

METGUIDE

Methodology for Participatory Assessments

With Communities, Institutions and Policy Makers

Linking Sustainability with Demand, Gender and Poverty

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Foreword

Alleviating poverty requires tangible improvements in poor people's lives, such as clean water, decent housing and sanitation, access to health care and education. The Water and Sanitation Program (WSP) works with its partners to find better ways for the poor to gain sustained access to water supply and sanitation services. A critical step to this end is to increase the poor's participation, in particular women's participation, in service development.

During the 1990s, the WSP and others learnt that focusing exclusively on women was insufficient and the focus shifted to a gender approach, seeking a better balance between understanding women's and men's perceptions, wants, burdens, and benefits. Experience also indicated that water and sanitation investments which take local demand into account are more likely to be sustained. This calls for new methods and tools, to enable project planners and service providers to engage with all consumers and to ensure that frequently excluded groups—most often women, and particularly poor women—are not overlooked.

The Methodology for Participatory Assessments (MPA) presented in the *Metguide* is such a tool. The MPA was developed by the WSP's Participatory Learning and Action initiative, which investigates the links between demand-responsive, gender-sensitive approaches and sustainability, undertaking assessments in 18 large projects in 15 countries. While the assessments add to the evidence that projects that pay attention to gender and poverty have better outcomes, the methodology itself breaks new ground in three important ways. First, it mainstreams gender and poverty indicators into a

participatory methodology that can be used to monitor key aspects of sustainability. Second, it provides a means for stakeholders at various levels—community, project and service provider, and policy—to clearly visualize how their actions can contribute to the goal of sustainability. And third, it uses quantitative statistical methods to analyze qualitative data obtained from communities through participatory techniques.

The MPA, used properly, gives consumers a greater voice in the service delivery process. It helps project and task managers engage all parts of the community, not just the leaders and more vocal members. Communities benefit because they learn about their services through the process, and may identify problems and agree on solutions. The methodology and indicators are applicable not only to monitoring, but to project preparation, and their potential use extends well beyond the water and sanitation sector to any service which would benefit from the poor's active engagement. The *Metguide* and the methodology for participatory assessments are a significant, but a first, step in pulling together key social and sustainability indicators into a single, user-friendly tool. I look forward to its being applied in large poverty projects, adapted, and improved through experience.

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Preface

The Water and Sanitation Program (WSP) began in the late 1970s as a series of projects seeking to improve low-cost technologies. It has grown and evolved into a global partnership of UNDP, the World Bank, and 15 bilateral donor agencies. It is active in more than 30 countries spread over five regions, and employs more than 70 professional staff. The WSP's mission is to help poor people gain sustained access to water supply and sanitation by: (a) assisting countries to reform their policies, (b) supporting sustainable investments, and (c) learning and disseminating lessons from the field and building capacity to address emerging issues. The WSP has a track record in advancing understanding of the gender, participation, and institutional aspects of poverty.

The *Metguide* is a product of the WSP's global Participatory Learning and Action (PLA) initiative undertaken in partnership with IRC International Water and Sanitation Centre in Delft, The Netherlands. The overall development objective of the PLA initiative is to increase the sustainability of water supply and sanitation (WSS) services for poor communities, by increasing the understanding of the links between gender, poverty, demand, and sustainability.

During Phase I (1998–99), the PLA team developed a Methodology for Participatory Assessments (MPA). Eighteen assessments using the methodology were carried out in partnership with project implementation agencies, sector partner

institutes, and 88 communities in 15 countries in the five regions in which the WSP operates.¹ The projects that were assessed provided predominantly rural WSS services ranging from upgraded traditional sources to piped water supply systems with treatment plants and private connections. The projects were funded by a range of agencies, including various levels of government, the World Bank and the Asian and African Development Banks, seven bilateral agencies—the Australian Agency for International Development, the Canadian International Development Agency, the Danish Agency for International Development, the Japanese International Cooperation Agency, the National Economic Development Authority of the Philippines, the Swedish International Development Agency, and the Swiss Agency for Development and Cooperation—and one international non-governmental organization, CARE.

The assessments sought to document in both qualitative and quantitative terms whether and how gender- and poverty-sensitive participatory approaches are linked to the sustainability and use of WSS services. (See box on findings on page vi.) They also sought to identify the factors that influence the use of these approaches, such as an institutional environment that spells out what the approaches mean in terms of institutional systems, incentives, and performance criteria. The assessments also examined whether or not supportive institutional environments develop by chance or can be fostered

¹ Cameroon and Ghana in West and Central Africa; Kenya, Malawi, South Africa, and Zambia in Eastern and Southern Africa; India, Nepal, and Sri Lanka in South Asia; Indonesia and the Philippines in East Asia; and Bolivia, Colombia, Ecuador, and Peru in Latin America.

Key Findings from the Assessments

The statistical analysis generally affirmed the qualitative findings from the 88 assessments and demonstrates the importance of demand-responsive, gender- and poverty-sensitive approaches to positive service outcomes. The PLA team defined “sustained water supply service” as a service that regularly and reliably provides enough water of an acceptable quality for at least domestic use. Breakdowns are rare and repairs rapid (within 48 hours), and local financing covers at least the regular costs of operation, maintenance (O&M) and repairs. The following findings emerged from the analysis:

- A higher level of participation in establishing a community-managed rural water supply service is significantly associated with a better-sustained service. Participation in this context meant that the community carries out the O&M and management, and the skilled work in O&M and management is paid for and done by men and women.
- Contrary to expectations, a higher demand for a water supply service as expressed through initial payments in cash and/or kind is negatively related to the sustaining of the service. Factors associated with sustained services are community participation in maintenance and management, good governance in participation and service management, and satisfaction of all user categories—women, men, rich, poor—with the service and its direct and indirect benefits.
- Good governance at the community level during the project cycle is positively correlated with a more sustained water supply. “Good governance” in this case comprises the following characteristics: a local organization monitors contributions to construction and deals with defaulters, women participate in monitoring and control, male and female community members are trained in technical, managerial, financial, and water use/hygiene aspects, and accounts are shared with the entire community—females and males.
- Water services financed by bilateral donors have a significantly higher association with sustainability than services financed by other means.
- The more sensitive and supportive the implementing agencies’ score on participation, gender, and poverty issues, the higher the scores for sustained services are in the associated communities.

An “effectively used service” was defined as the combination of the percentage of households with easy access to the improved water supply, the percentage actually using the improved water supply always, at least for drinking, and the environmentally sound use of the water system (drainage present and no stagnant water). Findings on effective use were:

- Services that score better on gender and poverty sensitivity in the communities also score better on effective use. However, gender and poverty sensitivity made no significant difference with respect to sustained services. This seems to indicate that services that do not regard gender issues or the poor may perform well technically and financially, but leave an important segment of the population unserved and have less impact on the use of safe water. Both general access and safe use are important—though not the only—factors in achieving a positive impact on public health.
- The more demand-responsive the project, the better the access to and use of the service. Demand-responsive projects offer male and female users from all socioeconomic strata information and choices in technology and service level, location of facilities, and type of local management, maintenance, and financing systems. The greater and wider the voice and choice, the better the access and use.
- Communities with higher service levels and concurrent improvement of water supply, sanitation, and hygiene (though not necessarily through the same project) had a better effective use than communities with only water projects or a lower service level.

and encultured by policies that encourage sector institutions to apply gender- and poverty-sensitive approaches in their programs.

In each project, agency personnel together with the communities concerned assessed their institutional environment and pinpointed factors helping or hindering the process of equitable community participation and informed decision-making. Stakeholders' Meets brought together representatives from the organizations involved at various levels (community, project, and sector agency) to consider the results. Policy dialogues have started in several countries to address issues that emerged from this assessment process.

The findings from Phase I confirmed linkages between sustained and used services and informed decisions by users with equitable participation by women and men, rich and poor in the burdens and benefits from the scheme. A report that synthesizes the global findings and discusses the implications for practice is being published separately. Reports with results and details of individual assessments can be obtained from the relevant regional office of the WSP or the IRC.

The *Metguide* describes the MPA developed for and used to conduct the assessments. The first four chapters lay out the theoretical underpinnings of the methodology, including the analytical framework and sustainability indicators. They list the various purposes for which the MPA can be used and how it is used. The appendix includes the list and detailed guidelines for the use of the participatory tools, interview and observation forms, and scoring matrixes.

The *Metguide* is a practical tool for all professionals committed to providing sustainable services to the poor through the use of participatory methods and learning evaluations. It will be of particular value to development institutions and

governmental and non-governmental agencies as well as to researchers and policy makers intent on integrating gender and development analysis into sustainability assessments of community WSS services.

The MPA was conceived and developed to monitor sustainability in completed projects. However, the sustainability indicators can be turned around and used as the criteria for the design of demand-responsive services. Thus the MPA has the potential to bring gender- and poverty-sensitive participation into all phases of large investment projects, from design to iterative monitoring as implementation progresses. Further, although the MPA focuses on the drinking water and sanitation sector, the principles and approach of the methodology are applicable to other sectors with participatory services, such as agriculture, health, education, and energy.

Finally, one of the greatest challenges of working with participatory approaches in development studies has been how to deal with information not easily amenable to statistical analysis. Since the PLA initiative was intended to examine critical aspects of sustainability in large investments, it became essential to have a methodology that allowed quantitative as well as qualitative analysis. The approach used for statistical analysis in PLA Phase I has been tested with data from 88 communities in 18 projects. It produced some interesting and provocative findings, but it is open to further development and improvement. Hence the authors would appreciate comments on the methodology. They will welcome opportunities to share the MPA with new projects and programs and to adjust it for use in sectors related to drinking water supply and sanitation, such as health and hygiene and watershed development.

Acknowledgements

The *Metguide* is a joint effort of the global Steering Group of the Participatory Learning and Action (PLA) initiative of the Water and Sanitation Program (WSP). We would particularly like to acknowledge the contributions of our colleagues Rose Lidonde and Noma Musabayame in writing the sections on participatory tools, and the youngest member of the PLA team, Suzanne Reiff, for looking at the document with a fresh perspective.

Preparation of the *Metguide* has benefited greatly from inputs and support from many persons and organizations during the past two years. Only a few of them are mentioned in this document. The PLA initiative was born at a global meeting organized jointly by the WSP and the Gender Network (GENNET) of the Water Supply and Sanitation Collaborative Council (WSSCC) at IRC International Water and Sanitation Centre in The Hague in October 1997. We wish to acknowledge the contributions of our partner organizations the Canadian International Development Agency, the Swedish International Development Agency, the National Economic Development Authority of the Philippines, the United Nations Children's Fund (UNICEF), and CINARA from Latin America in conceptualizing the PLA objectives.

Special thanks are due to WSP's many funders, in particular the governments of Canada, the Netherlands, Norway, and Sweden, the "gender cart-pullers," and the United Nations Development Programme, whose generosity enabled us to undertake this challenge. Participants at a regional consultation in Bangalore, India, in February 1998 helped to develop the analytical framework of the

methodology elucidated in this *Metguide*.

We appreciate the support of the World Bank and IRC management in the preparation of the *Metguide*. Specifically, we are grateful to Vincent Gouarne, Sector Manager, Water and Sanitation Division, for taking a keen, supportive interest in the PLA initiative and its outcomes; Bruce Gross, our Team Leader, for his insight and strong moral support and for finding the resources to carry on the work; Philippe Dongier, Program Manager of the WSP, for his advice and pressure for rigor; and Jan Teun Visscher, Director of the IRC, for believing in and supporting the PLA vision. We could not have prepared and tested the methodology without the support of the WSP's Regional Team Leaders: Jean Doyen in Nairobi for East and Southern Africa, Jerry Silverman in Jakarta for East Asia and the Pacific, and Piers Cross in New Delhi for South Asia. We would also like to thank Jennifer Francis and Maria Lucia Borba from IRC and Indrawati Josodipoero and Karen Jonesy Jacob from WSP-EAP.

We would like to thank our peer reviewers Lant Pritchett, Principal Economist, the World Bank, Jakarta; Lee Travers, Principal Water and Sanitation Economist, TWUWS; Pam Hunte, Senior Anthropologist, SASSD; and Jon Lane, Water and Sanitation Consultant. Their patience, reflected in their detailed comments, constructive criticism, and assistance in addressing the emerging issues, motivated us to bring greater clarity to our work.

As the *Metguide* evolved it drew on a large group of international and national consultants, namely Lisa Price from Wageningen University, and the WSP team of consultants including Sharmila

Goswami, Poornima Vyasalu, A.J. James, Uday Mehta, and Anurag Rohatgi. Shalini Sinha's experience in editing, combined with her specialization in gender studies, good humor, common sense, and penetrating questions, kept both our thoughts and the text of the *Metguide* on track. Finally, Harminder Paul's secretarial assistance through evolving drafts is greatly appreciated.

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Nilanjana Mukherjee
Water and Sanitation Program

What began as a modest effort has gone beyond our expectations. We look forward to seeing the *Metguide* being used by others to help incorporate gender and poverty concerns into their operations. The PLA team and the authors hope the guidelines will be widely used and refined further during Phase II of the PLA initiative on the basis of feedback from users.

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Chapter I

Participatory Assessment of Sustainability

The Methodology for Participatory Assessments (MPA) of community water supply and sanitation services set out in this document has been developed by merging, and then expanding upon, the survey approach of the Minimum Evaluation Procedure of the World Health Organization and the participatory tools and methods developed in the Promotion of Women in Water and Environmental Sanitation (PROWESS) project of the Water and Sanitation Program. This chapter describes the purpose and roots of the methodology and its incremental value in communities, support agencies, and policy-making bodies.

Quest for Sustainability

The worldwide search for factors that determine the sustainability of water and sanitation investments has led, in the last few years, to a nearly universal recognition of the importance of participatory and demand-responsive approaches. The debate is no longer whether these two factors contribute to sustainability. The crux of the matter now seems to be *whose demand and sustainability for whom?* Experience from successful projects and communities with sustained water and sanitation services suggests that services are more likely to be sustained when

both women and men, rich and poor, participate actively in establishing, managing, and maintaining the services.

The Participatory Learning and Action (PLA) initiative began to document this experience systematically through participatory assessments with stakeholders in 18 countries. In the process it developed and tested a methodology that included indicators sensitive to gender and poverty for measuring sustainability, demand, and participation. The methodology is called the Methodology for Participatory Assessments. Learning, for all stakeholders, is the key to every activity; the methodology enables all stakeholders to use the tools and indicators to learn how to enhance the sustainability of water supply and sanitation services, benefits, and investments.

The MPA addresses many concerns in developmental research today and makes an incremental contribution to the sector. It links the sustainability of services with gender-sensitive, poverty-targeted, demand-responsive approaches and reveals patterns of association between how well services are sustained and used and the extent to which institutions and policy makers support these approaches. Of particular value are the indicators that describe

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What is DRA?

The *demand-responsive* approach (DRA) takes into account that *different* user groups (rich men, rich women, poor women and poor men) may want *different kinds* of service. DRA provides information and allows user choices to guide key investment decisions, thereby ensuring that services conform to what people want and are willing to pay for.



In exchange for making contributions (in cash or kind) for a satisfactory service, the stakeholders have a voice and choice in:

- ✦ Technology type
- ✦ Service level
- ✦ Service provider
- ✦ Management/financing systems
- ✦ Arrangements for sharing benefits and burdens
- ✦ Decisions on service adjustments and expansions

the *desired kinds* of institutional support, such as institutional systems, expertise, incentives, and organizational climate.

Historical Roots

The MPA builds on earlier works on participation, demand-responsiveness, gender, poverty, and sustainability. The Minimum Evaluation Procedure (MEP) published by the World Health Organization (1983) was the first set of procedures for assessing the sustained functioning and use of water supply and sanitation services that had global applicability and a structured approach. The MEP does not, however, examine local participation in operating and establishing services and is silent on organizational structures and procedures in the agencies. Poverty aspects are included but only

as a *dimension* of access. Gender aspects are not addressed at all. In addition, the MEP uses observations and surveys by outsiders as methods of data collection.

Though drawing on the MEP, the participatory assessment tools and methods developed by the Water and Sanitation Program for the PROWWESS project (Srinivasan 1993; Narayan 1993) were a *distinct* contrast. The PROWWESS tools help projects and communities to assess social, technical, and institutional aspects of water supply and sanitation services and include several gender aspects. The participatory evaluation guide helps to examine participation (but not demand); it is a collection of tools to assess various aspects of community-based water supply and sanitation programs in a qualitative manner.

This was the first systematic approach for participatory evaluations of water and sanitation projects. However, many program managers and policy makers prefer a procedure that, in addition to stimulating learning through the use of participatory methods, also generates quantitative information and allows comparisons of project performance and approaches within predictable time-frames and at a reasonable cost.

The global rural water supply and sanitation study of the Water and Sanitation Program (Katz and Sara 1997) investigated the relationship between demand-responsiveness and the sustainability of water systems. It found that projects that were more demand-responsive were more likely to be sustainable, but did not probe the gender dimensions of demand and participation.

The MPA mainstreams gender and poverty as part of the overall monitoring of sustainability in water supply and sanitation projects. Gender indicators are based on Kate Young's work on gender concepts (1993) and on the gender analysis frameworks developed by Catherine

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Overholt and others (1984) and by Caroline Moser (1993). In its participatory tools, the MPA builds upon earlier participatory methodologies such as SARAR,¹ Participatory Rural Appraisal (PRA), and that developed for the Participatory Hygiene and Sanitation Transformation (PHAST) project. In doing so, it seeks to combine the strengths of MEP's structured approach and the open-ended, visual, and creative approaches drawn from these participatory toolkits.

What Is the MPA?

- It is a *comprehensive method* for social assessment.
- It recognizes the *importance of gender- and poverty-sensitive* approaches.
- It monitors *key indicators* of project sustainability and demand-responsiveness.
- It is a *learning process* for all stakeholders.
- It uses a set of *tested indicators*.
- It uses *participatory tools* at all levels.
- It allows for a *holistic analysis*, relating institutional and organizational factors to outcomes at the community level.
- It is *global*, that is, it can be applied in different settings and with different technologies.

- It can be used for *large investment* projects.
- It can be carried out within a *short time frame*, usually three to four months.
- It can be used in *all phases of the project cycle*.
- It can be *budgeted as part of regular investment costs* in human and organization resources development.
- Although developed for the water and sanitation sector, its core principles are *applicable across sectors*; thus the methodology can be adapted for use with other basic services.

What Is New about the MPA?

While drawing upon earlier work on participation, demand, and sustainability, the MPA:

- Adds indicators sensitive to gender and poverty.
- Provides for self-scoring by stakeholders.
- Includes statistical analysis of qualitative data from participatory methods.
- Links community, institutional, and policy levels, visualizing sustainability as a goal that must be pursued simultaneously at these three levels.
- Links sustainability with gender, poverty, participation, and demand-responsive approaches.

2

Why gender?

Gender is a specific parameter for socioeconomic analysis. Men and women have different roles and responsibilities in society. They may attach different values to services and the benefits to be derived from them. Consequently, their demand for and access to services and their economic behaviors differ.



What Can It Be Used For?

The MPA is suitable for a number of uses:

- Designing for sustainability
- Monitoring for sustainability
- Local capacity building
- Institutional and policy reform
- Gender and poverty mainstreaming.

¹Self-Esteem, Associative Strengths, Resourcefulness, Action-Planning, and Responsibility.

Thus far, it has been used for three purposes. It has helped to *identify* key factors associated with *sustained and used services* in 88 rural and small urban communities in Africa, Asia, and Latin America. It has also been used in an evaluation comparing various donor projects in Indonesia (Mukherjee 1999).

Who Can Use the MPA?

The MPA offers *different things* to *different levels* of users/stakeholders, with *one common underlying principle*. It is *designed to enable self-assessment and analysis* at each level; this permits stakeholders to take action at their level to *enhance sustainability* in combination with equity considerations. All stakeholders, from the community level upward, also have access to *information generated* by the user communities themselves, *adding transparency* to the entire service delivery process.

Communities

Women and men in the community can use the MPA to assess various *dimensions* of the sustainability of their services, such as *physical functioning*, *financial adequacy*, *managerial effectiveness*, and *sustained access and use*, as well as the *participation practices* that affect these outcomes. *Participatory tools* are available with *self-scoring matrixes* to enable them to assess their situation *collectively*, *stimulate an analysis* of causes, and *identify possible actions* to *enhance sustainability*, *use*, and *equity*. They can choose to *monitor progress periodically* and/or compare their service with those of other communities in the area, and *understand in what ways* others are *doing better* or worse. The methodology also highlights *specific inequalities* with regard to women or poor households.

Project staff

Project personnel who work with communities can *participate in community-level assessments* as *observers*, *learners*, and *co-facilitators*. These

assessments can *replace conventional monitoring activities* by project staff. What they learn from communities about what *promotes* or *hinders* sustainability at the ground level is likely to be the most valuable feedback possible for project managers and designers of new projects.

Project managers

Project managers can use the MPA to compare communities *within and across projects*, to *identify why some communities do better* than others at *sustaining project-created infrastructure and its benefits*, and/or *highlight components in which the project is consistently better* or weak. They can use the Stakeholders' Meet, a tool for *institutional assessment*, to *identify and assess factors influencing project impact and sustainability* at the community level. During the Meet, project staff, *technical and social intermediaries*, and community members *jointly assess organizational systems and institutional capacity* to promote sustainability through the

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Who can use the MPA?

- ✦ Communities
 - To *identify action* for enhancing sustainability
 - To *reduce gender and poverty inequalities*
- ✦ Project staff
 - For *community-level assessments* from the users' perspective
- ✦ Project managers
 - To *compare communities* for sustainability and equity
 - To *identify and assess institutional factors influencing sustainability*
- ✦ Sector policy formulators
 - *Planning* for sustainability
- ✦ Project designers/donors
 - *Designing* for sustainability
 - *Monitoring* for sustainability

use of *gender-sensitive, poverty-targeted, and demand-responsive approaches*.

Sector policy formulators

The MPA *provides a framework to link sustainability outcomes at the community level to institutional factors in sector agencies and to sector policies at the national level. The Policy Assessment Dialogue is a tool that brings these threads together. It presents results from the community and institutional levels to national policy makers, national project directors, and donor partners, and facilitates a joint assessment of existing policy support for sustainability in light of those results. This builds high-level consensus about the kinds of policy support available or needed to foster sustainability through the mainstreaming of gender-sensitive, poverty-targeted, and demand-responsive approaches. It thus sets the agenda for policy improvement.*

Project designers or donors, for new projects

Designing for sustainability can be made tangible and verifiable through the use of the Sustainability Indicators and the Conceptual Framework developed for the MPA. They jointly constitute a route map for progress towards sustainability. Although the MPA has not yet been used for designing new projects, the potential for this use seems obvious; work has already begun in that regard. New project designers can draw on the MPA to identify strategic project interventions needed at the community, institutional, and policy levels and to enhance the achievement of sustainability and equity. They can adapt the participatory tools to measure sustainability for use in stakeholder consultations or as tools for planning and design within the same conceptual framework.

Methodology for Participatory Assessments

This chapter outlines the theoretical underpinnings of the Methodology for Participatory Assessments (MPA). It describes the features, the analytical framework, the indicators, the analysis of gender and poverty aspects as an integral part of monitoring sustainability and participation, and the learning function of the participatory methods and tools.

Core Features

The MPA examines the relationship between sustainability and the application of approaches that are demand-responsive, participatory, and gender- and poverty-sensitive.

- The methodology focuses on *institutional* and *organizational* factors as well as *community* factors. It treats the outcome at the community level as a product of elements that are locally specific and of elements that derive from institutional environments and sector policies that support the emergence and strengthening of the community-level factors.
- The analytical framework covers not only service performance and use as determinants of sustainability and equity, but

also *process indicators*, thus enabling a more holistic analysis.

- The assessments use participatory tools *at all levels*. One novelty of the MPA lies in the use of these tools with a range of stakeholders including policy makers and staff from local governments and service delivery agencies.
- Capacity building through *joint investigation and analysis* is an integral part of the MPA. Participants identify problems and solutions and are more likely to own the outcomes. *Self-scoring* allows for instant feedback,

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Assumptions underlying the MPA

When sector institutions and policies enable all stakeholders in communities (rich and poor, women and men) to initiate a sustainable service (that is, to take informed decisions about the type of service and management and financing systems they want and can sustain) and help them to build necessary capacities (to maintain and manage the service so that burdens and benefits are equitably shared), then the communities are likely to better sustain and use the service.

which in turn encourages action towards finding a solution.

- Besides its use for community and agency self-assessment, the MPA has been used for the *quantitative analysis of qualitative data* gathered through participatory methods.

Three-Step Participatory Assessments



The application of the methodology uses a three-level systems approach. This approach focuses on the community-level process as well as on the institutional and policy factors that support the use of participatory, gender- and poverty-sensitive, and demand-responsive approaches. The design of the assessments links outcomes at the community level to institutional arrangements, as well as to national sector policies. The quest for sustainability must be pursued simultaneously at all three levels, in a mutually reinforcing way. An evaluation of how water and sanitation projects are implemented with men and women in user communities is the first obvious level. Institutional factors that shape implementation strategies and approaches constitute the second level. The policy environment in the water and sanitation sector is the third level.

Analytical Framework

The design of the assessments is based on an analytical framework (see Fig. 1 on the following page) reflecting the following assumptions:¹

- A. The degree to which a community sustains an installed water supply and sanitation (WSS) service is positively related to
- B. The degree to which its population—male and female, rich and poor—uses the service,
- C. The degree to which the service meets the demands of the major population categories—men and women, rich and poor,
- D. The way in which burdens and benefits of the service and of the participation in its sustenance are divided between men and women, rich and poor, and
- E. The degree of gender- and poverty-sensitive participation in the establishment and management of the service.

