

# Methodological note<sup>1</sup>: Indicators and proposed monitoring framework for Means of Implementation (MoI) targets for Sustainable Development Goal 6

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## 1 Introduction

### 1.1 Sustainable Development Goal 6

The 2030 Agenda for Sustainable Development includes a dedicated goal on water and sanitation (SDG 6) that sets out to “ensure availability and sustainable management of water and sanitation for all.” SDG 6 expands the Millennium Development Goal focus on drinking water and sanitation to cover the entire water cycle, including the management of water, wastewater and ecosystem resources. It contains six targets on outcomes across the entire water cycle, and two targets on the means of implementing the outcome targets. The scope of this note is limited to indicators and methodologies for the means of implementation (MoI) targets 6.a and 6.b, shown in the shaded portion of Table 1. The indicators and underlying methodologies for targets 6.1 to 6.6 are covered in consolidated metadata and technical input documents for Goal 6 as well as more detailed statistical notes submitted to the Inter Agency and Expert Group on Sustainable Development Goal Indicators (IAEG-SDGs).

**Table 1: Targets for Sustainable Development Goal 6: Ensure availability and sustainable management of water and sanitation for all**

<b>Outcomes</b>	<b>6.1</b>	By 2030, achieve universal and equitable access to safe and affordable <b>drinking water</b> for all
	<b>6.2</b>	By 2030, achieve access to adequate and equitable <b>sanitation and hygiene</b> for all and <b>end open defecation</b> , paying special attention to the needs of women and girls and those in vulnerable situations
	<b>6.3</b>	By 2030, improve <b>water quality</b> by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials, halving the proportion of untreated wastewater and substantially increasing recycling and safe reuse globally
	<b>6.4</b>	By 2030, substantially increase <b>water-use efficiency</b> across all sectors and ensure <b>sustainable withdrawals</b> and supply of freshwater to address water scarcity and substantially reduce the number of people suffering from water scarcity
	<b>6.5</b>	By 2030, implement <b>integrated water resources management</b> at all levels, including through transboundary cooperation as appropriate
	<b>6.6</b>	By 2020, protect and restore <b>water-related ecosystems</b> , including mountains, forests, wetlands, rivers, aquifers and lakes
<b>Means of Implementation</b>	<b>6.a</b>	By 2030, expand <b>international cooperation and capacity-building</b> support to developing countries in water- and sanitation-related activities and programmes, including water harvesting, desalination, water efficiency, wastewater treatment, recycling and reuse technologies

<sup>1</sup> Please send any comments to [glaas@who.int](mailto:glaas@who.int)

## 6.b Support and strengthen the **participation of local communities** in improving water and sanitation management

The present note lays out the measurement and methodology for the targets and indicators included in the framework proposed by the IAEG-SDGs<sup>2</sup>, based on data sources that are currently available. A number of supporting indicators are also proposed, which may be reported in conjunction with or in the absence of data for the main indicator. It is likely that the data sources and methodology for these indicators will continue to evolve during the SDG period.

### 1.2 Means of implementation

The 'Means of Implementation' refer to the interdependent mix of financial resources, technology development and transfer, capacity-building, inclusive and equitable globalization and trade, regional integration, as well as the creation of a national enabling environment required to implement the new sustainable development agenda. The MDGs have been criticized as overly focused on outcomes, with insufficient attention paid to the MoI and resources required to achieve them. In part to address these concerns, the SDGs<sup>3</sup> include MoI targets under each of the first 16 goals as well as in Goal 17<sup>4</sup>. According to the UN Technical Support Team issues brief on MoI<sup>5</sup>:

The implementation of the post-2015 development agenda will require States and other relevant actors, acting individually and collectively, to adopt policies and mobilize resources to advance equitable, human rights-based, sustainable development. In this regard, a renewed and strengthened global partnership for mobilizing the means of implementation needs to (i) address the social, economic and environmental dimensions in an integrated manner; (ii) build on existing commitments and governance structures, ensuring that new initiatives reinforce previous successes; (iii) reinforce coherence in the implementation of a universal post-2015 agenda, leveraging resources across diverse funding mechanisms; and (iv) strengthen governance and accountability frameworks, providing for multi-stakeholder engagement, including for financing, technology innovation and diffusion, and capacity building for people and institutions.

UN Water has published a report<sup>6</sup> on the MoI for Goal 6, setting out requirements to meet the goal under the seven building blocks for MoI provided in Goal 17: (1) finance, (2) technology, (3) capacity building, (4) trade, (5) policy and institutional coherence, (6) multi-stakeholder partnerships, and (7) data, monitoring, and accountability.

<sup>2</sup> Report of the Inter-Agency and Expert Group on Sustainable Development Goal Indicators. Available at <http://unstats.un.org/unsd/statcom/47th-session/documents/2016-2-IAEG-SDGs-E.pdf>

<sup>3</sup> Transforming our world: The 2030 Agenda for Sustainable Development. Available at <https://sustainabledevelopment.un.org/post2015/transformingourworld>

<sup>4</sup> Goal 17: Partnerships for the Goals - Strengthen the means of implementation and revitalize the global partnership for sustainable development

<sup>5</sup> TST Issues Brief: Means of Implementation; Global Partnership for achieving sustainable development. Available at

[https://sustainabledevelopment.un.org/content/documents/2079Issues%20Brief%20Means%20of%20Implementation%20Final\\_TST\\_141013.pdf](https://sustainabledevelopment.un.org/content/documents/2079Issues%20Brief%20Means%20of%20Implementation%20Final_TST_141013.pdf)

<sup>6</sup> Means of Implementation: A focus on Sustainable Development Goals 6 and 17. Available at [http://www.unwater.org/fileadmin/user\\_upload/unwater\\_new/docs/UN-Water%20MOI%20compilation\\_15%20July%202015.pdf](http://www.unwater.org/fileadmin/user_upload/unwater_new/docs/UN-Water%20MOI%20compilation_15%20July%202015.pdf)

Compared to the well-established outcome measures for access to basic drinking water and sanitation, defining meaningful and measurable indicators for MoI is a much greater challenge: Data availability on effectiveness of enabling environment and partnerships is limited, and systems for monitoring MoI have yet to be established in most countries. At the same time, the establishment of MoI targets and indicators within Goal 6 provides a unique opportunity to mobilize support and resources as well as shape policy priorities at the global and national levels to galvanize the implementation of Goal 6 as a whole. In addition, much as MDG monitoring has helped to establish monitoring systems at the national level and has supported building of capacity in national statistical offices to monitor outcome indicators, selection of appropriate targets and indicators can support development of monitoring systems for MoI at the national and global levels.

