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QUALITATIVE DOCUMENT ANALYSIS

Findings from Ghana WASH Sector Review

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Supporting water sanitation and hygiene services for life

AGUA CONSULT

Prepared by Richard Ward on behalf of IRC with input from Ruzica Jacimovic and Elise Wach. The International Working Stream would like to acknowledge the support of the Ghana Workstream for assistance both before and after the workshop; participants of the workshop, who helped refine the scoring ladders; Ruzica Jacimovic and Elise Wach, as well as Ella Hayward, for her work coding the documents.

This report presents the results of research undertaken to assess sector change in the rural WASH sector in Ghana over the course of the Triple S country programme (2008-2014). Using a methodology called Qualitative Document Analysis, key documents in use across the sector over the time period were assessed and rated against criteria derived from the 10 building blocks of sustainable service delivery (Lockwood, Smits 2011).

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Abbreviations

CSO	Civil Society Organisation
CWSA	Community Water and Sanitation Agency
CWSA-LI	Community Water and Sanitation Agency Regulations (legislative instrument)
DP	Development Partner
DP Compact	Development Partner Compact
DiMES	District Monitoring and Evaluation System
DOM	District Operational Manual, Volume 1
GJAS	Ghana Joint Assistance Strategy
GSGDA	Ghana Shared Growth and Development Agenda I
GWS	Ghana Workstream
NCWSS	National Community Water and Sanitation Strategy
NGO	Non Governmental Organisation
NWP	National Water Policy
QDA	Qualitative Document Analysis
MMDA	Metropolitan Municipal District Authority
MTDP	Mid Term Development Plans
PIM	Programme Implementation Manual (National Community Water and Sanitation Programme)
SCSG	Small Communities Sector Guidelines
SIP	Strategic Investment Plan
SWA	Sanitation and Water for All
WASH	Water and Sanitation and Hygiene
WSSDP	Water Sector Strategic Development Plan
WSMT	Water and Sanitation Management Team
WSSPR	Water and Sanitation Sector Performance Report

1 Introduction

Triple-S (Sustainable Services at Scale), led by IRC is a six-year, multi-country learning initiative to improve water supply to the rural poor. The initiative is currently operating in Ghana, Uganda and Burkina Faso. Lessons learned from work in these countries feeds up to the international level, where Triple-S is promoting a re-appraisal of how development assistance to the rural water supply sector is designed and implemented.

In 2011, at the international level, Triple-S undertook a review of 11 major WASH development partners' policy documents from 2008–2009, using a technique known as qualitative document analysis (QDA). The aim of this initial exercise was twofold: firstly, to evaluate the extent to which the principles of sustainability were reflected in these partners' priorities at the start of the Triple-S programme (~2008), and secondly, to collect evidence to assess progress by which the effects of Triple-S could be measured at the end of the six-year period (2014). This was followed up by a review of 'practice' documents of those same development partners in 2012.

The QDA was then extended to two Triple-S countries, Ghana and Uganda, to assess the uptake of service delivery concepts in national-level policy and operational documents between 2008 and 2014. This report details the results of the QDA exercise for Ghana.

2 Methodology

2.1 Qualitative document analysis

Qualitative document analysis (QDA) is a research method used to analyse written documents in a rigorous and systematic way (Wesley 2011) In Triple-S, this research method has been used to investigate how sustainability of rural water service delivery is addressed in water, sanitation and hygiene (WASH) policies and strategies.

The QDA process has explicit steps[1]: (a) setting criteria for the selection of documents, (b) collecting documents, (c) articulating main areas of analysis, (d) coding the documents, (e) verifying preliminary results and (f) analysing the findings. QDA allows an impartial, concrete and thorough analysis of written documents:

- Impartial: conclusions are made based on what is written in the document. A second validator ensures that the conclusions are fair and well justified.
- Concrete: the actual text of policy documents is quoted and analysed so that researchers can evaluate the policy.
- Thorough: each document is analysed for strengths and weaknesses using a framework of principles for sustainable water service.

Analysis is considered 'dependable' if another reader would have reached the same general conclusion about the same set of documents under similar conditions.

For the WASH sector, QDA has two major uses:

- *Engagement*. With concrete evidence of the strengths and weaknesses of a policy, and information about why that is important, development partners can engage policy makers in improving future policies.
- *Tracking changes over time*. Analysis of documents released in 2008 and updated documents released in 2012–2013 reveals the extent of progress.

Modifications to the method were made after feedback from the first two QDA exercises carried out in 2011–2012. Firstly, a scoring system (qualitative information system ladders, described below) was developed for each building block of sustainable service delivery. Secondly, participants in a workshop, held in Accra on 13–14 November 2013, refined the building blocks and also advised on document selection.

QDA has certain limitations. It cannot show how a policy was developed, is implemented, or will be changed in the future. It examines only what is written in the documents under review. Selection of documents with sufficient level of detail is therefore critical. In addition, even if the documents describe actual practice, QDA does not assess actual practices and is not a substitute for a field visit. However, the findings (i.e., what the policy documents actually say and omit) can be used as a platform for stakeholder interviews or other qualitative research to better understand policy processes.

[1] Adapted from D. Altheide, 'Process of Qualitative Document Analysis', in *Qualitative Media Analysis* (London: Sage Publications, 1996).

2.2 Assessing policy change in complex national sectors

How policy changes occur, and their value, is a complex and contested area of research. The older 'cyclic' view of policy making, as an evidence-led and largely top-down response to social problems, has now given way to more complex theories (ODI 2013[2]) encompassing 'complexity' and 'hypocrisy'[3], local contexts, power, and contested and flexible interpretations (Mosse 2005).

Stachowiak (2009)[4] describes six influential theories that explain how changes in policy can occur: large leaps, coalition (or advocacy frameworks), policy windows, messaging and frameworks, power politics and grassroots (or community organizing).

Closest to the Triple S theory of change[5] are the coalition and window theories. QDA can contribute to what Jones et al. (2013) define as both research-based knowledge (through the QDA methodology) and practice-informed knowledge (through the workshop and QIS ladders, which drew on inputs from multiple actors in the sector), both of which can be used to influence policy debate and change.

2.3 Building blocks of service delivery

Triple-S is encouraging the WASH sector to shift from implementing stand-alone projects and building infrastructure to delivering sustainable water service. A study of 13 country sectors carried out at the beginning of the Triple-S project identified 10 principles, or building blocks, of service delivery that are critical to this shift. (More information on the building blocks and the Triple-S programme can be found online, at Water Services That Last, Resources page.)

During the November 2013 workshop in Accra, local contacts and district and national stakeholders from the Ghana Workstream's network, representing a cross section of interests in the sector, customised the building blocks to the country context (Table 1).

[2] Jones H; Jones N; Shaxson L; Walker D (2013) Knowledge, policy and power in international development: a practicalframework for improving policy ODI

[3] N. Brunsson, 'Organized hypocrisy', in The Northern Lights, edited by B. Czarniawska and G. Sevón (Copenhagen: Copenhagen Business School Press, 2003), pp.201–22.

[4] S. Stachowiak, 'Pathways for change, 6 theories about how policy change happens' (2009), http://www.innonet.org/resources/node/435.

[5] http://www.waterservicesthatlast.org/media/publications/working_paper_3_the_triple_s_theory_of_change

Table 1 Ten Building Blocks for sustainable service delivery Ghana

Building block	Description
1. Community-based management model for service delivery	Community management entities are supported to move away from voluntary arrangements towards more professional service provision that is embedded in local and national policy, legal and regulatory frameworks.
2. Recognition and promotion of alternative service provider options	Range of management options beyond community management, such as self-supply and public-private partnership, is formally recognised in sector policy and supported.
3. Monitoring service delivery and sustainability	Monitoring systems track indicators of infrastructure functionality, service provider performance and levels of service delivered against nationally agreed norms and standards.
4a. Harmonisation and alignment 4b. Harmonization and alignment at decentralized levels	Donors harmonise and coordinate with government, and all actors (both government and nongovernment) align activities with national policies and systems.
5. Direct support to service providers	Structured system of direct (post-construction) support is provided to back up and monitor community management entities and other service providers.
6. Capacity support to metropolitan municipal district authorities (MMDAs) and private sector	On-going capacity support is provided to service authorities (typically local governments) to enable them to plan, monitor, regulate and sustain rural water services.
7. Learning and adaptive management	Learning and knowledge management are supported at national and decentralised levels to enable sector to adapt based on experience.
8. Asset management of water infrastructure	Systematic planning, inventory updates and financial forecasting for assets are carried out, and asset ownership is clearly defined.
9. Regulation of rural and small-town water services	Service delivery and service provider performance are regulated through mechanisms appropriate for small rural operators.
10. Financing to cover all life-cycle costs	Financial frameworks account for all life-cycle costs, including major capital maintenance, support to service authorities and service providers, monitoring and regulation.

The building blocks are here numbered as they were in the original 2011 study, 'Supporting Rural Water Supply'. The ordering does not necessarily indicate importance.

2.4 Qualitative information system

Feedback from the first two rounds of analysis (2011–2012) at the international level indicated that the QDA methodology's scoring criteria needed better definition and transparency, to be achieved through a qualitative information system (QIS)[6]. This is a technique for quantifying otherwise qualitative information with the help of progressive scales, or ladders. Each of the four steps on the ladder represents a condition or characteristic, and all four conditions together represent the ideal situation (Table 2). In this way, qualitative indicators, such as participation and inclusiveness, and outcome indicators, such as behavioural change, can be ranked.

[6] Christine van Wijk-Sijbesma, 'The Best of Two Worlds? Methodology for Participatory Assessment of Community Water Services', PhD dissertation, Wageningen University (2002), available at: http://edepot.wur.nl/139858.

Table 2 Scoring criteria

Criteria	QIS score	Score used in assessment
All four (key) characteristics are present	4	Ideal situation (4)
Primary + secondary + tertiary characteristics are present	3	Above benchmark (3 to 3.9)
Primary + secondary characteristics are present	2	Benchmark: minimum that policy or programme wants to achieve (2 to 2.9)
Primary characteristic is present	1	Below benchmark (0 to 1.9)
Condition or practice is not present	0	Condition or practice is not present

Participants in the November 2013 workshop customised the QIS ladders, calibrating the benchmark to capture the current understanding of what practitioners would consider a minimum indicator that, in the context of the rural WASH sector in Ghana, sustainability issues were being sufficiently addressed.

Using the QIS ladders a researcher then assigns a score to a section of a document by applying the QIS scoring criteria. The researcher also indicates the reason for the score. Scores and comments are then aggregated in a summary sheet per document and per building block, based on which a final score per building block is decided.

2.5 Document mapping and selection

A document mapping exercise was carried out during the November 2013 workshop. Participants analysed the relationships and functions of selected WASH sector documents in groups. The aims were to assist in the document selection process and to clarify present and past versions of documents and their function.

The exercise explored seven areas:

- Previous iterations of the document
- Contributing documents that had direct or indirect influence
- Laws and regulations that the document draws on
- International accords and agreements that the document references
- Ministry responsible for oversight of the document
- Target users of the document
- Other documents influenced by the document

Figure 1 is an example of a document map.

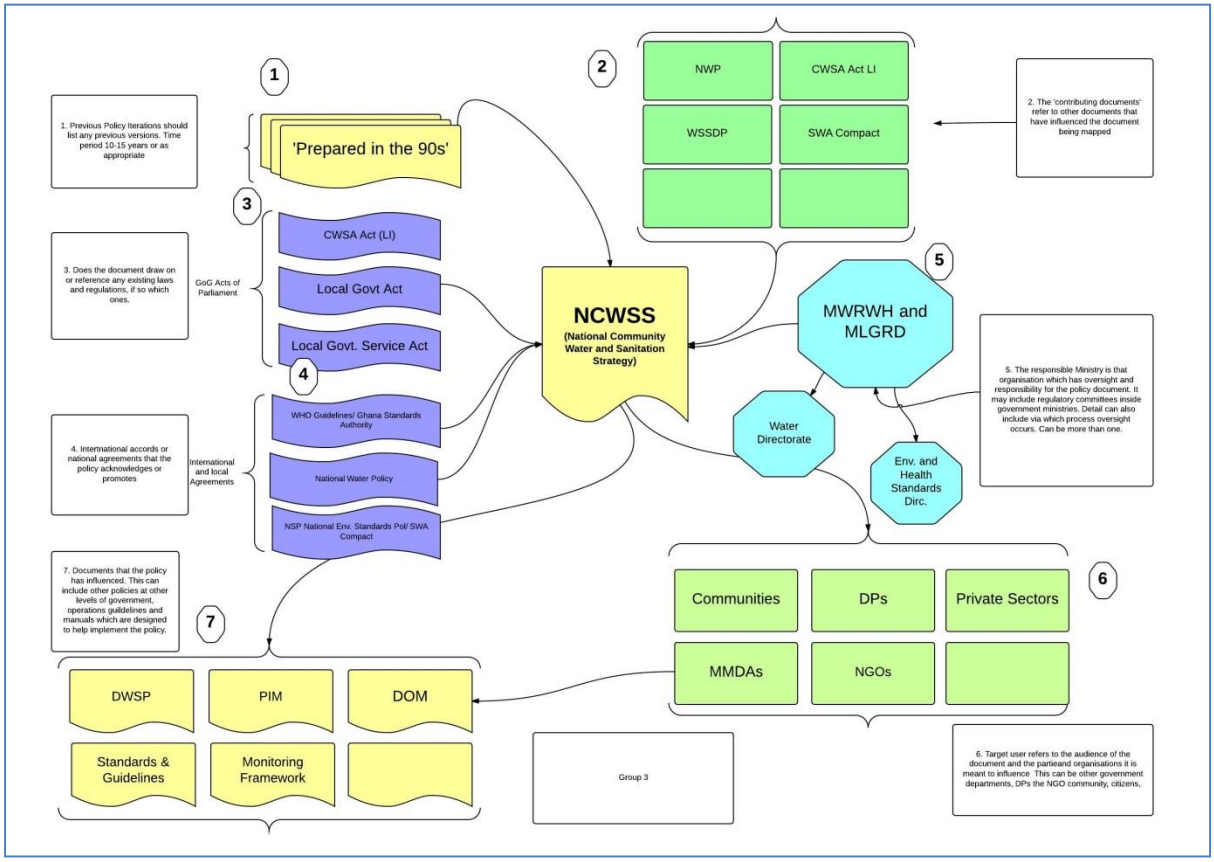

Figure 1 Document map for National Community Water and Sanitation Strategy, 2014

Twelve documents were shortlisted and mapped in this way:

- National Water Policy
- Community Water and Sanitation Agency legislative instrument

- District budgets (general)
- District Operational Manual
- District water and sanitation plans (general)
- Ghana Shared Growth and Development Agenda I
- Medium-term development plans (general)
- Project Implementation Manual
- Standards and Guidelines (predecessor to District Operational Manual)
- Water Sector Performance Report
- Water and Sanitation Strategic Development Plan
- National Community Water and Sanitation Strategy

Document maps are given in Annex 1.

The in-country workshop then adapted the 10 building blocks of service delivery to the national water sector in Ghana, reflecting differences in emphasis and language. The same groups of participants then worked to articulate and tailor the QIS ladders for each chosen building block, and the results were refined over the remaining day of the workshop. As with the mapping exercise, groups first undertook to refine the building block definition and QIS ladder criteria together and then presented these to the larger group, making changes where necessary after discussion and feedback. A detailed breakdown of the QIS ladder scoring criteria for each building block is contained in Annex 6

Document Selection

The 12 shortlisted documents provided the core of those included in the QDA analysis. Around this core were assembled related documents, either previous yearly iterations, versions of a similarly functional document, or new standalone documents. In total 20 documents were analysed. For the purposes of the presentation of results, they have been grouped into two categories – a 'Baseline' and a 'Present/End-line' sample group.

The 'Baseline' sample consists of documents that correspond to the recent past from 2005 to 2010 (from three years or so before the start of the Triple-S project). They cover 'high level' national policy documents, such as The Ghana Joint Assistance Strategy (2007), high level WASH related documents, such as the National Water Policy (2007) as well as programmatic documents such as The Water Safety Framework (2010) and Small Communities Sector Guidelines (2010). The 'Present' or 'End-line' sample contains documents released from 2011 to the present; It also includes a mix of high level national documents, such as the National Policy on Public Private Partnerships (PPP) (2011) and Development Partners Compact (2012–2022), as well as both strategic and operational documents focussing on the rural water sub-sector, such as the District Operation Manual – Volume 1 (2014) and National Community Water and Sanitation Strategy (2014).

In some cases, there are clear pairs among the groups where scores can be compared on a document by document basis; such as the Project Implementation Manual, Sector Performance Reports, and CWSA Annual Reports. There are also less clear cut pairs, identified via the mapping exercise and considered 'related' by those working in the sector, such as Ghana Joint Assistance Strategy (2007) and the later Development Partners Compact (2012–2022), or the Growth and Poverty Reduction Strategy (GPRS II) (2006–2009) and its 'successor' the GSGDA Ghana Shared Growth and Development Agenda I.