The framework is divided conceptually into two time frames: the situation and processes at the time of establishment of the services and the current situation. Assessments are of services that have been functional for some time (arrows from right to left in Fig. 1) or forward looking (arrows from left to right). The relationships between variables A and B are assessed with men and women in the communities and constitute the analysis of the current situation. Variables C, D and E are also assessed with the communities but their indicators and sub-indicators span the two time frames. The division between the two time frames indicated by the dotted line in Fig. 1 is hazy and issues are examined across the time line, particularly for variables C, D and E.

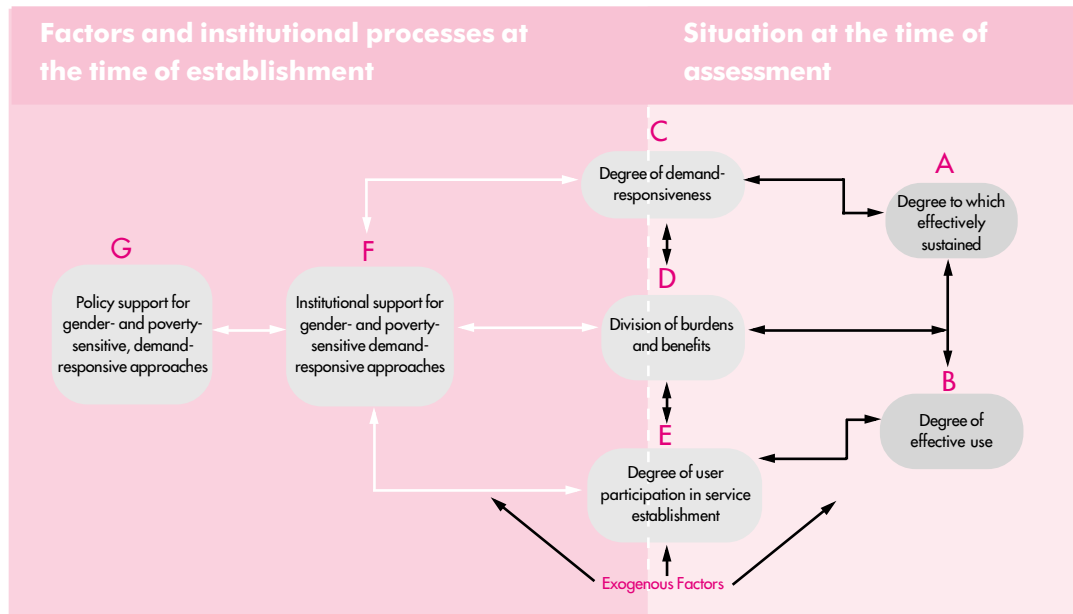
The analytical framework also includes variables F and G, which are assessed by analyzing the history of the service establishment and the nature of the enabling institutional and policy environment. The underlying assumption is that the degree of service sustainability is positively associated with:

- F. Institutional support for demand-responsive and gender- and poverty-sensitive and participatory approaches, and
- G. The presence and application of demand-responsive and gender- and poverty-sensitive policies in the project and the sector.

¹The analytical framework for the MPA evolved in consultation with a wide range of subject experts and practitioners and was field-tested in two locations. The final set of variables, indicators, and sub-indicators has been used in 18 locations globally.

Figure 1

MPA: Analytical framework



There are many ‘exogenous factors’ that may influence the relationships among the variables as depicted in the framework (such as the type and complexity of the technology, age of the system, variations in drought conditions and availability of alternative sources, local mobility and access to spare parts and other resources outside the community, communications, leadership situations, and gender and poverty conditions specific to the location). Capturing these through qualitative data recorded by the assessment team as well as the data collected in the Community Data Sheet is an important element of the methodology.

Sustainability Indicators

The MPA uses gender- and poverty-sensitive indicators clustered by variables based on the questions below.

Sustainability is measured by combining the group of indicators for an effectively sustained service with those for effective use, as it was hypothesized that the mere presence of a

technically sound system would not ensure long-term sustainability.

The division of burdens and benefits is measured using data disaggregated by gender and poverty levels in order to capture the differences in access and in the division of work and benefits during service establishment, delivery, and management. The E set of indicators of participation, when disaggregated by gender and poverty, also helps to measure levels of good

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Are you looking for answers to some of these questions?

- ✔ Are the burdens and benefits equitably divided?
- ✔ Is there institutional support for sensitivity to gender and poverty?
- ✔ Does policy support exist?
- ✔ Is it effectively sustained?
- ✔ Is there effective use?
- ✔ Is it responsive to demand?
- ✔ Is there participation in service establishment and operation?



Table 1

Indicators for water supply services

| Variables | Indicators and sub-indicators |
|---|---|
| A. Effectively sustained | <p>SYSTEM QUALITY</p> <ul style="list-style-type: none"> • Construction matches design, quality of materials and workmanship <p>EFFECTIVE FUNCTIONING</p> <ul style="list-style-type: none"> • Service operation in terms of water quantity, quality, reliability, and predictability <p>EFFECTIVE FINANCING</p> <ul style="list-style-type: none"> • Coverage of investment and/or recurrent costs • Universality and timeliness of payments <p>EFFECTIVE MANAGEMENT</p> <ul style="list-style-type: none"> • Level and timeliness of repairs • Budgeting and keeping accounts |
| B. Effective use | <p>HYGIENIC AND ENVIRONMENTAL USE</p> <ul style="list-style-type: none"> • Proportion and nature of population using the service • Degree of improvement in water use habits* • Presence and state of waste water disposal provisions for R/P |
| C. Demand-responsive service | <p>USER DEMANDS</p> <ul style="list-style-type: none"> • Type and proportion of contribution at the time of establishment of service, by M/W, R/P <p>PROJECT RESPONSIVENESS TO DEMAND</p> <ul style="list-style-type: none"> • User voice and choice in planning and design, by M/W, R/P • Satisfaction of user demand for M/W, R/P • Ratio of user-perceived costs-benefits for M/W, R/P |
| D. Division of burdens and benefits | <p>GENDER AND POVERTY FOCUS DURING ESTABLISHMENT AND OPERATIONS</p> <ul style="list-style-type: none"> • Nature of community payments at the time of establishment of the service • Cost sharing/contribution sharing between and within households for construction and O&M • Division of skilled/unskilled and paid/unpaid labor between M/W, R/P in establishment and management of the service • Division of functions and decision-making between M/W, R/P |
| E. Participation in service establishment and operation | <p>PARTICIPATION DURING ESTABLISHMENT AND OPERATIONS</p> <ul style="list-style-type: none"> • Degree of control in construction schedules and quality of works by M/W • Composition, status, and rules and tools of control of managing committee, as present and known to M/W, R/P • Responsibilities for maintenance and management • Type of skills created and practiced among M/W, R/P • Transparency in accounts (M/W, R/P) |
| F. Institutional support for gender- and poverty-sensitive, demand-responsive participation | <p>ENABLING ORGANIZATIONAL SYSTEM</p> <ul style="list-style-type: none"> • Indicative strategy as reflected in service objectives, implementation strategies, and project performance criteria • Sex and class disaggregated planning and monitoring systems in operation • Expertise as reflected in the type of agencies involved, field teams, and team approach <p>ENABLING ORGANIZATIONAL CLIMATE</p> <ul style="list-style-type: none"> • Capacity building, managerial support, and staff performance incentives |
| G. Policy support for gender- and poverty-sensitive, demand-responsive participation | <p>SUPPORTIVE SECTOR POLICY AND STRATEGY</p> <ul style="list-style-type: none"> • National sector policy for water and sanitation present with sustainability and equity as explicit goals • Degree to which national sector strategies are present to guide the achievement of the policy goals and incorporate participation, demand-responsiveness and gender and poverty perspectives |

M/W: men and women. R/P: rich and poor.

* 'Degree of improvement in water use habits' includes always using protected water sources for drinking and food preparation.

governance and community empowerment. The F and G indicators are measured in the context of establishing the service, because institutional policy support for approaches likely to create sustained services is critical at the time services are established. The seven variables with their primary indicators and sub-indicators, *for water supply only*, are listed in Table 1.

The indicators and sub-indicators for sanitation programs differ and are given in Table 2 below. This list applies only to community-managed sanitation programs and services. For programs that link directly with individual households, partially different indicators and scales will be required.²

| Table 2 Indicators for community-managed sanitation programs and services | |
|--|---|
| Variables | Indicators and sub-indicators |
| A. Effectively sustained | <p>FUNCTIONING PROGRAM</p> <ul style="list-style-type: none"> Coverage levels for safe excreta disposal, drainage, and solid waste disposal Upkeep of coverage levels Level of quality of installation and upkeep <p>EFFECTIVE FINANCING</p> <ul style="list-style-type: none"> Degree of autonomous financing of household facilities and community services Coverage of costs Degree and timeliness of payment <p>EFFECTIVE MANAGEMENT</p> <ul style="list-style-type: none"> Level and timeliness of repairs of community systems Budgeting and accounting for service to M/W, R/P |
| B. Effective use | <p>SAFE AND ENVIRONMENTALLY SOUND USE</p> <ul style="list-style-type: none"> Degree and nature of access (R/P) Change in disposal practices by and within households (M/W/C/R/P) Environment free from human waste risks |
| C. Demand-responsive service | <p>USER DEMANDS</p> <ul style="list-style-type: none"> User contributions during implementation <p>PROJECT RESPONSIVENESS TO DEMAND</p> <ul style="list-style-type: none"> User voice and choice in planning and design Satisfaction of user demand Ratio of user-perceived costs/benefits for M/W, R/P |
| D. Division of burdens and benefits | <p>GENDER AND POVERTY FOCUS DURING ESTABLISHMENT AND OPERATIONS</p> <ul style="list-style-type: none"> Nature of payments Cost sharing in community and households Division of labor between M/W in R/P households Division of functions and decision-making between M/W, R/P |

M/W/C/R/P = men, women, children, rich, poor
 (Domains E, F, and G: same as for water services)

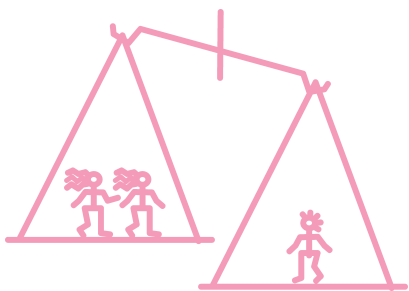
² It should be noted that due to the small number of water projects/programs with a sanitation component included in the PLA's Phase I assessments, for which this methodology was developed, the data and the underlying indicators were not analyzed statistically. Only frequencies were recorded and analyzed. Application in a larger sample for sanitation may show that some of these indicators and clusters are not statistically significant.

Mainstreaming Gender and Poverty Aspects

A major incremental contribution of the MPA is that it mainstreams gender and poverty analysis as part of the overall monitoring of sustainability in WSS projects. The poverty indicators assess how poverty- and gender-conscious the services are, by community and by project. The participatory tools and analysis of scoring allow communities, project agencies, program managers, and policy makers to learn how the following conditions of the service are met for poor members of a community, especially women. The lists below summarize how these aspects are included in the inventory and analysis of conditions and practices.

Gender indicators

- *Access to information:* Do men and women have equal access to information about their WSS service?
- *Decision-making at planning stage:* Do men and women both make decisions during project planning and design?
- *Construction and maintenance:* How are the tasks of building and operating the WSS service distributed between men and women? Who does the skilled and unskilled work?
- *Training and payment:* Do men and women have equal access to training and to paid work on the projects, as well as to other benefits they may perceive?
- *Productive use:* Are both men and women able to use water for small-scale economic



and reproductive (domestic) uses? What are the implications for water availability and distribution of benefits?

- *Managerial decision-making:* Do men and women both have managerial control over the operation of the WSS service?
- *Benefits:* What are the practical and strategic benefits of the service and of the participation process for women and men, as perceived by either group? How do perceived benefits relate to perceived costs?
- *Policy and strategy:* What gender policies exist in the sector and in sector agencies? Are they implemented in staffing and staff cooperation, procedures and training and supported by management?

Poverty indicators

- *Access to service:* Who has WSS facilities and who does not?



- *Differential service levels for differential groups:* To what extent do different groups have different service levels?
- *Functionality:* When water supply or sanitation is deficient, do the poor suffer more?
- *Contributions to investment and recurrent costs:* Who has contributed to the investment costs, and in what form (in cash or kind)?
- *Differential payments:* Do those with greater access, reliability, and water quantity also contribute more for this better service?
- *User satisfaction:* How satisfied are rich and poor users with the technical aspects of the service?
- *Demands met:* Water and sanitation projects provide water for domestic and productive use. But they also provide status, a better position for women, and better

control for people over their local services and conditions. What demands are met for rich and poor?

- *Perceived cost-benefit ratios*: What value do the poor and the rich place on these benefits in proportion to their own contributions in cash, kind, and time?
- *Representation of the poor in decision-making*: In what planning decisions did the poor have a say? Are they represented in the local management organization?

Learning Together: Participatory Tools and Techniques

While there is considerable experience in using participatory tools at the community level, the MPA uses a participatory methodology at all levels, including policy-making.

Participatory methods were developed almost three decades ago, but technical and social surveys by outsiders are still the most common form of assessment for community-managed WSS services. Surveys provide the desired information but are expensive and extractive in nature and do not create ownership or build human capabilities. Often, they collect data from individual household heads, often without distinguishing between male and female responses. The inability of surveys to deal with these aspects reduces their cost-effectiveness in the longer term.

Participatory activities, on the other hand, not only provide data for outsiders but also are an established learning tool for various interest groups within communities and agencies. The tools and the resulting data give the participants mutual insight into their respective situations, which is a first condition for action if action is needed. Open discussion in focus groups increases the chance of obtaining credible and relevant information because biased answers tend to be checked by group dynamics. When the group scores the findings together, it can cross-check for correctness, completeness, and predictive value through a transparent process. The groups must, however, be sufficiently homogeneous and the discussion moderated to ensure that all have an equal voice; otherwise the elite and extroverted will dominate.

Participatory tools and techniques used with *all* stakeholders are a first step in the experiential learning cycle of projects and services. In this cycle, the different groups in a community assess the situation, identify areas for change, and take collective action. They then repeat the analysis as needed to plan further, to do things better, or take up a new activity as a follow-up to the first. Thus, assessment and planning are part of a spiral process to do better, to do more, or both. Through participatory evaluation, the communities themselves generate and use knowledge to solve their own problems.

Table 3

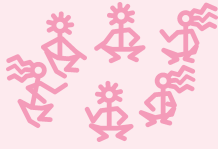
Differences between survey methods and participatory activities

| Technical and social survey | Participatory activities |
|--|--|
| Evaluators <ul style="list-style-type: none"> • analyze information • make generalizations • recommend action | Stakeholders <ul style="list-style-type: none"> • analyze information • internalize information • apply lessons |

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Why participatory?

- ✦ Participatory activities are a learning process for the communities and institutions.
- ✦ Open discussions in focus groups provide credible and relevant information.
- ✦ Participatory methods yield more information in a short time.
- ✦ The process adds ownership to findings and commitment to action.



The MPA combines the use of participatory assessments at community, agency, and policy levels with more conventional research methods by scoring the outcomes of the participatory tools sessions into ordinal scales. This makes it possible to do both qualitative and quantitative analysis of the data. Details on how to use the methodology to conduct assessments in the field are explained in Chapter III.

Chapter III

Guidelines for Conducting the Assessments

This chapter outlines the actual procedure of the Methodology for Participatory Assessments (MPA). It includes steps for selecting communities, establishing the partnership for the assessment, and data gathering. Two important elements of the MPA are covered. The first is the process of data gathering beginning at the community level, followed by the institutional level (Stakeholders' Meet), and concluding with the policy level (Policy Dialogue). The second is the self-scoring, which is the use of participatory tools for learning in partnership with the users and institutions involved in service delivery.

Selecting and Training the Assessment Team

The assessment team should be multi-disciplinary, ensuring a mix of professional skills and expertise.¹ Ideally, the team should consist of members from the selected community, representatives from the project agency(ies), including field extension staff, a sociologist or

participatory development specialist with gender training and orientation skills, and a water or sanitary engineer familiar with the MPA.² If statistical analysis is intended, a development economist, sociologist, or statistician familiar with non-parametric statistics and participatory methods will also be needed. A local illustrator can help to prepare or adapt the participatory tools. Expertise and experience with participatory methods and gender analysis are a must for everyone on the team.

The community members should represent all the existing economic classes, not just the elite. A mix of respected female and male community members and project or government representatives can pave the way for the assessments in the communities.

The training can be divided into two phases:

- In the planning phase, a team of regional trainers,³ well versed in and trained to use the methodology, helps to plan the

¹The establishment of a Gender Assessment Committee at the national/project level, comprising representatives from sector line ministries and partner agencies may be useful. The role of the committee would include defining the scope of the assessment, assuring quality, conducting peer reviews, and selecting the assessment team. The committee will not conduct the assessment but will supervise it.

²It is recommended that community members participating in the assessment should be paid for their time as the others in the team are.

³An objective of Phase II of the PLA, planned to begin in mid-2000, is to have a team of trained trainers, with hands-on experience in the application of the MPA, in each Water and Sanitation Program region.

Key elements of the training process

The training helps the team to assimilate the methodology and its application. The data collection and analysis is a learner-centered, participatory process. The aim is not to extract information but to generate discussions to facilitate community analysis and action planning. Elements of the training are:

- ✍ Conceptual understanding of the framework.
- ✍ Objectives of the assessment, implementation, and/or monitoring process.
- ✍ How to deal with the expectations of the participants in relation to the objectives and/or other issues.
- ✍ Facilitation process and logistic arrangements.
- ✍ Definition of terms and concepts to ensure consensus on issues of interpretation and perception.
- ✍ Review of the indicators, means of verification, coding, scores, and data entry.
- ✍ Emphasis that the team will be expected to collect disaggregated data on gender, poverty, and demand-responsive approaches and analyze how these factors affect project performance and sustainability.
- ✍ Team involvement in development and adaptation of the assessment materials.
- ✍ Hands-on experience with participatory tools and scoring matrix. Thorough review of the purpose and application of each tool or research instrument, how the materials for administering the tools are developed (e.g., pocket voting), and the information expected to emerge from each tool.
- ✍ Selection of communities for pretesting and preparation for and implementation of field-testing.
- ✍ Feedback session and modification of the assessment tools.
- ✍ Definition of the scope of the study and sampling criteria.
- ✍ Outline for report writing agreed upon.



Key outputs of the training

- ✍ Conceptual understanding of the assessment framework and issues.
- ✍ Consensus on objectives of the assessment, implementation and monitoring and evaluation aspects, and gender and poverty aspects.
- ✍ Scope of study including analysis at three levels (and ensuing qualitative and quantitative analysis).
- ✍ Sampling criteria defined.
- ✍ A skilled assessment team.
- ✍ Modified and adapted assessment tools/research instruments, including field books.
- ✍ Defined roles and responsibilities, including data entry and report writing.
- ✍ Action plan for the fieldwork, including logistics.

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Assessment team

The following is suggested as an ideal combination of skills for the field study assessment team. Gender balance should also be ensured.

- ✦ Members of the community and the local WSS management organization (male and female)
- ✦ Field staff
- ✦ Project officials
- ✦ Sociologist/participatory development specialist with gender training and orientation skills
- ✦ Sanitary or water supply engineer.



assessments and prepare for the training of assessment team members. During this phase, the team of trainers and project managers defines what the training will entail. For example: How much training may be needed on participatory methods, gender, and gender analysis?

- ✦ During the training, the assessment staff become familiar with the concepts and tools of the methodology and gain experience and confidence in its application. It is important for the team members to have a hands-on

or role-play exercise after covering each tool, demonstrating how they will apply it in the field. The training can be structured to focus on the three levels of the assessment: community, stakeholder, and policy levels. Training further encompasses preparing the field books, practicing gender and poverty analysis, entering data, and scoring. It also includes practice on how to analyze outcomes of individual sessions and how to summarize and analyze the outcomes of a community assessment as a whole. At the end of the training, trainers and the assessment team do a first hands-on experience to practice the community process in the field.

The duration of the training depends on the skills and experience of the staff, but generally lasts about two weeks.

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The MPA is a process-oriented methodology. It requires a different approach when working with the community. Team members must recognize that the community has its own knowledge and creativity and that gender relations affect participation, control, and benefits. Hence, the team must have extensive experience in the use of the participatory tools and activities and know how to conduct a gender analysis.



If the team has had no prior experience in participatory approaches and gender issues, the training should be lengthened so they can develop skills in these aspects.

Criteria for Community Selection

The criteria for selecting communities for the assessment are the following:

- ✦ When used as a self-evaluation tool, the methodology helps participants to assess services that are operating in one form or another. Thus the water and sanitation system should have been established and

functioning for a sufficiently long period of time.⁴

- The service should have some form of decentralized management, that is, it should not be exclusively managed by an external agency.
- The project organization and community should be interested in the assessment and willing to participate.

The assessments are usually carried out in a sample of communities. In order to define the sample, each project defines its range of environmental and social conditions, groups them in zones, and then selects communities that sufficiently represent these zones in numbers proportional to their presence in the program. Data that illustrate the representativeness of the assessment communities are also collected and reported as part of the assessments.

The size of the community sample will depend on the size of the project and the conditions. The aim is to involve those communities that provide a good cross-section of the technical, social, economic, cultural, political,

administrative, and environmental conditions in the project area without a bias in selection. Low-income communities should be well represented. When the variation in conditions is large and resources limited, it is sometimes necessary to choose the zones representing the two extremes and an intermediate situation and draw the community sample from these.

The sample size and rigor of sampling procedures will also vary according to the purpose of the MPA: for training purposes, as a tool for planning, monitoring, or evaluation, or for case studies. Sample size and sampling procedures will also depend on whether statistical analysis is required. When such analysis is required, expanding the sample to include all the communities that originally completed the establishment of service will enhance the statistical value of the analysis. In certain cases, however, working with a large sample of communities may mean working with communities whose systems are seriously out of order and helping them to identify what factors influenced this situation, without resources available to assist them in remedying the situation.

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Factors to consider in community selection and data gathering

- *Environmental and technical conditions:* type of water sources (ground and surface water), availability and quality of fresh water, water resources, developments in water and land use, and WSS technologies used.
- *Demographic conditions and developments:* population size, density, growth, and migration.
- *Economic conditions:* economic base (e.g., subsistence, cash crop, or industrial and services economy), communications (e.g., near major cities, well-connected, or isolated), character of the settlement (e.g., rural village, small market town, or low-income urban), and level of economic growth.
- *Socio-cultural conditions:* religious, caste, and ethnic composition, literacy levels by sex, heterogeneous or homogeneous society, seclusion of women, and so forth.
- *Political and administrative conditions:* decentralization and devolution, and types and legal status of water and sanitation management organizations.



⁴ This criterion is valid only if the methodology is being used for sustainability monitoring; it is obviously not applicable in the design of projects for sustainability.

Information Gathering and Analysis

After determining the community sample, the assessment team approaches the selected communities to gauge their interest and willingness to participate in the assessments. This exercise should be repeated until the required number of interested and willing communities is found. Several refusals may make the sample less representative but voluntary participation is essential.

Together with the local authorities, the team collects the general data on the community and the service and records them on the Community Data Sheets (see page 58). During the overall analysis, these data make it possible to assess whether a particular external or system-related factor, rather than community factors, explains the linkages found. Examples of such factors are the age of the systems (do newer systems perform better than older ones, irrespective of responsiveness to demand, gender, and class?) and poverty (are services better sustained in richer communities than in poorer, irrespective of other factors?). Information gathering takes place at three levels: community, institution, and policy.

Participatory assessment activities with the community are:

- *Observation of physical conditions*, together with a representative group from the community during a Transect Walk. These observations are linked with key questions to individuals living near the works who may have direct knowledge of the service, e.g., maintenance, repair, and use. Both female and male community representatives should take part in the review visit and discussions of the technical service works!
- *Participatory activities with selected tools*, including focus group discussions with key

groups in the community (male and female, rich and poor, users and non-users). These activities use a specially designed sequence of participatory exercises diagramming local conditions, practices, and preferences.

- *Open interviews with key respondents*, male and female members of the water committees, the operator, and/or other persons involved in operation and maintenance.
- *Review of written records*, e.g., logbooks and minutes of water committee meetings and general assemblies.

Information gathering at the implementing agency level takes place by means of:

- *Stakeholders' Meet* (with all the stakeholders) using a range of participatory exercises.
- *Review of project documents*.

Information gathering at the policy level incorporates:

- Policy-level assessment with key officials at the policy level, national directors of assessed projects, and representatives of external support agencies.