### **1.3 Overview of data sources**

An overview of data sources for monitoring 6.a and 6.b is provided below.

#### **1.3.1 Global Analysis and Assessment of Sanitation and Drinking-Water (GLAAS) and TrackFin**

The UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water (GLAAS) provides information on governance, monitoring, human resources, and financing in the water, sanitation, and hygiene (WASH) sector. The UN-Water GLAAS survey is currently conducted on a biennial basis, led by WHO, and collected data from 94 countries (predominantly low and lower-middle income countries) in the most recent cycle in 2013-2014<sup>7</sup>. GLAAS objectives are defined as monitoring the inputs (in terms of human resources and finance) and the enabling environment (in terms of laws, plans and policies, institutional and monitoring arrangements), required to sustain and extend WASH systems and services to all, and especially to the most disadvantaged population groups. It also analyses the factors associated with progress, in order to identify drivers and bottlenecks, highlight knowledge gaps and assess strengths and challenges within and across countries. It aims to facilitate the work of government-led platforms to enhance coordination across the various sectors, institutions and actors influencing and requiring WASH service delivery. The next round of GLAAS in 2016-2017 will focus on the financing component of WASH, complemented by the TrackFin initiative which provides more comprehensive and robust information on WASH financial flows. For questions relating to measurement of the proposed core indicators for targets 6.a and 6.b, the scope of GLAAS has been expanded to cover all areas of SDG6 (including wastewater and water quality, water efficiency, water resource management, and the status of water-related ecosystems).

National governments participating in the GLAAS survey fill out the questionnaire, preferably supported by a multi-stakeholder review. Although one ministry leads the process, it is often the case that many different ministries and departments must be involved in the process in order to obtain the data required to complete the questionnaire. A GLAAS national focal person supports the lead ministry to coordinate data collection, to compile the national response to the questionnaire, and to lead on the process of data validation.

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<sup>7</sup> Available at [http://www.who.int/water\\_sanitation\\_health/monitoring/investments/glaas-2013-2014-cycle/en/](http://www.who.int/water_sanitation_health/monitoring/investments/glaas-2013-2014-cycle/en/)

The TrackFin methodology<sup>8</sup> enables countries to track financing to the WASH sector based on standard classifications and develop a set of WASH accounts and indicators presented in a comparable format to help answer four basic questions:

- What is the total expenditure in the sector?
- How are the funds distributed between the different WASH services and expenditure types, such as capital expenditure, operating and maintenance expenditure, and cost of capital?
- Who pays for WASH services?
- Which entities are the main channels of funding for WASH and what is their share of total spending?

Countries implementing TrackFin would be able to provide more robust data for indicator 6.a.1 on ODA at the national level, as well as data from the subnational level.

### **1.3.2 Organisation for Economic Co-operation and Development (OECD) Creditor Reporting System**

The OECD Development Assistance Committee (DAC) collects data on aid flows through the OECD Creditor Reporting System<sup>9</sup> based on a standard methodology and agreed definitions from member countries and other aid providers. The data are generally obtained on an activity level, and include numerous parameters to allow disaggregation by provider and recipient country, by type of finance, and by type of resources provided. Some data are also available on the policy objectives targeted by individual projects. Data are available for essentially all high-income countries as bilateral donors, for an increasing number of middle-income aid providers, as well as multi-lateral lending institutions.

### **1.3.3 Organisation for Economic Co-operation and Development Water Governance Indicators**

The OECD is currently developing a set of Water Governance Indicators, within the implementation strategy of the OECD Principles on Water Governance. The development of Indicators will be carried out through a bottom-up approach within the OECD Water Governance Initiative (WGI), a technical platform which gathers 100+ members from the public, private and non-for-profit sectors. . The 12 Principles provide a framework to understand whether water governance systems are performing optimally and help to adjust them where necessary. They consider water governance as the range of political, institutional and administrative rules, practices and processes (formal and informal) through which decisions are taken and implemented, stakeholders can articulate their interests and have their concerns considered, and decision-makers are held accountable for water management<sup>10</sup>. The OECD Water Governance Indicators are meant to assess (1) framework conditions (2) water governance performance and (3) impact of water governance. The indicators are currently being developed, and will be pilot tested on a voluntary basis in a number of OECD and non-OECD countries and other levels of government. Data will be made available through interactive platforms

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<sup>8</sup> For more information, see [http://www.who.int/water\\_sanitation\\_health/monitoring/investments/trackfin/en/](http://www.who.int/water_sanitation_health/monitoring/investments/trackfin/en/)

<sup>9</sup> Available at <https://stats.oecd.org/Index.aspx?DataSetCode=CRS1>

<sup>10</sup> OECD (2015), OECD Principles on Water Governance, available at <http://www.oecd.org/gov/regional-policy/OECD-Principles-on-Water-Governance-brochure.pdf>

and a dedicated publication on “Water Governance at a Glance” to be launched at the 8th World Water Forum in Brasilia (2018).