A total of 20 documents were then selected for the analysis. The selected documents comprised a baseline group and a current group. The baseline sample consisted of documents released between 2005 and 2010 (two years into the Triple-S project). The 'present documents' were released from 2011 to the present. Both sets include a mix of high-level national documents and strategic and operational documents.

Some of the documents were paired (i.e., there were previous and current versions of the document), but most were stand-alone (i.e., no previous or successor version existed). We present most of the results by group rather than by pair given that documents were more often replaced than updated. Sector policy at a national level is typically expressed by a group of documents performing different functions.

Table 3 lists the baseline documents, and Table 4, the 'present' documents.

Table 3 Baseline Documents, 2005-2010

Title	Year
Growth and Poverty Reduction Strategy II (2006–2009)	2005
National Water Policy (NWP)	2007
Ghana Joint Assistance Strategy (GJAS)	2007
Strategic Investment Plan (2008–2015)	2008
Water and Sanitation Sector Performance Report (WSSPR)	2009
Community Water and Sanitation Agency (CWSA) annual report	2009
Small Communities Sector Guidelines (design guidelines)	2010
Small Communities Sector Guidelines (O&M guidelines)	2010
Water Safety Framework	2010
Ghana Shared Growth and Development Agenda I (GSGDA)	2010
Sanitation and Water for All (SWA): A Global Framework for Action	2010

Of the 11 baseline documents, the National Water Policy, still in force, is the most important.

Table 4 Present documents, 2011-2014

Title	Year
Programme Implementation Manual (National Community Water and Sanitation Programme)	2011
National Policy on Public Private Partnerships (NPPP)	2011
Community Water and Sanitation Agency Regulations (legislative instrument)	2011
Water Sector Strategic Development Plan, 2012–2025 (WSSDP)	2012
Development Partners Compact, 2012–2022	2012
National Community Water and Sanitation Strategy (NCWSS)	2014
District Operational Manual (DOM), Volume 1	2014

Title	Year
Assessing and Monitoring Rural and Small-Town Water Supply Services in Ghana	2014
Programme Implementation Manual (PIM) (National Community Water and Sanitation Programme)	2014

3 Results

The following sections present general findings from the analysis of the baseline and present documents. Results are aggregated by average and mean for each building block, as well as for each document.

3.1 Results for baseline documents (2005–2010)

Table 5 shows the extent to which the building blocks of a service delivery approach were addressed in the baseline documents. Red shading indicates the worst score (0).

Table 5 Scores for baseline documents, by building block

"Baseline" -1st Half	Average	Building Block/Year	1. Community-based management model for	2. Recognition and promotionof alternative	3. Monitoring service delivery and sustainability	4a. Harmonisation and alignment	4b. Harmonization and Alignment -	5. Direct support to service providers	6. Capacity support to MMDAs and private sector	7. Learning and adaptive management	8. Asset management of water infrastructure	9. Regulation of rural and small town water	10. Financing to cover all life-cycle costs
Growth and Poverty Reduction Strategy (GPRS II) (2006-2009)	0.45	2005	1	1	0	1	1	0	0	1	0	0	0
National Water Policy	1.73	2007	2	1	1	2	2	2	2	2	1	2	2
Ghana Joint Assistance Strategy (2007)	0.45	2007	0	1	0	1	0	0	0	1	0	0	2
Strategic Investment Plan (2008-2015)	1.45	2008	1	1	2	2	2	2	2	1	1	1	1
Water and Sanitation Sector Performance Report	2.00	2009	2	2	2	2	2	3	2	3	1	2	1
CWSA Annual Report (2009)	1.82	2009	2	2	2	2	2	2	2	2	2	2	0
Small Communities Sector Guidelines (Design Guidelines)	0.82	2010	1	1	1	0	0	1	1	1	1	1	1
Small Communities Sector Guidelines (O&M Guidelines)	1.55	2010	2	2	2	1	1	1	2	2	2	1	1
Water Safety Framework	1.36	2010	1	0	2	1	1	2	2	1	2	2	1
GSGDA Ghana Shared Growth and Development Agenda	1.09	2010	1	1	2	1	1	1	1	1	1	1	1
Sanitation and Water for ALL: a Global Framework for Action (2010)	1.91	2010	2	1	2	3	3	2	2	3	1	1	1
Average	1.33		1.36	1.18	1.45	1.45	1.36	1.45	1.45	1.64	1.09	1.18	1.00
Median	1.00		1	1	2	1	1	2	2	1	1	1	1

The average score for the baseline documents is 1.33, which is well below the benchmark or minimal basic level identified in the QIS indicators (Annex 6). The average median score is only 1.0. The highest-scoring document is the 2009 Water and Sanitation Sector Performance Report (averaging a score of 2), and the lowest, the Ghana Joint Assistance Strategy and the Ghana Poverty Reduction Strategy (2005). The low scores in some instances can be attributed to the high-level nature of documents that concern multiple sectors, not just WASH, and therefore might not be expected to address the specifics of water and sanitation service delivery.

Figure 2 shows the average scores for each building block.

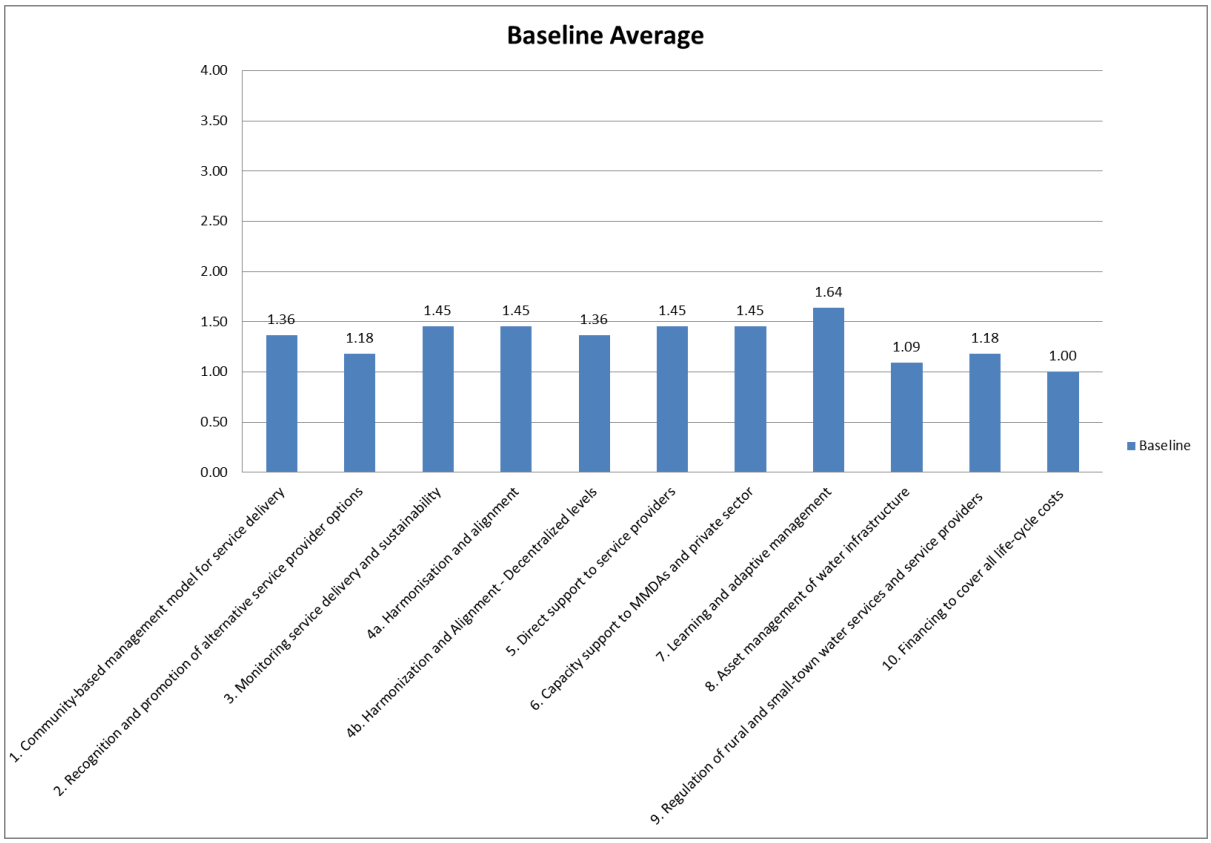

Figure 2 Averages for baseline documents, by building block

The first four building blocks—**community-based management model for service delivery, recognition and promotion of alternative service providers, monitoring service delivery and sustainability** and **harmonisation and alignment**—all average approximately 1.5, or just below the benchmark. The median score for **monitoring for service delivery** was 2, the benchmark level. All documents that were primarily WASH related (i.e., National Water Policy, Water and Sanitation Sector Performance Report, Community Water and Sanitation Agency 2009 annual report, Sanitation and Water for All: A Global Framework for Action) scored at the benchmark level for **community-based management model for service delivery**, a concept that was introduced to the sector at the beginning of the Triple-S project.

Evidence of **recognition and promotion of alternative service provider options** is weaker, scoring at the benchmark level in only three documents (Water and Sanitation Sector Performance Report, Community Water and Sanitation Agency 2009 annual report, Small Communities Sector Guidelines). Almost all documents made some reference to the concept, however, including the National Water Policy, where Focus Area 5, Section 2.4.5, states, 'Government will therefore: (i) actively promote and protect the involvement of the local private sector in water delivery through arrangements that are beneficial to all stakeholders (operators, consumers and public entities)'. Improvement in this area would be a clear indicator of progress once the new National Water Policy becomes available.

For **monitoring service delivery and sustainability**, all but four documents score at the benchmark level, and the median score was also 2 (The National Water Policy has little to justify a score above 1, however). General decentralization policies arguably support monitoring and

evaluation, but monitoring for service delivery, along with other longer-term sustainability aims, is not explicitly mentioned.

The average scores for **harmonisation and alignment** at both national and decentralized levels are at or just below 1.5 and the median score is 1. Links to national policies, strategies, programmes and priorities for water service delivery were mentioned, but stakeholders (GoG, DPs, NGOs, CSOs and the private sector) were implementing water projects outside the national systems and priorities. DP systems (although independent) should be in line with national priorities. Evidence of the need for alignment was found in the Strategic Investment Plan (2008–2015), the Water and Sanitation Sector Performance Report 2009 and the Community Water and Sanitation Agency Annual Report (2009), as well as the National Water Policy 2007, where a sector-wide approach is formally tabled (p.69). The Sanitation and Water for All: A Global Framework for Action (2010) scores 3 for this building block. The SWA Compact 'recognizes the pillars of the Paris Declaration and the Accra Agenda for Action as well as other important accords of the AU such as the e-Thekwini and Sharm El-Sheik declarations' (p.5) and puts in place a range of practical measures to improve harmonization and coordination in the sector, including actionable strategic water sector development plans to ensure that 'its own plans, programmes and projects as well as those of Development Partners are reflected by MTDPs [mid-term development plans] of MMDAs [metropolitan municipal district authorities] in line with the Principle of Subsidiarity' (p.10). It also indicates a (theoretically) receptive attitude from the national policy sector in Ghana to "ensure that its national policies derive from, and are based on priority measures and strategies of the sanitation and water sectors' (p.10).

Learning and adaptive management averages highest, at 1.64. Higher scores were found in the 2009 Water and Sanitation Sector Performance Report and the Sanitation and Water for All: A Global Framework for Action, each scoring 3. Evidence of improved learning practices is a positive trend in the baseline sample, with WSSPR 2009 referring to groups such as the Resource Centre Network and the Ghana Water Forum (pp.28, 65).

The average scores for **direct support to service providers** and **capacity support to MMDAs and the private sector** are 1.45 and 1.64, respectively, but the median score, 2, indicates a consistent achievement of the QIS benchmark across multiple documents. Evidence that direct support is being provided in accordance with national guidelines and that training and logistics are provided to MMDAs and the private sector is fairly well established. The Water and Sanitation Sector Performance Report 2009 scores 3 for **direct support to service providers**: it includes guidance on how district assemblies should play a key role in supporting community management (p.46) and contains detail on the Community Water and Sanitation Agency performance contract (p.53).

Lower average scores can be seen for the building blocks that relate to the long-term financial sustainability of services– a finding also noted in the international QDA report[7]. Given the importance of long term financing for genuine sustainability of services, this gap should worry both national and international sector stakeholders. The average score is 1.09 for **asset management of water infrastructure**, 1.18 for **regulation of rural and small-town water services and service providers** and 1.0 for **financing to cover all life-cycle costs**. Two documents, do however achieve the benchmark for **financing to cover all life-cycle costs**: the National Water Policy identifies sustainable financing as an area of need, in terms of both capital and operation and maintenance costs (Section 2.4.3, Focus Area 3, Finance Challenges), and the Ghana Joint Assistance Strategy (2007) also commits to 'upgrading public expenditure and financial management, in particular strengthening value for money structures related to public

[7] http://www.waterservicesthatlast.org/about_us/triple_s_learning/qualitative_document_analysis

expenditure and investment' (p.20). On the whole however, the baseline documents are weak in these areas.

3.2 Summary of findings for baseline documents

The baseline documents performed lower than the benchmark level for all the building blocks of a service delivery approach, with an average score of 1.33 and they show special weakness in relation to financial sustainability and regulation.

Positive highlights include detailed evidence of **harmonisation and alignment** and **learning and adaptive management** in Sanitation and Water for All: A Global Framework for Action (2010) and strong evidence of **direct support to service providers** in the 2009 Water and Sanitation Sector Performance Report.

3.3 Results for 'Present' documents (2011–2014)

Table 6 shows that the building blocks of a service delivery approach are being addressed to a greater extent in recent documents. Green shading, indicating higher scores (2 and above) now predominates.

Table 6 Scores for current documents

"Present" Second Half	Average	Building Block/Year	1. Community-based management model for	2. Recognition and promotionof alternative	3. Monitoring service delivery and sustainability	4a. Harmonisation and alignment	4b. Harmonization and Alignment -	5. Direct support to service providers	6. Capacity support to MMDAs and private sector	7. Learning and adaptive management	8. Asset management of water infrastructure	9. Regulation of rural and small town water	10. Financing to cover all life-cycle costs
National Community Water and Sanitation Programme: Programme Implementation Manual (PIM)	2.45	2011	3	3	3	2	2	3	3	2	2	2	2
National Policy on Public Private Partnerships (PPP) (2011)	1.00	2011	0	2	2	1	1	0	1	1	0	2	1
Community Water and Sanitation Agency Regulations (LI), 2011 (2007)	1.27	2011	2	0	3	0	0	0	1	0	2	3	3
Water Sector Strategic Development Plan (2012-2025)	1.91	2012	2	2	2	2	2	2	2	2	2	2	1
Development Partners Compact (2012-2022)	1.00	2012	1	1	0	1	1	2	0	2	1	1	1
National Community Water and Sanitation Strategy (2014)	2.64	2014	3	2	3	2	2	3	3	3	3	3	2
District Operation Manual – Volume 1 (2014)	2.82	2014	3	3	3	2	2	3	3	2	3	3	4
Assessing and Monitoring Rural and Small Town Water Supply Services in Ghana (2014)	2.18	2014	3	0	3	0	3	3	2	2	3	2	3
National Community Water and Sanitation Programme: Programme Implementation Manual (PIM)	2.91	2014	3	3	3	3	3	3	3	2	3	3	3
Average	2.02		2.22	1.78	2.44	1.44	1.78	2.11	2.00	1.78	2.11	2.33	2.22
Median	2.00		3	2	3	2	2	3	2	2	2	2	2

The average score for all 'present' documents is 2.02, and all median scores for individual building blocks are at the benchmark level or above, which indicates take up of service delivery concepts. The highest-scoring document is the 2014 Programme Implementation Manual of the National Community Water and Sanitation Programme, which scores 3 for all building blocks except **learning and adaptive management**. The National Policy on Public Private Partnerships and the Development Partners Compact received low scores because specific mention of the components of the service delivery approach was not found in these high-level documents.

Figure 3 shows the average scores for each building block.