Representative Focus Groups

The assessments rely on participatory initiatives with focus groups rather than on survey questionnaires. Therefore, adequate representation of the various sections of the community is critical. To ensure a good representation, purposive (or stratified) sampling through Social Mapping is proposed. The procedure for this is as follows:

Small communities

During the first day, the community members assist the assessment team in a general assembly to draw a social map of their settlement. This social map

consists of a bird's-eye view (not to scale) of the local roads, paths, compounds or houses, and facilities. Then the people mark the compounds or houses of poor, rich, and middle-class families using colored powder (when drawing on sand), crayon, paint (when drawing on paper), colored pins, or some other local material. The definitions of the three categories are relative and based on the people's perceptions of economic status. (For the definition of these categories, see Appendix A, Wealth Classification.) To arrive at two major categories—'rich' and 'poor'—the following procedure is used:

1. If all three economic categories have approximately equal proportions, one rich and one poor neighborhood are chosen at random.
2. If the intermediate and poor categories are of approximately equal proportions and there are only a few rich families (less than 10%) relatively far from the intermediate level, focus group sessions involve randomly chosen intermediate and poor neighborhoods. The team also discusses with both groups in what ways the few rich families differ and adds this as qualitative information to the data. If the rich families differ only marginally in their characteristics from the intermediate group, the two groups should be taken together.
3. If there are only a few (less than 10%) poor households, focus group discussions involve randomly chosen intermediate and better-off groups, but qualitative data are added on how the contributions and benefits differ for the really poor households. This is done by either interviewing them separately or (if socio-culturally possible) inviting them to take part in the discussions of the randomly chosen intermediate group and indicate how their situation differs.

The position of single-headed households needs special attention in defining and classifying those

who are poor and better off. A high percentage of female-headed households has been known to have both positive and negative effects on gender burdens and benefits in water supply services. It can be positive in that access to decisions and new maintenance and management roles has sometimes been easier, and these women sometimes have a good income and control the income from their own enterprise. It can be negative in that many other female-headed households are very poor and, like old couples, may be less able than other poor families to contribute labor in addition to, or instead of, cash payments.

Large communities

In large communities a social mapping of the whole community is not possible. Here the procedure is to divide the overall community, with the help of the local authorities, into poor, middle-level, and rich localities (as defined by the community leaders, who either use an existing map or draw a map not based on individual households but on community sections). Again the definition of poor, middle-level, and rich is their own. The team assigns numbers to each type of locality, puts the numbers of each type on folded pieces of paper in a box, and draws three times: one rich, one poor, and one middle-level locality where the fieldwork is done. In these three localities the social mapping then takes place as above.

In both cases special care is needed to ensure that the selected areas include non-users. If non-users live in one specific area not included in the sample, the team visits and conducts a participatory review with this area separately.

Visualization and Self-Scoring

The assessments use open-ended and visual methods to bring local situations and practices into focus. These methods do not require literacy,

and so allow those with lower or no literacy—often women, the poor, and older people—to participate. Since the outcomes are visible to all, they generate transparency, discussion, and the emergence of one or two consensus viewpoints. On the basis of these agreed viewpoints, the groups of women and men are asked to identify where their community belongs on a ladder of scores (see Appendix B, Scoring Matrixes) for the particular indicator being measured. Agency personnel and policy formulators follow the same process of joint scoring on the matrixes at the institution and policy levels.

Self-scoring by stakeholders at every level is a significant departure from conventional assessment methods. It is carried out in three steps:

1. Men and women in project communities, agency personnel in sector institutions, or policy formulators at the national level use participatory tools to assess aspects of their respective services, institutions, or policies. They produce a visualized summary of their scores, such as marks along a rope, number of pebbles or beans in the cells of a scoring matrix, number of voting cards put in the pockets of a pocket voting matrix, and so forth.
2. The group uses these outcomes to reach

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The advantages of self-scoring

- ✦ It minimizes biases of ‘desirable’ answers by individual respondents.
- ✦ It eliminates biases due to coding by researchers.
- ✦ The process of arriving at a consensus about the score allows conflicting views to surface and be resolved and hitherto unexpressed information to be revealed. The final scores are only those that are confirmed by everyone who participated.
- ✦ By its very nature, the process empowers groups of stakeholders to analyze and improve their situation.



- consensus on their score on the ordinal scale associated with the assessed aspect.⁵
3. The group analyzes the data.

An example of a ladder of scores for a community-level assessment is given below.

Getting the Full Benefit

Experience with the use of the MPA so far has given rise to a few cautions:

Example of a ladder of scores for community-level assessments

| | |
|---|---|
| 0 | No women in management functions at all, or only in name. |
| 1 | Women are members of the lower-level management organization but do not regularly attend meetings. |
| 2 | Women members take part in meetings of lower-level management organizations, but not in decision-making. |
| 3 | Women members attend meetings of lower-level management organizations and take decisions together with men. |
| 4 | Both women and men participate in meetings of higher-level management organizations and take decisions jointly. |

⁵For statistical analysis, the individual scores are also recorded.

- If the participatory approach is converted into a conventional survey, the communities, practitioners, and management lose the learning and the capacity building effects of the methodology.
- Assessment teams should avoid using participatory methods in an extractive manner, for example, not analyzing or sharing the findings with participants or sharing the overall assessment outcomes only with local leaders or the elite.
- Although gender and poverty aspects are built into the analytical framework and indicators of the MPA, a conscious effort to highlight these issues at every stage is essential. A team loses this perspective when it does not help participants to analyze outcomes on gender and discuss the implications, or involves women and poor individuals in the assessment but analyzes and discusses the overall findings in a meeting with only male leaders.
- Careful selection of the assessment team and hands-on training are critical for success. The hands-on training prepares the team to understand the different angles of the MPA and to practice its use, analysis, and recording in a community. Prior experience in participatory research and gender analysis is essential for the team.
- Boxes and scales alone cannot catch the richness of community conditions, achievements, and problems. In order to elicit the full picture, it is essential to note down interesting information during the participatory sessions and inquire into other local factors that may play a role. The assessment teams are advised to take copious notes and to include sections for note taking in field books and scoring matrixes.

Unlike conventional survey research, the assessments combine data gathering with analysis on the spot by the participating groups at every level of assessment. The assessment team only facilitates the analysis, along the lines of the Analytical Framework described in Chapter II. The actual process of data analysis is described in the following chapter.

Chapter IV

Data Analysis

This chapter discusses how the data collected through the participatory methods (described in the previous chapter) can be analyzed. It describes suggested types of analysis at three levels of assessment: the community level, institutional level, and the policy level. These are the levels and types of analysis that will be used by most project personnel, sector agencies, and policy formulators. The chapter concludes with a brief look at possibilities for statistical analysis.

Community-level Analysis

During a community-level analysis, men and women in project communities assess various aspects of their services using participatory tools and produce a visual analysis of the data. Participatory assessment uses self-scoring at each level, so that each participatory exercise results in a picture, diagram, or map of information for all participants to see and use to draw conclusions.

Analysis of outcome per tool

The most basic analysis is at the level of every tool. The outcome, such as a social map, a series of smiling faces, a drawing, a diagram, or pictures with voting cards of women and men,

is displayed in a way that all can see, often on the ground.

The facilitators ask probing questions to help the group to draw its conclusions. For example: What does the picture say? Does it reflect the real situation? Are there other factors or situations that are not in the picture? What can we learn from it? Does it show something specific about gender and class differences? Sometimes the facilitators can help the group to focus better on gender and class differences by drawing up simple two-by-two tables, (see Example 1 page 23), and having the group complete them from the data generated. This itself can be a learning process for the community and may lead to collective, corrective action.

Analysis of relative performance

By single factor: To help the community groups compare their situation with situations in other communities, the relevant Scoring Matrix (see Appendix B) is presented to the group in the form of a scale with descriptions for each score. The facilitators should write these beforehand on large sheets of paper using large letters. Based on the outcome of the exercise, which should be presented graphically, and the related

Example 1

Gender analysis of activities profile



Purpose

To visualize the division of skilled and unskilled work between women and men and rich and poor in constructing and maintaining the WSS facilities.

The activity is preferably done with several female and male focus groups in the poor and well-off parts of the community. Alternatively it is done with the full local water and sanitation committee and other community leaders, both female and male. However, this limits the information and analysis to a smaller group.

Process

Through discussion, the group determines which members of the community perform which jobs for the water supply or sanitation program, such as hand pump caretaker, tap attendant, hygiene promoter, treasurer, secretary, chairperson or member of the water committee, water system administrator, operator, or latrine mason.




The facilitator then draws a matrix on the ground in the soil, with three rows and three columns. One column is labeled "women" and the other "men." One row is labeled "unskilled, low-status work," and the other "skilled, high-status work."



It is also possible to use cards depicting the labels or pictures for each category placed on a large cloth on the ground.

Through discussion, the participants divide the identified local jobs into work that is mainly physical and has a low status and work that is skilled and has a high status.

The team or a participant enters the job names or pictures in the unskilled/low status and skilled/high status categories.

Using colored slips, beans, or other materials, the participants then mark the number of women and men who carry out the respective functions in the appropriate boxes (see box below).

| | Men | Women |
|----------------|---|--|
| Skilled work |  |  |
| Unskilled work | |  |

 Rich  Poor

Analysis

The participants review who does the skilled work and who does the unskilled work and what the gender implications are. For example, do women mainly do unskilled work while men do skilled work? They reflect on the amount of time and labor involved, on the value of the work for the community, and the implications for the persons involved and their families.

Note: For skilled work, such as operator, it is important to check who carries out this work; is it the operator himself/herself who does the work or, for example, do some of his/her relatives help when the operator is absent?

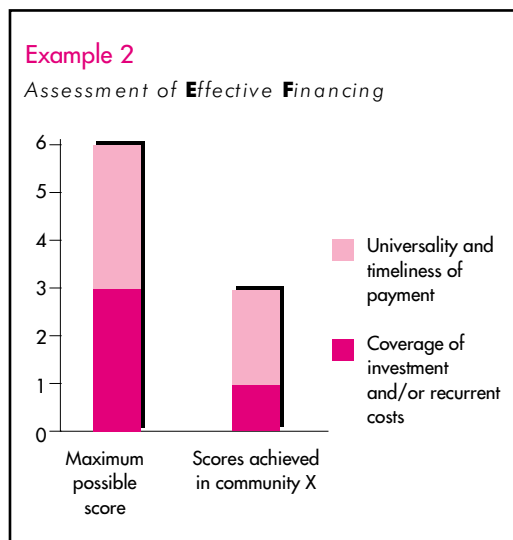
The same exercise (separately or in a combined table) may be done for paid and unpaid labor and for jobs without and with training.

discussion, the group must agree on the score from the matrix that best matches that outcome. This may require a considerable amount of time. The facilitators record the scores given according to the type of group (men, women, rich, or poor).

At this point the participants may decide to analyze each factor immediately or to do so later in combination with other factors. When the factor is analyzed, the participants may discuss their score in relation to higher scores and begin to consider changes that may increase sustainability, use, and/or equity.

By aggregation: As shown in Table 1 (see page 9), sustainability and effective use and the factors affecting them are measured through a set of indicators and sub-indicators. The facilitators help community groups add up scores for each sub-indicator to arrive at aggregate indicator scores. For example, scores for the indicator Effective Financing are derived by aggregating the scores achieved for Coverage of Investment and/or Recurrent Costs and Universality and Timeliness of Payments (see Example 2).

The facilitators then present the results of



aggregation and the maximum possible scores to the group in a visual format. This could entail a simple bar diagram (see Example 2), a pie chart in which the whole pie represents the maximum possible score, or any other visual format that is easily understood by the group. The diagram is drawn on paper or created on the floor with different lengths of rope, pieces of paper or cloth, or other materials depending on what is available locally and what the group can understand easily. Once the group grasps the idea, repetition of the process is easy. Groups have even come up with better alternatives to express the analysis visually.

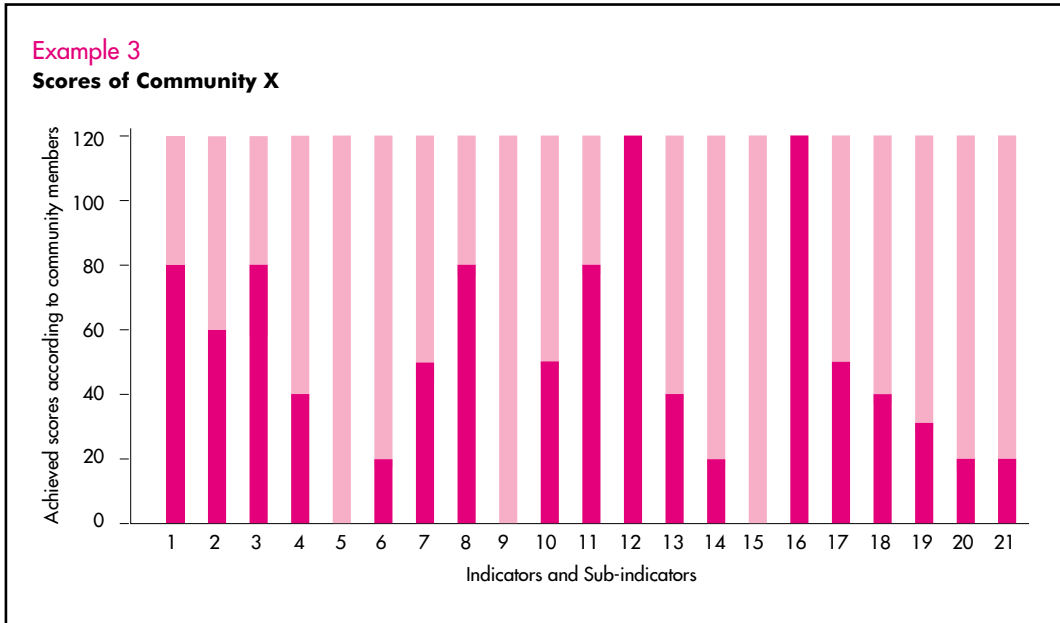
The facilitators then encourage the group to compare the scores actually achieved and the maximum possible scores. They ask the group why the achieved scores are high, low, or in-between for different aspects. When a degree of consensus begins to emerge, the facilitator steers the discussion toward what can be done to improve the situation.

Strength-weakness analysis

To help the community get an overall picture of strengths and weaknesses in participation, sustainability, and use, the team presents the overview of the respective community scales and scores (see Example 3). The facilitator then helps the community identify the strengths and weaknesses and cross-checks whether the picture correctly summarizes the situation. Discussion of the weaknesses is then related to what the community can do about them and what resources and opportunities may be available to tap, both locally and further afield.

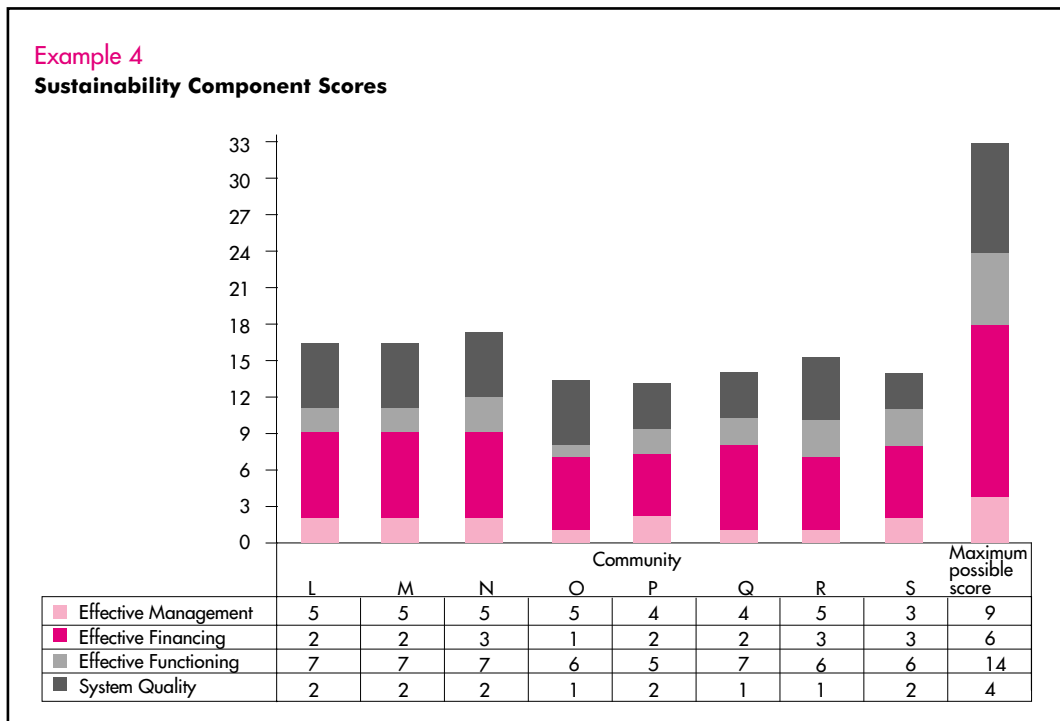
Comparison with other communities

To help the community compare its performance with that of other communities in the project, the facilitator aggregates the results of the sustainability indicators for that community and depicts the results along with those of several others in the project area (see Example 4). The



variations in scores across communities usually raise useful ideas about what has worked, where, and why. The facilitators can also provide information they have gained from the other communities to help the group identify how something could be improved in their own community.

Out of such analyses emerge specific ideas about how a community may enhance the sustainability and effective use of its services. Facilitators should take a back seat at this point, as the group begins to turn the ideas into plans for specific action.



An additional part of the facilitators’ task is to ensure that someone in the group assumes responsibility for the safekeeping of the assessment outcomes. They should also ensure that the plans and agreed responsibilities are recorded so that the group can monitor its progress later. Facilitators should take away only their own notes and copies they make of the outcomes.

If the results have not been analyzed with the community at large, the facilitators and the other members of the team (local women and men, project staff, and local authorities) should present a summary of the assessment results to a village gathering of all households. The community representatives should then explain the actions they have agreed to take as a consequence of the assessment. The meeting invites public discussion, provides clarifications, and develops wider support for further action. This last meeting ensures that the PLA work is fully transparent to all and that no potential conflicts and misunderstandings remain.

assessments constitute the first type of analysis at the project institution/agency level. In the analysis, participants can compare the results of the respective communities and identify factors on which scores are consistently low or high across the sample, as in Example 5.

Typical questions in this analysis are:

- Which are the high-, medium-, and low-performing communities in terms of sustained and effectively used services? In terms of gender- and poverty-sensitive participation? Of demand-responsiveness of services?
- Do these results match our own monitoring information? If not, why?
- What factors emerge as strengths and weaknesses in the assessed communities? Are some common to all or most communities?
- What do the findings indicate about the agencies’ project approaches?

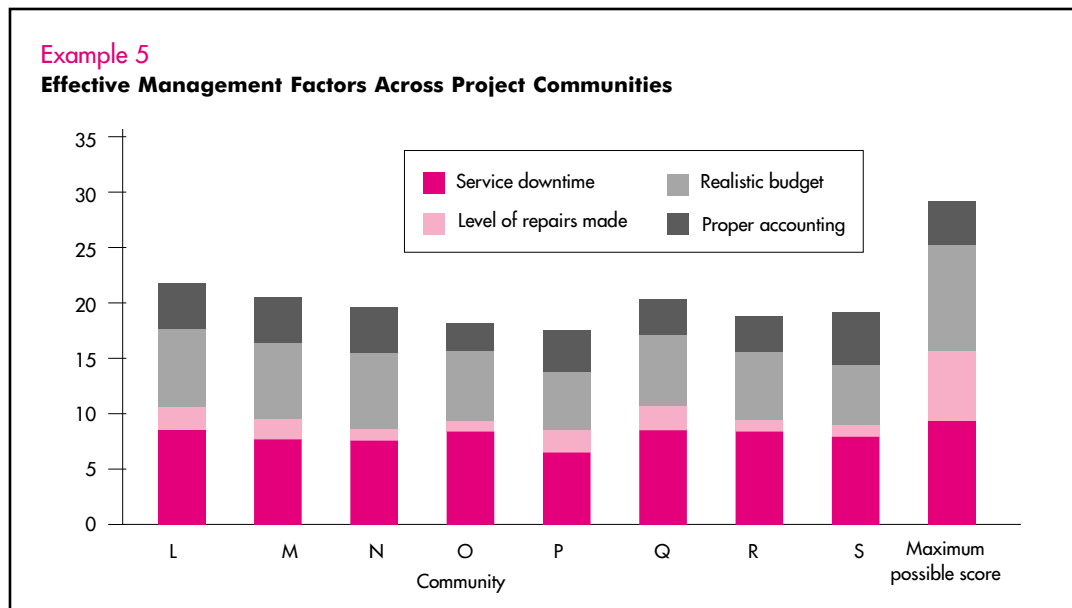
Institution-level Analysis

Analyzing results from communities

Summary results from the community

Stakeholders’ Meet

The second type of analysis is the Stakeholders’ Meet, which captures the views of different categories of stakeholders on the institutional

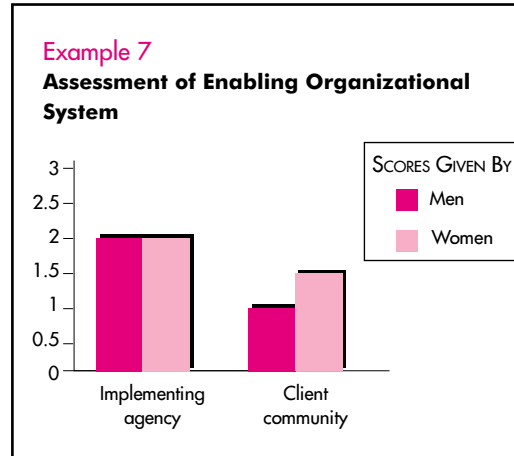
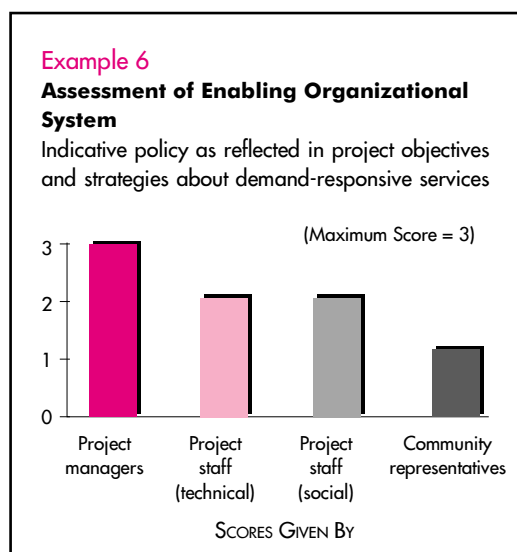


mechanisms for sustainability, participation, demand-responsiveness, gender, and poverty. The stakeholders participating in this analysis are agency personnel of different types, community representatives, and social intermediaries.

Gender differences in responses within the stakeholder categories are interesting and important to record. Hence it is essential to invite responses from each category separately. This means deciding on and consistently using color-coded voting tokens or response markers of different shapes and types for all stakeholders throughout the workshop.

At the end of each exercise, as described in the Stakeholders' Meet in Appendix A (page 52), the facilitators gather all participants to examine the visual outcome of the exercise. Scores given by each stakeholder category are averaged or modal scores chosen as typical of each group. Co-facilitators quickly plot the resulting pattern in a simple visual form (see Examples 6 and 7).

In the subsequent analysis, similarities and differences in responses among stakeholder categories and sexes are noted. Facilitators ask



questions to make participants think about the implications of the results for the project. What does the emerging pattern mean? What does it say about the strengths or weaknesses of the project? Are the results expected? Is anything surprising? To whom? Why? What are the implications for further exploration? For further action for improvement? Who should do what?

Facilitators use such questions to generate group discussion. In case inter-category sensitivities are anticipated, the discussion may be held in several small, homogeneous groups in which people might feel more comfortable in expressing their opinions. Co-facilitators then bring results from all groups to the plenary. Summarizing group responses on cards helps focus this presentation and makes it easier to record the results later.

At the plenary, if a consensus seems to emerge from the discussion about the overall score to be assigned, it is recorded on a large scoreboard. This is done graphically, showing each achieved score against the maximum possible score to enable visual monitoring of the assessment activity as it progresses from one exercise to the next. If consensus is not achieved, the differing scores are recorded as such and marked with the names of stakeholder categories

whose assessments they represent. The group then moves to the next exercise.

At the end of all the assessments, the final scoreboard is presented to the whole group. They use it to identify and jointly rank areas of institutional strength and areas of institutional weakness.

Facilitators generate a plenary discussion on what can be done to build on the strengths and improve the areas of weaknesses. The participants discuss, agree upon, and record implications for action needed at each of the three levels: the community, the sector agency/institution, and the policy level.

Scores and agreed actions are recorded for future progress monitoring by the participating stakeholders and for presentation at the next assessment level, the Policy Assessment Dialogue.

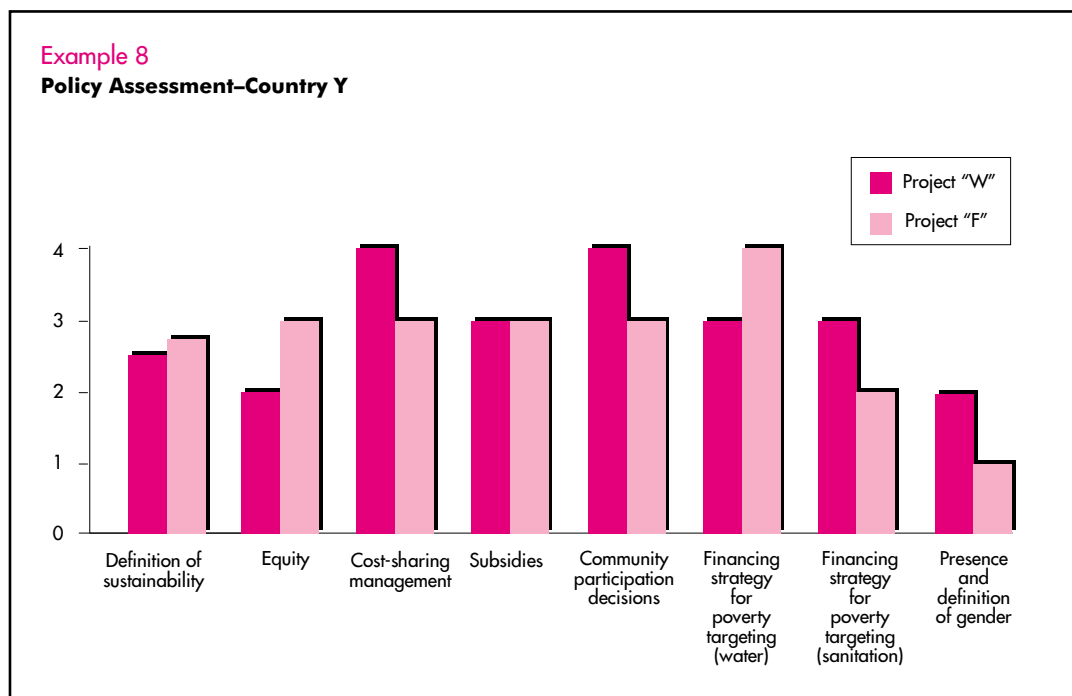
Policy-level Assessment

If the interview option is chosen (described on

page 56), the results are discussed with the interviewees as the interview progresses. This may serve as a joint analysis of findings, although it is limited to two people at a time. If the more participatory workshop option is chosen, the process is very similar to that for the Stakeholders' Meet.