### 1.3.4 Integrated Water Resources Management

Integrated Water Resources Management (IWRM) is an approach to managing water in a coordinated way. It takes into account the various users and uses in a given situation, with the aim of maximizing positive social, economic and environmental impacts. It uses water bodies, such as catchments and aquifers, as the principle unit of water management, and stresses decentralization of governance structures and active stakeholder participation in decision making. Country surveys on the status of IWRM implementation were collected from 108 countries in 2007 and from 134 countries in 2011. The surveys describe: (1) The extent to which an enabling environment for IWRM (policy, strategic planning, legal framework and financing) has been established, (2) the structure and performance of an institutional framework to support IWRM processes, and (3) the degree to which management instruments/tools are applied. The IWRM surveys will be adapted to support monitoring of SDG Target 6.5 as part of the UN-Water/GEMI initiative<sup>11</sup>. For the purposes of measuring indicators 6.a.1 and 6.b.1, questions related to IWRM have been merged into the GLAAS survey.

## 2 Proposed indicators for 6.a and 6.b and monitoring framework

### 2.1 Target 6.a

By 2030, expand international cooperation and capacity-building support to developing countries in water- and sanitation-related activities and programmes, including water harvesting, desalination, water efficiency, wastewater treatment, recycling and reuse technologies.

#### 2.1.1 Indicator 6.a.1

Amount<sup>12</sup> of water and sanitation related ODA for water and sanitation related activities and programmes that is part of a government coordinated spending plan.

#### 2.1.2 Rationale and interpretation

Language in target 6.a		Normative interpretation of target text
<i>By 2030,</i>	<i>expand international cooperation</i>	Implies aid in the form of grants or loans by external support agencies
	<i>and capacity-building support</i>	Implies development and strengthening of human and institutional resources
	<i>to developing countries</i>	Countries eligible to receive official development assistance (see <a href="http://www.oecd.org/dac/stats/daclist.htm">http://www.oecd.org/dac/stats/daclist.htm</a> )
	<i>in water- and sanitation-related activities and programmes,</i>	Water and sanitation-related activities and programmes includes those for water supply, sanitation and hygiene (WASH) (targets 6.1, 6.2), wastewater and water quality (6.3), water efficiency (6.4), water resource management (6.5), and water-related ecosystems (6.6).

<sup>11</sup> See <http://www.unepdhi.org/whatwedo/gemi>

<sup>12</sup> Note that “amount” is interpreted to refer to an amount relative to a total (percentage) of water and sanitation ODA. See methodology below for details.

*including water harvesting, desalination, water efficiency, wastewater treatment, recycling and reuse technologies*

Examples of practices, processes and technologies that support progress towards water and sanitation related targets

“International cooperation and capacity-building support” implies aid (most of it quantifiable) in the form of grants or loans by external support agencies. The amount of water and sanitation-related Official Development Assistance (ODA) can be used as a proxy for this, captured by OECD-CRS.

Official Development Assistance (ODA) is currently defined as flows of official financing administered with the promotion of the economic development and welfare of developing countries as the main objective, and which are concessional in character with a grant element of at least 25 per cent<sup>13</sup> (using a fixed 10 per cent rate of discount). By convention, ODA flows comprise contributions of donor government agencies, at all levels, to developing countries (“bilateral ODA”) and to multilateral institutions. ODA receipts, from a recipient perspective, comprise disbursements by bilateral donors and multilateral institutions. Lending by export credit agencies—with the pure purpose of export promotion—is excluded (see <http://www.oecd.org/dac/stats/officialdevelopmentassistancedefinitionandcoverage.htm>).

Water and sanitation-related activities and programmes include those for WASH and the entire water cycle. As per target 6.a wording, it includes activities and programmes for water harvesting, desalination, water efficiency, wastewater treatment, recycling and reuse technologies.

A government coordinated spending plan is defined as a financing plan/budget for the water and sanitation sector, clearly assessing the available sources of finance and strategies for financing future needs. The indicator assesses the proportion of water and sanitation-related ODA that is included in the government budget.

### 2.1.3 Methodology

The indicator is computed as the proportion of total water and sanitation-related ODA that is included in the government budget, i.e. the amount of water and sanitation-related ODA in the government budget divided by the total amount of water and sanitation-related ODA.

$$\frac{\text{Amount of water \& sanitation-related ODA included in government } *budget*}{\text{Total amount of water \& sanitation-related ODA disbursements}}$$

A low value of this indicator (near 0%) would suggest that international donors are investing in water and sanitation related activities and programmes in the country outside the purview of the government. A high value (near 100%) would indicate that donors are aligned with government policies and plans for water and sanitation.

<sup>13</sup> The OECD is in the process of modernizing its framework for reporting of ODA, which includes updating how concessional loans are counted as ODA. Changes include, but are not limited to: 1) using a variable grant element thresholds and discount rates based on the economic classification of the recipient country, 2) only counting the grant portion of the loan as ODA, and 3) how repayment flows are measured. The new system will become the standard for ODA reporting from 2018 (see <https://www.oecd.org/dac/financing-sustainable-development/Addis%20flyer%20-%20ODA.pdf>)

The numerators on WASH-related ODA will be obtained from the GLAAS survey for the 2016-2017 cycle. The question on external funding (see Annex 2) will collect data on the amount of donor funds that were channelled through the government treasury and those that were included in government budget. Data for 2015 ODA disbursements through GLAAS will be available by early 2017. Questions on external funding for non-WASH water and sanitation-related activities and programmes (for wastewater and water quality, water efficiency, water resource management, and the status of water-related ecosystems) have been added to the GLAAS questionnaire for the 2016-17 cycle and will be included in the calculation of the indicator.

The denominator on total water and sanitation-related ODA disbursements will be obtained through OECD-CRS. Data on ODA disbursements for 2015 will be made available through CRS in December 2016.

