc.org/en/resources/advocacy-material/international-year-of-sanitation-advocacy-kit/iys-advocacy-kit-english/index.htm>
The Water Supply and Sanitation Collaborative Council has a range of Global WASH Advocacy materials to help address the global water and sanitation crisis.