In this case, the final scoreboard will depict the seven aspects assessed (see Example 8). Scores from more than one project may be used together at the Policy Dialogue Workshop, as all projects operating in a country within the same time frame are influenced by the same sector policies. Experiences of several projects regarding policy-related obstacles or support can make the Policy Dialogue a more potent instrument of change. (In Example 8, both projects came across as weak on their vision with respect to gender, which was related to the lack of clarity in sector policies at the time about why or how gender was important.)

In the next step, the whole group identifies the policy-level actions needed on the basis of the



results. It would be useful to extend the analysis at least as far as getting the group to prioritize and establish a logical sequence for the needed changes. The country situation will determine how much specificity and detail are relevant at this workshop.

Statistical Analysis

Statistical analysis is possible if the sample of projects or communities within a project is large enough to warrant and allow this. It is often

attractive to policy makers and academics who may prefer quantitative studies. A sociologist, economist, or statistician who is experienced in the use of non-parametric statistics as well as with participatory tools should carry out such an analysis. The main functions will be to analyze frequencies and cross-tabulations, and to test the strengths of association between likely individual factors and among their levels of demand-responsiveness, participation, and sensitivity to gender and poverty, and the achieved levels in service sustenance and use.

Appendix A

Participatory Tools

The MPA uses specific tools for specific purposes but has scope for creativity; assessors can choose among different tools for the same purpose or develop their own variations. This appendix contains these tools as well as observation sheets, interview guides, and the community data sheet.

Ensuring Quality and Validity of Results

Participatory tools are visually interesting and exciting materials to work with. New users may get carried away by the novelty of outputs generated and lose sight of the process and environment that generated them. The process and the environment, however, are crucial to the authenticity of the results. A few points critical for ensuring the validity of results of participatory assessment and analysis are mentioned here:

- Participatory analysis requires more than participatory tools. *The tools function as participatory tools only in the hands of people trained in participatory approaches.* All members of teams undertaking participatory learning assessments with

community groups must be trained and experienced in the application of participatory methodologies. Prior experience with other methods, such as Participatory Rural Appraisal, SARAR, or the Participatory Hygiene and Sanitation Transformation method, is very helpful. It is not enough if only one or two members of the team are so trained because team members must be able to complement each other during the use of the tools in the field.

- Community-level assessments comprise a sequence of activities to be carried out in a community over a period of five to seven days. *The final schedule of activities must be determined in consultation with groups of participating women and men and activities must take place at a time and place of their convenience.* Fixed workshop schedules are not appropriate. Sessions should be planned so as not to disrupt livelihood-related activities or domestic routines. Periods when communities experience seasonal stress or heavy workloads, such as agricultural planting and harvests, or festivals, should also be avoided.

Visual aids in participatory methods

Visual aids are an important component of participatory methods.

All pictures and drawings to be used in the exercises should be developed by a local illustrator prior to their application, making sure that they depict people and environmental aspects in all their local and cultural specificity. It is very useful to have the illustrator travel with the research team, correcting, changing, and adding to the drawings as needed to enable community groups to identify themselves closely with the visual aids.



As a rule, simple, realistic line drawings with few or no environmental details work best as they minimize the loss of focus and mistakes in interpretation. Specific environmental details may be needed only when the tool requires people to focus on them.

- *Factors that might inhibit participation must be anticipated and strategies planned by the facilitators' team to deal with them.* For example, women often hesitate to speak up in front of men and figures of authority in male-dominated cultures. Gender-segregated sessions are essential in such settings. The presence of government officials, the village chief, or the water committee chairperson may hinder free expression of views by women or the poor, the users of services. One obvious strategy would be for a team member to tactfully remove the inhibiting person or factor from the scene. Take the person away, perhaps to inspect some water supply and sanitation facility, to review records, or to begin an individual interview elsewhere. A dominant participant who keeps speaking on behalf of everyone else could be treated in the same way or given a different role, for example as a co-rapporteur or a photographer.
 - *Establishing trust before starting to work in a community is essential.* The team can approach the community in a culturally appropriate manner, for example, by introducing themselves to the village elders and seeking their approval of the proposed assessment. To break the ice, the team can join in at community functions and group activities with the approval of community leaders. Intermediaries who are known and trusted by the community can also introduce the team.
- Table 4 contains an indicative schedule of work in and with a community. The actual schedule will be locally specific and convenient to community members, and will depend on whether the assessment covers only a water supply service, a sanitation program, or a combination of the two.
- Individual tools mentioned in the indicative schedule are explained in the following pages.

Table 4

Indicative Schedule of Work with a Community

| | |
|-------------------------------|---|
| Preparation | Contact leadership, both men and women. Explain assessment and seek participation. If positive response obtained, set dates and arrange logistics. |
| Day 1, a.m. | Arrive. Review general approach and topics with local leaders, M/W, water and sanitation committee (WSC), and at spontaneous gathering. Fill in <i>Community Data Sheet</i> . Organize for Community Mapping in afternoon or evening at convenient time/place with M/W, R/P. Lighting to be arranged as required. |
| Day 1, p.m. | Start record review and open discussion with WSC and crafts(wo)men on functioning, administration, finance, and (non)membership/access (continue on day 3). Start recording and scoring with community members. Cross-check in open discussion on validity and influence: are other factors more influential? |
| Day 1, late afternoon/evening | <i>Wealth Classification and Community Mapping</i> . Use map to arrange transect walk route and participants (M/W, R/P) for next day. Assist community in transferring map to paper. Community Mapping may be done before Wealth Classification as an icebreaker. Groups could return to Community Mapping after Wealth Classification to mark household economic categories. Continue recording, scoring, and open discussion for other factors with community members. |
| Day 2, a.m. | Conduct <i>Transect Walk</i> and contact households near water works. For sanitation: conduct Transect Walk and Joint Scoring on sanitation ladder in samples of old and new latrines and drains. |
| Day 2, a.m. and p.m. | Team splits in two. Start open discussion with focus groups on explanatory factors for findings on sustenance and use. Do participatory assessment using map on service operations, use/non-use and contributions: patterns of use (<i>Pocket Voting</i>), demand-responsiveness and costs v. benefits (<i>Ladder</i>), time budgets for M/W (listing and scoring), income/expenses for M/W (<i>100 Seeds</i>), and history of participation in information, decisions, and contributions (Pocket Voting Matrix). Score with groups. Cross-check on validity, relevance, and other factors. |
| Day 2, evening | Recording and scoring group information. |
| Day 3, a.m. | Continue committee interviews, records review, and skills demonstration (capacities built) with committee, operator, etc. Continue focus group sessions, scoring, reviewing with groups. |
| Day 3, evening | Record and score overall data from day 3. |
| Day 4, a.m. and p.m. | Complete committee interviews, records review, and skills demonstration. Team records and scores overall data of day 4. Team analyzes total scores from days 1 through 4. Prepares report for plenary. |
| Day 5 | Present findings to plenary and/or focus groups and check accuracy and completeness of findings: do the reported factors indeed explain the level of sustenance and use, or other factors are also at play? Discussion of possible actions to address problems, including where support may be sought for problem-solving techniques and skills. Recording and score adjustment, if needed, from day 5. Departure. |

M/W = women and men; R/P = rich and poor.

Wealth Classification

Purpose

- To classify the village population into three economic categories (rich, poor, and middle-income) on the basis of locally specific criteria and using culturally appropriate terms. These classifications will be used to identify groups with which to hold focus group discussions, for mapping the access of the poor and rich to water supply and sanitation facilities, functions, and jobs, and identifying their differential rates of participation in community decision-making, management of services, benefits, and so forth.

Process

- Discussion is started with groups, which must include women in the community, about how they differentiate between households in their community. The types of criteria mentioned are noted and when socioeconomic criteria are mentioned (which typically happens very quickly), the facilitators provide some blank sheets of paper and ask the group to draw pictures of a typical well-off person in the community. When someone takes the pen and starts drawing, the facilitator asks others to draw a typical poor person and a typical middle-income person. The terminology to be used for rich/poor and so forth should be taken from the group's own language, so as to be culturally acceptable. This activity challenges the group's creativity. The drawings usually generate some laughs and serve as good icebreakers. The pictures are placed some distance apart on the ground.
- Using the drawings as a starting point, the group begins to describe the characteristics of each category, one by one. As the answers emerge, someone from the group lists them under the picture in question. It is usually helpful to start with the 'rich,' move on to the 'poor,' and end with the 'middle' category.



Assessment team being trained in Wealth Classification, Latin America

- The activity continues until at least six or seven characteristics have been identified for each category. Facilitators may probe to understand fully the rationale or community-specific reasons behind the stated characteristics. They may also ask questions about single-headed households. How common are they? Do they consist predominantly of single mothers? What is their socioeconomic situation? How well can generalizations be made?
- Participants then distribute a pile of 100 small stones or seeds (representing the total population of the community) across the three categories. They count the number of stones in each category to estimate what percentage of the population is in each.
- The group then records the resulting characteristics and percentages on a large

sheet for ready reference during later assessments requiring differentiation between rich and poor.

Minimum information to emerge

- Agreed criteria for classifying households as rich, poor, and middle-income.
- Approximate distribution of households in these categories.

How to use this information

- Record the distribution of the community households across the three categories and their relative distance.
- This information will be used to identify the focus groups of rich and poor women and men with which the later discussions and assessment activities will be held:
 - If all three economic categories have approximately equal proportions, one rich and one poor household are chosen at random.
 - If the intermediate and poor categories are of approximately equal proportions and there are only a few rich families (less than 10%) relatively far from the intermediate level, have separate discussions with randomly chosen intermediate and poor neighborhood groups as explained in the social mapping exercise. However, discuss with both focus groups how the rich families differ and add this as qualitative information to the registration sheets. If the rich families differ only marginally in their characteristics from the intermediate group, the two groups can be taken together.

- If there are only a few poor households (less than 10%), hold focus group discussions with randomly chosen intermediate and wealthier groups. However, add qualitative information as to how the contributions and benefits differ for these poor households by interviewing them separately or (where socio-culturally possible) inviting them to take part in the discussions in the randomly chosen intermediate group and indicate how their situation differs.

How to analyze this information

Wealth Classification provides a snapshot of the nature and extent of poverty in a community in the view of community members. This information is not relevant for analysis by itself. It should be used as a perspective against which to assess financial data on community contributions, tariffs for services, the extent of subsidies, and so on.

No scoring is required for this tool. Its purpose is to understand the nature and extent of poverty in a specific community and identify groups for further sessions.

Materials required

- ✍ A few sheets of paper, approximately A-4 size
- ✍ Marker pens
- ✍ Large sheets of paper for recording results
- ✍ Stones or seeds



Community Map

Purpose

- To learn about the community's situation regarding all water supply and sanitation facilities (traditional as well as those provided by specific projects) and access of the poor, rich, and middle-income households to them.
- To depict which households (rich, middle-income, or poor) have paid or unpaid males or females working in water, sanitation, and hygiene promotion and which of these workers have received training.

Process

- The participants for this activity are the members of the community. The inclusion of women should be ensured.
- The day before this activity, discuss it with village representatives (both women and men) and agree on the area to be mapped. For large villages, it may be cumbersome to map the whole village down to the household level. In such cases, draw a general map of the layout of the village and mark the traditional and new water supply systems (created through the project), as well as the rich, intermediate, and poor neighborhoods, according to the criteria agreed in the Wealth Classification. Then select one or two sub-village zones or habitations served by those systems for detailed mapping, making sure that the zones represent both better-off and less well-off households. Thereafter, ensure that the community group that participates in the social mapping actually comprises the residents of the area to be mapped.
- Ideally, the venue for this activity should be a public place that is easily accessible and can accommodate a large group. It should be adequately lit at night and protected from harsh weather. The activity can be carried out in one day.
- A facilitator explains the purpose of the



Community Council representative indicating her home on map, Latin America

exercise, helps start a discussion with the community group to develop a basic list of features that should be indicated on the map. These could include roads, lanes, paths, and homes (marked in some way to depict the income category they represent); major landmarks such as forests, hills, crop fields, school; and mosques, churches, or temples; all water sources, both natural and constructed; all public sanitation facilities and homes with private toilets (obtained through the project or otherwise), homes of men and women whose work includes provision or maintenance of water supply and sanitation services; and homes of men or women who have received training of any kind.

- Groups of men and women, jointly or separately depending on gender relations, draw a map of the local settlement. Depending on the local situation and availability of space and materials, they may choose to draw it on a large sheet of paper (e.g., 2-4 sheets of wrapping paper taped together, using drawing materials with which they are familiar), on the floor, or on open ground.
- The relevant features are introduced using local materials, such as pebbles, seeds, flour, or twigs for a map on the ground, or symbols for a map on paper. When maps are made on the floor or on open ground, the literate villagers and team members transfer them to paper after completion.

The team will use this map for further reference, particularly in planning the route and including participants for the Transect Walk.

Minimum information to emerge

The following information might emerge¹ from the exercise:

- Number, type, and location of all water sources, whether or not they were created through the project being assessed.
- Degree to which the source meets all water needs during the year; for example, does it only partly meet water needs in some months or at times become completely dry.
- Degree to which distribution points meet all the water needs, of women and men separately, all year round (frequency of service interruptions, 1 to 2 days or for more than 2 days), for uses of women, men, or both.
- Predictability and influence on regular delivery in case of irregular service, for women.
- Cut-off zones for water source use, clarifying access of households to sources, particularly point sources.
- Location of rich, poor, and middle-income households according to agreed-upon criteria and the relations with accessibility and regularity of service delivery.
- Households that do not have easy access to any type of improved source.
- Number, type, and location of sanitation facilities, both public and household, according to their installation before, during, or after the project intervention.
- Homes of community members with roles in providing and maintaining water supply and sanitation services according to gender, involvement period (past or present), socioeconomic level, and function or type of work, including whether it is paid or unpaid.

- Homes of community members who have received training for construction or maintenance of services according to gender, class, involvement period (past or present), and subject area.

How to analyze this information

Access to Services: Examine the locations of the facilities vis-à-vis the clusters of homes. Which clusters of households are well served, through proximity to facilities or household connections? Which clusters are not? Ask why. Facilitate the group discussion to bring out the rationale for and stories behind the siting of facilities, for both water supply and sanitation.

Ask what has happened to people's access to services over time. Since the project constructed the facilities, has the community expanded or replicated them? Has it installed more taps? Built more latrines? With or without external assistance?

Present the scoring format on Proportion of People Using the Service (scoring formats are given in Appendix B, page 78) and ask the group to select the score that represents the community situation. Do the same for sanitation facilities using scoring format for sanitation.

Quality of Service: Ask about the quality and reliability of service from the mapped facilities. Are there variations among them? Which ones are functioning well and which ones are not? What are the reasons? The answers will explain aspects of management and financing of services.

Present scoring formats on Water Quantity, Quality, and Reliability (see page 75) one at a time and ask the group to score its service operation situation.

¹Community maps are a popular evaluation and monitoring tool, as they can reveal a lot of information. Since they also take considerable time to make, it is worthwhile to consider what type of and how much data to include. It is also important to keep in mind that the more complex the map, the more time the analysis will take and that other tools, discussed later, give the same information more 'at one glance' than a social map.

Equity in Sharing Costs versus Benefits: Discuss what poor and rich households and households near and far from water points contribute to the service. Do some households also use the water for productive uses? What type of households and for what type of uses? Do these uses involve a lot of water? Does it affect water availability or could it do so in the future? Are these uses reflected in the tariffs?

Equity in Community Management and Capacity Building: Examine the map to identify the homes of people on the water and sanitation committee and people who have received training in technical, financial, management, and hygiene education aspects. Help the community group to find out how many men and women are on the committee, how many men and women received each type of training, and how many are from each economic class. Ask them to consider how many of those trained are still practicing their skills.

On the basis of the emerging information ask the group to score its community situation, by presenting scoring formats on Types of Skills Created and Practiced (see page 86).

How to use this information

- If the drawing was done in the soil, transfer and copy the map and its legend on to paper. Leave one copy in the community. Keep a second copy with the other assessment data for later aggregation of data.
- Use the map to plan the route for the Transect Walk, which visits a cross-section of the water supply and service program. Include in the route the distribution net in wealthier and poorer areas, as defined after the Wealth Classification. Invite representatives

from these areas, the user committee, and workers to join the walk.

- Use the map further to draw the sample for the focus discussion groups. Circle on the map the areas that will be sampled according to the decision taken after the Wealth Classification. Give each area a number. Write the numbers of the less well-off areas on slips of paper, fold the slips, put them in a bag or hat, shake the contents, and draw one. Do the same for the better-off areas, if there is more than one, or for northern, southern, eastern, and western parts of the section if it is substantial. The two areas drawn by lot are the ones where focus discussions and participatory assessment activities will be held.

Materials required

- ✍ Locally available drawing materials familiar to the participants, e.g., colored powders, brick dust, sand, chalk, charcoal, twigs, or matchsticks. More conventional materials such as sheets of newsprint or brown packaging paper and marker pens can be used where locally and cheaply available and if people are familiar with their use.
- ✍ Locally available marking materials or symbols such as seeds, pebbles, leaves, berries, pieces of twine or string, colored powders, paper squares with painted symbols, small flags, or household objects (smooth, black goat droppings were found to be a favorite marking material in some villages!).



Transect Walk with Rating Scales

Purpose

- To determine to what extent a well-sustained water and sanitation service is present in the community.
- To cross-check some of the information on the Community Map.

Process

- This activity is carried out with a group of men and women representing the water and sanitation committee and one each from the poor, rich, and, if needed, a medium-income neighborhood.
- The team makes systemic observations while walking from the source(s) of the community water system(s) along the main works to selected delivery points.
- During the walk the study team members observe the quality of installation using the semi-structured Systems Observation Form for the water facility (page 61) and the Latrine Observation checklist (page 67) for the sanitation, discuss their observations with the community members, and record the findings. Households in the vicinity are questioned on the maintenance (presence and regularity), scope and nature of use, and conflicting demands (see Semi-Structured Systems Observation Form Interview Guide (see page 61). For sanitation, randomly selected latrines installed before, during, and after the intervention project are visited. This is done by numbering all latrines in these categories and then drawing proportional percentages in each category using the paper slips method. Assessment is done using the checklist on Quality of Construction, Operations and Maintenance, and Use of Household Latrines (see page 67).
- To assess satisfaction with service delivery (demand-responsiveness), rating scales drawn on the ground are used in each neighborhood visited during the Transect Walk. The group helps to select the aspects of service delivery satisfaction that are to be scored. For community water supply services this may include the degree of access to service, sufficiency of water to meet all needs of men and women, regularity of service, predictability of service, adequacy

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Visual rating scales

Rating scales are administered in separate groups for men and women. Using a 2-meter piece of rope, a scale is drawn on the ground. The ends are marked with two symbols indicating 'all satisfied' ☺ and 'not satisfied at all' ☹. The midpoint and quarter points are also marked to indicate that it is a continuum. The group begins to discuss the concept being assessed and one volunteer takes up a position somewhere on the scale to reflect group opinion. The volunteer usually moves back and forth on the line, until the group is satisfied that his or her position accurately reflects their collective assessment. The Transect Walk team measures the distance of this position from the zero point ('not satisfied') of the scale and records it for each concept and group in accurate proportion in miniature (say 20 centimeters) on sheets of paper. These measurements are then converted to scores, on a 100-point scale, the 20-centimeter length being taken to represent 100 points.

Other teams have used a series of drawings of faces in which the mouths range from the deepest sadness to the highest pleasure, for the same type of scoring.



of operation and maintenance, fairness of fees or contributions paid for the service, and accountability for service delivery towards users.

- Scoring service satisfaction for on-site sanitation programs may include degree of access to service, adequacy of design, including for children's use, quality of construction, ease of operation and maintenance, perceived value of contributions paid to obtain the facilities, and accountability for service delivery towards users, with all findings recorded separately for male and female users.
- After completing the walk, the team members split up and meet separately with the rich women, poor women, rich men, and poor men of the community. This is to ensure that each stakeholder category gives its own views openly and free of bias. At the end of their discussions, the team members score the observations on the general scoring system in consultation with the community group concerned. In the evening the team members get together, compare notes, and prepare the final score.

Minimum information to emerge

- Physical condition scores for water systems and sanitation facilities observed.
- Views of different socioeconomic groups regarding use of and access to services, adequacy and regularity of system functioning, adequacy of operation and maintenance, and fairness of fees and contributions paid for the service.

How to use this information

- Conduct the Transect Walk with male and female community members so that it becomes an opportunity for the research team to do joint technical assessment of the water supply and sanitation systems by pooling their technical knowledge with local knowledge. The technical members of teams

should observe the facilities/systems and assess the quality of construction and design according to technical criteria. Detailed criteria may be developed in consultation with project authorities, under the main criteria stated in scoring format for Construction Matches Design; Quality of Materials and Workmanship.

- Verify the technical assessment by checking user satisfaction about physical functioning. Asking users about reasons behind their ratings provides significant insight into how and why the system came to function the way it does. The interactions with users at water points during the transect walk yield information about the operation, financing, and management of the services from the users' viewpoint. This information is also later collected from Committee Interviews and the Review of Records. Analysis should look for consistency of this information from the three sources. Contradictions, if found, should be further explored with tact and sensitivity, as they could be indicators of forces hampering equity and transparency.
- The research team scores the technical assessment on scoring formats. Scores from rating scales are taken directly from the measurement on the scale, as a percentage of full satisfaction (100%).

Materials required

- Observation checklist developed for the walk, with reference to the scoring system
- Semi-structured interview guide developed, with reference to the scoring system
- Pre-cut piece of rope (2 meters is a good length)
- Two cards with smiling and frowning faces drawn on them



Pocket Voting

Purpose

- To ascertain patterns and changes in behavior, decision-making, choices, and so forth. This is very handy particularly when the subject being assessed is sensitive and people are inhibited about stating their views publicly. The voting is done in the four focus groups, with men, women, and rich and poor individuals. It is used during the community assessment as well as Stakeholders' Meet.

Process

Example 1: For Use of Water Sources

On the back of a cloth stretched between two poles or walls the team member assisting the focus group affixes small drawings in a matrix form. The drawings characterize the range of local water sources in the community and their possible uses. Water sources are listed in a horizontal row and water uses are in a vertical row. Each cell in the matrix gets an open envelope. Each participant in the focus group gets a set of voting slips. The number of slips is equal to the maximum number of sources a participant could use. However, participants need not finish the slips; the actual behavior may be less varied than is theoretically possible. The team member explains what the drawings represent and how the activity will be done. (S)he then cross-checks that the activity is clear to all. Participants may vote for more than one water source if they use multiple sources for the same purposes.

For the initial voting, each participant goes behind the voting screen and selects the sources that (s)he used for a particular purpose before the new service was established. When this is completed, a volunteer takes out the slips from

each envelope and the team member registers the votes on a paper version of the matrix, using one symbol for the votes of men and one for the votes of women, so that those with no or low literacy can also analyze the results.

The second round is done in the same way, but for the current water use. If there are great differences in service levels between the wet and the dry season, the whole activity has to be done twice for the "before" situation and twice for the "after" situation. In the analysis, the group compares the degree of change in use and assesses whether some users use a combination of safe and unsafe sources for drinking.² They discuss underlying reasons and agree on the overall score in the scoring system. If the group raises problems, extra time is required to discuss them. The team later combines the results of the voting rounds into a total community result and score for presentation and discussion of the overall community findings.

Example 2: For Hygiene Behavior Patterns

This uses a matrix and voting procedure similar to that described above. To find out where people defecate, pictures of sites used for defecation are placed in the horizontal row, and pictures of different household members—women, men, girls, boys, toddlers, and babies—along the vertical row. 'Before' and 'after' defecation practices are assessed for a sanitation project by doing the voting twice.

The effectiveness of hand washing in the community is assessed by placing different types of hand washing options along the horizontal row and hand washing opportunities along the vertical row (for example, before eating, after defecation, or after cleaning up an infant's feces).

²To reduce water-borne diseases requires a switch to the year-round use of a safe water source only, coupled with hygienic transport, storage and drawing. For the reduction of water-washed diseases, any source of water is fine as long as plenty of water is used and soap or a soap substitute such as ash, or firm rubbing. Elimination of guinea worm and schistosomiasis requires the avoidance of bodily contact with infested sources. So a fairly detailed assessment is needed on the basis of local risks and practices.