#### 2.1.4 Monitoring ladder

	Description	Data sources	Timeline
1 <sup>st</sup> rung	Total amount of water and sanitation-related ODA disbursements	OECD	Immediate
2 <sup>nd</sup> rung	Percentage of water and sanitation-related ODA that is included in government budget	OECD, GLAAS	Early 2017
3 <sup>rd</sup> rung	Means of verification	OECD, GLAAS, IWRM/GEMI	TBD

Disaggregation of this indicator into WASH and non-WASH components will be computed. Purpose codes covering WASH are as follows: (14010<sup>14</sup>), (14020), (14021), (14022), (14030), (14031), (14032), (14081).

#### 2.1.5 Data sources

The main data source on ODA for water, sanitation, and hygiene is the OECD-CRS, in particular the reporting on “Water Supply and Sanitation” (purpose code 140). By disaggregating ODA according to the CRS Purpose Codes for water supply and sanitation<sup>15</sup>, specific information can be obtained on the level of international cooperation in water and sanitation related activities, including infrastructure development, policies, and capacity development. Purpose codes and definitions for water and sanitation-related activities are shown in Table 2. The denominator on total water and sanitation-related ODA disbursements will be obtained through OECD-CRS. Data on ODA disbursements for 2015 will be made available through CRS in December 2016.

Table 2: Water Supply and Sanitation CRS Purpose Codes

Code	Definition
14010	<b>Water sector policy and administrative management*</b> Water sector policy and governance, including legislation, regulation, planning and management as well as transboundary management of water; institutional capacity development; activities supporting the Integrated Water Resource Management approach
14015	<b>Water resources conservation (including data collection)</b> Collection and usage of quantitative and qualitative data on water resources; creation and sharing of water knowledge; conservation and rehabilitation of inland surface

<sup>14</sup> A fixed proportion will be used for this code as it covers both WASH and non-WASH activities

<sup>15</sup> Available at [www.oecd.org/dac/stats/49819385.pdf](http://www.oecd.org/dac/stats/49819385.pdf)

	waters (rivers, lakes etc.), ground water and coastal waters; prevention of water contamination.
14020	<b>Water supply and sanitation - large systems<sup>§</sup></b> Programmes where components according to 14021 and 14022 cannot be identified. When components are known, they should individually be reported under their respective purpose codes: water supply [14021], sanitation [14022], and hygiene [12261].
14021	<b>Water supply - large systems<sup>§</sup></b> Potable water treatment plants; intake works; storage; water supply pumping stations; large scale transmission / conveyance and distribution systems.
14022	<b>Sanitation - large systems<sup>§</sup></b> Large scale sewerage including trunk sewers and sewage pumping stations; domestic and industrial wastewater treatment plants.
14030	<b>Basic drinking water supply and basic sanitation<sup>§</sup></b> Programmes where components according to 14031 and 14032 cannot be identified. When components are known, they should individually be reported under their respective purpose codes: water supply [14031], sanitation [14032], and hygiene [12261].
14031	<b>Basic drinking water supply<sup>§</sup></b> Rural water supply schemes using handpumps, spring catchments, gravity-fed systems, rainwater collection and fog harvesting, storage tanks, small distribution systems typically with shared connections/points of use. Urban schemes using handpumps and local neighbourhood networks including those with shared connections.
14032	<b>Basic sanitation<sup>§</sup></b> Latrines, on-site disposal and alternative sanitation systems, including the promotion of household and community investments in the construction of these facilities. (Use code 12261 for activities promoting improved personal hygiene practices.)
14040	<b>River basins' development</b> Infrastructure focused integrated river basin projects and related institutional activities; river flow control; dams and reservoirs [excluding dams primarily for irrigation (31140) and hydropower (23065) and activities related to river transport (21040)].
14050	<b>Waste management / disposal</b> Municipal and industrial solid waste management, including hazardous and toxic waste; collection, disposal and treatment; landfill areas; composting and reuse
14081	<b>Education and training in water supply and sanitation<sup>§</sup></b> Education and training for sector professionals and service providers.
31140	<b>Agricultural water resources</b> Irrigation, reservoirs, hydraulic structures, ground water exploitation for agricultural use.

\* Includes WASH in addition to other aspects of water sector

<sup>§</sup> Included within WASH domain

The numerator on water and sanitation-related ODA in the government budget will be obtained from the GLAAS survey for the 2016-2017 cycle. The question on external funding collects data on the amount of donor funds that were included in government budget. Data for 2015 ODA disbursements through GLAAS will be available by end-2016. The scope of the question on external funding has been expanded beyond WASH for the 2016-17 cycle to address all targets under SDG 6,

including wastewater and water quality, water efficiency, water resource management, and water-related ecosystems.

Data collected through GLAAS are likely to be limited to ODA in the government budget at the national level. Countries implementing TrackFin would be able to provide data on ODA provided at the regional and local levels. The standard output table showing WASH expenditure by financing type and financing unit provides a breakdown of expenditure of international public transfers by national, regional, and local authorities. Thus TrackFin can provide data on ODA at the subnational level, as well as more robust data at the national level.

**Table 3: WASH expenditure by financing type and financing unit (FT x FU).**

Financing types (millions of currency units)		Financing units										Total
		FU1	FU2	FU3	FU4	FU5	FU6	FU7	FU8	FU9	FU10	
		Users	National authorities	Regional authorities	Local authorities	Network corporate providers	Non-network corporate providers	Economic and quality regulators	Bilateral and multilateral donors	NGOs and community-based organizations	Banks and financial institutions	
FT1	Tariffs for services provided											
FT2	User expenditure on self-supply											
FT3	Domestic public transfers											
FT4	International public transfers											
FT5	Voluntary contributions											
FT6	Repayable financing											
Total												

The data will be complemented by Integrated Water Resources Management (IWRM) reporting in SDG target 6.5<sup>16</sup> (for wastewater and water quality, water efficiency, water resource management, and the status of water-related ecosystems). The analysis of IWRM has been done in the past by UN-Water in 2008<sup>17</sup> (led by UN-DESA) and in 2012<sup>18</sup> (led by UNEP, UNDP, GWP and SIWI) as requested by the UN Commission for Sustainable Development.