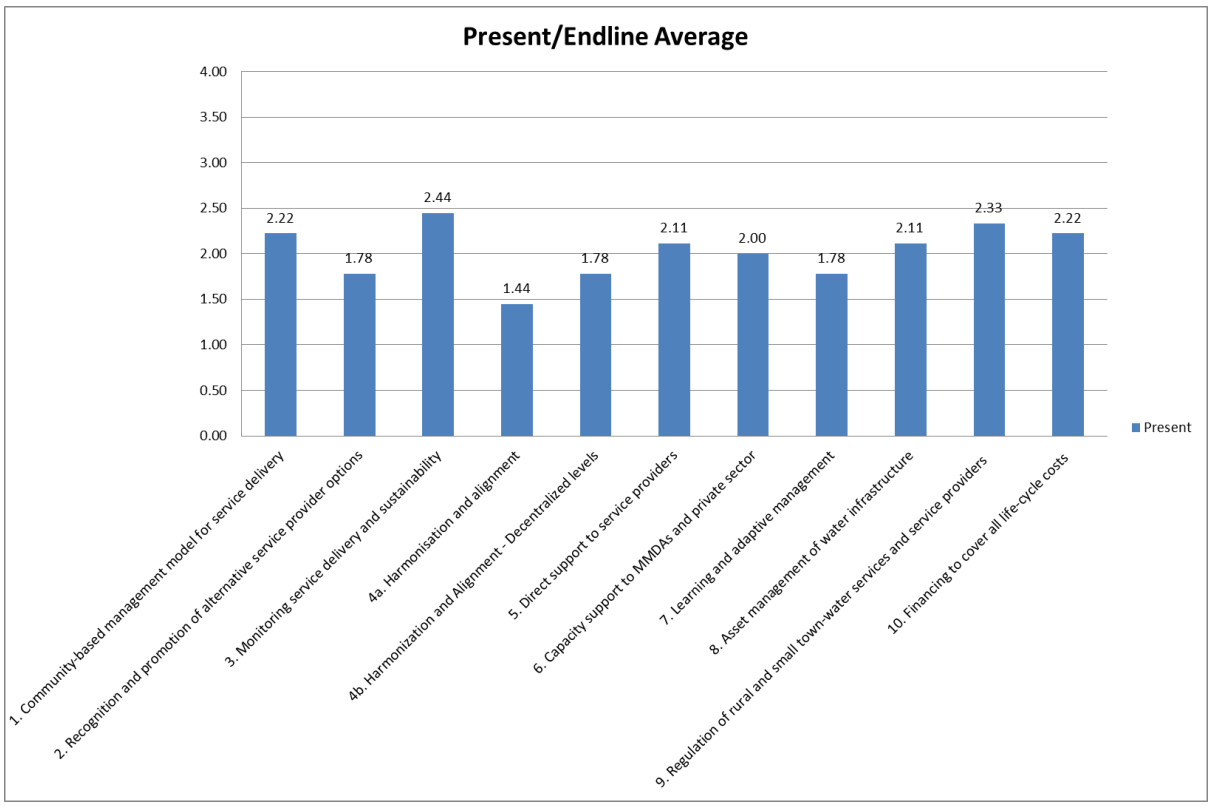

Figure 3 Averages for present documents, by building block

Present documents achieve an average score of 2.2 for **community-based management model for service delivery**, although the most recent documents, those released in 2014, score 3: the National Community Water and Sanitation Programme, District Operational Manual, Assessing and Monitoring Rural and Small-Town Water Supply Services in Ghana, and the 2014 Programme Implementation Manual. Similarly, these documents had a median score of 3 for **monitoring service delivery and sustainability** and **direct support to service providers**, and a median score of 2 for a**sset management of water infrastructure**. This indicates a significant increase in the level of detail about these building blocks.

Criteria for the **community-based management model for service delivery** include 'evidence of performance of roles and responsibilities, e.g. minutes of meetings, maintenance records, revenue and expenditure records from service providers'. This evidence is apparent in the 2014 Programme Implementation Manual (Section 5, Sector Strengthening) and the 2014 District Operational Manual (Chapters 1 and 3, which outline the components of water service delivery in relation to community ownership and management). Community-based management has been formalised as the third principle of the National Community Water and Sanitation Programme strategy (p.6) along with the service delivery approach itself (Principle 9).

On average, current documents score below the benchmark for **recognition and promotion of alternative service provider options**, but both the 2014 Programme Implementation Manual and the 2014 District Operational Manual score 3. The latter manual includes this direct reference to service provider options:

> *Private sector actors/ institutions: are key stakeholders in WASH projects and programmes that provide services, goods and works in districts. At district level, private sector actors/ institutions includes Technical Assistance agents (consultants, partner organisations), contractors, spare parts dealers, area mechanics, latrine artisans, and private operators. (p.6)*

The 2014 Community Water and Sanitation Agency Strategy also states that 'Under the community management approach for piped schemes, water services are provided by the WSMTs [water and sanitation management teams], either directly where the WSMT employs staff, or through a private operator (PO) that is overseen by the WSMT'.

Present documents achieved the highest average score for **monitoring service delivery and sustainability** (2.44) with a median score of 3. This significant improvement over the baseline documents reflects improved operational and implementation guidelines: the District Operational Manual and the Programme Implementation Manual advocate service delivery monitoring approaches and together seek to address challenges to effective harmonisation and agreement on monitoring indicators (2014 Community Water and Sanitation Agency Strategy, p. 40). Monitoring should now include 'daily recordings of revenue and expenditure, records on spare parts, performance of facilities and WSMTs' (2014 District Operational Manual, p. 51).

No real improvement is seen in **harmonisation and alignment**, although present documents' median score is 2 (versus 1 for baseline documents) because of a better spread of higher scores across documents. Two documents, Assessing and Monitoring Rural and Small-Town Water Supply Services in Ghana and Community Water and Sanitation Agency Regulations both score 0, which brings the average down. The overall situation in the sector is summarised by the 2014 National Community Water and Sanitation Strategy: even though sector collaboration and co-ordination are part of the strategic framework,

> *Weak harmonisation and alignment results from the lack of uniform mechanisms and systems of financial flows, project management, information dissemination, monitoring and reporting. Development partners tend to employ their own procedures, systems and reporting requirements, instead of aligning to the Government's. (p 11)*

Direct support to service providers is well established, as apparent in the scores for all the most recent strategic, operational and guideline documents. The sixth pillar of the 2014 National Community Water and Sanitation Strategy is to establish a 'support framework'. The central role of the MMDA in supporting community management is further enshrined as one of the nine principles of the Community Water and Sanitation Agency itself (p.6). Furthermore, the service delivery cycle of the 2014 District Operational Manual (p.11–27) clearly sets out the multiple occasions when direct support to stakeholders at various levels of service provision should be undertaken. This does not mean that all projects and programmes are fully carried out in practice, but in terms of documentation and planning, the concept is clearly well established.

Attention to **capacity support to MMDAs and private sector** has improved: the average score has risen from 1.45 to 2. The National Community Water and Sanitation Strategy scores 3, as do the Programme Implementation Manual and the District Operational Manual. These above-benchmark scores indicate evidence of training, technical support, monitoring and supervision as well as financial assistance. The low score of the 2011 National Policy on Public Private Partnerships likely indicates that these specific elements of capacity support were not mentioned, even though they may be supported at a national level.

Present group documents show only marginal improvement in support for **learning and adaptive management**, although this is difficult to assess because the criteria call for direct attribution of decisions taken in response to discrete events. However, entire documents and processes are themselves evidence of a learning sector. Performance reviews, strategies and, theoretically, monitoring systems (such as the District Monitoring and Evaluation System, DiMES) can all support 'learning and adaptive management' if applied effectively. The 2014 National Community Water and Sanitation Strategy is the only document to score above the benchmark, largely because of its clear description of national-level coordination mechanisms (Table 1, p. 20) and a planning framework (p.21–23).

For the remaining building blocks, documents showed significant improvement: the average scores were 2.11 for **asset management of water infrastructure**, 2.33 for **regulation of rural and small-town water services and service providers**, and 2.22 for **financing to cover all life-cycle costs**.

More focus on **asset management of water infrastructure** is apparent in all documents released in 2014. The District Operational Manual in particular makes a strong contribution to this aspect of service delivery by clarifying roles and responsibilities for district assemblies in asset management (p.5, 46), describing the use of DiMES (p.51) and laying out detailed steps for the management of community assets (Section 6.2, Figure 5, p. 46). Moreover, the Community Water and Sanitation Agency strategy calls for using or adapting the Ghana Integrated Financial Management Information Systems to assist in all aspects of financial planning. This increased attention to asset management appears to have begun with the 2011 Water Sector Strategic Development Plan for 2012–2025, which proposed a 'functionality study to create a database on all water facilities, establish their functionality and their respective dates of installation … [to] be used in designing an elaborate programme to rehabilitate and replace facilities that have outlived their lifespan' (Section 3.2.1.2, Rural and Small Towns Water Service, p. 36).

Regulation of rural and small-town water services and service providers is also well documented. The 2011 Community Water and Sanitation Agency Regulations and three 2014 documents—the National Community Water and Sanitation Strategy, the District Operational Manual and the Programme Implementation Manual—all score 3. Challenges are well laid out in the National Community Water and Sanitation Strategy, where regulation is a stand-alone pillar in the strategic framework. Formally, the regulatory framework for the sub-sector is based on the 1998 Community Water and Sanitation Agency Act (Act 564), the 1933 Local Government Act 1993 (Act 462), and the 2007 Legislative Instrument of Community Water and Sanitation Regulations (p.30). In the QIS ladder, 'regulation is a set of functions, norms, and enforcement processes that ensure both services and service providers (operators) meet nationally set guidelines and standards. Regulation can cover economic, environmental and public health aspects of service provision'. Thus, this building block can be achieved through various mechanisms, including monitoring and evaluation, not just formal regulation. Now that the regulatory framework in Ghana has been established, regulatory practices are evolving and have been highlighted as a 'critical institutional function' for the Community Water and Sanitation Agency (2014, p. 11), whose role will increase over the next five years (p 13).

The average score for recent documents in **financing to cover all life-cycle costs** is 2.2—a major improvement over the baseline—and the 2014 District Operational Manual achieved a score of 4, indicating that all criteria are satisfied. Specifically, 'All costs (cost of capital, operational and minor maintenance, capital expenditure, indirect support, direct support and capital maintenance expenditure) related to WASH service delivery are planned, budgeted,

implemented'. Whether actual implementation is effective remains a question, but the District Operational Manual's language—'Budgeting for WASH delivery employs a life-cycle costs approach, providing allocations for the key cost components which are: capital expenditure, operational expenditure, capital maintenance expenditure, direct support, indirect support and cost of capital' (pp.42–43)—is a clear and credible move towards institutionalizing the approach. This is reinforced by the Community Water and Sanitation Agency's uptake of the service delivery approach as the ninth principle in its 2014 strategy, which requires 'determination of the full life-cycle costs of facilities to ensure sustainable budgeting and financing' (p.7).

3.4 Summary of findings for current documents

Both quantitatively and qualitatively, the sample of present documents shows a clear improvement over the baseline for nearly all building blocks, especially **regulation of rural and small-town water services and service providers, asset management of water infrastructure and financing to cover all life-cycle costs**. The change is largely due to the documents published in early 2014. All median scores are at benchmark level or above, which reflects an increased level of service delivery concepts throughout the majority of documents. The comparison is illustrated in Figure 4.

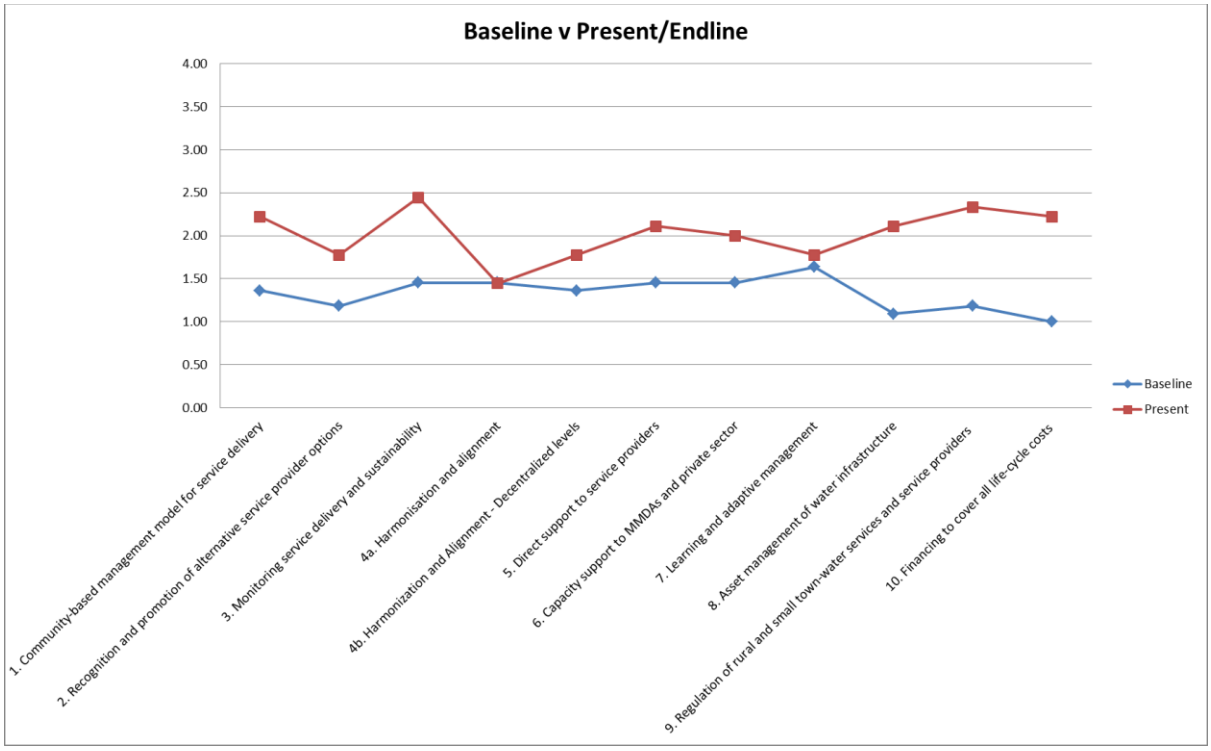

Figure 4 Scores for baseline and current documents, by building block

Highlights:

- References to monitoring service delivery and sustainability significantly increased (though a unified system remains to be implemented).
- Community management, which is now firmly established, is discussed in detail in current documents.
- Scores for **harmonisation and alignment** show no real improvement—a potential cause for concern.

- Most-improved areas are **asset management of water infrastructure**, **regulation of rural and small-town water services and service providers** and **financing to cover all life-cycle costs**.
- The 2014 District Operational Manual makes a strong contribution to achieving **asset management of water infrastructure**.
- Regulation and the regulatory functions of the Community Water and Sanitation Agency are evolving in practice as a 'critical institutional function' (2014, p. 11).
- Reference to **financing to cover all life-cycle costs** has improved greatly, especially in the 2014 District Operational Manual and the Community Water and Sanitation Agency Strategy.

4 Overall findings and conclusions

This study has shown a clear shift towards service delivery terminology. Figure 5 tracks the average maximum QIS indicator score on a yearly basis from 2005 to 2014, across both baseline and current documents.

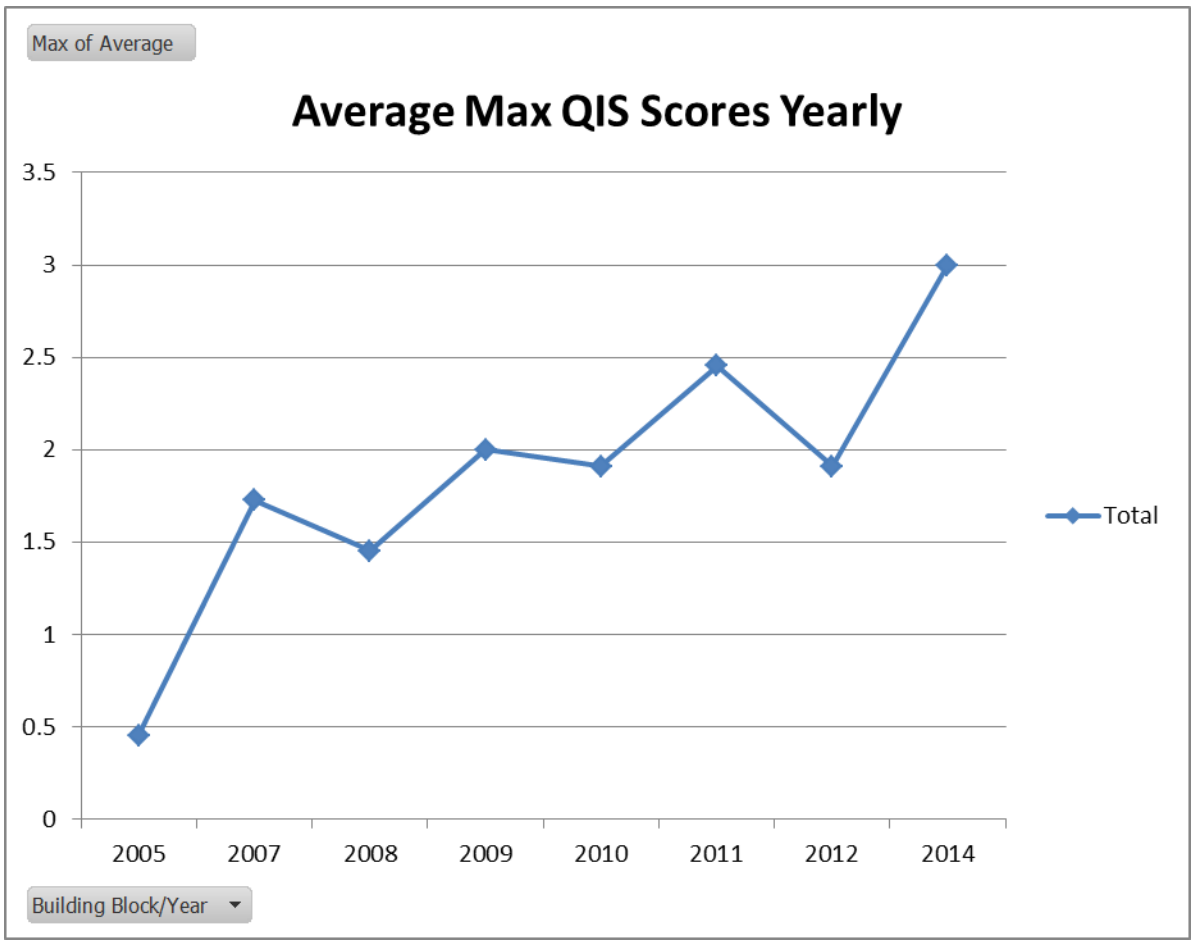

Figure 5 Average maximum QIS scores, by year

Even though challenges in implementation remain, the building blocks of a service delivery approach are increasingly present in sector documents in Ghana.