Example 3: For History of Participation

A similar matrix is used to analyze the history of participation (information, voice, and choice). Locally appropriate pictures of persons or groups that have been involved in making decisions are placed in the horizontal row, for example:

- Outside agency worker
- Local male leader
- Local female leader
- Local men's group (rich)
- Local men's group (rich and poor together)
- Local women's group (rich)
- Local women's group (rich and poor together)
- Local mixed group of men and women (rich)
- Local mixed group of men and women (rich and poor together)

Types of opportunities, choices, and decisions are placed in the vertical row, for example:

- Selection of village or community for service initiation
- Decision on participants, users, and beneficiaries of the service
- Receiving information for making choices
- Choice of technology
- Choice of service level
- Decision on location of facility(ies)
- Decision on who will construct facilities
- Decision on who will pay how much for construction and/or use of facility
- Choice of local maintenance system
- Choice of local persons to be trained for service maintenance.

The participants in this activity vote twice, first on who had access to what information and second on who made what decisions. Women and men use voting slips of different color to make it possible to see if experiences and practices differ.

Minimum information to emerge*Water Use*

1. Which water source is generally used by

the community and for what purpose(s) before and after construction of new project facility and whether these vary seasonally.

2. Whether men and women, rich and poor use different sources of water for different purposes.
3. The internal consistency of the scores (for example, do men and women from the same neighborhood report different sources for drinking water?).
4. Whether the new facility has caused any changes in the community's water use pattern and underlying reasons for change or lack of change.

Hygiene Behavior

1. Pattern of hygiene behavior being studied before and after the project interventions and differences in patterns among women, men, rich and poor
2. Underlying reasons for change or lack of change.

Participation History

1. Who had access to what information during the planning phase?
2. Who participated in making the main decisions leading to the creation of the water supply and sanitation facilities? Who decided on what local planning aspects?
3. Who did not participate and why?
4. What extent of information and choice was available to those involved in making the decisions?

How to analyze this information

After the voting rounds have taken place, the cards and the contents of the respective pockets are laid out on the ground for the analysis. The facilitator draws the group's attention to voting patterns. Are there variations between the way men and women voted? Differences before and after project interventions? Did some people tend to participate in decisions while others were consistently excluded? Ask people's views about

why these patterns, differences, or similarities emerged. Note the rationale and stories behind the results, probing further whenever something in the results seems unexpected or illogical.

Present the following scoring formats to the relevant group to agree on assessment scores

on Change in Hygienic and Environmental Use (see page 78).

User Information, Voice and Choice are scored by transferring cumulative scores from the pocket voting results on Participation History (see page 80) into formats.

Materials required

- ✦ Sturdy fabric about the size of a single bed sheet
- ✦ Sets of drawings, pictures, and symbols on postcard-size cards for the horizontal and vertical rows, depending on what is being assessed
- ✦ Envelopes or paper bags, as many as there are cells in the matrix
- ✦ Voting slips in required numbers for each participant, in different colors as required (for example, for women, men, girls, boys, toddlers, and babies, depending on what is being assessed)
- ✦ A large chart paper or wrapping paper sheet for recording results
- ✦ 2-3 felt tip markers
- ✦ Adhesive tape or pins to attach envelopes and cards to the fabric



Ladders (1)

Purpose

- To assess the extent to which a service meets the users' demand and how far they consider the benefits worth their costs. The activity is done separately with women and men in better-off and poor sections of the community.

Process

- A discussion is started about how the service has affected people's lives. Are there any benefits or negative effects they are experiencing from the service and its establishment? As they emerge, the benefits are listed on a flip chart sheet or separate cards using words along with symbols or pictures drawn by a community member to illustrate the benefits. This is important to ensure that the illiterates are not excluded from the discussion. While doing this activity be sure to ask participants to think also if there are possible benefits from the ways they have taken part in the service establishment processes and perhaps now take part in management, maintenance or hygiene-related activities. Once people feel they have listed all the benefits, they are invited to select those cards that represent a demand currently being met by the service and to lay aside the rest.
- Each group is invited to rate the degree to which it as a group is receiving this particular benefit. The members can do this by giving each pictured benefit a score between 5 (highest) and 1 (lowest) using beans or seeds as markers. Once the activity is completed, the cards are put into order from highest to lowest and the team member helps to calculate the total actual score obtained as compared to the total theoretical maximum (the number of identified benefits multiplied by five). Thus, if the users identify that the service meets 13 types of user demands, the



Ladders (1) exercise with women in the community, Latin America

maximum possible score would be 13 times 5, which is 65. The actual score is the sum of the individual demand scores as a percentage of 65.

- The participants are asked to look at their marking again, but now to discuss which of these benefits are worth their current contributions, in terms of payment, time, effort, and whatever else they contribute to sustain the service. In other words, if there are items for which they feel they contribute more than they are receiving in terms of benefits, they can remove beans. If there are certain benefits for which they would contribute even more than they do now, they can add beans. The team member then helps again to calculate their overall score as a percentage of the maximum possible. (For scoring the final percentage see scoring formats.)
- The total outcome of this activity gives an idea of the strength and variation in perceived costs and benefits of the users in

general and of each typical group (poor women, rich women, poor men, and rich men). The results may partly explain the degree of support sustaining the service. The conclusions need to be checked, however, with each group in an in-depth discussion after the analysis of the scores, since the interpretation of an outsider may be incomplete or incorrect.

Minimum information to emerge

- Community groups' perceptions of different types of benefits from the new service.
- Group perceptions of the extent of each type of benefit experienced by them (done in separate groups of poor women, rich women, poor men, and rich men).
- Ranking of benefits considered worth paying for (in terms of money, time, effort, assets, or in any other way), according to the four types of community groups.
- A division in practical and strategic gender benefits.

How to analyze this information

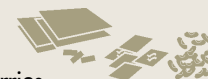
Types, Division, and Scope of Benefits: Ladder 1 results from different groups (women, men, rich, poor) help, when presented to the larger community group, in the public review of differentials. Facilitators may ask the gathering to examine whose demands are being met and whose are not. Or whose demands are being met to a greater extent than the demands of others and why. If major inequities are discovered in

the benefits experienced from the services and in the value for cost perceived by different groups, facilitate discussions to draw out reasons underlying them. The whole community needs to become aware of the inequities and identify the reasons for them so that collective decisions and actions can be determined. For example, if a certain group is deriving proportionately greater benefits from the services than others but is paying the same user fees, this could lead to a change in the rates of user fees to better reflect the differentials in consumption—thus improving financial sustainability.

Practical and Strategic Gender Benefits: The activity also lends itself to a broader discussion on benefits and gender: which benefits are practical (that is, benefits that facilitate life without changing existing roles of women and men) and which are strategic (that is, those that lead to an improved position of women relative to men)?

Materials required

- ✍ Cards with drawings of benefits usually associated with the use of the services (optional)
- ✍ Some blank cards
- ✍ Marker pens
- ✍ Large seeds or berries
- ✍ One scoring sheet per group



Card Sorting

Purpose

- To assess who contributed what to the establishment of the service in relationship to their capacity to contribute.

Process

- For this activity the starting points are the drawings of the two individuals that emerged from the Wealth Classification representing the rich and the poor. These drawings are redone in a male and female version and copied in two sets, the 'rich' drawing for use with the richer focus groups, the 'poor' drawing for the poorer focus groups. In addition pictures are needed (2 copies of each) representing total and partial payments in cash (such as a large and small bag of money or pile of coins); typical payments in kind (for example, chicken, grain, coconuts, as locally appropriate); typical unskilled labor (such as digging, carrying construction materials, catering); and typical local materials that the users may have provided in the installation process (sand, bricks, stones, and the like). Each person in the group is given two seeds, pebbles, or similar objects to indicate what each husband, wife, or both contributed.
- The facilitator explains that this activity is to learn who in the households has contributed what to establishing the service. (S)he first lays out all four cards under the male and female and asks the participants to place their beans next to the male picture if the man or men in the household financed all the costs, including labor and materials, and next to the female if the woman or women have financed all of the costs, and next to both if both contributed. The total number of beans is then copied on a pictorial copy of the scoring sheet.
- Next, (s)he lays out the cards for labor and

partial payment in cash or kind and asks those male and/or female participants who have contributed labor and some of the cash costs to put their beans in the appropriate place. The total is scored in the appropriate cell. The same is done for materials and partial cost payments in cash or kind and the total is added to this score.

- The next category, labor and materials, is then scored and recorded, followed by the only labor category and finally the no contributions category. The results in the pictorial table are then discussed and validated.
- Do the exercise twice with each group, once for water supply services and then for sanitation (if relevant).

Minimum information to emerge

- Nature of user contributions to meet demand (other than time for meetings, which also has monetary value but is hard to assess in a recall situation).
- Division of contributions within the community and within households (who pays and in what forms).

How to analyze this information

Equity: This is another activity that helps to assess (in)equity. Examine the final visual output with the group and draw conclusions on whether households contributed at the same rate or different rates. Ask questions to clarify the basis for determining the type and amount of contribution. Were the poor required to contribute the same amount as others or less than that amount? How was it decided who was to pay more or less? Did the majority of users have a voice in deciding the extent of contribution? Did the poor and the women have a say in deciding? Did men and women within each household contribute different amounts and in different ways? How do the different groups (rich/poor, women/men) feel about their

contributions? Do they feel it was fair? What are the reasons for their answers?

Results are used to score the division of contributions during construction (see page 83-84).

Materials required



- ✦ Four cards each, representing contributions in labor (male and female), kind, cash, and materials
- ✦ Large seeds, berries, beans, or pebbles

Ladders (2)

Purpose

- To assess the impact of the water service or the sanitation program on women's time and workload in relation to those of men.

Process

- A second ladder exercise similar to the first one is done first with the members of the water committee and other voluntary workers who contribute time and work to keep the service going, and second with the focus group members for whom the water supply and sanitation service may also affect time and labor patterns.
- A series of small drawings depicts work that is typically perceived as women's work, including work in water collection or in sanitation. Another series depicts work that is typically perceived to be men's work. Each group begins by discussing the typical female and male tasks that the group members now carry out, using the cards. These cards are then ordered in a daily sequence. A weekly or monthly sequence may be used in addition if there are tasks that are not carried out daily. Using matchsticks or other easy-to-count materials as counters, members of each group then estimate how much time they spent on each activity.
- They discuss the changes that have occurred as a result of the project. Has work increased or decreased or has the amount stayed the same? Have cooperation patterns in the household (help from men, boys, or girls) changed?

Minimum information to emerge

- Who (women/men, rich/poor) does what work, including work on water supply and sanitation?



Women listing perceived benefits, South Asia

- Changes in workload and work division within households as a result of the project.

How to analyze this information

Division of Workload: When the visual output is complete, facilitate a discussion on the sharing of burdens. Are the workloads and responsibilities for water supply and sanitation shared equitably between women and men? What about girls and boys? If yes, how did it happen? If not, who has a greater burden? Why? What can be done to share the burden more equitably? What action can be taken, and by whom? Record the visual output and conclusions from the discussion. Score the outcome with the group on the scoring formats.

Materials required

- Cards with drawings of typical men's and women's work
- Some blank cards for adding more drawings if necessary
- Marker pens, seeds, or matchsticks

Matrix Voting

| Work | Women | Men |
|---|------------------------|-----------|
| <i>Skilled/High Status</i> | ○ | ○ ○ ○ ○ ○ |
| <i>Unskilled/Low Status</i> | ○ ○ ○ ○ ○ ○ ○ ○ ○ ○ | ○ |
| <i>Paid</i> | ○ | ○ ○ ○ ○ ○ |
| <i>Unpaid</i> | ○ ○ ○ ○ ○ ○ ○ | |

Purpose

- To assess the division of skilled and unskilled and paid and unpaid work related to the water and/or sanitation service between women and men and between rich and poor.
- The same activity can also be used to assess access to and income from productive uses of water, for women and men and for rich and poor.

Process

- With the group (which may be the members of the water and sanitation committee or female and male focus groups in the poor and better-off sections), the construction, maintenance, and management work done for the water supply and/or sanitation is identified. Participants write each job on a card. Participants with low or no literacy can draw the jobs or implements used for doing the jobs.

- The group then discusses which jobs are skilled/trained and have a high status and which involve only physical work and are low status. They divide the cards into two rows.
- The facilitator then draws a matrix in the soil or on a large piece of paper with three rows and three columns. The second and third columns are labeled with pictures of women or men. In the first cells of the second and third row the facilitator writes or places pictures of the identified skilled and unskilled jobs.
- Using colored slips, beans, or another local material, the participants then mark the number of women and men who carry out the respective functions in the appropriate cells of the matrix. Different colors or shapes may be used to denote women and men from better-off households and women and men from poor households. The same exercise is done for paid and unpaid jobs.

- The same method is used to determine what types of training were given, who and how many had access to the training, and in what subjects (for example, training in leadership skills, technical and maintenance skills, book-keeping and accounting skills, monitoring functioning and use, or health and hygiene).

Minimum information to emerge

- New jobs and skills emerged from the project.
- Status and gender division of physical labor.
- Division of paid and unpaid jobs between women and men, and the rich and the poor.
- Access to training for women and men in better-off and poor households.
- Impacts of the project on women and men.

How to analyze this information

Activities and Impacts: How are unskilled and skilled, and low and high status jobs divided between women and men? How does this impact their positions? Has the project brought new skills? To women, men, or both? Do women do technical jobs? Why not? Would there be benefits if women were trained for technical tasks as well? What types of women could/should be trained? Do only women do the physical work involved in cleaning, collecting tariffs, and so forth? What does that mean for their workload? Do men have responsibilities for cleanliness? If a lot of work is involved, is some kind of compensation indicated?

Access to New Resources—Knowledge or Skills: Has the project engendered any training? In what

subjects? Who and how many benefited, in the committee and the community? Was training given along conventional gender lines or did men and women learn new aspects? For example, did men learn health and hygiene or did women learn finance and maintenance?

Access to New Resources—Jobs, Production, or Income: Has the project brought new jobs? Paid or unpaid? Who does the paid jobs and who the unpaid? If unpaid jobs that are now done by women were done by men, would they get paid? Who has benefited from paid jobs? The elite or common people as well? Have there been any new/additional economic uses of water or waste? For whom? Benefits? Payments? Does the use affect current access to the resource for others? Could it do so in future?

The matrixes and the qualitative information are recorded in the particular format. The results are used for the scales on labor division and training and for reporting on gender impacts.

Materials required

- ✎ Large seeds, berries, beans, or pebbles in several colors, or small tokens in different colors and shapes
- ✎ Several large sheets of brown or white paper
- ✎ Felt pen

A Hundred Seeds

Purpose

- To obtain an approximate percentage distribution of any concept, for example, sharing of earning and financial responsibility within households.

Process

- The 100 seeds game gives insight into who carries the burden of paying for improvements in water, sanitation, and hygiene and from what resources. For this purpose each focus group (male, female, rich, and poor) is given 100 seeds. The seeds represent the total income of men and women in the typical household in the group.
- Discuss first with the group who are the typical income earners in the common household. If there is more than one pattern, that is, sometimes only the males earn, sometimes also the female or only the female, then determine what the two or three typical patterns are and conduct the exercise for each pattern.
- The participants group the seeds, or 'money,' into the percentages each member of the household (father, mother, older son, older daughter, and so on) earns in cash or the value of in-kind earnings. The number of seeds constitutes the percentage of the total household income contributed.
- The group then lists the type of financing responsibilities each earner has in the household and divides each pile into the proportion that person uses for these purposes and for personal objectives. Payments for water, sanitation, and hygiene are identified among those made for the family.
- Having divided the seeds per earner into piles and transferred the numbers onto the slips representing the matching type of financial responsibility, the group then



The 100 seeds game in a community, East Asia and Pacific

judges whether women in the family contribute relatively more to water, sanitation, and hygiene than men or whether the payments and responsibilities take into account, or are even in proportion to, the levels of earning of the family members concerned. Having come to a conclusion the group scores the results.

Minimum information to emerge

- Intra-household pattern of earning by different members as perceived by groups of rich men, poor men, rich women, and poor women.
- Intra-household pattern of paying for household necessities, including water supply, sanitation services, and household hygiene (who pays for what?).
- Extent of division of financial responsibility between men and women in the household for household water supply, sanitation, and hygiene.

How to analyze this information

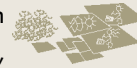
This exercise increases understanding of how financial responsibility for services is shared within households. Facilitate a discussion by referring to the visual output and asking for reasons for the emerging pattern of financial responsibility. Do the payments made look proportional to differentials in earning by different household members? Is the financial responsibility fairly shared? If not, why? What

might make it fair? Is the responsibility mostly that of men or of women? Why?

Score the results with the group by presenting the relevant scoring formats (see page 82).

Materials required

- ✦ 100 large seeds, such as tamarind seeds, black beans, kidney beans, or small pebbles
- ✦ Picture cards depicting different economically active members of the household
- ✦ Slips of paper to record specific financial responsibilities



Stakeholders' Meet

Purpose

To examine the indicators that measure variable F, Institutional Support for Gender and Poverty-Sensitive, Demand-Responsive Participation, within the institutions involved in the establishment of the water supply and sanitation service in the sampled communities. It is also an ideal opportunity to cross-validate the results, especially of variable E, as several of the indicators assessed are common to the community as well as to the institutional level. In the process, this method also shares the findings of the community-level assessment with all stakeholders.

Description

Historically, participatory tools were developed to empower and work primarily with communities with low or no literacy. Recognizing the powerful principles underlying the SARAR tools, the PLA team designed the Stakeholders' Meet to apply the same principles to assessments within institutions. It was tested and found to be very effective not only for the learning assessment but also in triggering collective action to address some of the emerging issues.

The Stakeholders' Meet is best organized at the district or state level. If geographic distances are vast, two or three such Meets may have to be organized and the results collated for reporting. The Stakeholders' Meet should not be held at the office of the service agency.

The duration of the Meet is usually one to one and a half day.

Score scales on the spot.

Provide tea and coffee during the activities!

Participants

To the extent possible, the representatives from the institutions should include those persons who



Stakeholders' Meet, East Asia and Pacific

were involved in the planning, design, and establishment of the service in the selected communities, as the range of indicators to be tested relate to the rules and practices at the time of establishment. Care should be taken to include both male and female representatives.

The suggested group mix is as follows:

- The service delivery agency (including engineers and social development staff, if any).
- Village or local government leaders.
- Social intermediaries, non-governmental organizations, and/or community-based organizations, if any.
- Other institutions such as heads of schools where there is a school sanitation program.
- Male and female village leaders who were involved in the service establishment, for example, members of the water and sanitation committees or village development committees at that time.
- Special categories or groups that made significant contributions to service establishment, such as female masons, health workers involved in hygiene education, and so forth.

Process

The process and group dynamics at the Stakeholders' Meet are significant and revealing. It is therefore critical that the facilitator is assisted

by recorders who take very careful notes and use them for reporting on the qualitative aspects. The Meet is conducted in the local language.

Introduction: In this formal opening of the Stakeholders' Meet all the participants give a brief background of themselves and their interests. Some introductory icebreaker exercise compatible with local culture is necessary at this point to neutralize hierarchical barriers to interaction and create an informal, relaxed climate conducive to sharing and learning together.

Open Discussions: The first step in the group process is an open discussion on the influence of institutional factors. For this purpose the facilitator begins by writing in large letters on a board, wall, or sheet: What agency factors were important in establishing a sustainable and used service?

Identified factors can be positive, negative, or problem-solving of any kind. Rather than letting one dominant person speak for the rest, it is advisable to have the different types of participants record their views on colored cards, for example, pink cards for technical agency staff, blue for social staff, yellow for village-level

staff, white for community representatives, and so forth. If men and women write cards of different shapes, such as having men write on rectangular cards while women write on oval ones, the results are visually very telling. Writing is done with thick markers and only one idea is listed per card. The cards are displayed on the wall or floor.

The participants subsequently cluster the cards based on the similarity of ideas expressed on them. Each cluster is given a self-explanatory label. This activity reveals the answers to the above question as expressed by the whole group. The facilitator then helps the group to draw conclusions on the nature of factors and trends in views according to participants' individual backgrounds. For example, do technical staff members have different views from social and/or village leaders? Are women's views different from men's?

The presence of hierarchical relationships among the participants may inhibit honest responses about agency factors. If that is the case, do this first exercise in three separate but parallel groups with the help of three facilitators and collate results after the clustering and labeling is completed in each group. This will help bring

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Role of the facilitator

The Stakeholders' Meet, by virtue of the range of participants, is a particular challenge for the facilitator. All efforts must be made to ensure that the hierarchy of systems does not get reflected in the proceedings, that is, that the poorer or female participants do not get relegated to the background while the community elite and project staff take center stage. Special care must be taken to ensure equal participation for all. It is advisable to use the services of professional facilitators adept in the local language. A team of one facilitator and one or two co-facilitators or recorders is preferable.

The facilitator and recorders must be very alert to capture special features of the group dynamics between the different participant categories and make notes when views differ consistently. The facilitator is further asked to record his/her gut feelings on the credibility of the data: Did all participants take the activities seriously and seem to answer truthfully? Were there any inhibitions among certain individuals or groups?

out major disparities among different groups without threatening anyone.

Participatory exercises for variable F

The exercises involve assessment of agency policy as reflected in service objectives, implementation strategies, and project performance criteria. The variable assesses indicative policy at the time the service was being established in the selected communities and their equivalents.

Steps

- Provide a set of four cards describing the situation associated with scores 0, 1, 2, and 3 on the first scale on Policies Regarding Sustained Services for All (page 88).
- Ask participants to sort the cards from the lowest to the highest order. Give people some blank cards of a different color to add one or two statements to any score-card, if desired. This sorting could be done in small groups of different participant categories or even individually if the number of participants is less than 15 (multiple card sets will be needed).
- Ask each person to select a card that, in his/her opinion, best matches the project approach that the agency used at the time of service establishment in the selected communities. Give each person a color-coded voting token or sticker that (s)he can use to mark the selected card. The colors should represent participant categories, that is, they should indicate whether the person is technical, social, or village-level staff or a community member and whether male or female.
- Display the cards with the resulting voting pattern, helping the group to draw conclusions about the similarity or divergence of views and scores by different participant categories.
- Repeat three times for the other indicators, i.e., Policies Regarding Demand-Responsive

Services, Community Ownership and Management, or Gender-Sensitivity and Gender Balance (page 88).

- Examine the degree of consensus and agree on overall scores in the scoring formats with the whole group.
- If major variations appear in the scores given by the different participant categories, have them discuss the causes for the variations in their category groups for 10 to 15 minutes. Thereafter, ask the groups to report their views back to the plenary. This will provide all groups with a glimpse of the different perspectives that the different participant categories have on the same subject.

Assessing enabling organizational systems

This variable can be assessed only by agency personnel. Community representatives should not assess this but should be invited to comment on the results of assessment as described below. The aspects covered include Planning and Monitoring Systems, Expertise of Agencies, Expertise in Field Teams, and Use of Team Approaches (see page 89).

Several creative methods can be used to measure the degree to which the organization is perceived to support gender- and poverty-sensitive systems. One is to use ribbons in different colors for each category. Participants fold the ribbons conforming to their opinion on the level of support (fully open if the support is 100% to folded four times if the support is only 25%) and stick the ribbons on to a board. It is revealing to see how colleagues in the same organization or in other stakeholder groups view the organizational culture.

Another alternative is to use pocket voting for each of the scales. Empty envelopes are taped to individual cards carrying descriptions for scores of 0, 1, 2, or 3 for each scale. Each set of cards is placed on a board turned towards

the wall. Participants go behind the board one at a time and vote using color-coded tokens. Since the topics covered in this section may be sensitive, more honest assessments are made possible through voting in privacy. The results are then tallied in front of the whole group so that everyone can see the voting pattern, discuss the rationale for it, and agree on the overall scores.

Community representatives are asked to report their impressions on staff capacity, management support, and incentives. A plenary discussion is held on the reporting and on any emerging trends and issues.

Assessing enabling organizational climate

Each participant is given a sheet with the descriptions of scores for Capacity Building (page 90). (S)he selects the situation that best fits the project being assessed and writes his/her reasons for selecting that score on the sheet. Participants also record their gender and participant category on the sheet. The process is repeated for the scales for Management Support and Incentives to Staff (page 90). The results are summarized publicly for each participant

category by tallying information from the sheets collected by the facilitator, who also reads out the reasons given for selection of each score. This reveals the perception of different levels and types of staff regarding organizational support for working in a gender-sensitive and poverty-targeted manner. An overall score is determined if consensus can be reached. If there are major variations among participant categories, the variations are reported by categories instead of using an overall score.

Materials required

- ✍ Thick felt-tipped marker pens
- ✍ Portable pin boards or sheets of cloth sprayed with adhesive
- ✍ Different colored ribbons
- ✍ Flip charts
- ✍ Cards for writing, in 2-3 different shapes and 4 different colors
- ✍ Colored adhesive dots or tokens for voting (cut from cards, buttons, etc.)
- ✍ Masking tape and scissors



Policy-Level Assessment

Purpose

To assess variable G relating to the policies that were present or are present for implementation of demand-responsive water and sanitation projects.

Option I: Structured interviews with selected policy officials

At the policy level, the structured interview guide will be used for discussion with officers involved at the time of service establishment. During the discussion, the facilitator will provide brief feedback on the outcomes of assessment at the community and institutional levels.