### 2.1.6 Limitations

As the numerator and denominator come from different sources, there is the possibility of different underlying assumptions regarding what should be included/excluded in the ODA figures. There may be differences in how much development aid is reported by a recipient country and the amount of ODA disbursed to that country as reported by the OECD-CRS. While OECD captures a significant amount of the aid flows (as reported by external donors) to the water and sanitation sector, countries may receive development aid for water and sanitation from national and international donors that do not report to the OECD-CRS data system. Other differences may occur if recipient countries define development aid more or less rigorously than OECD’s definition of ODA, or use

<sup>16</sup> UNEP 2016. Degree of implementation of integrated water resources management. Draft survey to support SDG indicator 6.5.1 <http://www.unepdhi.org/whatwedo/gemi>

<sup>17</sup> UN-Water 2008 : Status Report on IWRM for CSD-16, <http://www.unwater.org/publications/publications-detail/en/c/206480/UNEP-DHI>

<sup>18</sup> UN-Water 2012: Status Reports on IWRM. <http://www.unwater.org/publications/status-report-on-integrated-water-resources-management/en/>

different timeframes (e.g. fiscal year instead of calendar year) to report aid flows. This could lead to situations in which the proportion of ODA included in government budget is greater than 1 (100%) if total ODA reported to OECD is lower than ODA reported to be included the budget. To guard against this possibility, the OECD will supply GLAAS with the reported ODA figures, broken down to the project level, so that respondents can match these with their on-budget project data.

The OECD CRS currently disaggregates ODA for the water and sanitation among several categories including: sector policy and administration, water resources protection, large and basic water and sanitation systems, river basin infrastructure, waste management, agricultural water resources, and education and training. While these categories do not align directly with the target areas of SDG 6 individually, which limits the disaggregation of ODA among the SDG target areas, the combined ODA from these categories does align with a majority of the reported ODA to the water sector.

The GLAAS survey is implemented on a national level, and therefore responses would likely be limited to data on national budgets. Depending on the country and degree of decentralisation of government and financing, data at subnational level may also be needed. Countries implementing TrackFin would be able to fill this data gap by provide data on ODA channelled through different financing units including national, regional, and local authorities.

### **2.1.7 Supporting indicators**

ODA represents only one aspect of international cooperation. To capture other dimensions, a number of additional supporting indicators will be reported.

#### **2.1.7.1 Amount of water and sanitation-related ODA channelled through treasury**

The proportion of total water and sanitation-related ODA that is channelled through the treasury will also be reported.

$$\frac{\text{Amount of water \& sanitation-related ODA channelled through } \textit{treasury}}{\text{Total amount of water \& sanitation-related ODA disbursements}}$$

This is different from the main indicator (proportion of ODA included in government budget), as donor funds channelled through the treasury are completely controlled by the government whereas those included in the budget may still be managed by donors. ODA channelled through treasury indicates a high level of cooperation and alignment between donors and government in which the donors channel funds through the government budget process. The data sources are the same as those for the main indicator.

#### **2.1.7.2 Total amount of water and sanitation-related ODA**

The absolute amount of water and sanitation-related ODA (denominator) is reported in constant USD. This will provide an indication of scale and to assess whether absolute levels of ODA are increasing or decreasing over time.

#### **2.1.7.3 Sanitation and Water for All (SWA) Collaborative Behaviours**

The Sanitation and Water for All (SWA) partners have identified Four Collaborative Behaviours<sup>19</sup> (2) that, if adopted by countries and their partners, can improve the way that they work together to improve the long-term sector performance needed to deliver sanitation, hygiene and water for all.

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<sup>19</sup> Further information available at <http://sanitationandwaterforall.org/about/the-four-swa-collaborative-behaviours/>

Together, the collaborative behaviours provide a more comprehensive picture of international cooperation and support to developing countries beyond the ODA flows, and covering multiple aspects of MoI as defined in Goal 17 such as policy and institutional coherence, multi-stakeholder partnerships, data, monitoring and accountability, and finance. The main data sources for monitoring the collaborative behaviours are GLAAS, the GLAAS External Support Agency (ESA) survey, and World Bank Country Policy and Institutional Assessment (CPIA) or Public Expenditure and Financial Accountability (PEFA) assessments.

Indicators to monitor the four collaborative behaviours for governments and development partners have been developed and can also be found in Annex 2. The indicator for behaviour 4 (sustainable financing for WASH) for development partners matches indicator 6.a.1.

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## 2.2 Target 6.b

Support and strengthen the participation of local communities in improving water and sanitation management.

### 2.2.1 Indicator 6.b.1

Percentage of local administrative units with established and operational policies and procedures for participation of local communities in water and sanitation management.

### 2.2.2 Rationale and interpretation

Language in target 6.b	Normative interpretation of target text
<i>Support and strengthen</i>	Implies improvement by supporting the establishment and operationalization of policies and procedures
<i>the participation of local communities</i>	Participation implies a mechanism by which individuals and communities can meaningfully contribute to decisions related to water and sanitation planning that may affect them
<i>in improving water and sanitation management</i>	Implies improving the management of all aspects of water and sanitation, including for WASH and extending to the entire water cycle

Stakeholder participation is essential to ensure the sustainability of water and sanitation management options over time, e.g. the choice of appropriate solutions for a given social and economic context, and the full understanding of the impacts of a certain development decision. Defining the procedures in policy or law for the participation of local communities is vital to ensure needs of all the community is met, including the most vulnerable and also encourages ownership of schemes which in turn contributes to their sustainability.

The indicator assesses the percentage of local administrative units (as defined by the national government) that have an established and operational mechanism by which individuals and communities can contribute to decisions and directions about water and sanitation management.

Local administrative units refers to sub-district, municipalities, communes, or other local community-level unit covering both urban and rural areas to be defined by the government.

Policies and procedures for participation of local communities in water and sanitation management would define a formal mechanism to ensure participation of users in planning water and sanitation activities.