- The community-based model is well established in both baseline and present documents. The present documents indicate progress in setting out the processes and steps to working with communities, in practice as well as in theory.
- Alternative service providers are formally recognized: private contractors are explicitly permitted to provide services to WSMTs, especially in small-town settings, and this option is well integrated into planning and guidance procedures. Self-supply is less well articulated, however.
- References to monitoring for service delivery and sustainability have increased, largely as a result of the 2014 District Operational Manual and the 2014 Programme Implementation Manual; this building block received the highest average scores.
- Harmonisation and collaboration are weaker in practice than on paper, as highlighted as a challenge in the latest Community Water and Sanitation Agency strategy document. Dissemination and uptake of the 2014 Programme Implementation Manual and 2014 District Operational Manual, as well as better use of existing communication links (and Community Water and Sanitation Agency communication framework) between GoG and development partners and other stakeholders, could improve harmonisation and alignment.
- Direct support and capacity support to MMDAs and the private sector are given centrality and greater detail across multiple documents, reinforcing the community ownership and management model. Financial constraints remain a hindrance to effective support, however.
- Uptake of learning and adaptive management is difficult to assess because evidence is often not recorded clearly, and scores for this building block remain low. Nevertheless, the overall improvement in the current documents can itself be interpreted as evidence of learning and adaptation.
- Asset management processes have been well outlined in the 2014 District Operational Manual; this presents a clear opportunity to scale up the approach.
- A strong *de jure* regulatory framework may lead to greater *de facto* enforcement via numerous mechanisms, along both the project cycle and the life cycle of services.
- Funding to cover life-cycle costs is at the centre of the Community Water and Sanitation Agency's strategy, and operational procedures are addressed in the 2014 District Operation Manual and the 2014 National Community Water and Sanitation Strategy.

Service delivery concepts have undoubtedly gained a foothold in the sector's documents, especially at an operational level from 2014 onwards. This QDA study therefore demonstrates a progressive change in the language and structure of policy and programming documents over time in Ghana.

5 References

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6 Annex

6.1 Documents reviewed

Growth and Poverty Reduction Strategy II (2006–2009)	2005
National Water Policy	2007
Ghana Joint Assistance Strategy (2007)	2007
Strategic Investment Plan (2008–2015)	2008
Water and Sanitation Sector Performance Report	2009
Community Water and Sanitation Agency Annual Report (2009)	2009
Small Communities Sector Guidelines (Design Guidelines)	2010
Small Communities Sector Guidelines (Operation and Maintenance Guidelines)	2010
Water Safety Framework	2010
Ghana Shared Growth and Development Agenda I	2010
Sanitation and Water for All: A Global Framework for Action	2010
Programme Implementation Manual	2011
National Policy on Public Private Partnerships	2011
Community Water and Sanitation Agency Regulations (2007)	2011
Water Sector Strategic Development Plan (2012–2025)	2012
Development Partners Compact (2012–2022)	2012
National Community Water and Sanitation Strategy (2014)	2014
District Operational Manual, Volume 1 (2014)	2014
Assessing and Monitoring Rural and Small Town Water Supply Services in Ghana	2014
Programme Implementation Manual	2014

6.2 QIS ladders and building blocks

A qualitative information system (QIS) quantifies qualitative indicators, such as participation and inclusiveness, and outcome indicators, such as behavioural change, with the help of progressive scales, or ladders. QIS defines the scoring criteria by which a policy can be assessed. The aim is to ensure that the QDA analysis reflects the concerns of the national sector and that the framework for analysis (the building blocks) is appropriate.

Each step on the ladder has a short description, or mini-scenario, which describes the situation represented by a particular score. Typically, scores are structured as follows:

- A score of 0 indicates a situation in which the condition or practice is not present.
- A score of 1 is below the benchmark: the minimum standard that the programme wants to achieve is not reached.
- A score of 2 is the benchmark situation: this is the minimum standard.
- A scores of 3 is above the benchmark: the programme is achieving above the standard.
- A score of 4 represents an ideal situation.

QIS scales are thus programme-specific, and to capture the field realities, they must be developed through consensus by sector workers with extensive experience.

A typical QIS scale looks like the table below:

Description	Score
Ideal: all four (key) characters are present	4
Primary + secondary + tertiary characteristics present	3
Benchmark: primary + secondary characteristics are present	2
One (primary) characteristic present	1
Condition or practice is not present	0

This scoring system replaces that used in previous rounds of QDA, in which achievement of the building blocks of service delivery was rated 'good', 'OK', 'limited', or 'unclear/none'. The numerical scores facilitate a comparison of sector documents.

Building Blocks
In the International QDA on policy and practice documents, the framework used was based on the building blocks of sustainable service delivery. Country-level QDA should adopt the same approach so that results can be compared and lessons drawn.

Building Block	Description
1. Community-based management model for service delivery	Community management entities supported to move away from voluntary arrangements towards more professional service provision that is embedded in local and national policy, legal, and regulatory frameworks.
2. Recognition and promotion of alternative service provider options	A range of management options beyond community management, such as self-supply and public-private partnerships, formally recognised in sector policy and supported.
3. Monitoring service delivery and sustainability	Monitoring systems track indicators of infrastructure functionality, service provider performance, and levels of service delivered against nationally agreed norms and standards.
4. Harmonisation and coordination	Improved harmonisation and coordination among donors and government, and alignment of all actors (both government and nongovernment) with national policies and systems.
5. Support to service providers	Structured system of direct (post-construction) support provided to back up and monitor community management entities and other service providers.
6. Capacity support to service authorities	On-going capacity support provided to service authorities (typically local governments) to enable them to fulfil their role (planning, monitoring, regulation, etc.) in sustaining rural water services.
7. Learning and adaptive management	Learning and knowledge management supported at national and decentralised levels to enable the sector to adapt based on experience.
8. Asset management	Systematic planning, inventory updates, and financial forecasting for assets carried out, and asset ownership clearly defined.
9. Regulation of rural services and service providers	Regulation of the service delivered and service provider performance through mechanisms appropriate for small rural operators.
10. Financing to cover all life-cycle costs	Financial frameworks account for all life-cycle costs, especially major capital maintenance, support to service authorities and service providers, monitoring and regulation

Process

In practice, this means that a researcher assigns a score to specific part of the analysed document by applying QIS scoring ladders. While assigning a score, s/he needs to indicate the underlying reason.

Comments are aggregated in a summary sheet per document and per building block, based on which a final score per building block is decided. Final scores need to be explained. A sample final summary sheet is presented below:

BUILDING BLOCK	Evidence	QIS score 1st analyst	QIS score 2nd analyst	Final Score	Comment for final score
Block 1	Comment 1 (pg x_1) Comment 2 (pg x_2) … Comment n (pg x_n)	Y_1^1	Y_1^2	**Y_1**	(comment is necessary in order to explain the reason for the final score)
Block 2	Comment 1 (pg x_1) Comment 2 (pg x_2) … Comment n (pg x_n)	Y_2^1	Y_2^2	**Y_2**	
…..	…	….	….	….	
Block 10	Comment 1 (pg x_1) Comment 2 (pg x_2) … Comment n (pg x_n)	Y_{10}^1	Y_{10}^2	**Y_{10}**	

This approach would allow more structured and transparent way of documenting the findings and the analysis, as well as the foundation for further research development.

6.3 Defining QIS criteria for each building block

6.3.1 Community-based management model for service delivery

Community management are entities supported to be more professional in service provision that is embedded in local and national policy, legal and regulatory frameworks.

Definition: Various community-based management models, with roles and responsibilities for actors, and mechanisms for monitoring their performance and taking remedial measures. There are also documents that describe levels of services of the different models, the type of technology involved, institutional arrangement, revenue model, norms and standards, roles of members, rights and responsibilities. These are well defined in various sector documents.

Poor management and lack of checks and balances can all lead to inadequate technical, financial and managerial performance, and ultimately system breakdowns and service failure. When looking for **evidence** of community-based management model for service delivery in policy/practice documents, consider the following criteria for deciding on scores:

DESCRIPTION	Score
IDEAL There is evidence of guidelines that describe community-based management models; the guidelines have at least three of the following features: levels of services delivered by various management models, type of technology involved, institutional arrangement, revenue model, norms and standards, roles of members, rights and responsibilities. There is evidence of the establishment of service providers with the requisite skills and training, and availability of facility management plans. There are facility management plans; evidence of performance of roles and responsibilities, e.g., minutes of meetings, operation and maintenance records, revenue and expenditure records from service providers. There are evidences of annual financial, administrative and technical monitoring by district assemblies.	4
There is evidence of guidelines that describe community-based management models; the guidelines have at least two of the following features: levels of services delivered by various management models, type of technology involved, institutional arrangement, revenue model, norms and standards, roles of members, rights and responsibilities. There is evidence of the establishment of service providers with the requisite skills and training, and availability of facility management plans. There are facility management plans; evidence of performance of roles and responsibilities, e.g., minutes of meetings, maintenance records, revenue and expenditure records from service providers.	3
BENCHMARK There is evidence of guidelines that describe community-based management models (direct WSMT management; WSMT with private operator); the guidelines have at least two of the following features: levels of services delivered by various management models, type of technology involved, institutional arrangement, revenue model, norms and standards, roles of members, rights and responsibilities. There is evidence of the establishment of service providers with the requisite skills and training, and availability of facility management plans.	2
There is evidence of guidelines that describe community-based management models (direct WSMT management; WSMT with private operator); the guidelines have at least one of the following features: levels of services delivered by various management models, type of technology involved, institutional arrangement, revenue model, norms and standards, roles of members, rights and responsibilities.	1
No evidence of any guidelines or documents that describes community-based management models.	0

Primary source documents:

- District assemblies' model by-laws
- O&M guidelines for small towns and communities
- CWSA–LI
- O&M handbooks for WSMTs
- DWSPs
- District annual reports
- District composite budgets
- District monitoring reports
- CWSA regional reports/DiMES
- DA by-laws (gazetting WSMTs)
- Practice documents
- Facilities management plans (score 2 and 3)
- Contracts with private operators at DA level (score 2)
- WSMT records (score 3)

6.3.2 Recognition and promotion of alternative service provider options

Alternative service provider options[8] refer to models such as self-supply and public sector participation (PSP) that are a departure from the conventional model of direct WSMT management and the WSMT with private operator that has tended to dominate many rural water sectors.

Sustainable service provision based on community-based management needs service options to be well matched to the local context, service levels, technology and type of settlement. If it is formally recognized and supported, CBM can work. However, in many settings it struggles because it relies on volunteers and informal community institutions.

Alternatives such as small-scale private suppliers (public-private partnerships) or self-supply, where properly supported, can improve service to rural water users and extend it to those who are currently without.

When looking for **evidence** of recognition and promotion of alternative service provider options in policy/practice documents, consider the following criteria for deciding on scores:

DESCRIPTION	Score
IDEAL Evidence of at least two recognised alternative model for service delivery in addition to the following models: 1) utility management, 2) WSMT with private operator, 3) direct WSMT management in sector documents. There is clear evidence of definition of the operationalization (e.g., levels of services delivered by various management models, type of technology involved, institutional arrangement, revenue model, norms and standards, roles of members, rights and responsibilities) of at least two alternative service provider (PPP or self-supply) options in the sector. Availability of agreement between DA and service provider. Sector reporting on alternative model by DA, CWSA and NGOs.	4

[8] http://www.waterservicesthatlast.org/resources/building_blocks/alternative_service_provider_options

DESCRIPTION	Score
Evidence of at least two recognized alternative model for service delivery in addition to the following models: 1) utility management, 2) WSMT with private operator, 3) direct WSMT management in sector documents. There is clear evidence of definition of the operationalization (e.g., levels of services delivered by various management models, type of technology involved, institutional arrangement, revenue model, norms and standards, roles of members, rights and responsibilities) of at least two alternative service provider (PPP or self-supply) options in the sector. Availability of agreement between DA and service provider.	3
BENCHMARK Evidence of at least one recognized alternative model for service delivery in addition to the following models: 1) utility management, 2) WSMT[9] with private operator, 3) direct WSMT management in sector documents. There is clear evidence of definition of the operationalization (e.g., levels of services delivered by various management models, type of technology involved, institutional arrangement, revenue model, norms and standards, roles of members, rights and responsibilities) of at least one of the alternative service provider (PPP or self-supply) options in the sector.	2
Evidence of at least one recognized alternative model for service delivery in addition to the following models: 1) utility management, 2) WSMT with private operator, 3) direct WSMT management in sector documents.	1
No evidence of alternative service provider options was found in the sector document.	0

Source documents:

- TPP document (jeske, marieke)
- Private sector strategy document (Ministry of Water Resources Works and Housing)
- National Water Policy
- Government of Ghana PSP policy
- Project Implementation Manual
- Standards and Guidelines
- CWSA LI 2007
- District monitoring reports

Practice document:

- PSP contracts with private operators at DA level (score 3)

[9] WSMT stands for Water and Sanitation Management Teams. This used to be called WATSAN Committees or Water and Sanitation Development Boards.

6.3.3 Monitoring service delivery and sustainability[10]

Monitoring, consisting of regular collection, collation and analysis of reliable data, is a crucial building block in delivering sustainable services. Monitoring systems should track access, quality of a service over time, functionality, as well as performance of operators in key technical, financial, and management functions.

Basic monitoring data are critical for performance management and to enable local operators to assess problems, anticipate and address them, before the quality of service starts to deteriorate. Setting explicit targets for the levels of service in addition to coverage also helps countries to focus their efforts to improve service delivery, measure progress and take corrective actions in an informed and targeted way at sector level. At national level, monitoring will focus on the implementation of policies, ensuring that policy objectives and strategies or guidelines are being adhered to. at national level, targets are set with indicators[11] for service monitoring (e.g., access and coverage, functionality quality of service, pro-poor issues, state of facilities, reliability) from sector agencies.

When looking for **evidence** of monitoring service delivery and sustainability in policy/practice documents, consider the following criteria for deciding on scores:

DESCRIPTION	Score
IDEAL Evidence of monitoring water service delivery with focus on all indicators (coverage, functionality, service levels and performance of service authorities). Evidence of plans with roles and responsibilities being stipulated for different actors. Evidence of a legally recognised regulatory body for rural and small town water services. Provision and disbursement is made in budgets for major maintenance.	4
Evidence of monitoring water service delivery with focus on more than one indicator (functionality, service levels and performance of service authorities). Evidence of plans with roles and responsibilities being stipulated for different actors. Evidence of a legally recognised regulatory body for rural and small town water services. Provision is made in budgets for major maintenance.	3
BENCHMARK Evidence of monitoring water service delivery with focus on coverage. Evidence of plans with roles and responsibilities being stipulated for different actors. Evidence of a legally recognised regulatory body for rural and small town water services.	2
Evidence of monitoring water service delivery with focus on coverage. Evidence of plans with roles and responsibilities being stipulated for different actors.	1
No evidence of monitoring water service delivery in rural and small town sub-sector was found in the document.	0

Source documents:

- District assemblies' model by-laws
- Standards and guidelines for small towns and communities
- CWSA–LI
- O&M handbooks for WSMTs
- DWSPs

[10] http://www.waterservicesthatlast.org/resources/building_blocks/monitoring
[11] Definitions can be found in the following documents (Glossary of sector definitions)

- District annual reports
- Glossary of sector definitions
- M&E guidelines for district assemblies (from NDPC)
- WASH sector performance report
- CWSA annual reports
- DiMES user manual
- Framework for service monitoring

6.3.3.1 Harmonization and alignment

Harmonisation and alignment[12] entails all actors—national and local government, donors, lending banks, NGOs and other water sector stakeholders—recognizing and adhering to common principles and approaches when supporting rural water services. It includes the principles of aid effectiveness, meaning especially that all key stakeholders (development partners, private sector, NGOs, CSOs, MMDAs, MDAs) better harmonize amongst themselves behind national policies, priorities, and systems. It means rural and small-town water programming (at all levels) should follow nationally set policies, guidelines and standards.