The participants will review the following aspects of the project or program:

- Was the project/program in any way different from the other projects/programs under your jurisdiction at the time? (If yes, probe in what ways.)
- Sorting: Where would you put this program with regard to its sector policy? (Provide four cards as in the matrix for National Sector Policies for Water and Sanitation Present with Sustainable Services and Equity as Explicit Goal, (page 91), plus card for “no details known”, plus a blank card to accommodate an answer different from the options given.)
- Sorting: Where would you put the program with regard to its targets on coverage and use? (Provide four cards as in scoring, plus card for “no details known”, plus blank card to accommodate a different answer.)
- Were future users expected to contribute in any way to the service? For service establishment? For operation and maintenance? Other purposes (specify)?
- Discuss and agree where the answers given

fit on the scale and why, on scale provided in the section on Cost Sharing and Management (page 92).

- On which project aspects could the future users decide or co-decide:
 - Service initiation?
 - Choice of technologies?
 - Level of service?
 - Location and design of user facilities?
 - Implementing (construction) agency?
 - Local maintenance/management system?
 - Local financing system?
 - Other (specify) ?
- Discuss and agree where on the scale the answers given fit and why, on the scale provided in section on Participation in Decisions (page 92).
- Did the government give any subsidies to these services:
 - Yes, to investment and to operations and maintenance costs
 - Yes, to operations and maintenance costs
 - Yes, to investment costs
 - No subsidies
 - Other (specify)

Score according to the principle of increasing scores for declining subsidies.³

- What was the rationale behind the subsidies?
- Here are five statements on financing strategy (see scoring formats for Financing Strategy for the Poor, page 92). Which statement best describes the policy in place at the time of establishing the water (or sanitation) services in the project under study?
- Here are five statements on the roles of women in the project (see scoring formats for Presence and Definition of Gender,

³Yes, to investment and to operations and maintenance costs – score 1; Yes, to operations and maintenance costs – score 2; Yes, to investment costs – score 3; No subsidies – score 4

page 92). Which statement best describes the policy in place at the time of establishing the water (or sanitation) services in the project under study?

Option II: Policy-level dialogue

A more participatory option is to organize a half-day workshop with the key officials at the policy level, national directors of assessed projects, and representatives of primary external support agencies and non-governmental agencies working in the sector. It is ideal if the meeting is organized in collaboration with the agency responsible for sector coordination. It is important to ensure that all participants are familiar with the assessed projects and the policies governing their design and implementation, and national sector policies and regulations at the time they were implemented.

The meeting can last for about three to four hours and should have three main content blocks:

- Introduce and present results of the assessment at community and institutional levels.
- Present the gist of the policies relevant to the assessment and use open discussion based on the structured questionnaire.
- Use participatory exercises such as pocket voting and visualized scaling throughout instead of interviews. It is important to facilitate discussions on each visual output before agreement on a score can be reached.

If translations of score tables are used with participants, it is advisable to have bilingual versions that make both English and translated sections available on the same page.

General Community Characteristics

Purpose

To get general data on the participating communities and allow the identification of factors other than participation, gender and demand responsiveness that may explain the variation in service sustenance.

These are the exogenous factors that influence the variables considered in the assessments. Not all of these are included in the analytical framework (e.g., the type and complexity of the technology, age of the system, local mobility, communications and leadership situations, local gender and poverty conditions), but many can be captured through data collected in this Community Data Sheet as well as open qualitative data recorded by the assessment team.

Description

Fill in the attached sheet together with the project staff and community representatives, using available project and local information.

Community Data Sheet

Name of recorder.....Date.....

| | | |
|--|------------|--------------|
| Name of community | | |
| No. and names of hamlets falling under community | | |
| <i>Population size and composition</i> | | |
| | <i>Men</i> | <i>Women</i> |
| Adults > 15 years | | |
| Children | | |
| Total | | |

| | |
|--|--|
| Total number of households | |
| Population density | |
| Location in drought zone or non-drought zone | |
| Location in high or low income zone | |

Education level

| | | |
|------------------------------|---------------------------|-----------------------------|
| | <i>Males > 5 years</i> | <i>Females > 5 years</i> |
| No formal education | | |
| Primary school level | | |
| Secondary school level | | |
| Above secondary school level | | |
| Total | | |

Types of water technologies

| <i>Types of water supply (traditional)</i> | <i>Public</i> | <i>Nos</i> |
|--|---------------|------------|
| Dug wells, unprotected | | |
| Dug wells, improved* | | |
| Ponds, unimproved | | |
| Ponds, improved* | | |
| Springs, unimproved | | |
| Springs, improved* | | |
| River/stream/canal/lake water, unimproved | | |
| River/stream/canal/lake water, improved* | | |

* Define nature of improvement.

| <i>Types of water supply (improved)</i> | <i>Yr. in which operation started</i> | <i>No. of public water points</i> | <i>No. with drainage</i> | <i>No. of private water points</i> | <i>No. with drainage</i> |
|---|---------------------------------------|-----------------------------------|--------------------------|------------------------------------|--------------------------|
| | | | | | |
| | | | | | |
| | | | | | |

Total per capita investment cost, per improved water system

| <i>Type of improved system</i> | <i>Investment costs per person served*</i> |
|--------------------------------|--|
| | |
| | |
| | |

The construction cost of the systems is taken from project documentation and records and verified against contractor contracts or village documentation. To arrive at the per capita cost the figure is divided by the number of households served multiplied by 4.5 (the average family size over all the villages surveyed). The per capita costs are then ranked and scored. The lowest per capita costs are scored 4, the next are scored 3 and so on, with a zero score being allocated to systems with per capita costs over Rs. 100,000. The number of systems in each category and the interval difference between the categories is slightly flexible so as to avoid allocating different scores to villages that have very similar per capita costs.

Distance from nearest town where spare parts, tools and technical support skills can be obtained

For water supply:.....

For sanitation:

Household Sanitation

| | |
|--|--|
| Total no. of households | |
| No. with sewerage connection | |
| No. with sanitary latrines* | |
| No. with unsanitary latrines | |
| No. with no provisions | |
| No. served by solid waste collection service | |

*Sanitary defined as.....

Institutional sanitation

| <i>Type of school*</i> | <i>Total no. of boys</i> | <i>No. of latrines/toilets **</i> | <i>Total no. of girls</i> | <i>No. of latrines/toilets</i> |
|------------------------|--------------------------|-----------------------------------|---------------------------|--------------------------------|
| Nursery school 1 | | | | |
| Nursery school 2 | | | | |
| Primary school 1 | | | | |
| Primary school 2 | | | | |
| Secondary school 1 | | | | |

| <i>Health center at clinic hours</i> | <i>Avg. No. males</i> | <i>No. of latrines/toilets **</i> | <i>Avg. No. of females</i> | <i>No. of latrines/toilets</i> |
|--------------------------------------|-----------------------|-----------------------------------|----------------------------|--------------------------------|
| | | | | |

*Add as required.

** Count urinals as latrines.

Semi-Structured Systems Observation Form and Interview Guide*

Tick box with correct answers (✓)

| a) Reliability and protection of water source | Yes | No | Don't Know | No Answer |
|--|-----|----|------------|-----------|
| ❖ Does source sometimes fall dry? | | | | |
| ❖ If not, is there always enough water to meet all the water needs of the users? | | | | |
| ❖ If sometimes some needs can not be met | | | | |
| <ul style="list-style-type: none"> • Which are these needs? | | | | |
| <ul style="list-style-type: none"> • Whose needs are not met? | | | | |
| ❖ Is the source protected? | | | | |
| ❖ Does it have a treatment system? | | | | |
| ❖ Is the source protection well-maintained? | | | | |
| ❖ Is the treatment system working well? | | | | |
| ❖ Is the water quality ever tested? | | | | |
| <ul style="list-style-type: none"> • If yes, for what? | | | | |
| ❖ Are results known locally? | | | | |
| ❖ Is action taken when results are poor? | | | | |

b) Level of quality of works of water points

| | | | | |
|--|--|--|--|--|
| <i>Proper design</i> | | | | |
| ❖ Is well location technically correct? (adequate supply, water quality, no flooding risk) | | | | |
| ❖ Is it environmentally correct? (drainage potential) | | | | |
| ❖ Is it socio-economically correct? (accessibility) | | | | |
| ❖ Cultural acceptability of location and use by all (ask users) | | | | |
| <i>Proper material</i> | | | | |
| ❖ Was proper mix of concrete used? | | | | |
| <i>Proper construction</i> | | | | |
| ❖ Was well made deep enough to have water in dry season? | | | | |

*This form is used during the Transect Walk (page 38).

c) Adequate water quantity, water quality, supply regularity, supply predictability, per distribution point

| | Yes | No | Don't Know | No Answer |
|--|-----|----|------------|-----------|
| ❖ Can this water point meet all the water needs of the women and men of this neighborhood? | | | | |
| • If no, what needs cannot be met? | | | | |
| • Whose needs are these? Women <input type="checkbox"/> Men <input type="checkbox"/> Both <input type="checkbox"/> | | | | |
| ❖ If there is not enough water, how often is that? | | | | |
| ❖ Do women know when there is water in the water point? Sometimes <input type="checkbox"/> | | | | |
| ❖ Do women take part in planning service hours? Sometimes <input type="checkbox"/> | | | | |
| ❖ How is the quality of this water? Good <input type="checkbox"/> Bad <input type="checkbox"/> | | | | |
| • If bad, what is the matter? | | | | |
| ❖ Are all households in this neighborhood using this water point? (At least for drinking) | | | | |
| Always | | | | |
| Not always | | | | |
| ❖ How many families are <i>not</i> or <i>not always</i> using this water point? | | | | |
| ❖ For what uses do they not use the water? | | | | |
| ❖ What are the reasons for this non-use? | | | | |
| ❖ Who is in charge of maintaining this water system? | | | | |
| ❖ Has he/she made any repairs? | | | | |
| • If yes, what? | | | | |
| ❖ Has this water point ever broken down? | | | | |
| • If yes, what was the quickest repair made? | | | | |
| • And the longest? | | | | |

Point 2, as visited (mark on map)

| | Yes | No | Don't Know | No Answer |
|--|-----|----|------------|-----------|
| ❖ Can this water point meet all the water needs of the women and men of this neighborhood? | | | | |
| • If no, what needs cannot be met? | | | | |
| • Whose needs are these? Women <input type="checkbox"/> Men <input type="checkbox"/> Both <input type="checkbox"/> | | | | |
| ❖ If there is not enough water, how often is that? | | | | |
| ❖ Do women know when there is water in the water point? Sometimes <input type="checkbox"/> | | | | |
| ❖ Do women take part in planning service hours? Sometimes <input type="checkbox"/> | | | | |
| ❖ How is the quality of this water? Good <input type="checkbox"/> Bad <input type="checkbox"/> | | | | |
| • If bad, what is the matter? | | | | |
| ❖ Are all households in this neighborhood using this water point? | | | | |
| Always | | | | |
| Not always | | | | |
| ❖ How many families are not or not always using this water point? | | | | |
| ❖ For what uses do they not use the water? | | | | |
| ❖ What are the reasons for this non-use? | | | | |
| ❖ Who is in charge of maintaining this water system? | | | | |
| ❖ Has he/she made any repairs? | | | | |
| • If yes, what? | | | | |
| ❖ Has this water point ever broken down? | | | | |
| • If yes, what was the quickest repair made? | | | | |
| • And the longest? | | | | |

Point 3, as visited (mark on map)

| | Yes | No | Don't Know | No Answer |
|--|-----|----|------------|-----------|
| ❖ Can this water point meet all the water needs of the women and men of this neighborhood? | | | | |
| • If no, what needs cannot be met? | | | | |
| • Whose needs are these? Women <input type="checkbox"/> Men <input type="checkbox"/> Both <input type="checkbox"/> | | | | |
| ❖ If there is not enough water, how often is that? | | | | |
| ❖ Do women know when there is water in the water point? Sometimes <input type="checkbox"/> | | | | |
| ❖ Do women take part in planning service hours? Sometimes <input type="checkbox"/> | | | | |
| ❖ How is the quality of this water? Good <input type="checkbox"/> Bad <input type="checkbox"/> | | | | |
| • If bad, what is the matter? | | | | |
| ❖ Are all households in this neighborhood using this water point? | | | | |
| Always | | | | |
| Not always | | | | |
| ❖ How many families are not or not always using this water point? | | | | |
| ❖ For what uses do they not use the water? | | | | |
| ❖ What are the reasons for this non-use? | | | | |
| ❖ Who is in charge of maintaining this water system? | | | | |
| ❖ Has he/she made any repairs? | | | | |
| • If yes, what? | | | | |
| ❖ Has this water point ever broken down? | | | | |
| • If yes, what was the quickest repair made? | | | | |
| • And the longest? | | | | |

Point 4, as visited (mark on map)

| | Yes | No | Don't Know | No Answer |
|--|-----|----|------------|-----------|
| ❖ Can this water point meet all the water needs of the women and men of this neighborhood? | | | | |
| • If no, what needs cannot be met? | | | | |
| • Whose needs are these? Women <input type="checkbox"/> Men <input type="checkbox"/> Both <input type="checkbox"/> | | | | |
| ❖ If there is not enough water, how often is that? | | | | |
| ❖ Do women know when there is water in the water point? | | | | |
| Sometimes <input type="checkbox"/> | | | | |
| ❖ Do women take part in planning service hours? | | | | |
| Sometimes <input type="checkbox"/> | | | | |
| ❖ How is the quality of this water? Good <input type="checkbox"/> Bad <input type="checkbox"/> | | | | |
| • If bad, what is the matter? | | | | |
| ❖ Are all households in this neighborhood using this water point? | | | | |
| Always | | | | |
| Not always | | | | |
| ❖ How many families are not or not always using this water point? | | | | |
| ❖ For what uses do they not use the water? | | | | |
| ❖ What are the reasons for this non-use? | | | | |
| ❖ Who is in charge of maintaining this water system? | | | | |
| ❖ Has he/she made any repairs? | | | | |
| • If yes, what? | | | | |
| ❖ Has this water point ever broken down? | | | | |
| • If yes, what was the quickest repair made? | | | | |
| • And the longest? | | | | |

Point 5, as visited (mark on map)

| | <i>Yes</i> | <i>No</i> | <i>Don't Know</i> | <i>No Answer</i> |
|---|------------|-----------|-------------------|------------------|
| ❖ Can this water point meet all the water needs of the women and men of this neighborhood? | | | | |
| • If no, what needs cannot be met? | | | | |
| • Whose needs are these? Women <input type="checkbox"/> Men <input type="checkbox"/> Both <input type="checkbox"/> | | | | |
| ❖ If there is not enough water, how often is that? | | | | |
| ❖ Do women know when there is water in the water point? Sometimes <input type="checkbox"/> | | | | |
| ❖ Do women take part in planning service hours? Sometimes <input type="checkbox"/> | | | | |
| ❖ How is the quality of this water? Good <input type="checkbox"/> Bad <input type="checkbox"/> | | | | |
| • If bad, what is the matter? | | | | |
| ❖ Are all households in this neighborhood using this water point? | | | | |
| Always | | | | |
| Not always | | | | |
| ❖ How many families are not or not always using this water point? | | | | |
| ❖ For what uses do they not use the water? | | | | |
| ❖ What are the reasons for this non-use? | | | | |
| ❖ Who is in charge of maintaining this water system? | | | | |
| ❖ Has he/she made any repairs? | | | | |
| • If yes, what? | | | | |
| ❖ Has this water point ever broken down? | | | | |
| • If yes, what was the quickest repair made? | | | | |
| • And the longest? | | | | |

Latrine Observation and Scoring Sheets

Quality of Construction, O&M and Use of Household Latrines

| Score: 1 = positive 0 = negative | <i>Latrines built under external intervention</i> | | | | | | | | | | | <i>Latrines built after finishing external intervention</i> | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|----|----|---|---|---|---|---|---|---|---|---|----|----|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 |
| 1. Latrine in working order (can be used) | | | | | | | | | | | | | | | | | | | | | | |
| 2. Latrine in use for human excreta disposal | | | | | | | | | | | | | | | | | | | | | | |
| 3. Pit built according to criteria | | | | | | | | | | | | | | | | | | | | | | |
| 4. Workmanship as per criteria (defined) | | | | | | | | | | | | | | | | | | | | | | |
| 5. Pit safely located, over 7 meters and downstream from water source | | | | | | | | | | | | | | | | | | | | | | |
| 6. Outhouse offers privacy of use (walls, door/screen/curtain) | | | | | | | | | | | | | | | | | | | | | | |
| 7. Cover present and over hole/water in water seal | | | | | | | | | | | | | | | | | | | | | | |
| 8. No excreta visible on floor/walls/in pan | | | | | | | | | | | | | | | | | | | | | | |
| 9. Water and soap/substitute at or near facility (check if used for hand washing) | | | | | | | | | | | | | | | | | | | | | | |
| 10. No human/child excreta in yard, on rubbish heap | | | | | | | | | | | | | | | | | | | | | | |
| Total Score | | | | | | | | | | | | | | | | | | | | | | |

Quality of Construction, O&M and Use of Institutional Latrines

| Score: 1 = positive 0 = negative | Latrines built under external intervention | | | | | | | | | | Latrines built after finishing external intervention | | | | | | | | | |
|---|--|--|--|----------|--|--|-------|--|--|--|--|--|-------|--|-------|--|--|--|--|--|
| | School 1 | | | School 2 | | | | | | | | | | | | | | | | |
| 1. Latrine in working order (can be used) | | | | | | | | | | | | | | | | | | | | |
| 2. Latrine in use for human excreta disposal | | | | | | | | | | | | | | | | | | | | |
| 3. Pit built according to criteria | | | | | | | | | | | | | | | | | | | | |
| 4. Workmanship as per criteria (defined) | | | | | | | | | | | | | | | | | | | | |
| 5. Pit safely located, over 7 meters and downstream from water source | | | | | | | | | | | | | | | | | | | | |
| 6. Outhouse offers privacy of use (walls, door/screen/curtain) | | | | | | | | | | | | | | | | | | | | |
| 7. Cover present and over hole/ water in water seal | | | | | | | | | | | | | | | | | | | | |
| 8. No excreta visible on floor/walls/in pan | | | | | | | | | | | | | | | | | | | | |
| 9. Water and soap/substitute at or near facility (check if used for hand washing) | | | | | | | | | | | | | | | | | | | | |
| 10. No human/child excreta in yard, on rubbish heap | | | | | | | | | | | | | | | | | | | | |
| Total Score | | | | | | | | | | | | | | | | | | | | |

Committee Members Interview and Records Review

The Management Committee interview and records review should be done at a time and place convenient to the committee members, approximately midway through the assessment, i.e. after initial community characteristics have been noted, a Transect Walk and Mapping have been done, and at least one session of participatory group exercises has been facilitated.

a) Assessment of service expenditure and income over last 3 years

| <i>Nature of costs</i> | <i>Year before last</i> | <i>Last year</i> | <i>This year</i> |
|--|-------------------------|------------------|------------------|
| Salaries of paid functionaries (designations) | | | |
| Maintenance | | | |
| Repairs | | | |
| Energy, when applicable | | | |
| Chemicals | | | |
| Others (specify) | | | |
| Total Costs | | | |

| <i>Nature of income</i> | <i>Year before last</i> | <i>Last year</i> | <i>This year</i> |
|-------------------------------|-------------------------|------------------|------------------|
| Nature of income (specify) | | | |
| | | | |
| | | | |
| | | | |
| Total Income | | | |

| | <i>Yes</i> | <i>No</i> | <i>Don't Know</i> | <i>No Answer</i> |
|--|------------|-----------|-------------------|------------------|
| ❖ Are income and expenditure budgeted? | | | | |

| ❖ Is budget in line with actual figures? | <i>Year before last</i> | <i>Last year</i> | <i>This year</i> |
|--|-------------------------|------------------|------------------|
| • Yes | | | |
| • No, under budgeted | | | |
| • No, over budgeted | | | |

| | <i>Yes</i> | <i>No</i> | <i>Don't Know</i> | <i>No Answer</i> |
|---|------------|-----------|-------------------|------------------|
| ❖ Are users of service identifiable? | | | | |
| ❖ Are they listed? | | | | |
| ❖ Are payment records of users kept? | | | | |
| ❖ Have all user households paid in last three full years? | | | | |

| | <i>Year before last</i> | <i>Last year</i> | <i>This year</i> |
|---------------------------------|-------------------------|------------------|------------------|
| ❖ If not, what % did not pay in | | | |
| ❖ Characteristics of non-payers | | | |
| ❖ Reasons for non-payment | | | |

| | <i>Yes</i> | <i>No</i> | <i>Don't Know</i> | <i>No Answer</i> |
|----------------------------|------------|-----------|-------------------|------------------|
| ❖ Have users paid in time? | | | | |
| Year before last | | | | |
| Last year | | | | |
| This year | | | | |

| | <i>Year before last</i> | <i>Last year</i> | <i>This year</i> |
|------------------------|-------------------------|------------------|------------------|
| ❖ % not paying in time | | | |
| ❖ Reasons for delays | | | |

Division of work

| <i>Type of work</i> | <i>No. of men</i> | | | | | <i>No. of women</i> | | | | |
|--|-------------------|---------------|----------------------|---------------|------------|---------------------|---------------|---------------------|---------------|------------|
| | <i>Paid</i> | <i>Unpaid</i> | <i>Income Group*</i> | | | <i>Paid</i> | <i>Unpaid</i> | <i>Income Group</i> | | |
| | | | <i>High</i> | <i>Medium</i> | <i>Low</i> | | | <i>High</i> | <i>Medium</i> | <i>Low</i> |
| Skilled (requiring training/ experience), e.g.: checking lines, intake chairing meetings keeping minutes doing accounts maintaining main works doing technical repairs | | | | | | | | | | |
| Unskilled (no special expertise/training, check), e.g.: cleaning water points catering fee collection | | | | | | | | | | |

* The assessment team should record number per class (e.g. 1 H, 0 M, 4 L)

For the following recall questions contact committee members involved in the service establishment, if possible:

| | <i>Yes</i> | <i>No</i> | <i>Don't Know</i> | <i>No Answer</i> |
|---|------------|-----------|-------------------|------------------|
| ❖ Did people contribute cash to the service establishment? | | | | |
| • If yes, were contributions voluntary or fixed? | | | | |
| ❖ Were payments the same for all? | | | | |
| • If they were not the same for all, what were the options? | | | | |

| | <i>Yes</i> | <i>No</i> | <i>Don't Know</i> | <i>No Answer</i> |
|--|------------|-----------|-------------------|------------------|
| ❖ Did people contribute labor to the service establishment? | | | | |
| • If yes, were contributions voluntary or fixed? | | | | |
| ❖ Were labor amounts the same for all? | | | | |
| • If they were not the same for all, what were the options? | | | | |
| ❖ Were contributions monitored? | | | | |
| • If yes, review monitoring records against users list: have all users also contributed? | | | | |

Voice, Choice, Training

| | <i>Yes</i> | <i>No</i> | <i>Don't Know</i> | <i>No Answer</i> |
|--|------------|-----------|-------------------|------------------|
| ❖ On what topics did the project give information: | | | | |
| • Project initiation rules | | | | |
| • Choice of technology/service levels | | | | |
| • Water points/latrines | | | | |
| • Type of management organization | | | | |
| • Charges and payment system | | | | |
| • Maintenance system | | | | |

| | <i>In Committee</i> | <i>In Community</i> |
|---|---------------------|---------------------|
| ❖ To whom was information given on: (show drawings from Pocket Voting) | | |
| • Project initiation | | |
| • Choice of technology/service levels | | |
| • Water points/latrines | | |
| • Type of management organization | | |
| • Charges and payment system | | |
| • Maintenance system | | |

| | <i>In Committee</i> | <i>In Community</i> |
|---------------------------------------|---------------------|---------------------|
| ❖ Who decided on: | | |
| • Project initiation | | |
| • Choice of technology/service levels | | |
| • Water points/latrines | | |
| • Type of management organization | | |
| • Charges and payment system | | |
| • Maintenance system | | |

| | <i>In Committee</i> | <i>In Community</i> | |
|--|---------------------|---------------------|---------------------|
| | | <i>No. of men</i> | <i>No. of women</i> |
| ❖ To whom was training given on: | | | |
| • Organizing and conducting meetings | | | |
| • Implementing/managing O&M | | | |
| • Understanding/making budgets | | | |
| • Practicing better hygiene | | | |
| • Monitoring and evaluating water supply | | | |
| • Monitoring and evaluating sanitation | | | |

| | <i>Yes</i> | <i>No</i> | <i>Don't Know</i> | <i>No Answer</i> |
|---|------------|-----------|-------------------|------------------|
| ❖ Is the management committee specifically for water (or water and sanitation)? | | | | |

• Who are its members?

| <i>Name</i> | <i>Function</i> | <i>Male/Female</i> | <i>Economic Class</i> | | |
|-------------|-----------------|--------------------|-----------------------|---------------|------------|
| | | | <i>High</i> | <i>Medium</i> | <i>Low</i> |
| | | | | | |

❖ What is the legal status of the committee? (*tickmark* ✓ *relevant box*)

- no legal status
- derived from formal administrative body under which it falls
- autonomous legal status
- Don't know
- No answer

| | <i>Yes</i> | <i>No</i> | <i>Don't Know</i> | <i>No Answer</i> |
|--|------------|-----------|-------------------|------------------|
| ❖ Did the committee have any control over the timing and quality of design and construction? | | | | |
| • If yes, specify: | | | | |
| ❖ Review the presence of: | | | | |
| • Statutes on management and use | | | | |
| • Separate account for water/ sanitation | | | | |
| • Built-in protection against fund misuse | | | | |
| (if yes, specify) | | | | |
| • Rules and tools are gender-sensitive | | | | |
| (if yes, specify) | | | | |
| • Rules and tools are poverty-sensitive | | | | |
| (if yes, specify) | | | | |

Appendix B

Scoring Matrixes

The scoring matrixes consist of a series of scales with descriptive options. They are based on the indicators and sub-indicators listed in Tables 1 and 2 (pages 9-10). The scales range from zero to seven, indicating low, medium and high scores, depending on how many options a particular indicator may have. A process of joint scoring on scales, described in Chapter III, is followed at the community as well as the institution and policy level. Copying each scale separately on a page with space for facilitator observations and notes helps in the recording of qualitative data.¹ Scoring matrixes for variables E, F, G, are identical for the water and sanitation sector. In the case of community-managed sanitation programs and services (Table 2), variables C and D are also identical to those for water supply.