A policy or procedure is considered to be established if the mechanism for participation of local communities is defined in law or has been formally approved and published. It is considered to be operational if the policy or procedure is being implemented, with appropriate funding in place and with means for verifying that participation took place (e.g. minutes of meetings).

‘Water and sanitation’ includes all areas of management related to each of the targets under SDG 6, namely: water supply (6.1), sanitation and hygiene (6.2), wastewater treatment and ambient water quality (6.3), efficiency and sustainable use (6.4), integrated water resources management (6.5) and water-related ecosystems (6.6).

### 2.2.3 Methodology

The GLAAS questionnaire provides information on whether there are “clearly defined procedures in laws or policies for participation by service users (e.g. households) and communities in planning programs” (see Annex 2). For countries that have data available from the local administrative unit level, they are asked to provide data on the number of local administrative units for which policies and procedures for local participation (i) exist, and (ii) are operational, as well as (iii) the number of local administrative units assessed, and (iv) the total number of units in the country. The indicator is computed as follows:

$$\frac{\text{Number of local admin units with operation policies and procedures for local participation (ii)}}{\text{Total number of local administrative units in the country (iv)}}$$

A low value of this indicator would suggest that participation of local communities in water and sanitation management is low, whereas a high value would indicate high levels of participation, indicating greater ownership of water and sanitation management.

### 2.2.4 Monitoring ladder

	Description	Data sources	Timeline
1 <sup>st</sup> rung	Proxy indicator from GLAAS on degree of local participation (based on key informant survey conducted at national level)	GLAAS	Immediate
2 <sup>nd</sup> rung	Quantitative estimate of percentage of local administrative units with established and operation policies for local participation	GLAAS	End-2016
3 <sup>rd</sup> rung	Quantitative estimate of percentage of local administrative units with established and operation policies for local participation, with means of verification through country data	GLAAS, country data	TBD

### 2.2.5 Supporting indicators

#### 2.2.5.1 Presence of defined procedures for local participation at the national level

Previous GLAAS cycles have included a question on the presence of clearly defined procedures in laws or policies at the national level for local participation in planning programmes, as well as on the extent of participation (low/moderate/high). Responses are disaggregated for urban and rural sanitation, urban and rural drinking water supply, hygiene promotion. For countries that do not have data available from the local administrative unit level, and in order to look at trends over time, the following supporting indicators will be reported:

- presence or absence in a country of clearly defined procedures in law or policy for participation by service users/communities in planning program in water, sanitation and hygiene management
- presence or absence in a country of a high level of users/communities participating in planning programs in water, sanitation and hygiene management

#### 2.2.5.2 Participatory development and good governance (PD/GG)

The OECD-DAC adopted orientations on participatory development and good governance at its High Level Meeting in December 1993. A policy marker system has been developed in order to be able to

capture policy objectives that are cross-cutting across sectors, including participatory development and good governance (PD/GG)<sup>20</sup>. The system allows for the identification of activities targeted to a policy objective. It gives information on the degree to which members implement the agreed policies in their aid programmes with three possible values: principal objective, significant objective, or not targeted to the policy objective.

An activity should be classified as PD/GG-oriented if it is intended to enhance elements of participatory development, democratisation, good governance and the respect of human rights. The activity should contain specific measures to promote one or more of the following PD/GG aspects:

- Participatory development, i.e. establishing new systems, structures or institutions through which groups, communities or people in a country can play an active and influential role in shaping decisions that affect their lives.
- Democratisation, which integrates participation and pluralism, including the right of opposition, into the political life of the country and provides a basis for legitimacy of the government.
- Good governance, i.e. the accountability, efficiency, and effectiveness of the official sector, an independent judiciary as well as the rule of law, and effective, responsible and equitable administration at all levels of government.
- Human rights, i.e. actions specifically designed to strengthen the respect for, and to facilitate the implementation of, internationally agreed human rights.

The indicator is computed as the proportion of water and sanitation ODA where PD/GG is a principal or significant objective.

### 2.2.6 Data sources

Currently, there is little data systematically available globally at the local administrative unit level that would allow direct computation of this indicator.

GLAAS collects information on the presence, at the national level, of clearly defined procedures in laws or policies for participation by service users. It is proposed that this information be used as a proxy until data can be better consolidated and channels for reporting are established.

This indicator will also build on the data collected for the Status of Integrated Water Resources Management (IWRM) reporting of SDG indicator 6.5.1, in particular on the presence of formal stakeholder structures established at sub-catchment level.

In addition, the OECD Water Governance Indicators are expected to be able to provide additional information on local participation. OECD (2015)<sup>21</sup> suggested a systemic indicators framework for the measurement of “stakeholder engagement for inclusive water governance”. Building on this framework and following technical discussions within the OECD Water Governance Initiative, an indicator providing metrics on local participation will be developed and tested by 2017. The ambition is to collect data at different scales: national and subnational.

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<sup>20</sup> OECD-CRS, 2015, [http://www.oecd.org/dac/stats/documentupload/DCD-DAC\(2013\)15-ADD2-FINAL-ENG.pdf#page=34](http://www.oecd.org/dac/stats/documentupload/DCD-DAC(2013)15-ADD2-FINAL-ENG.pdf#page=34)

<sup>21</sup>OECD ( 2015), Stakeholder engagement for inclusive water governance, OECD publishing, Paris.

Potential data sources or monitoring mechanisms that could be used by countries include the following:

- Collecting this information through a census of municipalities (assuming municipalities cover both urban and rural localities, and the government already conducts or is planning to conduct periodic censuses of municipalities); alternatively through a representative sampling of municipalities.
- Including one or more questions in a community module of a national survey such as the LSMS.
- Including this indicator in administrative data or WASH MIS to be collected at the local administrative unit level.
- Using focus groups and/or community dialogues on local participation with key informants and members of the general public<sup>22</sup>.
- Collecting information through existing projects at local administrative unit level.
- Innovative data collection methods such as crowdsourcing or SMS surveys.