National government provides common standardised policies for all stakeholders to work toward supporting the development of the sector. When there is improved coordination, it is likely that newly built infrastructure will be better maintained and supported by permanent institutions, regardless of provenance of investment. This prevents duplication of efforts and promotes efficient use of resources.

When looking for **evidence** of harmonization and alignment in policy/practice documents, consider the following criteria for deciding on scores:

Description	Score
IDEAL Evidence of linkage(s) to national policies, strategies, programmes and priorities for water service delivery was found in the document. Agreement and commitments on the framework and modalities for sector harmonisation and alignment between key stakeholders (GoG, DPs and NGOs). Stakeholders use national systems and approaches to provide WASH services. Sector performance reporting based on agreed set of core indicators. Funding for water investment and support goes through either sector budget, pool/basket funding, or through alternative means (e.g., PPPs) in line with national programmes.	4
Evidence of linkage(s) to national policies, strategies, programmes and priorities for water service delivery was found in the document. Agreement and commitments on the framework and modalities for sector harmonisation and alignment between key stakeholders (GoG, DPs and NGOs). Stakeholders use some national systems and approaches to provide water service delivery as mandated by national government but implementation remains fragmented. Sector performance reporting based on agreed set of core indicators.	3
BENCHMARK Evidence of linkage(s) to national policies, strategies, programmes and priorities for water service delivery was found in the document. Agreement and dialogue between key stakeholders (GoG, DPs and NGOs) to harmonise approaches, but Stakeholders use their own systems in line with national priorities.	2

[12] http://www.waterservicesthatlast.org/resources/building_blocks/harmonisation_coordination

Description	Score
Evidence of linkage(s) to national policies, strategies, programmes and priorities for water service delivery was found in the document; but key stakeholders (GoG, DPs, NGOs/CSOs/FBOs and private sector) implement water projects using approaches outside the national systems and priorities.	1
No evidence of linkage(s) to national policies, strategies, programmes and priorities for water service delivery was found in the document.	0

Reference documents

- National Development Policy Frameworks (GPRS I and II; GSGDA (framework and costing)
- Annual progress reports (2009–2011)
- Budget statements (2009–2013)
- WASH sector performance reports (2009 –2010)
- Ghana Joint Assistance Strategy 2007 (G-JAS)
- Leveraging Partnership for Shared Growth and Development 2012–2022 (GoG–DP compact)
- The Ghana Compact–SWA
- World Bank, Ghana Public Expenditure Review 2008, Rural Water and Sanitation Sector, May 2008
- AMCOW country overview for Ghana 2009/10
- Comprehensive Risk Assessment (CRA): The Ghana Water and Sanitation Sector Strategic Development Plan, July 2012
- Sanitation and Water in Small Towns and Rural Areas (SAWISTRA)
- World Bank, Project Appraisal Document, Sustainable Rural Water and Sanitation Project, 2010
- MDBS review documents
- GWF conference reports

6.3.3.2 Harmonization and alignment, decentralized levels[13]

Harmonisation and alignment[14] entails all actors—local government, donors, NGOs, private sector and other water sector stakeholders—recognizing and adhering to common principles and approaches and aligning interventions with common district WASH programmes when supporting rural water services. It means district assemblies providing leadership to ensure that interventions at local level follow nationally set guidelines and standards and district priorities.

Local government provides common platform and framework for harmonization and coordination of all stakeholder activities towards delivery of water services. When looking

[13] Stakeholders who participated in November 14, 2013, meeting agreed that we might look for different evidence of harmonization and alignment at the district level. Therefore building block 4b has been introduced for the analysis of the district level documents.

[14] http://www.waterservicesthatlast.org/resources/building_blocks/harmonisation_coordination

for **evidence** of harmonization and coordination in policy/practice documents, consider the following criteria for deciding on scores:

Description	Score
IDEAL Evidence of local government priorities and programming framework, but key stakeholders (GoG, DPs and NGOs) implement WASH projects using approaches outside local government WASH plans (DWSPs) was found in the document. Evidence of a framework for coordination and agreement and dialogue between key stakeholders (DA, DPs, NGOs and private sector) to coordinate interventions, but stakeholders follow district assembly plans and priorities. Stakeholders use nationally agreed standards and guidelines in the provision of WASH services, but implementation remains partly fragmented. Reporting based on nationally agreed set of core indicators in DA plans. District progress and financial reports capture all WASH interventions and expenditure	4
Evidence of local government priorities and programming framework, but key stakeholders (GoG, DPs and NGOs) implement WASH projects using approaches outside local government WASH plans (DWSPs) was found in the document. Evidence of a framework for coordination and agreement and dialogue between key stakeholders (DA, DPs, NGOs and private sector) to coordinate interventions, but stakeholders follow district assembly plans and priorities. Stakeholders use nationally agreed standards and guidelines in the provision of WASH services, but implementation remains partly fragmented. Reporting based on nationally agreed set of core indicators in DA plans.	3
BENCHMARK Evidence of local government priorities and programming framework, but key stakeholders (GoG, DPs and NGOs) implement WASH projects using approaches outside local government WASH plans (DWSPs) was found in the document. Evidence of framework for coordination and there is agreement and dialogue between key stakeholders (DA, DPs, NGOs and private sector) to coordinate interventions, but stakeholders still use their own plans, priorities and delivery approaches was found in the documents.	2
Evidence of local government priorities and programming framework, but key stakeholders (GoG, DPs and NGOs) implement WASH projects using approaches outside local government WASH plans (DWSPs) was found in the document.	1
No evidence of local government priorities and programming framework for WASH delivery was found in the document.	0

Source documents:

- DWSPs
- GIFMIS reports
- CWSA LI 2007
- DA reports
- DA financial reports
- NGO reports
- District Operational Manual (DOM)
- Minutes of coordination meetings
- MoUs between DA and NGOs

6.3.4 Direct support to service providers

Direct support[15] refers to the structured support activities provided to service providers as well as to users or user groups. This may be provided in a variety of ways.

Community-based service providers often need regular, structured support to help them fulfill administration, financial management, asset management, operation and maintenance functions. This has been shown to improve the likely sustainability of water services and to help reduce major breakdowns and faults.

When looking for **evidence** of support to service providers in policy/practice documents, consider the following criteria for deciding on scores:

DESCRIPTION	Score
IDEAL Evidence in sector documents on how direct support should be provided for WASH services. Reference to at least one form of direct support should be provided from the following sources: (a) local governments directly, (b) national/regional CWSA offices. Evidence of direct support being provided and received in accordance with national guidelines. There is evidence of plans and budgets for direct support. It is specified who will provide the support needed; evidence of direct support (or 'post-construction support') was found in the document and includes (but is not limited to) at least one of the following: (a) performance monitoring, (b) technical advice and information, (c) administrative support (e.g., help with tariff setting), (d) organizational support (e.g., to achieve legal status), (e) conflict resolution, (f) identifying capital maintenance needs (including advice on financing) and (d) training and refresher courses. Evidence of implementation of direct support plan and allocation of resources. Evidence of direct support being provided and received in accordance with national guidelines. Evidence of implementation of direct support plan and allocation of resources.	4
Evidence in sector documents on how direct support should be provided for WASH services. Reference to at least one form of direct support should be provided from the following sources: (a) local governments directly, (b) national/regional CWSA offices. Evidence of direct support being provided and received in accordance with national guidelines. There is evidence of plans and budgets for direct support. It is specified who will provide the support needed; Evidence of direct support (or 'post-construction support') was found in the document and includes (but is not limited to) at least one of the following: (a) performance monitoring, (b) technical advice and information, (c) administrative support (e.g., help with tariff setting), (d) organizational support (e.g., to achieve legal status), (e) conflict resolution, (f) identifying capital maintenance needs (including advice on financing) and (d) training and refresher courses. There is evidence of plans and budgets for direct support. Evidence of implementation of direct support plan and allocation of resources.	3
BENCHMARK Evidence in sector documents on how direct support should be provided for WASH services. Reference to at least one form of direct support should be provided from the following sources: (a) local governments directly, (b) national/regional CWSA offices. Evidence of direct support being provided and received in accordance with national guidelines. There is evidence of plans and budgets for direct support. It is specified who will provide the support needed; Evidence of direct support (or 'post-construction support') was found in the document and includes (but is not limited to) at least one of the following: (a) performance monitoring, (b) technical advice and information, (c) administrative support (e.g., help with tariff setting), (d) organizational support (e.g., to achieve legal status), (e) conflict resolution, (f) identifying capital maintenance needs (including advice on financing) and (g) training and refresher courses.	2
Evidence in sector documents on how direct support should be provided for WASH services. Reference to	1

[15] http://www.waterservicesthatlast.org/resources/building_blocks/support_to_service_providers

DESCRIPTION	Score
at least one form of direct support should be provided from the following sources: (a) local governments directly, (b) national/regional CWSA offices, (c) NGOs.	
No evidence in sector document that provides the framework for providing direct support for water service delivery.	0

Source documents:

- District assemblies' model by-laws
- O&M guidelines for small towns and communities
- CWSA–LI
- O&M handbooks for WSMTs
- DWSPs
- District annual reports
- SIPs
- Project Implementation Manual
- Medium Term Development Plan/District Budget
- District financial reports

Practice documents:

- Training manuals (score 1)
- Training reports
- NGO reports (score 4)

6.3.5 Capacity support to MMDAs and private sector

Capacity support[16] refers to support activities towards water service authorities and includes, the provision of technical assistance, monitoring and training of service authority staff and private sector around the key functions they are responsible for.

A growing number of governments in developing countries have devolved the responsibility for water and sanitation services to local government. Whilst it is recognised that capacity support is critical to successful decentralisation, in practice, the type of support required has been lacking, resulting in a vicious circle of low capacity and service delivery failure.

When looking for **evidence** of capacity support for local government in policy/practice documents, consider the following criteria for deciding on scores:

[16] http://www.waterservicesthatlast.org/resources/building_blocks/support_to_local_government

DESCRIPTION	Score
IDEAL Evidence of technical support required for service delivery of WASH facilities Evidence of training and logistics Provide framework and training to monitor, quality assure operation and maintenance of WASH services and works executed by MMDAs and private sector Evidence of financial support to MMDAs from internal (MMDAs-IGF) and external (DDF, DPs, NGOs etc) Evidence of compliance of the MMDAs and private sector to the CWSA Legislative Instrument, norms, standards and guidelines	4
Evidence of technical support required for service delivery of WASH facilities Evidence of training and logistics Provide framework and training to monitor, quality assure operation and maintenance of WASH services and works executed by MMDAs and private sector Evidence of financial support to MMDAs from internal (MMDAs-IGF) and external (DDF, DPs, NGOs, etc.)	3
BENCHMARK Evidence of technical support required for service delivery of WASH facilities Evidence of training and logistics provided to MMDAs and private sector	2
Evidence of available technical support for service delivery of WASH facilities (move this to consider the broad or basic technical support that the MMDAs will require).	1
No evidence of capacity support for MMDAs and private sector.	0

References:

- Sub-project proposals
- District Operational Manual
- Service monitoring indicator framework
- Project review cycle
- CWSA LI
- Programme Implementation Manual (PIM)
- Standards and guidelines
- District reports (DWSP)
- MTDP
- CWSA annual reports
- Report on District Development Facility (DDF) expenditure
- DA annual report/progress report
- MMDAs monitoring report
- CWSA quarterly reports
- Project completion reports from CWSA, NGOs and DPs

6.3.6 Learning and adaptive management

A 'learning sector'[17] is one that engages in continuous learning and reflection and is thus able to adapt to changing circumstances and demands. Ideally, learning takes place at all levels and brings people together at each level. Alliances can link learning initiatives horizontally and vertically (between districts and national level) to help ensure that lessons from practice feed into policy guidelines and that tools are shared with those responsible for service delivery.

[17] http://www.waterservicesthatlast.org/resources/building_blocks/learning_adapting

Building a learning sector with the capacity to continuously innovate, evolve and adapt, based on evidence is a must for delivering sustainable services and requires the capacity and willingness to address failure, do things together, better and differently.

When looking for **evidence** of learning and adaptive management in policy/practice documents, consider the following criteria for deciding on scores:

Description	Score
IDEAL Evidence of all the following learning activities: participation[18], sharing, documentation and facilitation being sustained according to agreed frequency (more than 2) at all levels with funding multiple institutions (including GoG), generating relevant information for policy debate, with impact towards changes in policies and practice (2 sector decisions informed by recommendations by LA) was found in the document	4
Evidence of all the following learning activities: participation, sharing, documentation and facilitation being sustained with bi-annual frequency at all levels with funding multiple institutions (including GoG), generating relevant information for policy debate, but with limited impact towards changes in policies and practice (1 sector decision informed by recommendations by LA) was found.	3
BENCHMARK Evidence of more than one of the following learning activities: participation, sharing, documentation and facilitation being sustained with bi-annual frequency at national level and one intermediate level with funding generating relevant information for policy debate.	2
Evidence of at least one of the following learning activities: participation, sharing, documentation and facilitation being sustained with annual frequency at national level, with funding.	1
No evidence of a learning platform was found in the document.	0

Reference documents Reference documents

- Selected RCN reflection papers
- RCN log - attendance and diversity
- Mole Conference reports and communiques
- Ghana Water Forum reports and communiques
- Regional LA reports/minutes
- WSSDP
- NCWSS
- PIM
- CWSA framework for functionality and service monitoring
- The Ghana Compact–SWA and commitment and report
- JMP reports for Ghana
- Ghana country Status overviews (AMCOW, JMP etc.)
- Ghana Water Forum
- Mole conference series
- RCN reflection papers
- Regional LAP reports
- CWSA review reports

[18] Participation refers to attendance and engagement/interaction in the learning event,

6.3.7 Asset management of water infrastructure

Asset management[19] is "the combination of management, financial, economic, engineering and other practices applied to physical assets with the objective of providing the required level of service in the most cost-effective manner" (National Asset Management Steering Group, 2006). In practical terms it is the maintenance of a desired level of service at the lowest life-cycle cost. Asset management is a scalable approach that can be implemented for systems of any size.

Why is it important?

Asset management leads to more realistic budgeting and planning and enables considerable cost savings over the medium and long term. Major replacements need to be planned for and financed properly and long-term planning for replacement is crucial if sustainable services are to be maintained permanently. In theory this is usually done by the service authority such as local government or another external body, therefore the service provider may not have full responsibility for large-scale capital replacement or upgrading.

When looking for **evidence** of asset management in policy/practice documents, consider the following criteria for deciding on scores:

DESCRIPTION	Score
IDEAL It is clear which institution is responsible for capital maintenance and for operation and maintenance (O&M). There is document that includes infrastructure asset management and is clear which institution is responsible for capital maintenance and for O&M. A monitoring system exists for collecting data. There are reliable and timely monitoring data for asset management. There is evidence of a systematic asset inventory of individual assets and their components. Implementation, review and improvement of the asset management plan are executed on a yearly basis.	4
It is clear which institution is responsible for capital maintenance and for O&M. There is document that includes infrastructure asset management and is clear which institution is responsible for capital maintenance and for O&M. A monitoring system exists for collecting data. There are reliable and timely monitoring data for asset management. There is evidence of a systematic asset inventory of individual assets and their components.	3
BENCHMARK It is clear which institution is responsible for capital maintenance and for O&M. There is document that includes infrastructure asset management and is clear which institution is responsible for capital maintenance and for O&M.	2
It is clear which institution is responsible for capital maintenance and for O&M.	1
No evidence of documents on which institution is responsible for capital maintenance and for O&M.	0

References:

- Service monitoring indicator framework
- District monitoring and evaluation system operations guide and user manual
- Water facility standards and guidelines
- Water facility designs (specific facility or systems)
- National Community Water and Sanitation strategy

[19] http://www.waterservicesthatlast.org/resources/building_blocks/asset_management

- National Asset Management Steering Group, 2006
- Strategic investment plan
- District assemblies' model by-laws: Establishment and operation of Water and Sanitation Board 2008
- Facility Management Plan (maintenance and repair records)
- District reports (DWSP)
- MTDP
- Minutes of MMDAs management meetings
- Asset register

6.3.8 Regulation of rural and small-town water services and service providers

Regulation is a set of functions, norms, and enforcement processes that ensure both services and service providers (operators) meet nationally set guidelines and standards. Regulation can cover economic, environmental and public health aspects of service provision.

In the rural and small towns water sector regulation[20] of services refers to setting and checking service provision standards so that consumers receive the intended level of service. Regulation may also apply to service providers and their performance in meeting national standards and to resolve potential conflicts with consumers.

More formalized regulation provides a mechanism for protecting both consumers and service providers and for strengthening the accountability relations between the two.