 Indicates the tools employed to collect the data for scoring.

Water Supply Services

A. EFFECTIVELY SUSTAINED

A1. SYSTEM QUALITY

A1. 1. Construction matches design; quality of materials and workmanship



Technical assessment

| Score (cumulative) | Criteria |
|--------------------|--|
| 1 | Functioning system in place (team observation and confirmation by M/W, R/P) |
| 1 | Good design (team observation and confirmation by M/W, R/P) |
| 1 | Good workmanship and materials in construction (team observation and confirmation by M/W, R/P) |
| 1 | Construction completed according to design (team observation and confirmation by M/W, R/P) |

¹A codebook and the development of a field book are part of a training course scheduled for phase II of the Participatory Learning and Action initiative. The indicators and options on the scales were developed through the combination of insights from project evaluations and reports, brainstorming sessions with the core PLA team, ZOPP analysis results from the Management for Sustainability training courses, conducted by the International Water and Sanitation Centre, and peer reviews from colleagues at an international workshop in Bangalore.

A2. EFFECTIVE FUNCTIONING

A2. 1. Service operation in terms of water quantity, quality, reliability and predictability

| | |
|---|---------------------------------------|
|  | FGD, transect walk, community mapping |
|---|---------------------------------------|

| Quantity and reliability of source | | Quantity and supply regularity at water points by sex and class | | | | Predictability of delivery | | | |
|------------------------------------|--|---|--|-----|--|----------------------------|---|---|---|
| Sc. | Criteria | Sc. | Criteria | Sc. | Criteria | Sc. | Criteria (piped system) | | |
| 0 | There are times when no water is available at the source | 0 | Once or twice a week at least one water point does not deliver enough water to meet the needs of the women | 0 | Once or twice a week at least one water point does not deliver enough water to meet the needs of men | 0 | Consistent lack of water for poor (1-2 times a week) | 0 | Users cannot predict hours of service |
| 1 | Source never goes dry but sometimes there is not enough water to meet at least the basic needs (in l/c/d* as defined by the users) | 1 | One or two days a month women cannot fulfill all their water needs at least at one water point | 1 | One or two days a month men cannot fulfill all their water needs at least at one water point | 1 | Occasional lack of water for poor (1-2 times per month or several times a year) | 1 | Women know or can predict when water is available but they do not take part in planning the service hours |
| 2 | The source has always enough water to meet at least the basic needs (in l/c/d, as defined by the users) | 2 | All women can always fulfill all their water needs at the water points available to them | 2 | All men can always fulfill all their water needs at the water points available to them | 2 | Never lack of water for poor | 2 | Women can predict and influence the service hours (they take part in planning the service schedule) |

NB: At point sources, no need to score separately for source.

l/c/d: Liters per capacity per day.

FGD: Focus group discussion.

 FGD, transect walk, technical assessment

| Water quality | | Source protection | | Water testing | |
|---------------|--|-------------------|---|---------------|---|
| Sc. | Criteria | Sc. | Criteria | Sc. | Criteria |
| 0 | Consistently poor water quality according to M/F, R/P users and team | 0 | No protection, or protection/treatment installed but not functional, according to team and users | 0 | No water testing ever according to operator, committee and users |
| 1 | Partially poor water quality seasonally or geographically* | 1 | Either source is protected or water is treated, according to team and users | 1 | Water is tested at least for bacteria but results and action are not known locally, according to operator, committee and users |
| 2 | Consistently good water quality | 2 | Both source protection and water treatments measures taken and working, according to team and users | 2 | Water is periodically tested at least for bacteria, with the users being informed and action taken when results are below quality standards (specify) |

*E.g. Some wells may have poor water quality, others good; or piped water may be seasonally turbid or otherwise not up to the standard.

A3. EFFECTIVE FINANCING

A3. 1. Coverage of investment and/or recurrent costs

 Review of records

| Sc. | Coverage of costs |
|-----|--|
| 0 | No income or income partly covers O&M costs |
| 1 | Income covers all O&M costs |
| 2 | Income covers all O&M costs and provides for expansion |
| 3 | Income covers all O&M costs, provides for expansion and allows replacement of major parts of the system (generator, pump, pipes etc. but not storage reservoir, treatment plant, well) |

A3. 2. *Universality and timeliness of payment*

| | |
|---|-------------------|
|  | Review of records |
|---|-------------------|

| Sc. | Timeliness of payments |
|-----|--|
| 0 | No payment records, or records are not consistently kept |
| 1 | Payment records properly kept, but some user households do not pay, although not formally exempted, or have arrears of 6 months or more (specify numbers and whether M/W, R/P) |
| 2 | Payment records are properly kept and all user households pay (unless formally exempted) but some have arrears of more than 6 months (specify as above) |
| 3 | Payment records are properly kept and all user households pay on time, unless formally exempted |

A4. EFFECTIVE MANAGEMENT

A4. 1. *Level and timeliness of repairs*

| | |
|---|----------------------------------|
|  | Review of records, transect walk |
|---|----------------------------------|

| Sc. | Level of repairs | Sc. | Timeliness of repairs |
|-----|--|-----|---|
| 0 | Have not made any repairs | 0 | Downtime > 2 days and lack of realistic alternatives force users to resume unsafe water use |
| 1 | Have successfully made a minor repair (e.g. replaced taps, repaired small leaks, repaired platforms) | 1 | Downtime can be > 2 days but users have and use other safe alternatives on own account |
| 2 | Have successfully carried out more major repairs and minor construction (major leaks, new tanks etc.)* | 2 | Essential repairs made within 2 days or management forewarns users and encourages safe alternatives |
| 3 | Have extended the system or built other systems elsewhere (branch lines, private wells) | 3 | Essential repairs made within 2 days or alternative supply provided |

* List defining minor and major repairs and construction/extension should be prepared per type of technology.

A4. 2. Budgeting and keeping accounts

| | |
|---|----------------------------------|
|  | Review of records, transect walk |
|---|----------------------------------|

| Sc. | Budgeting for service |
|-----|---|
| 0 | No budget, or not based on true costs, and no accounting for service |
| 1 | Budgeting and collection based on financial requirements of service and accounts kept but not shared |
| 2 | Budgeting and collection based on financial requirements of service and accounts shared with some |
| 3 | Budgeting and collection based on financial requirements of service and accounts shared with all users/ user representatives (M/F, R/P) |

B. EFFECTIVE USE

B1. HYGIENIC AND ENVIRONMENTAL USE


B1. 1. Proportion and nature of population using the service

| | |
|---|-------------------|
|  | Community mapping |
|---|-------------------|

| | Access to service |
|-------|-----------------------------------|
| Score | Proportion |
| 0 | Less than 1/4 |
| 1 | Between 1/4 and 1/2 |
| 2 | Between 1/2 and 3/4 |
| 3 | More than 1/4, but less than 100% |
| 4 | 100% |

N.B. Specify the nature of those not served: What is the proportion of rich and poor? Any specific characteristics of the households without access? Reasons for lack of access?


B1. 2. Degree of improvement in water use habits

| | |
|---|---------------|
|  | Pocket voting |
|---|---------------|

| Proportion of the population using protected water source in drinking and food preparation* | | | | | | | |
|---|------------|-----|------------|-----|------------|-----|------------|
| | Rich men | | Rich women | | Poor men | | Poor women |
| Sc. | Proportion | Sc. | Proportion | Sc. | Proportion | Sc. | Proportion |
| 0 | < 1/4 | 0 | < 1/4 | 0 | < 1/4 | 0 | < 1/4 |
| 1 | Up to 1/2 | 1 | Up to 1/2 | 1 | Up to 1/2 | 1 | Up to 1/2 |
| 2 | Up to 3/4 | 2 | Up to 3/4 | 2 | Up to 3/4 | 2 | Up to 3/4 |
| 3 | > 3/4 | 3 | > 3/4 | 3 | > 3/4 | 3 | > 3/4 |

* This matrix can be defined further locally to capture increased water use for personal and domestic hygiene, water and soap/ashes for handwashing, reduction of risks of guinea worm and schistosomiasis, etc.

B1. 3. Presence and state of waste water disposal provisions for R/P

| | |
|---|---|
|  | Community data sheet, community mapping, transect walk, committee interview |
|---|---|

| Sc. | Presence of drainage system | Sc. | Condition of drainage |
|-----|--|-----|--|
| 0 | Drainage system absent at all water points | 0 | Stagnant water visible at all water points |
| 1 | Drainage system absent at part of the water points | 1 | Stagnant water visible at part of the water points |
| 2 | Drainage system present at all water points | 2 | All water points free from stagnant water |

C. DEMAND-RESPONSIVE SERVICE

C1. USER DEMANDS

C1. 1. Type and proportion of contribution at the time of establishment of service, by MW/RP

| | |
|---|------------------------|
|  | Review of records, FGD |
|---|------------------------|

| Sc. | Contribution in cash or equivalent* | Sc. | Labor and materials |
|-----|--|-----|--|
| 0 | No contribution | 0 | No labor and materials contributed |
| 1 | Contribution as contributors see fit | 1 | Labor contributions as contributors see fit (voluntary, check who turned out most) |
| 2 | Flat rate contribution, compulsory | 2 | Fixed labor contribution per household, no weighing according to capacity |
| 3 | Contribution adjusted to different capacities to pay (e.g. poor pay less, charge is payable in installments) | 3 | Contributions adjusted to different capacities to contribute: women and poor contribute less than men and rich |

* In some cases households can pay contribution in bags of rice, maize, etc.

C2. PROJECT RESPONSIVENESS TO DEMAND

C2. 1. User voice and choice in planning and design by M/W, R/P

User decision in planning and design

| | |
|---|--------------------|
|  | FGD, pocket voting |
|---|--------------------|

| Subject area of decision | Project initiation | Choice of technology & service level(s) | Location of facilities | Choice of local service management organization | Type and size of contributions to services | Choice of maintenance system |
|---------------------------------------|--------------------|---|------------------------|---|--|------------------------------|
| Person(s) who took decision | Score | Score | Score | Score | Score | Score |
| Outside agency worker/team | 0 | 0 | 0 | 0 | 0 | 0 |
| Local male leader(s) | 1 | 1 | 1 | 1 | 1 | 1 |
| Local female leader(s) | 1 | 1 | 1 | 1 | 1 | 1 |
| Male group or assembly, rich | 1 | 1 | 1 | 1 | 1 | 1 |
| Male group or assembly, rich + poor | 2 | 2 | 2 | 2 | 2 | 2 |
| Female group or assembly, rich | 1 | 1 | 1 | 1 | 1 | 1 |
| Female group or assembly, rich + poor | 2 | 2 | 2 | 2 | 2 | 2 |

N.B. Cumulative score, if more than one category applies.

User information in planning and design

| | |
|--|----------------------------|
|  | FGD, pocket voting, matrix |
|--|----------------------------|

| Subject area of information | Project initiation | Choice of technology & service level(s) | Location of facilities | Choice of local service management organization | Type and size of contributions to services | Choice of maintenance system |
|---------------------------------------|--------------------|---|------------------------|---|--|------------------------------|
| Person(s) who had information | Score | Score | Score | Score | Score | Score |
| Outside agency worker/team | 0 | 0 | 0 | 0 | 0 | 0 |
| Local male leader(s) | 1 | 1 | 1 | 1 | 1 | 1 |
| Local female leader(s) | 1 | 1 | 1 | 1 | 1 | 1 |
| Male group or assembly, rich | 1 | 1 | 1 | 1 | 1 | 1 |
| Male group or assembly, rich + poor | 2 | 2 | 2 | 2 | 2 | 2 |
| Female group or assembly, rich | 1 | 1 | 1 | 1 | 1 | 1 |
| Female group or assembly, rich + poor | 2 | 2 | 2 | 2 | 2 | 2 |

N.B. Cumulative score, if more than one category applies.

C2. 2. Satisfaction of user demand for M/W, R/P

| | |
|---|----------------|
|  | Ladders I, FGD |
|---|----------------|

| Demands of poor women | | Demands of rich women | | Demands of poor men | | Demands of rich men | |
|-----------------------|------------------------|-----------------------|------------------------|---------------------|------------------------|---------------------|------------------------|
| Sc. | Proportion | Sc. | Proportion | Sc. | Proportion | Sc. | Proportion |
| 0 | < 10% | 0 | < 10% | 0 | < 10% | 0 | < 10% |
| 1 | 10-20% | 1 | 10-20% | 1 | 10-20% | 1 | 10-20% |
| 2 | 20 ⁺ -50% | 2 | 20 ⁺ -50% | 2 | 20 ⁺ -50% | 2 | 20 ⁺ -50% |
| 3 | 50 ⁺ - 80% | 3 | 50 ⁺ - 80% | 3 | 50 ⁺ - 80% | 3 | 50 ⁺ - 80% |
| 4 | 80 ⁺ - 100% | 4 | 80 ⁺ - 100% | 4 | 80 ⁺ - 100% | 4 | 80 ⁺ - 100% |

C2. 3. Ratio of user-perceived costs/benefits for M/W, R/P

| | |
|---|-----------|
|  | Ladders I |
|---|-----------|

| Value for costs for poor women | | Value for costs for rich women | | Value for costs for poor men | | Value for costs for rich men | |
|--------------------------------|------------------------|--------------------------------|------------------------|------------------------------|------------------------|------------------------------|------------------------|
| Sc. | Proportion | Sc. | Proportion | Sc. | Proportion | Sc. | Proportion |
| 0 | < 10% | 0 | < 10% | 0 | < 10% | 0 | < 10% |
| 1 | 10-20% | 1 | 10-20% | 1 | 10-20% | 1 | 10-20% |
| 2 | 20 ⁺ -50% | 2 | 20 ⁺ -50% | 2 | 20 ⁺ -50% | 2 | 20 ⁺ -50% |
| 3 | 50 ⁺ - 80% | 3 | 50 ⁺ - 80% | 3 | 50 ⁺ - 80% | 3 | 50 ⁺ - 80% |
| 4 | 80 ⁺ - 100% | 4 | 80 ⁺ - 100% | 4 | 80 ⁺ - 100% | 4 | 80 ⁺ - 100% |

N.B. Costs may represent contributions in money, time, labor and/or produce.

D. DIVISION OF BURDENS AND BENEFITS


D1. GENDER AND POVERTY FOCUS DURING ESTABLISHMENT AND OPERATIONS

D1. 1. Nature of community payments at the time of establishment of the service

| | |
|---|------------------------|
|  | FGD, review of records |
|---|------------------------|

| Sc. | Nature of payments |
|-----|--|
| 0 | Community payment charges equal for all |
| 1 | Community payment charges equal for all but based on actual costs and benefits |
| 2 | Community payment based on use |
| 3 | Community payment based on use and paying capacity |

D1. 2. Cost sharing/contribution sharing between and within households for construction of the service

| | |
|---|--------------|
|  | Card sorting |
|---|--------------|

| Rich men's share | | | Rich women's share | | | Poor men's share | | | Poor women's share | | |
|------------------|------|-----------------------------|--------------------|-----|-----------------------------|------------------|-----|-----------------------------|--------------------|-----|-----------------------------|
| Sc. | No.* | Criteria | Sc. | No. | Criteria | Sc. | No. | Criteria | Sc. | No. | Criteria |
| 0 | | No contrib. | 0 | | No contrib. | 0 | | No contrib. | 0 | | No contrib. |
| 1 | | Labor only | 1 | | Labor only | 1 | | Labor only | 1 | | Labor only |
| 2 | | Labor, materials | 2 | | Labor, materials | 2 | | Labor, materials | 2 | | Labor, materials |
| 3 | | Labor, materials, part cash | 3 | | Labor, materials, part cash | 3 | | Labor, materials, part cash | 3 | | Labor, materials, part cash |

* Record the number of women who made each type of contribution.

Cost sharing/contribution sharing between and within the households for O&M

| | |
|---|------------------------|
|  | FGD, review of records |
|---|------------------------|

| Household charges for water service | | Division of payments for water/ sanitation in household | | Sharing of labor time within households | |
|-------------------------------------|--|---|---|---|---|
| Sc. | Criteria | Sc. | Criteria | Sc. | Criteria |
| 0 | Same charge for all households not related to actual costs and volume | 0 | Where women pay for water, sanitation, hygiene out of the resources they control, the proportion of their payment on family responsibilities, incl. for water, sanitation and hygiene, is larger than that of men | 0 | After the improved service women spend more hours working on water, sanitation, hygiene and other tasks than men |
| 1 | Same charge for all households based on actual costs | | | | |
| 2 | Different charges for reproductive and productive use, but not based on actual consumption | 1 | Individual water and sanitation charges are lower for women than for men in recognition of their proportionally lower income | 1 | The improved water supply, sanitation and hygiene provisions mean a net reduction in working hours for women, though they are still higher than men's |
| 3 | Differential charges for all uses based on yearly costs of supply and level (real or proxy*) of volume | | | | |
| 4 | Differential charges based on overall cost, volume of use and varying payment capacities (service as economic and social good) | 2 | Men and women contribute to water, sanitation and hygiene in proportion to their resources | 2 | Men assist women to achieve a more balanced division of the workload |

* Proxy: In some cases water consumption is not metered, but households rated as wealthier or larger consumers on the basis of local indicators (e.g. size and type of housing, extended family) are charged more because they consume more.

D1. 3. Division of skilled/unskilled and paid/unpaid labor between M/W, R/P, at the time of establishment of the service



Review of records, matrix voting

| Division of unskilled and skilled labor* | | Division of paid labor (in cash or kind) and unpaid labor | |
|--|--|---|---|
| Sc. | Criteria | Sc. | Criteria |
| 0 | Poor men and women do unskilled work only. Richer men do all skilled work. | 0 | No paid jobs at all, or if paid, they are for richer men; poor men and women do voluntary work. |
| 1 | Only men (rich and poor) do skilled work; women do the unskilled work. | 1 | Only men (rich and poor) do paid jobs; women do the voluntary work. |
| 2 | Skilled work is done by men (rich and poor) and by richer women; only poor women do unskilled labor. | 2 | Paid jobs held by men (rich and poor) and by richer women; poor women have no or only voluntary jobs related to water and sanitation. |
| 3 | Both women and men of high and low socio-economic levels do skilled work. | 3 | Both women and men of high and low socio-economic levels hold paid jobs. |
| 4 | Skilled and unskilled work in water and sanitation is equitably shared between women and men of all socio-economic levels. | 4 | Paid and unpaid jobs in water and sanitation are equitably shared between women and men of all socio-economic levels. |

* In cases where all work is done by the poor score 1 when unpaid and 4 when paid.

Division of skilled/unskilled and paid/unpaid labor between M/W, R/P, during O&M



Review of records, matrix voting

| Division of unskilled* and skilled labor | | Division of paid labor (in cash or kind) and unpaid labor | |
|--|--|---|---|
| Sc. | Criteria | Sc. | Criteria |
| 0 | Poor men and women do unskilled work only. Richer men do all skilled work. | 0 | No paid jobs at all, or if paid, they are for richer men; poor men and women do voluntary work. |
| 1 | Only men (rich and poor) do skilled work; women do the unskilled work. | 1 | Only men (rich and poor) do paid jobs; women do the voluntary work. |
| 2 | Skilled work is done by men (rich and poor) and by richer women; only poor women do unskilled labor. | 2 | Paid jobs held by men (rich and poor) and by richer women; poor women have no or only voluntary jobs related to water and sanitation. |
| 3 | Both women and men of high and low socio-economic levels do skilled work. | 3 | Both women and men of high and low socio-economic levels hold paid jobs. |
| 4 | Skilled and unskilled work in water and sanitation is equitably shared between women and men of all socio-economic levels. | 4 | Paid and unpaid jobs in water and sanitation are equitably shared between women and men of all socio-economic levels. |

*Unskilled work is physical work that requires very little (e.g. one day) or no new expertise building. Examples are cleaning of water points without the extra knowledge, skills and authority to diagnose problems and take problem-solving action; the physical work of collection of charges without any say in amounts and use; providing catering for workers and/or committee members.

D1. 4. Division of functions and decision-making between M/W, R/P

 FGD, committee interview

| Rich | | Poor | |
|-------|---|-------|---|
| Score | Criteria | Score | Criteria |
| 0 | No women in water management functions at all or in name only | 0 | No women in water management functions at all or in name only |
| 1 | Women are members of water level management organizations* but do not regularly attend water supply management meetings | 1 | Women are members of water level management organizations but do not regularly attend water supply management meetings |
| 2 | Women members of water management organizations attend water supply management meetings, but do not share in decision-making | 2 | Women members of water management organizations attend water supply management meetings, but do not share in decision-making |
| 3 | Women members of water management organizations attend water supply management meetings and take decisions together with men | 3 | Women members of water management organizations attend water supply management meetings and take decisions together with men |
| 4 | Males and females both participate in meetings of higher-level water management (e.g. district, river basin) and take decisions jointly | 4 | Males and females both participate in meetings of higher-level water management (e.g. district, river basin) and take decisions jointly |

E. PARTICIPATION IN SERVICE ESTABLISHMENT AND OPERATION²

E1. PARTICIPATION DURING ESTABLISHMENT AND OPERATIONS

E1. 1. Degree of control in construction schedules and quality of works by M/W

 Review of records, community mapping

| Sc. | Control over timing and quality of design and construction* |
|-----|---|
| 0 | Neither committee nor users have information and influence |
| 1 | Male committee members/users can mention one aspect of construction over which they exercised some influence or control |
| 2 | Female committee members/users can demonstrate one way of checking and influencing implementation |
| 3 | Male and female committee members/users can demonstrate one way of checking and influencing implementation |

*Timing: e.g. prevent coinciding of activities for the water supply with working season/times of M/W, R/P. Quality: e.g. knowledge and influence on proper mixing and curing of concrete.

²The scoring matrix for Variables E-G are common for water and sanitation.

E1. 2. Composition, status and rules and tools of control of managing committee, as present and known to M/W, R/P

| | |
|---|--|
|  | Review of records, community mapping, committee interviews |
|---|--|

| Sc. | Composition of management organization | Sc. | Legal status | Sc. | Rules and tools |
|-----|--|-----|--|-----|--|
| 0 | No special water management organization; service establishment is dealt with by agency and general local leaders | 0 | No legal status | 0 | No statutes on management and use; no separate informal or formal account for water and/or sanitation |
| 1 | All-male water/water and sanitation committee representing middle and higher class users | 1 | Implicit legal status derived from formal administrative organization to which committee is attached | 1 | Informal rules, separate fund; one person in charge (signatory powers) |
| 2 | All-male water/water and sanitation committee representing low, middle and high class users | 2 | Formal legal status for committee itself | 2 | Formal rules and statutes on management and use; built-in protection against misuse of water and funds |
| 3 | Special water and sanitation management committee with up to 50% women and representing middle and higher class users | | | 3 | Formal rules and statutes on management and use are gender and poverty conscious*; built-in protection against misuse of water and funds |
| 4 | Special water and sanitation management committee with up to 50% women and representing low, middle and higher class users | | | | |

*E.g. rules on water use at water points, separate voting rights for male and female heads of household.

E1. 3. Responsibilities for maintenance and management

| | |
|---|-----|
|  | FGD |
|---|-----|

| Score | Monitoring and control |
|-------|--|
| 0 | No monitoring and control of user contributions by community |
| 1 | Community organization monitors contributions but does not deal with defaulters (specify R/P) in a consistent manner |
| 2 | Community organization monitors contributions and addresses defaulters (specify R/P) in a consistent manner |
| 3 | Community monitors contributions by M/W, R/P and addresses default and overburdening in a consistent manner |

E1. 4. Type of skills created and practiced among M/W, R/P

 Ladder 2, FGD, committee interview

| Topics in which capacity building received | Organize and conduct meetings, assembly | Understand and manage operation, maintenance and repair | Make and understand budgets, accounts, accountability | Understand and practice improved hygiene | Monitor and control effective functioning and use |
|--|---|---|---|--|---|
| No training received | 0 | 0 | 0 | 0 | 0 |
| One or more men received training | 1 | 1 | 1 | 2 | 1 |
| One or more women received training | 2 | 2 | 2 | 1 | 2 |
| Both men and women received training | 3 | 3 | 3 | 3 | 3 |

| Topics in which capacity building received | Organize and conduct meetings, assembly | Understand and manage operation, maintenance and repair | Make and understand budgets, accounts, accountability | Understand and practice improved hygiene | Monitor and control effective functioning and use |
|---|---|---|---|--|---|
| No training practiced | 0 | 0 | 0 | 0 | 0 |
| Men can demonstrate skills* and indicate where/when practiced | 1 | 1 | 1 | 1 | 1 |
| Women can demonstrate skills and indicate where/when practiced | 2 | 2 | 2 | 1 | 2 |
| Both men and women can demonstrate skills and indicate where/when practiced | 3 | 3 | 3 | 3 | 3 |

* Indicative skill for each subject area to be defined.
 N.B. Note numbers of women and men trained in each subject field as well.