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<sup>22</sup> UNDP. A user's guide to measuring local governance. Available at <http://www.undp.org/content/dam/aplaws/publication/en/publications/democratic-governance/dg-publications-for-website/a-users-guide-to-measuring-local-governance-/LG%20Guide.pdf>

## Annex 1

### EXTERNAL FINANCING

#### D9. External funding: How are donor funds channelled to the sector?

	Drinking-water supply and sanitation <sup>23</sup>	Water conservation and rehabilitation <sup>24</sup>	Water sector policy and management <sup>25</sup>	River basin infrastructure development <sup>26</sup>
a. Number of donors providing funds to the water sector				
b. Time period (e.g. financial year) for donor expenditures shown in (d) below.				
c. Currency/units for donor expenditure shown in (d) below:				
<hr/>				
d. Total donor expenditure/disbursement				
ON-BUDGET				
i. Funding provided for specific expenditures or lines in national budget, and are channeled through treasury (includes basket funding) <sup>27</sup>				
ii. Funding provided for specific expenditures or lines in national budget, but not channeled through treasury				
OFF-BUDGET				
iii. Direct funding to sector not through national budget or treasury				
GENERAL GOVERNMENT BUDGET SUPPORT				
iv. General budget support, funds channeled through treasury <sup>28</sup>				
<hr/>				
e. Per cent of donor funds aligned with national WASH plan				
f. If unable to provide disaggregation of donor funds according to categories in question (d) above, please describe and/or provide the available data below.				
<hr/>				
g. Please provide information on difficulties encountered in the coordination and channelling of the external funding.				

<sup>23</sup> Water supply and sanitation systems, waste disposal, and education and training (OECD CRS codes: 14020 to 14032, 14050, and 14081).

<sup>24</sup> Water resources conservation including, collection and usage of quantitative and qualitative data on water resources; creation and sharing of water knowledge; conservation and rehabilitation of inland surface waters (rivers, lakes etc.), ground water and coastal waters; prevention of water contamination (OECD CRS code 14015).

<sup>25</sup> Water sector policy and governance, including legislation, regulation, planning and management as well as transboundary management of water; institutional capacity development; activities supporting the Integrated Water Resource Management approach (OECD CRS code 14010).

<sup>26</sup> Infrastructure focused integrated river basin projects and related institutional activities; river flow control; dams and reservoirs [including dams primarily for irrigation] (OECD CRS code 14040 and 31140), but excluding hydropower and activities related to river transport.

<sup>27</sup> Targeted budget support involves the transfer of funds to the national treasury as ex-post "financing" of specific expenditures within the budget or of specific budget lines for the sector. Basket funding can be assimilated to this category.

<sup>28</sup> General budget support is a transfer to the national treasury in support of a national development or reform policy and strategy that may provide in the form of a Good Governance with specific indicators for the sector.

## COMMUNITY AND USER PARTICIPATION

**A10. Participation procedures:** Are there clearly defined procedures in laws or policies for participation by service users (e.g. households) and communities in planning programmes and what is the level of participation?

(Note: In this instance 'participation' means a mechanism by which individuals and communities can meaningfully contribute to decisions and directions about WASH and water resources.)

Levels of participation are defined as below:

**Low:** Information is provided without the possibility of influencing

**Moderate:** Consultation (information is provided and open to comments and suggestions that may be taken into consideration)

**High:** Joint decision-making

	Procedures defined in law or policy		If yes, does law or policy specifically mention women's participation?		Extent to which service users / communities participate in planning		
	Yes	No	Yes	No	Low	Moderate	High
a. Urban sanitation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Rural sanitation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Urban drinking-water supply	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Rural drinking-water supply	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Hygiene promotion	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Water, sanitation and hygiene in health care facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Water pollution control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Water quality monitoring	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. Water rights/allocation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j. Water resources planning and management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
k. Water-related environmental protection and restoration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

l. If procedures are defined in policy or law, please provide details of laws and/or policy.

m. If procedures are defined in policy or law, please indicate how participation is defined OR please provide a description of the most common form of user participation.

n. If data are available from the local administrative unit level, please provide the following information:

i. Type and total number of local administrative units<sup>29</sup> in country

Type (e.g. municipality, sub-district, commune):

Total number:

ii. Number of local administrative units with policies and procedures for participation of local communities in water supply, sanitation and water resources management:

iii. Number of local administrative units in which the policies and procedures for local participation are operational:

iv. Please provide additional information on source of data.

<sup>29</sup> Local administrative units should be non-overlapping and cover the entire country, including both urban and rural areas. The local administrative unit to be considered for this question is to be determined by the government.

## Annex 2: SWA collaborative behaviours

Descriptions of the four SWA collaborative behaviours are given in the table below.

**1. Enhance government leadership of sector planning processes**

Government leadership is essential for directing and coordinating resources – including external support - around nationally agreed sector priorities, strategies and plans. In particular, sector development requires a government-led, multistakeholder cycle of planning, monitoring, and learning. Where such sector planning processes are weak or not in place, partners should jointly support efforts to build and strengthen them.

**2. Strengthen and use country systems**

Core country systems are the fundamental capabilities of government needed for the effective and transparent management of public resources, including those received through development assistance. These systems include: public financial management, HR management, statistics, procurement and contract management. Core country systems are key to financing capital expenditure for water and sanitation services as well as for monitoring and regulating services. Government and partners should agree a set of intermediate steps to progressively strengthen and use country systems to develop, monitor and regulate water and sanitation services.

**3. Use one information and mutual accountability platform built around a multi-stakeholder, government-led cycle of planning, monitoring and learning**

In order to decide where to invest, how to sustain and improve water and sanitation services and to understand which policies and strategies work, it is crucial that sectors have reliable data and engage in critical joint reflection and adaptive management. Effective development cooperation requires appropriate, inclusive processes that encourage all partners to demonstrate and demand mutual accountability for sector progress.