When looking for **evidence** of regulation of rural service and service providers in policy/practice documents, consider the following criteria for deciding on scores:

Description	Score
IDEAL Evidence of a legally recognised regulatory body for rural and small town water services. There is sub-sector regulation that provides a set of rules, norms, monitoring and enforcement processes to meet national or local guidelines and standards, with compliance and feedback informing practice.	4
Evidence of a legally recognised regulatory body for rural and small town water services. There is sub- sector regulation that provides a set of rules, norms, monitoring and enforcement processes to meet national or local guidelines and standards, with compliance and feedback	3
BENCHMARK Evidence of a legally recognised regulatory body for rural and small town water services. There is a sub-sector regulation that provides a set of rules, norms, monitoring and enforcement processes to meet national or local guidelines and standards, but with limited compliance.	2
Evidence of a legally recognised regulatory body for rural and small town water services. There is a sub-sector regulation that provides a set of rules, norms, monitoring and enforcement processes to meet national or local guidelines and standards.	1
No evidence of nationally set guidelines and standards to regulate water service delivery in rural communities and small towns.	0

[20] http://www.waterservicesthatlast.org/resources/building_blocks/regulation

Reference documents:

- Acts (CWSA and MLGRD)
- Standards, norms and guidelines
- NCWSS
- PIM
- DOM
- CWSA LI
- CWSA Monitoring reports
- CONIWAS reports
- Mole Conference reports
- WASH sector performance reports (2009 and 2010)
- Management models

6.3.9 Financing to cover all life-cycle costs

Life-cycle costs[21] represent the aggregate costs of ensuring delivery of adequate, equitable and sustainable WASH services indefinitely to a population in a specified area. These costs include:

- Capital expenditure on hardware and software (CapEx) (New investments)
- Operating and minor maintenance expenditure (OpEx) (Operational cost for service providers)
- Capital maintenance expenditure (CapManEx) (Major Replacement cost)
- Costs of capital (interest of loans etc.) (CoC) (Loans)
- Expenditure on direct support (ExpDS) (Monitoring and operational cost for CWSA regions and MMDAs)
- Expenditure on indirect support (ExpIDS) (Cost of national level support)

Planning and budgeting for life-cycle costs is an essential aspect of a service delivery approach. The life-cycle costs approach ensures budgets take into account the real costs of delivering a service and makes all life-cycle costs; from construction of new systems to short-term and long-term maintenance, district-level and national-level administration and planning, extension and improvement of services and eventual replacement of the infrastructure.

All of these costs, taken together, form the total cost of providing a sustainable level of service. By monitoring how each cost component affects the overall costs of the service, governments, investors, donors, service providers and service authorities can plan for sustainable and appropriate levels of service and keep service levels high.

When looking for **evidence** of financing to cover all life-cycle costs in policy/practice documents, consider the following criteria for deciding on scores:

[21] http://www.waterservicesthatlast.org/resources/building_blocks/financing_to_cover_all_life_cycle_costs

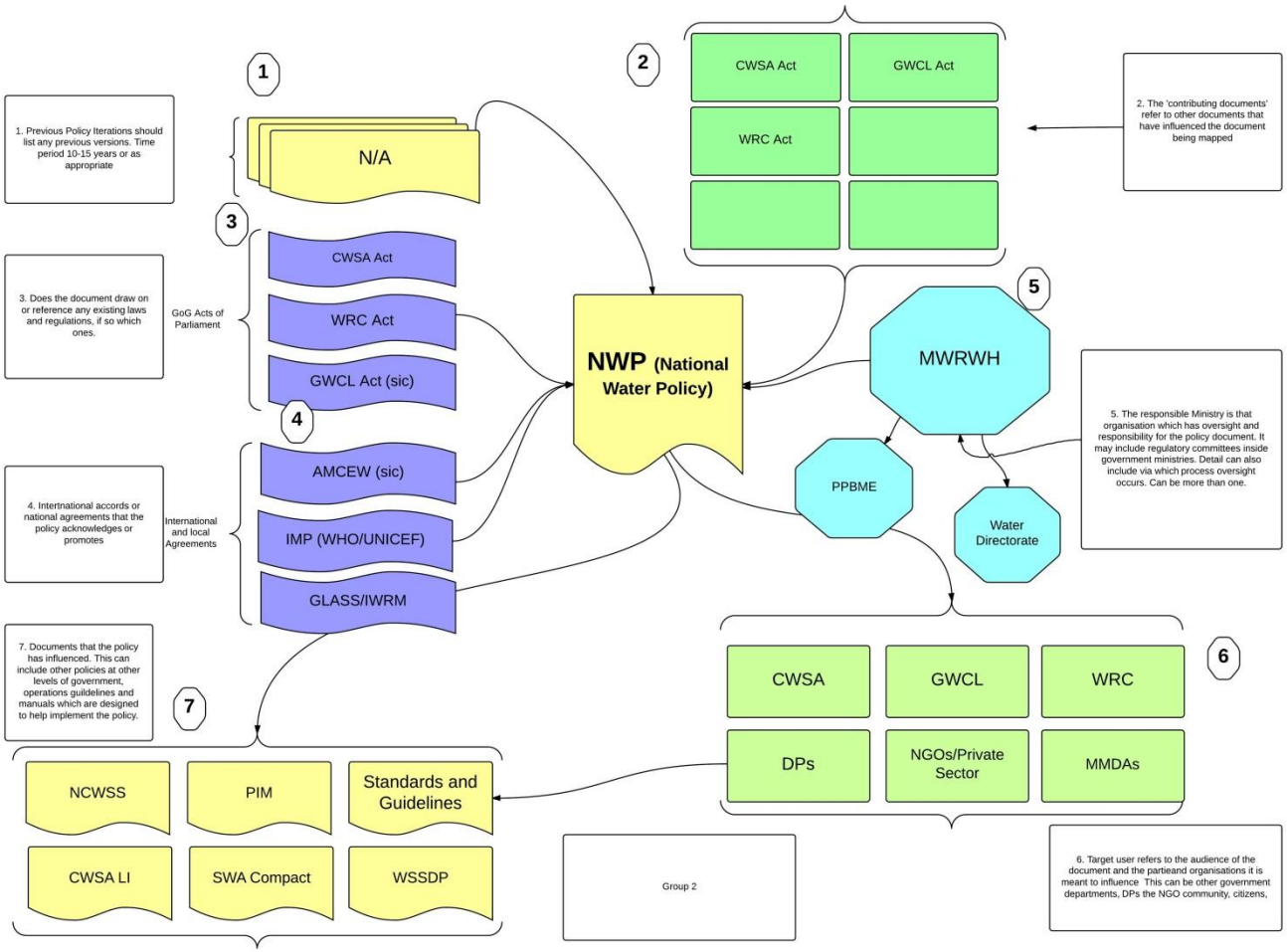
DESCRIPTION	Score
IDEAL There is evidence of WASH planning and budgeting using life cycle cost, but the emphasis is on capital expenditure. Financial planning includes direct support, operational and minor maintenance and clarity on the roles and responsibilities of these costs. The focus of financial planning is on recurrent expenditure (major, minor repairs and direct support). All costs (capital, operational and minor maintenance, capital expenditure, indirect support, direct support and capital maintenance expenditure) related to WASH service delivery are planned, budgeted and implemented.	4
There is evidence of WASH planning and budgeting using life-cycle cost, but the emphasis is on capital expenditure. Financial planning includes direct support, operational and minor maintenance and clarity on the roles and responsibilities of these costs. The focus of financial planning is on recurrent expenditure (major, minor repairs and direct support).	3
BENCHMARK There is evidence of WASH planning and budgeting using life-cycle cost, but the emphasis is on capital expenditure. Stakeholders involved in planning and budgeting are aware of all the cost components for WASH service delivery. Financial planning includes direct support, operational and minor maintenance and clarity on the roles and responsibilities of these costs.	2
There is evidence of WASH O&M.	1
No evidence of WASH O&M (consider looking at contribution to O&M).	0

References:

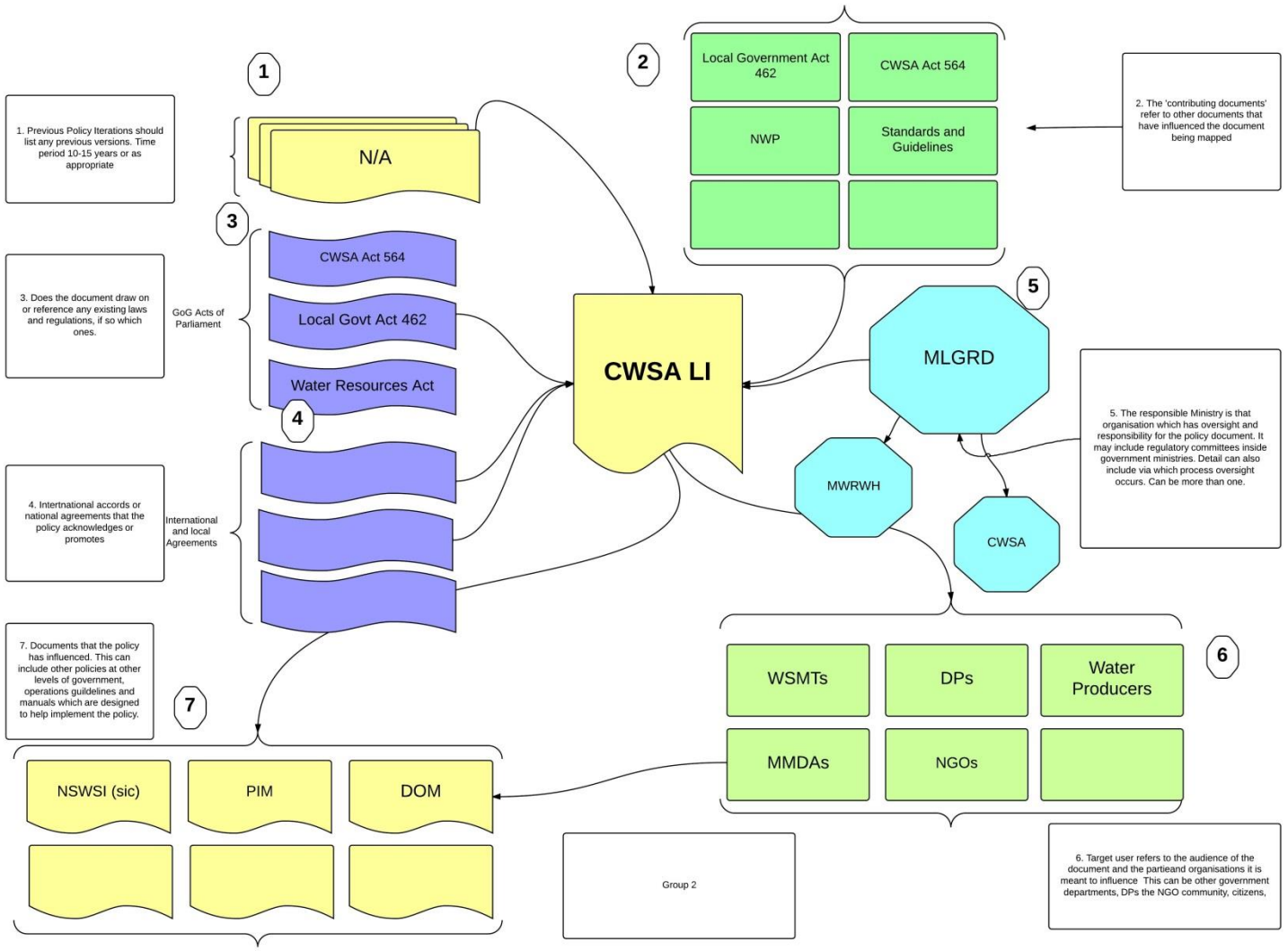
- District Operational Manual
- Standard and guidelines
- Tariff setting guidelines
- National Community Water and Sanitation strategy
- Strategic investment plan
- District water and sanitation plan
- Direct support committee report (draft)
- District assemblies' model by-law: Establishment and operation of Water and Sanitation Board 2008
- Tariff-setting guidelines