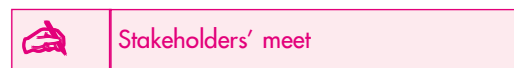
E1. 5 Transparency in accounts (M/W, R/P)

| Sc. | Criteria |
|-----|---|
| 0 | No accounts are shared |
| 1 | Accounts are shared with the office bearer |
| 2 | Accounts are shared with the community – mainly rich males |
| 3 | Accounts are shared with the community – mainly rich and poor males |
| 4 | Accounts are shared with the community – mainly rich males and females and poor males |
| 5 | Accounts are shared with the entire community – rich and poor, females and males |

F. INSTITUTIONAL SUPPORT FOR GENDER- AND POVERTY-SENSITIVE, DEMAND-RESPONSIVE PARTICIPATION³

F1. ENABLING ORGANIZATIONAL SYSTEM

F1. 1. Indicative strategy as reflected in service objectives, implementation strategies and project performance criteria



| Sc. | Sustained service for all | Sc. | Demand-responsive services | Sc. | Community owned and managed | Sc. | Gender-sensitive and gender-balanced |
|-----|---|-----|--|-----|---|-----|---|
| 0 | Focus was on achieving water and sanitation construction targets | 0 | Agency determined technology, service level and project communities | 0 | State owns service and state utility manages service | 0 | Access to women and poor was not mentioned in agency sector policy, objectives and strategies |
| 1 | Focus was also on continuing adequate water supply and sanitation service* | 1 | Communities and users could join standard program with standard contributions, or not join | 1 | State owns service but certain management tasks have been delegated to community | 1 | Agency's sector policy and strategy documents positioned women and poor as passive beneficiaries or target groups for separate health education programs |
| 2 | Focus was also on continuing adequate water supply and sanitation service for all, incl. marginal groups | 2 | Communities and users could choose between several technology and service options without special provisions for affordability to poor | 2 | Community owns and manages service after completion, but has no special powers | 2 | Special activities and programs encouraged women and poor in new roles in decision-making, maintenance, management, and construction and ensured service access |
| 3 | Focus was also on continuing adequate water and sanitation service for all, safeguarding environmental management for continuing quantity, quality and availability | 3 | The agency's sector policy and strategy enabled all communities and users to choose affordable and effective solutions. | 3 | Community owns and manages service after completion and powers have been delegated to it to manage the service (e.g. community set its own charges) | 3 | Objectives, strategies and performance criteria aimed at balanced division of burdens and benefits between women and men, both rich and poor, in connection with project implementation, O&M, management, use and development effects |

*For water services: in terms of water quantity, quality, regularity and predictability and meeting local basic water needs for domestic use as minimum requirements. For sanitation services: all men, women and children in all households can access and use improved sanitation in an hygienic manner.

³Scores are sex-disaggregated and separate for each agency.

F1. 2. Sex and class disaggregated planning and monitoring systems in operation



Review of planning documents

| Sc. | Planning and monitoring systems |
|-----|---|
| 0 | No gender and poverty considerations in planning and monitoring systems of projects |
| 1 | Planning and monitoring systems segregated data by sex and socio-economic strata |
| 2 | Planning and monitoring systems collected specific information on participation of and effects for (i) men and women and (ii) the poor |
| 3 | Data on participation of and effects for (i) men and women and (ii) the poor were used to adjust strategies and human resources development |

F1. 3. Expertise as reflected in type of agencies involved, field teams, and team approach

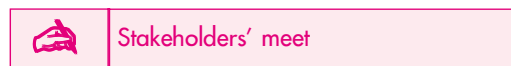


Stakeholders' meet

| Sc. | Expertise of agencies | Sc. | Expertise in field teams | Sc. | Team approach |
|-----|---|-----|--|-----|--|
| 0 | No agency or department with social expertise was involved | 0 | No social expertise was present in field teams | 0 | No interdisciplinary team approach was used |
| 1 | Social agency or dept took part in service establishment but had no specific expertise on gender, poverty and demand responsiveness | 1 | Field teams included social expertise, but without specific know-how in gender, poverty and demand responsiveness | 1 | Social and technical specialists worked in parallel |
| 2 | Social agency/dept was one of the project agencies and had expertise on gender, poverty and demand responsiveness | 2 | Field teams included social expertise with knowledge and skills in gender, poverty and demand responsiveness | 2 | Social and technical teams coordinated their activities and plans |
| 3 | As 2, and in the technical agency management could explain the relevance and cite strategy elements of a gender- and poverty-sensitive approach | 3 | As 2, plus technical team members appreciated a gender- and poverty-sensitive approach and could show elements of such an approach in their own work | 3 | Social and technical teams prepared and implemented one program and had an integrated procedure manual |

F2. ENABLING ORGANIZATIONAL CLIMATE

F2. 1. Capacity building, managerial support and staff performance incentives



| Sc. | Capacity building | Sc. | Support from management | Sc. | Incentives |
|-----|--|-----|---|-----|--|
| 0 | Funds for staff training were absent or < 5% of investment funds. Capacity and skills building and tools development did not include participation aspects. | 0 | The management was not conscious of demand, gender and poverty issues in the sector or considered them not their task. | 0 | Gender and poverty consciousness in staff was not acknowledged by the staff's management and superiors, or if acknowledged was discouraged by management and superiors |
| 1 | Capacity building in social aspects existed, but events were ad hoc, low-funded (< 10% of technical training), methods and materials were conventional (classroom lectures, handout) and trainees were unable to use training in the field (specify reasons).* | 1 | The management defined women as passive beneficiaries or target groups for health education and WSS programs. Demand responsiveness was defined as acceptance or non-acceptance of agency choices, with at most marginal adjustments. | 1 | Individuals could practice a participatory, gender- and poverty-conscious approach, but management and superiors did not recognize or appreciate these attitudes and actions. Staff performance indicators were strictly quantitative: no. of facilities built, % of funds disbursed, no. of training programs held, no. of people trained, etc. |
| 2 | Capacity building in social aspects existed, was part of regular training and orientation for all staff, was funded in balance with technical training (say 1:3), used participatory training methods and tools that were then applied in the field, but did not include poverty and/or gender sensitivity and equity aspects. | 2 | Management saw new roles for women as a means to increase the effectiveness of projects and programs. The need for broader user choice was recognized but without sex and class differentiation. | 2 | Management and superiors informally acknowledged and appreciated attitudes and approaches that enhanced participation and gender and poverty balance in processes and results. Staff performance criteria also included qualitative criteria, such as degree of participation in planning and performance of schemes and scheme administrations (specify). |
| 3 | Sector agencies used specialized personnel to design and conduct capacity building interventions and tools. Capacity building events were part of regular training and orientation for all staff, were funded in balance with technical training (say 1:3), used participatory training methods and tools that were then applied in the field and included poverty and/or gender sensitivity and equity aspects. | 3 | Gender as a concept was defined correctly in project documents and the management can explain why a gender- and poverty-sensitive approach was practiced. It can describe what gender and poverty strategies were practiced in the WSS program and can mention some of the effects on the project or program and on the people. | 3 | Management and superiors formally acknowledged and appreciated attitudes and approaches that enhanced participation and gender and poverty balance in processes and results. Staff performance criteria included performance of schemes and community organizations and gender and poverty sensitivity and equity in activities, outputs and results. |

* The assessment of whether those who went for training were able to apply what they learned may open up several issues of organizational culture. In the discussions get staff who were involved in implementation to come up with their own information on indicators by which their organization judged staff performance.

G. POLICY SUPPORT FOR GENDER- AND, POVERTY-SENSITIVE, DEMAND-RESPONSIVE PARTICIPATION

G1. SUPPORTIVE SECTOR POLICY AND STRATEGY

G1. 1. National sector policies for water and sanitation present with sustainability and equity as explicit goals



Personal interviews

| Sc. | Sustainability | Sc. | Equity |
|-----|--|-----|---|
| 0 | Sector policies aimed at construction; sustained functioning and use were not mentioned. | 0 | The policies set targets of % population covered, but did not define 'coverage' (presence of system or system use?), the unit of measurement (community or user households?) and the nature of those left unserved (who may be the poorest sections). |
| 1 | Sector policies aimed at the establishment of services and facilities that continue to be maintained and to function (no criteria of functioning included). | 1 | The policies set targets of use by all of safe and sufficient amounts of water and safe sanitation. |
| 2 | Sector policies aimed at the establishment of services and facilities that continue to be maintained and to function (no criteria included) and be used by (unspecified % of) the target population. | 2 | The policies set targets of use by all of safe and sufficient amounts of water and safe sanitation; achievement of targets was monitored and programs were adjusted if required. |
| 3 | Sector policies aimed at the establishment of services and facilities that continue to be maintained and to function according to set standards and to be used by a specified % of the population. | 3 | The policies set targets of enabling all men, women and children to use sufficient amounts of water that is safe for their respective purposes and to use safe sanitation practices and to maintain that level of use. Achievement of targets was monitored and programs were adjusted if required. |

G1. 2. Degree to which national sector strategies are present to guide achievement of policy goals and incorporate participation, demand-responsiveness and gender and poverty perspectives



| Sc. | Cost sharing and management | Sc. | Participation in decisions | Sc. | Financing strategy for poor | Sc. | Presence and definition of gender |
|-----|--|-----|---|-----|---|-----|--|
| 0 | Community and users are not expected to contribute to services and take part in their management. | 0 | Communities and users have no choice or voice in project decisions and no rights to service delivery. Full dependency on outside service provider. | 0 | Financing strategies imply that poor are not served because users do not pay and funds are lacking to construct, maintain and expand schemes. Less financing for sanitation of poor because sanitation is subsidized for all income levels. | 0 | No strategy for participation of women or to ensure same opportunities and equal burdens for women and men. |
| 1 | Communities and users are not expected to contribute to construction, but to carry out routine maintenance and cover costs of specified minor repairs. | 1 | Local leader or leaders have to be consulted and training provided for local maintenance and minor repairs. | 1 | Users must pay flat charge for O&M but resulting funds are inadequate and not earmarked for O&M and state subsidies do not cover the gap. More finances available but not enough to serve poor. For sanitation households above poverty level must pay the direct costs (no subsidy), so more program funds for poor. | 1 | Policy defines women's roles from a welfare perspective: women as beneficiaries and target groups in their reproductive roles. |
| 2 | Communities and users are expected to contribute to construction and carry out routine maintenance and cover costs of minor repairs. | 2 | Communities are to be consulted in planning and training provided for local maintenance, repairs and management. | 2 | Users must pay flat charge for construction and O&M, resulting higher income is earmarked to maintain services and expand coverage. For sanitation: Strategy enables poor households to improve sanitation with declining or no subsidy. Focus of any subsidy is on high risk populations.* | 2 | Policy defines women's roles from a perspective of program efficiency and effectiveness: women contribute to planning, maintenance and management for a better service and use. |
| 3 | Communities and users are expected to: <ul style="list-style-type: none"> • manage contributions during construction • manage, carry out and cover costs of routine maintenance and all repairs. | 3 | Communities are to be consulted through participatory techniques in planning and get training for local maintenance, repairs and management. Local managers to account for service management to customers. | 3 | Users must jointly cover O&M and part of investment costs, but poor pay less (social tariffs for basic provision) and have options in local payment arrangements to match the differential situations. | 3 | Policy defines women's roles from a perspective of equity: same rights, equal burdens and benefits for women and men; disadvantaged position of women vis-à-vis men is improved. |
| 4 | In addition to above: <ul style="list-style-type: none"> • contributions must be organized according to ability to pay. | 4 | Projects must provide a range of technological, management and financing options and be flexible to local adjustments and inform users so that they can make realistic choices. | 4 | Sector must run on cost-covering basis (construction and O&M). Users can choose the option they want and can pay, but pricing of basic level of WSS is based on carrying capacity of poor. | 4 | Policy defines the roles of women and men from a perspective of closing gaps between women and men as well as between rich and poor. |

*To prevent high subsidies from going to relatively small numbers and to ensure that available finance is efficiently used.

Sanitation Services

A. EFFECTIVELY SUSTAINED

A1. FUNCTIONING PROGRAM

A1. 1. Coverage levels for safe excreta disposal, drainage and solid waste disposal



Community mapping, review of records

| Household latrines* | | Improved drainage | | School latrines Boys | | School latrines Girls | | Health center at clinic hours | | Solid waste disposal | |
|---------------------|-----------|-------------------|-----------|----------------------|---------------------|-----------------------|----------------------|-------------------------------|---------------------------|----------------------|-----------|
| Sc. | Criteria | Sc. | Criteria | Sc. | Av. ratio latr/boys | Sc. | Av. ratio latr/girls | Sc. | Criteria | Sc. | Criteria |
| 0 | < 1/4 | 0 | < 1/4 | 0 | No latrine | 0 | No latrine | 0 | No latrine or kept locked | 0 | < 1/4 |
| 1 | Up to 1/2 | 1 | Up to 1/2 | 1 | 1/ > 50 | 1 | 1/ > 50 | 1 | 1/ > 100 | 1 | Up to 1/2 |
| 2 | Up to 3/4 | 2 | Up to 3/4 | 2 | 1/21-50 | 2 | 1/21-50 | 2 | 1/50-100 | 2 | Up to 3/4 |
| 3 | > 3/4 | 3 | > 3/4 | 3 | 1/20 | 3 | 1/20 | 3 | 1/ < 50 | 3 | > 3/4 |

*Or water-borne sewerage. Urinals count for latrines.

A1. 2. Upkeep of coverage levels

 Community mapping, review of records, committee interviews

| Household latrines | | Improved drainage at water points | | School latrines Boys | | School latrines Girls | | Health center at clinic hours | |
|--------------------|--|-----------------------------------|---|----------------------|--------------------------|-----------------------|--------------------------|-------------------------------|--------------------------------------|
| Sc. | Criteria | Sc. | Criteria | Sc. | Av. ratio latr/boys | Sc. | Av. ratio latr/girls | Sc. | Criteria |
| 0 | No more latrines built | 0 | Percentage of drainage coverage has decreased over time | 0 | Latrine ratios gone down | 0 | Latrine ratios gone down | 0 | Number of or access to latrines less |
| 1 | A few built, coverage is same due to population growth | 1 | Percentage of drainage coverage is same, coverage has kept up with increase in number of water points and population growth | 1 | Latrine situation same | 1 | Latrine situation same | 1 | Latrine situation same |
| 2 | Better-off continued to build and coverage improved | 2 | Drainage has continued to improve in better-off areas/ households | 2 | Situation improved | 2 | Situation improved | 2 | Situation improved |
| 3 | All continued to build and coverage improved | 3 | More drains built everywhere, including poor areas; new water points all have drainage | | | | | | |

A1. 3. Level of quality of installation and upkeep

Household latrines, per latrine and averages per sample



Latrine observation, scoring sheets

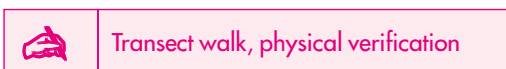
| Sample of household latrines installed under external program | | Sample of household latrines installed after external program completed | |
|---|--|---|--|
| Score (cumulative) | Criteria | Score (cumulative) | Criteria |
| 1 | Latrine functional (can be used) | 1 | Latrine functional (can be used) |
| 1 | In use for excreta disposal | 1 | In use for excreta disposal |
| 1 | Pit built as per criteria | 1 | Pit built as per criteria |
| 1 | Outhouse offers privacy (door/curtain/screen) | 1 | Outhouse offers privacy (door/curtain/screen) |
| 1 | Pit safely located* | 1 | Pit safely located* |
| 1 | Cover on hole/water in water seal | 1 | Cover on hole/water in water seal |
| 1 | No excreta in pan/floor/walls | 1 | No excreta in pan/floor/walls |
| 1 | Water & soap/substitute in or near latrine, for handwashing (check) | 1 | Water & soap/substitute in or near latrine, for handwashing (check) |
| 1 | Reported use by all household members (probe) | 1 | Reported use by all household members (probe) |
| 1 | No human excreta in yard, on compost heap (check with respect to children) | 1 | No human excreta in yard, on compost heap (check with respect to children) |

* Downstream from water source and over 7 m away.

School latrines, per latrine, school and averages per sample

| Sample of school latrines installed under external program | | Sample of school latrines installed after external program completed | |
|--|--|--|--|
| Score (cumulative) | Criteria | Score (cumulative) | Criteria |
| 1 | Latrine functional (can be used) | 1 | Latrine functional (can be used) |
| 1 | In use for excreta disposal | 1 | In use for excreta disposal |
| 1 | Pit built as per criteria | 1 | Pit built as per criteria |
| 1 | Outhouse offers privacy (door/curtain/screen) | 1 | Outhouse offers privacy (door/curtain/screen) |
| 1 | Pit safely located | 1 | Pit safely located |
| 1 | Cover on hole/water in water seal | 1 | Cover on hole/water in water seal |
| 1 | No excreta in pan/floor/walls | 1 | No excreta in pan/floor/walls |
| 1 | Water & soap/substitute in or near latrine, for handwashing (check) | 1 | Water & soap/substitute in or near latrine, for handwashing (check) |
| 1 | Reported use by all household members (probe) | 1 | Reported use by all household members (probe) |
| 1 | No human excreta in yard, on compost heap (check with respect to children) | 1 | No human excreta in yard, on compost heap (check with respect to children) |

Drainage



Transect walk, physical verification

| Sample of drains installed under external program | | Sample of drains installed after program completed | |
|---|---|--|---|
| Score (cumulative) | Criteria | Score (cumulative) | Criteria |
| 1 | Drain in use for waste water drainage | 1 | Drain in use for waste water drainage |
| 1 | Proper slope* | 1 | Proper slope |
| 1 | Uninterrupted flow-off, no blockages | 1 | Uninterrupted flow-off, no blockages |
| 1 | Water drains off well at end, no stagnation | 1 | Water drains off well at end, no stagnation |

* Angle allows easy flow-off.

A2. EFFECTIVE FINANCING

A2. 1. Degree of autonomous financing of household facilities and community services



Review of records

| Financing of household facilities | | Financing of public facilities/services | |
|-----------------------------------|---|---|---|
| Sc. | Criteria | Sc. | Criteria |
| 0 | External subsidy, in materials and/or cash is given to all households irrespective of payment capacity | 0 | No financing of either investments or O&M |
| 1 | Better-off households pay real costs of what they want; only low-income households receive external support | 1 | Community finances O&M costs partly |
| 2 | No external subsidies, but users can choose facility they can afford, get credit, get training for do-it-yourself, etc. | 2 | Community finances O&M costs fully |
| 3 | Communities assist poor households with own resources to improve physical sanitation conditions; external financing goes to capacity building and promotion of sanitation | 3 | Community finances O&M of existing facilities and investment costs (partly or wholly) of any expansions |

A2. 2. Coverage of costs



Review of records

| Sc. | Coverage of costs |
|-----|--|
| 0 | No income or income covers O&M costs partly |
| 1 | Income covers all O&M costs |
| 2 | Income covers all O&M costs and provides for expansion |
| 3 | Income covers all O&M costs, provides for expansion and allows replacement of major hardware of the system |


A2. 3. Degree and timeliness of payment for sewerage and solid waste collection

| | |
|---|-------------------|
|  | Review of records |
|---|-------------------|

| Sc. | Payments made in time |
|-----|--|
| 0 | No payment records present, or records improperly kept |
| 1 | Payment records properly kept, but some households do not pay without being formally exempted or have arrears of six months or more (specify numbers and whether M/W, R/P) |
| 2 | Payment records are properly kept and all users pay (unless formally exempted) but some have arrears of more than six months (specify as above) |
| 3 | Payment records are properly kept and all user households pay in time, unless formally exempted |

A3. EFFECTIVE MANAGEMENT

A3. 1. Level and timeliness of repairs of community systems

| | |
|---|----------------------|
|  | Technical assessment |
|---|----------------------|

| Sc. | Level of repairs | Sc. | Timeliness of (essential) repairs |
|-----|--|-----|---|
| 0 | Have not made any repairs | 0 | Downtime > 2 days and lack of realistic alternatives force users to resume unsafe water use |
| 1 | Have successfully made a minor repair | 1 | Downtime can surpass 2 days but users have and use other (safe) alternatives on own account |
| 2 | Have successfully made more major repairs and minor construction | 2 | Essential repairs made within 2 days or management forewarns users and encourages safe alternatives |
| 3 | Have extended the system or built other systems elsewhere | 3 | Essential repairs made within 2 days or alternative supply provided |

Score separately for sewerage and solid waste collection service, where applicable

A3. 2. Budgeting and accounting for service to M/F, R/P



Review of records, transect walk

| Sc. | Budgeting for service |
|-----|--|
| 0 | No budget, or not based on true costs, and no accounting for service |
| 1 | Budgeting and collection based on financial requirements of service and accounts kept but not shared |
| 2 | Budgeting and collection based on financial requirements of service and accounts shared with some (specify) |
| 3 | Budgeting and collection based on financial requirements of service and accounts shared with all users/user representatives (M/F, R/P) |

B. EFFECTIVE USE

B1. SAFE AND ENVIRONMENTALLY SOUND USE


B1. 1. Degree and nature of access (R/P)



Pocket voting

| Access to facilities | |
|----------------------|---|
| Sc. | Criteria |
| 0 | < 1/4 of households are served and belong to better off, according to community map |
| 1 | 1/4 to 1/2 served and belong to better off according to community map |
| 2 | 1/2 to 3/4 are served but the rest do not belong only to marginalized groups |
| 3 | 3/4 to almost all households in the community have access to improved means of disposal |
| 4 | All have access |

B1. 2. Change in disposal practices by and within households (M/W/R/P)

| | |
|---|---------------|
|  | Pocket voting |
|---|---------------|

| Changes in practices (rich) | | | |
|-----------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| Sc. | Women | Children* | Men |
| 0 | No change in disposal habits | No change in disposal habits | No change in disposal habits |
| 1 | < 1/2 with facilities use them always | < 1/2 with facilities use them always | < 1/2 with facilities use them always |
| 2 | 1/2 to 3/4 uses them always | 1/2 to 3/4 use them always | 1/2 to 3/4 use them always |
| 3 | 3/4 to almost all use them always | 3/4 to almost all use them always | 3/4 to almost all use them always |
| 4 | All use always | All use always | All use always |

*As voted by mothers

| Changes in practices (poor) | | | | | |
|-----------------------------|---------------------------------------|-----|---------------------------------------|-----|---------------------------------------|
| Sc. | Women | Sc. | Children* | Sc. | Men |
| 0 | No change in disposal habits | 0 | No change in disposal habits | 0 | No change in disposal habits |
| 1 | < 1/2 with facilities use them always | 1 | < 1/2 with facilities use them always | 1 | < 1/2 with facilities use them always |
| 2 | 1/2 to 3/4 use them | 2 | 1/2 to 3/4 use them always | 2 | 1/2 to 3/4 use them always |
| 3 | 3/4 to almost all use them always | 3 | 3/4 to almost all use them always | 3 | 3/4 to almost all use them always |
| 4 | All use always | 4 | All use always | 4 | All use always |

B1. 3. Environment free from human waste risks
(note average, mode and median of individual latrine scores)



Physical verification

| Score (cumulative) | Criteria |
|--------------------|---|
| 1 | Latrine/toilet in working order |
| 1 | Latrine/toilet in use |
| 1 | Pit/tank according to criteria |
| 1 | Workmanship according to criteria |
| 1 | Pit safely located |
| 1 | Superstructure offers privacy (walls, door/screen/curtain) |
| 1 | Cover present and over hole/water in waterseal |
| 1 | No excreta visible on floor/walls/in pan |
| 1 | Water and soap/soap substitute at or near facility (check if for handwashing) |
| 1 | No adult/child excreta around house/on rubbish heap |
| max 10 | |

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Water and Sanitation Program

Unsafe drinking water and inadequate sanitation are among the most serious problems facing the developing world today. More than a billion people in rural and urban areas lack access to the most basic water and sanitation services. The environmental and social costs, especially to women and children, are enormous.

The Water and Sanitation Program is an international partnership with the mission to help the poor gain sustained access to improved water and sanitation services. The Program works with partners in the field to seek innovative solutions to the obstacles faced by poor communities and strives to be a valued source of advice to achieve widespread adoption of these solutions.

The Program's work has evolved over two decades and is based on principles that emerged at the end of the International Drinking Water Supply and Sanitation Decade, were adopted at the 1992 Conference on Water and the Environment in Dublin, and were endorsed at the 1992 UN Conference on Environment and Development in Rio de Janeiro. The Program advocates a demand-based approach and three strategic objectives provide the framework for activities: strengthening sector policies, improving sector investments, and learning and sharing lessons of good practice.

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IRC International Water and Sanitation Centre

Access to water and sanitation are basic human rights. IRC's mission is to help people in developing countries to get the best water and sanitation services they can afford. Working with partners in developing countries, we aim to strengthen local capacities by sharing information and experience and developing resource centres. We emphasize the introduction of communication, gender, participation, community management and affordable technologies into water and sanitation programs.

IRC's work focuses on the needs of developing countries in Africa, Asia and Latin America. In each region we work with partner institutions in selected countries to develop new approaches, ranging from empowering communities to make informed choices, to helping governments facilitate the process of development rather than construct and provide systems.

In a process of joint learning, local capacities are built in fields linked to those areas of IRC's expertise for which there is a local demand. Partner organizations receive support in the development of skills related to documentation and information, publication, research, training, advisory services and advocacy.

IRC is an independent, non-profit organization supported by and linked with the Netherlands Government, the United Nations Development Programme, the United Nations Children's Fund, the World Health Organization, the World Bank, and the Water Supply and Sanitation Collaborative Council.

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