**4. Build sustainable water and sanitation sector financing strategies that incorporate data on all 3Ts (taxes, tariffs and transfers), as well as estimates for non-tariff household expenditure.**

Transparency and predictability of all resources is critical in allowing governments to exercise a leadership role in directing and monitoring sector investment. Sector financing strategies that incorporate financial data on all 3Ts (taxes, tariffs and transfers), as well as estimates for non-tariff household expenditure, and realistic estimates for all costs categories (including costs for building new WASH infrastructure and costs for governance and sector capacity strengthening), are critical components of effective sector planning in the medium and longer term. They are critical both to domestic accountability, and to the governments' capacity to hold external support agencies accountable and vice versa.

Indicators to monitor the four collaborative behaviours for governments and development partners have been developed and are shown with definitions and data sources in the table below (v10; 12 February 2016 version).

Behaviour	Indicator	Data Source	Govt or DP?	Comments
1. Enhance government leadership of sector planning processes.	1.1 A regularly updated, government-led national plan for WASH is in place and implemented.	GLAAS survey question A2 <sup>30</sup>	Govt	Sector reviews are not included here as they are covered by the indicator for Behaviour 3.
	1.2 Percentage of activities that are a) captured in the national WASH plan or b) aligned with a government national WASH plan.	GLAAS ESA survey (which is still currently under revision); GLAAS survey questions D2 and D8	DP/ Govt	
2. Strengthen and use country systems.	2.1 Government has defined public financial management and procurement systems that adhere to broadly accepted good practice	World Bank CPIA <sup>31</sup> or PEFA	Govt	While there are a number of systems that could be used for this indicator, the suggestion is that public financial management and procurement systems will be used as a proxy indicator.
	2.2a Development partners adhere to country planning processes and policies.	GLAAS country survey question A11; GLAAS ESA survey E11.2	DP	
	2.2b Ratio of ODA allocated to strengthening country systems versus to WASH infrastructure projects.	OECD-CRS <sup>32</sup> ; GLAAS ESA survey question 10.4b <sup>33</sup>		
3. Use one information and mutual accountability platform built around a multi-stakeholder, government-led cycle of planning, monitoring and learning.	3.1a A formal government-led multi-stakeholder, including DPs and civil society, coordination and review mechanism exists that includes mutual review and assessment.	GLAAS survey questions A10 and B1 <sup>34</sup>	Govt	
	3.1b Data is collected and used to inform decision-making.	GLAAS survey questions A10d and B4 <sup>35</sup>		
	3.2 Development partners a) use country monitoring frameworks or b) harmonize their monitoring with country practices.	GLAAS ESA survey 10.4a; GLAAS survey A10e	DP	'Using Country monitoring frameworks' would include use of government definitions of coverage, functionality and using government targets.
4. Build sustainable water and sanitation sector financing strategies that incorporate financial data on all 3Ts (taxes, tariffs and transfers), as well as estimates for non-tariff household expenditure	4.1 Data are available on taxes, transfers and tariffs and their contribution to the WASH sector.	GLAAS survey section D on Finance: D2, D4, D11 <sup>36</sup> ; TrackFin (where implemented); OECD	Govt	
	4.2 Percentage of development partner WASH assistance that is a) on treasury or b) on budget.	GLAAS ESA Survey questions 5.3, 5.5 and 5.6 <sup>37</sup> ; GLAAS survey D9 <sup>38</sup> ; OECD	DP	On treasury means donor funds went into the national budget and are completely controlled by the government. On budget means funds are mentioned on the budget but may still be managed by donors.

<sup>30</sup> Do national policies and plans exist, and to what extent are these implemented to ensure the provision of water and sanitation? Five responses are possible including: 1) No national policy or policy still under development; 2) National policy formally approved; and gazetted through formal public announcement; 3) Implementation plan developed based on approved policy; 4) Policy and plan costed and being partially implemented; and 5) Plan being fully implemented, with funding, and regularly reviewed.

<sup>31</sup> CPIA indicators include: quality of budget and financial management information; and quality of public sector management and quality of institutions.

<sup>32</sup> Proportion of water and sanitation ODA allocated to water policy and administration (14010), and education and training (14081); Proportion of water and sanitation ODA where participatory development and good governance (PDGG<sup>32</sup>) is principal (and/or significant) objective

<sup>33</sup> To what extent do you support capacity building for implementing results frameworks (% of WASH aid focused on building results management capacity)?

<sup>34</sup> A10: Does a formal coordination mechanism exist to coordinate the work of difference organizations with responsibilities for WASH to coordinate activities? If yes, does the coordination process a) include all ministry es and governmental agencies that directly or indirectly influence service delivery; b) include non-governmental stakeholders (e.g. advocacy groups); c) apply evidence-based decision-making, including consideration of agreed indicators; d) base its work on agreed sectoral framework or national plan; and e) base its work on agreed sectoral framework or national plan? B1: When was the last national sanitation, drinking-water supply and health sector review or assessment conducted (month/year)?

<sup>35</sup> B4: Are data collected and used to inform decision-making? Four possible responses: 1) only limited data collected and limited availability; 2) partial data available, but not generally used; 3) Data available and analysed through a management information system and used for a minority of decisions; and 4) data available and analysed through a management information system and used for a majority of decisions.

<sup>36</sup> Is information available on national budgets (taxes and transfers); if a finance plan, does it define if operating and basic maintenance is to be covered by tariffs or household contributions; are revenue estimates from tariffs available from utilities or other service providers?

<sup>37</sup> Percentage of sector budget support to governments (not targeted to specific projects); use of pooled funding; and does partner provide general budget support?

<sup>38</sup> How are donor funds channelled to the sector? a) percentage of donors going through national budget (disaggregated); and b) percentage of donors providing targeted support for sector funding.

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