6.4 Document maps

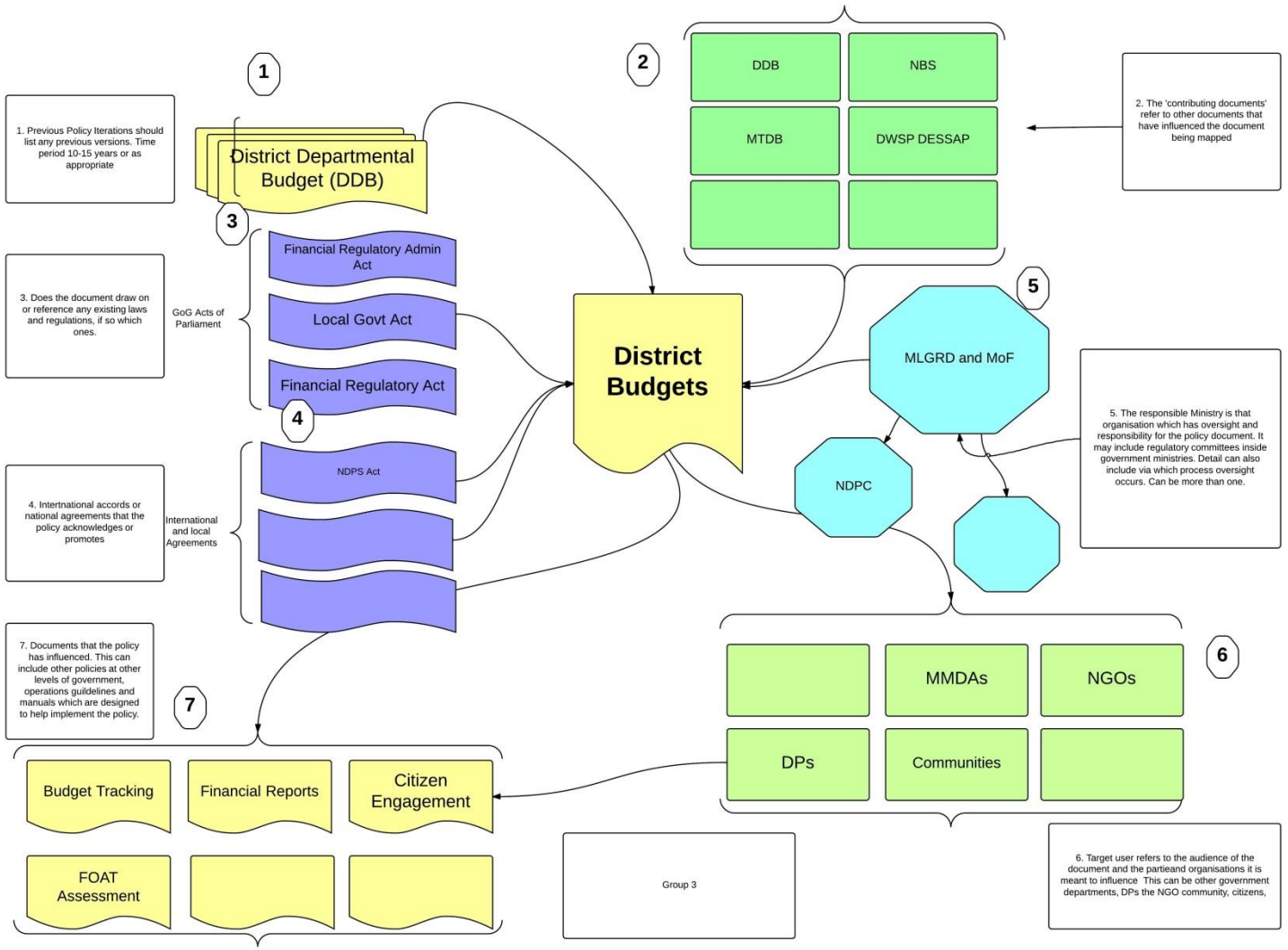
6.4.1 National Water Policy



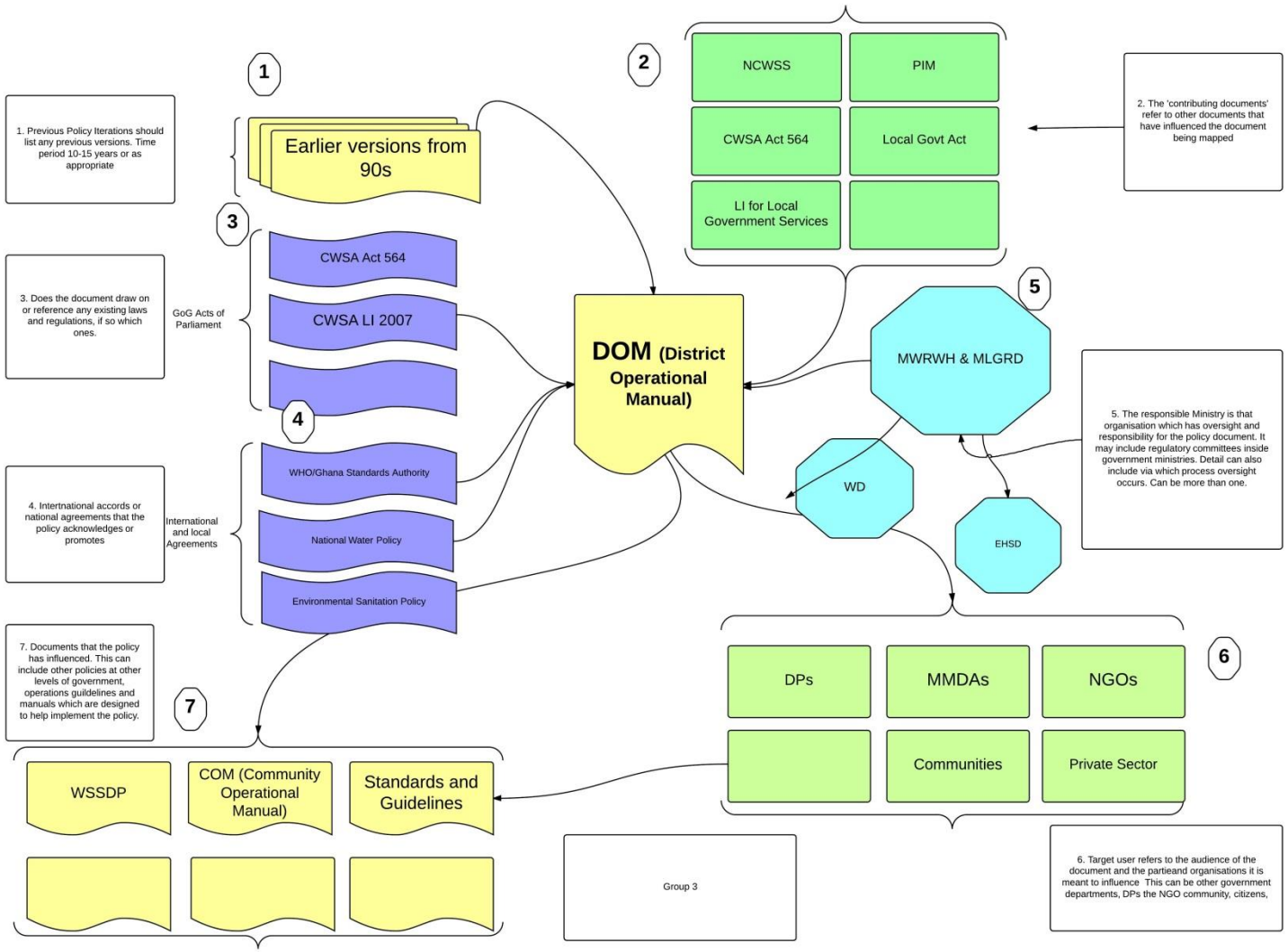
6.4.2 Community Water and Sanitation Agency LI (Legislative Instrument)



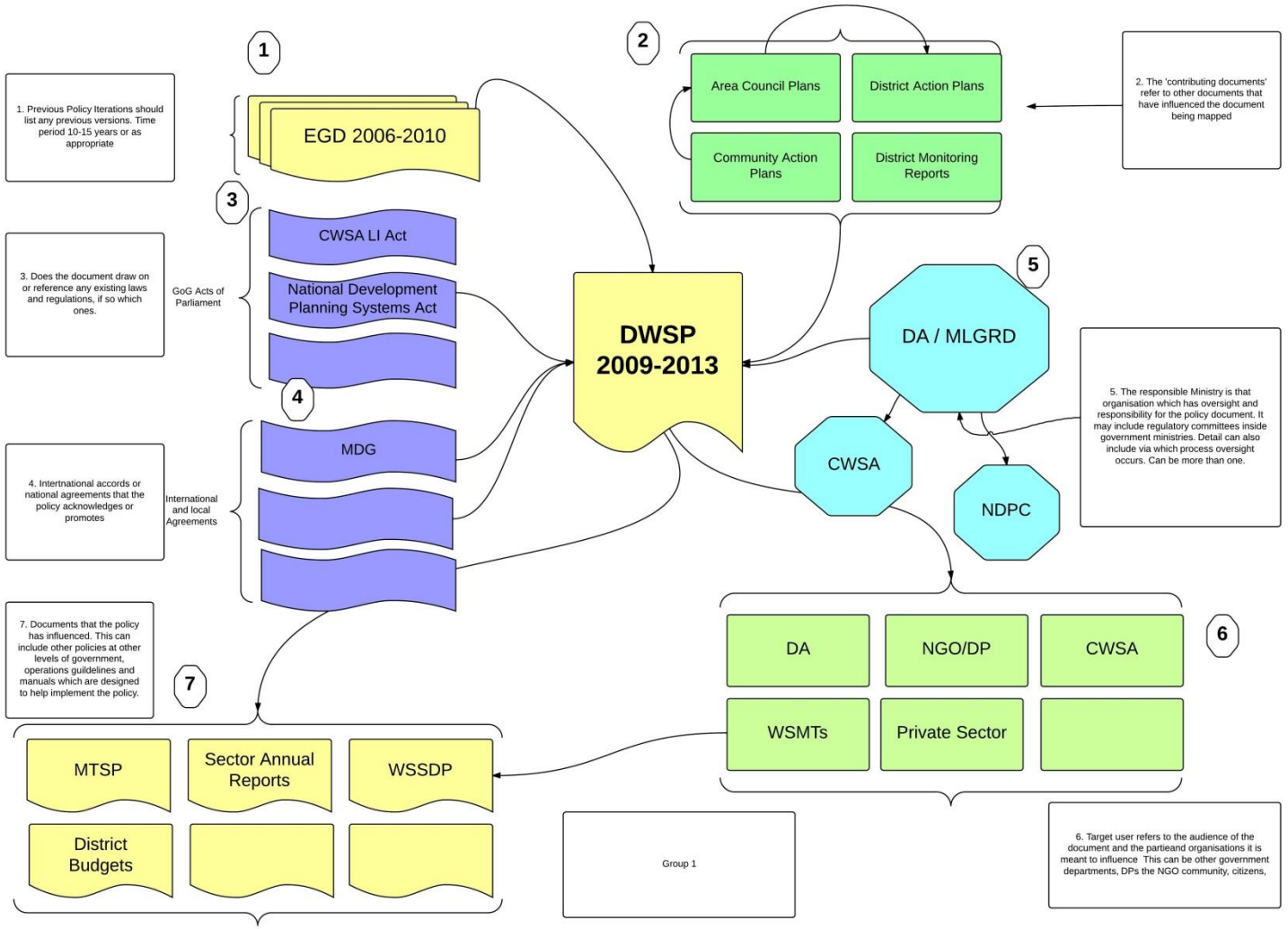
6.4.3 District Budgets (General)



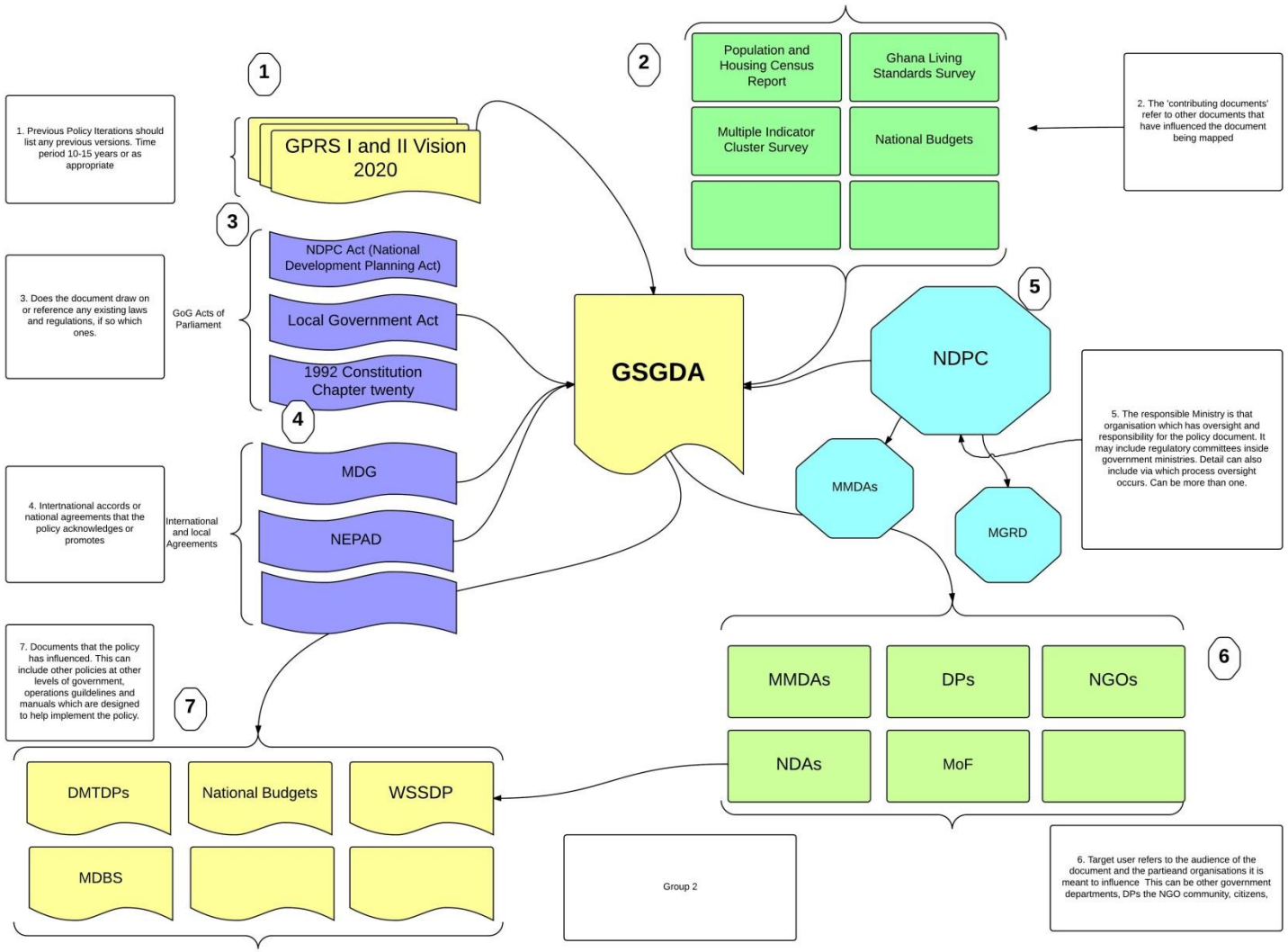
6.4.4 District Operation Manual



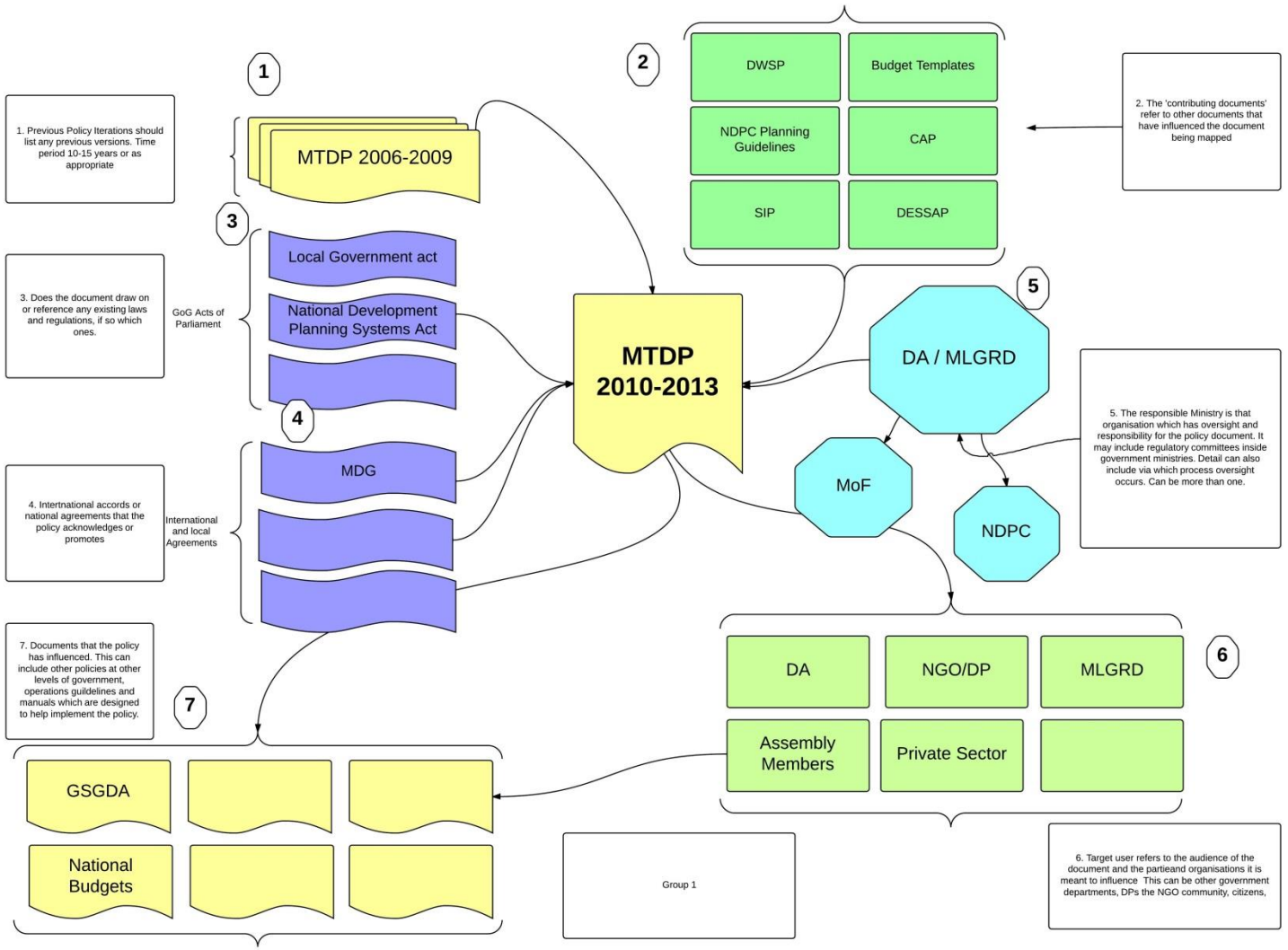
6.4.5 District Water and Sanitation Plans (General)



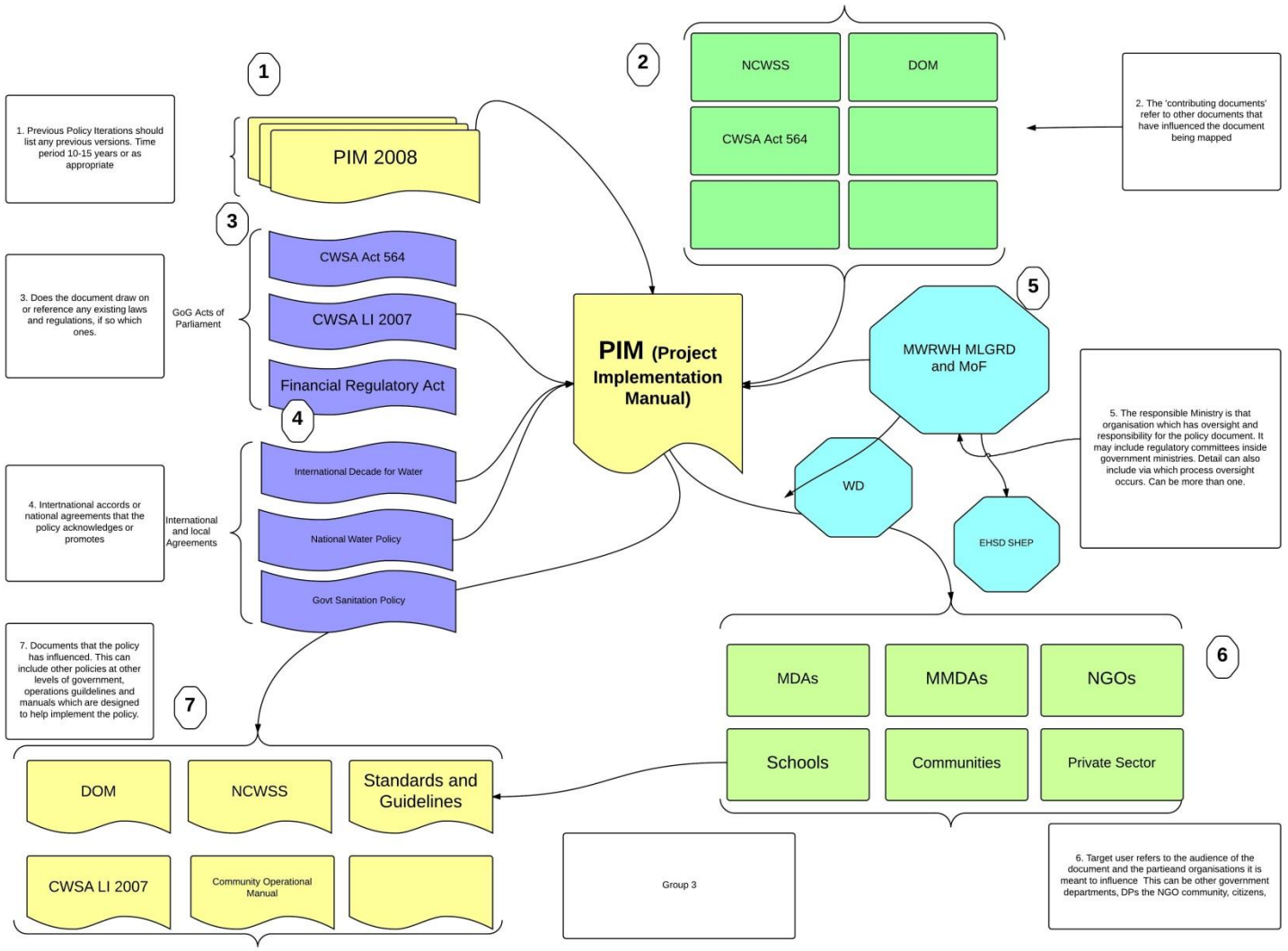
6.4.6 Ghana Shared Growth and Development Agenda I



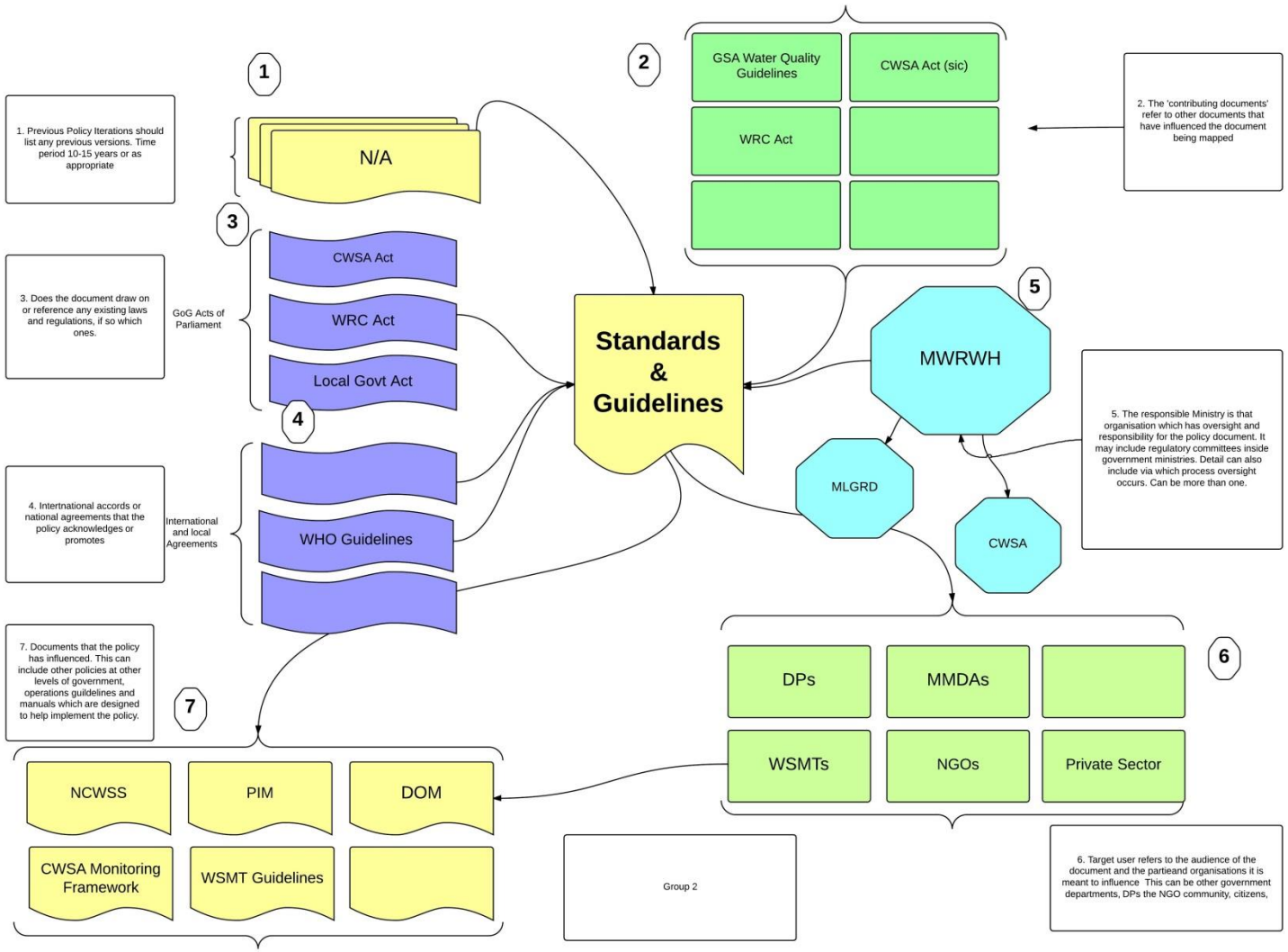
6.4.7 Medium Term Development Plans (General)



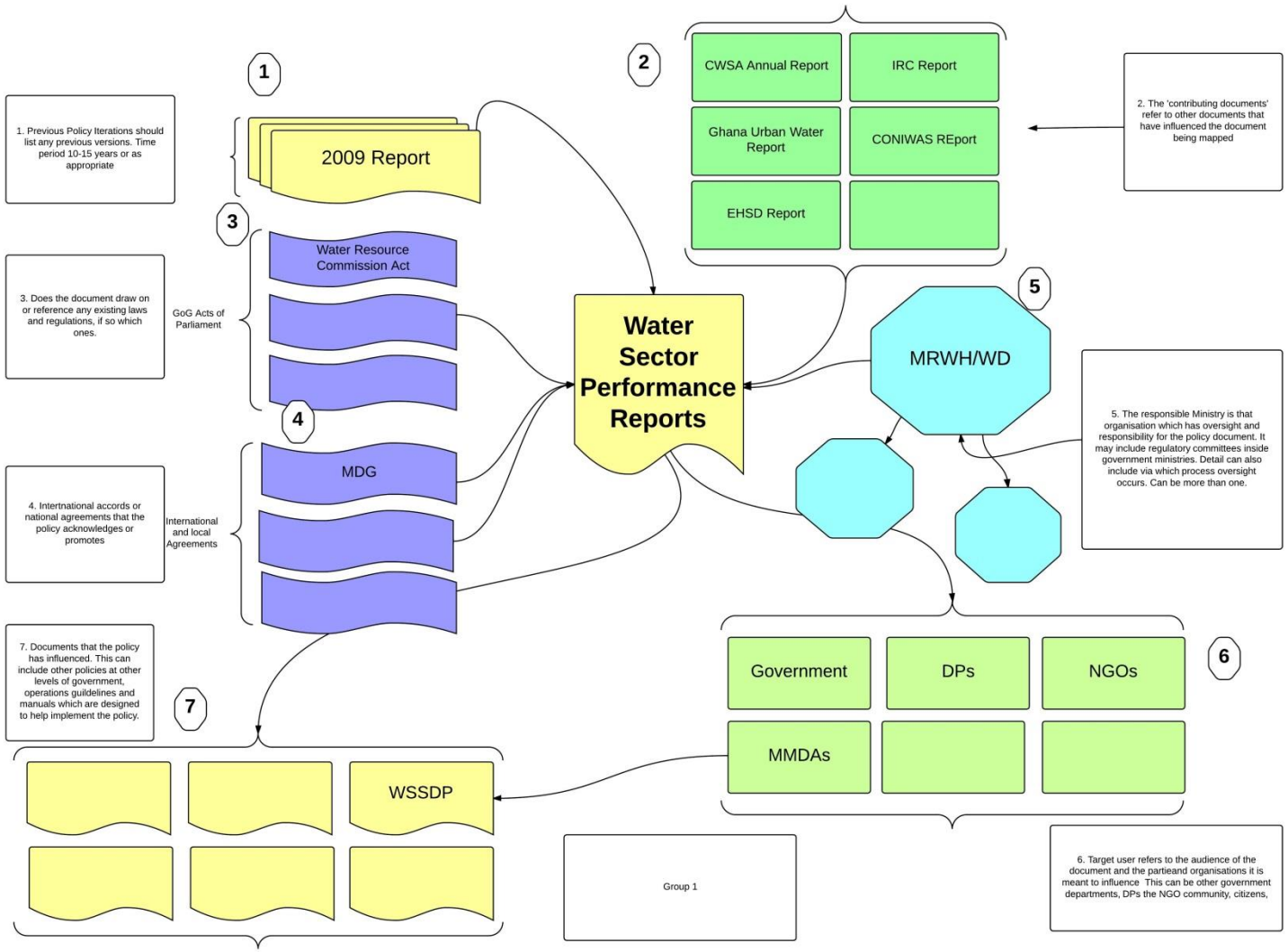
6.4.8 Project Implementation Manual (PIM)



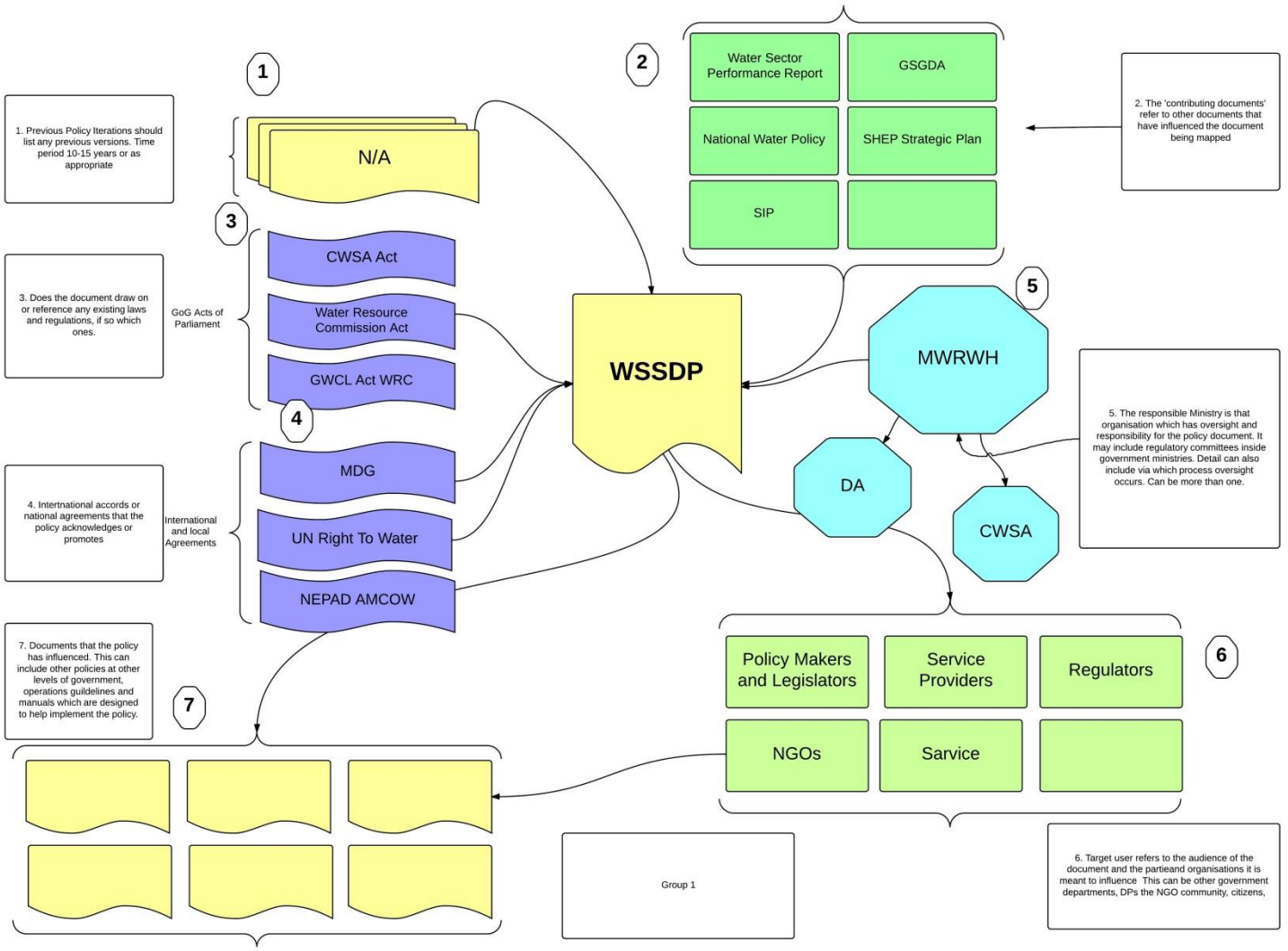
6.4.9 Standards and Guidelines (predecessor of District Operational Manual)



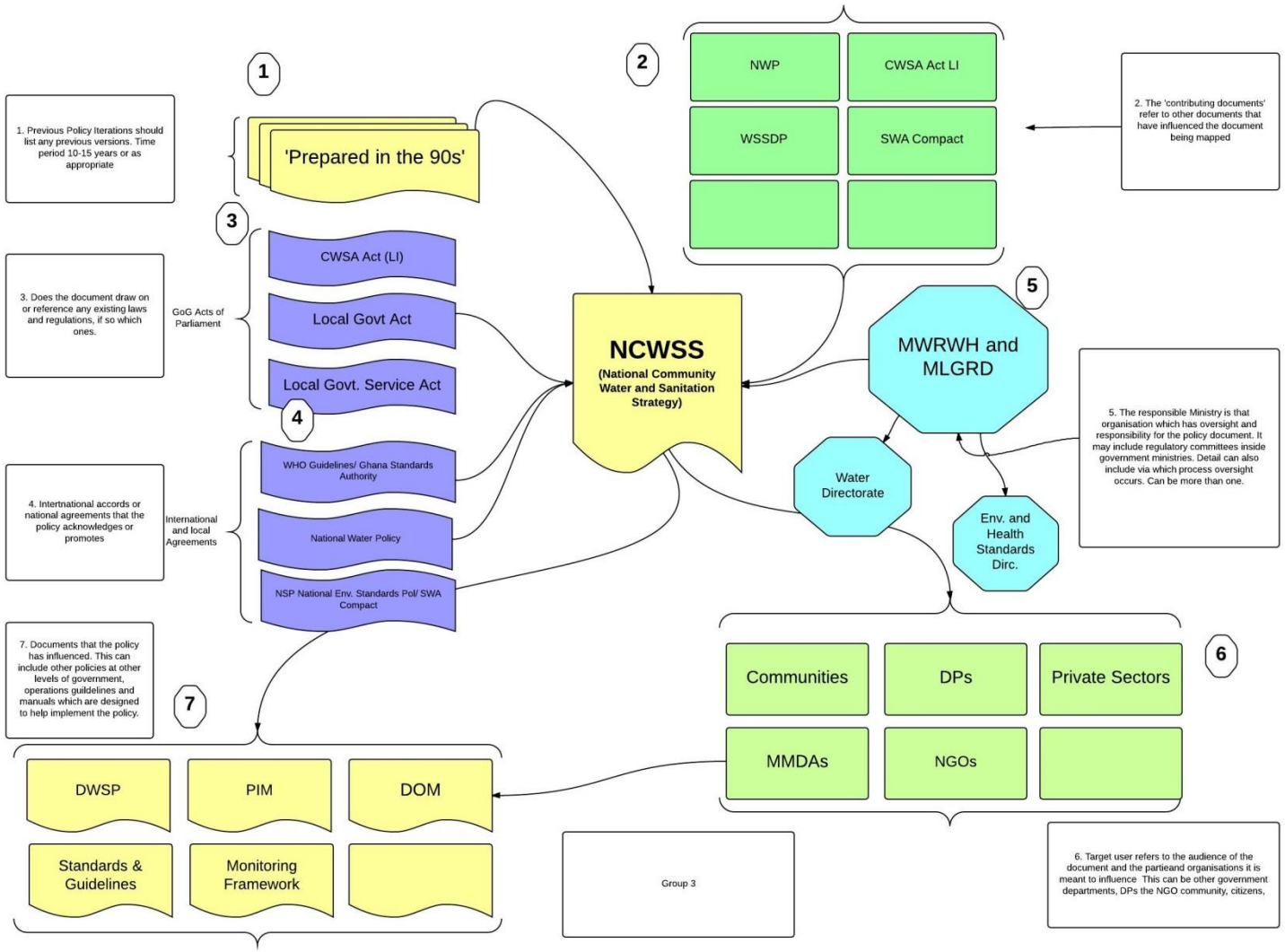
6.4.10 Water Sector Performance Reports



6.4.11 Water and Sanitation Strategic Development Plan



6.4.12 National Community Water and Sanitation Strategy



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