

Water and Open Government

A STEP by STEP CITY GUIDE



Water and Open
Government
Community of Practice



Acknowledgements

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GLOSSARY

AAPS	Authority for Fiscalization and Social Control of Drinking Water and Basic Sanitation in Montero, Bolivia	MDC	Miami-Dade County
ARCA	Agency for Water Regulation and Control of Ecuador	MinEduc	Ministerio de Educación del Ecuador (Ministry of Education)
ARCSA	La Agencia Nacional de Regulación, Control y Vigilancia Sanitaria (National Agency for Regulation, Control and Sanitary Vigilance) of Ecuador	MSF	OGP Multi-stakeholder Forum
CSO	Civil Society Organisations	NWASHCOM	National Water Supply, Sanitation and Hygiene Commission
COSMOL	Montero Public Services Cooperative	NAP	National Action Plans
CWRA	City Water Resilience Approach	NGO	Non- Governmental Organisation
CWRF	City Water Resilience Framework	OECD	Organisation for Economic Co-operation and Development
ESA	External Support Agency	OGP	Open Government Partnership
ETLR	Empresa de trabajos de limpieza y recojo/Cleaning and disposal company in Montero, Bolivia	POC	OGP Government Point of Contact
FPIC	Free Prior and Informed Consent	RUWASSA	Rural Water Supply and Sanitation Agency
FSM	Faecal Sludge Management	SDG	UN Sustainable Development Goals
GAD	Autonomous Decentralized Governments in Ecuador	SENAGUA	Secretaria del Agua (National Water Secretariat of Ecuador)
GLAAS	UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water	WASH	Water Supply, Sanitation, and Hygiene
GM&B	Greater Miami and the Beaches	WASH BAT	WASH Bottleneck Analysis Tool
IM Toolbox	Integrity Management Toolbox	WASHCOMS	Water Supply, Sanitation and Hygiene Committee
IRM	OGP Independent Reporting Mechanism	WASHREG	WASH Regulation Approach
JAAP	Juntas Administradoras de Agua Potable (Water Administration Committees) in Ecuador	WRM	Water Resources Management
JMP	Joint Monitoring Programme	WSP	Water Service Providers
LAP	Local Action Plan	WWAP	World Water Assessment Programme

INTRODUCTION

The future of the world is in cities: by 2050, roughly two-thirds (68 per cent) of the world's population will be living in urban areas (United Nations, 2018). A vast majority of this population will be living in an increasingly water-scarce world, and in overcrowded slum areas with inadequate and often non-existent Water supply, Sanitation, and Hygiene (WASH) services. The WHO/UNICEF Joint Monitoring Programme (JMP) 2019 report states that significant progress has been made in the urban WASH coverage when compared to the rural areas, but there still exist large intra-urban inequalities in access and affordability of services in many countries, creating a hurdle in achieving a universal and equitable access to water and sanitation for all (UNICEF et al., 2019). Climate change impacts and natural disasters like floods and droughts, aging infrastructure, water pollution, declining freshwater availability, and ecosystem degradation within and in the surrounding areas of the urban centres, are further stressing the urban water systems and management (UN-Water, 2020).

As cities are now at the forefront of addressing these multitudes of problem, the COVID-19 pandemic has triggered the urgency to accelerate the process of improving urban WASH services, not just at the household level but in the informal settlements, public spaces, schools, and health care facilities as well (UNICEF and SIWI, 2020b, 2020a). As of today, more than half of the world's population still lack access to basic water and sanitation, with 3 billion people not having handwashing facilities with soap and water at home, 600 million people relying on shared toilets or latrine with other households, and 2 billion people using a drinking water source contaminated with faeces. When looked into services in schools and health care facilities, it is found that nearly 900 million children across the world lack basic hygiene services in schools, and one in four health care facilities does not have adequate access to water service, and one in ten with no sanitation services (WHO, 2019). Infrastructure investments will be fundamental to address some of these challenges but will not be enough. Lack of technical, financial, and human capacity of municipal service providers, inequalities in service provisions and inefficiencies in service delivery or corruption, political hurdles are some pressing concerns that hinder the city's ability to provide an adequate level of services for all. A survey on water governance conducted in 48 Organisation for Economic Co-operation and Development (OECD) cities provide evidence that the key hindering factor is the multi-level governance gaps in urban water management. In many cities it is found that service providers face difficulties in raising tariffs for water services, there is lack technical and human resources to efficiently manage water, overlapping and unclear allocation of responsibilities, gaps in stakeholder engagement, poor monitoring, and evaluating mechanisms, lack of publicly available data and lack of competitive procurement processes (OECD, 2016; Romano & Akhmouch, 2019). These gaps further result in uncertainties over water quality and quantity among users and create mistrust between service providers and consumers. The weak monitoring mechanisms with lack of reliable and inadequate disaggregated data limits the visibility and needs of different marginalised and vulnerable groups,

which means service providers and policy makers do not have the required information to design and implement inclusive WASH plans and programmes (UNICEF, 2019). From the user's perspective, access to reliable and timely information on the service quality and water tariffs, and accessibility to spaces and platforms for meaningful engagement and interaction with service providers and policy makers play a vital role.

Why water and open government reforms?

Open government reforms have the potential to improve the governance and performance of water services and empower citizens, civil society, and other groups to take collective action to achieve sustainable and resilient outcomes. A focus on open government will help create the enabling environment needed to improve the performances in the design and implementation of the water sector functions (policy and strategy, coordination processes, planning and preparedness, financing, management arrangements of service delivery, monitoring and evaluations, regulatory mechanisms and capacity development) in a transparent, participatory, inclusive and accountable manner (Jiménez, Saikia, et al., 2019). Prioritising on improving water and sanitation services through an open government lens and vice versa will help countries advance in achieving the Sustainable Development Goals (SDG). SDG 6 (Clean water and sanitation for all) is an entry point to accelerate the progress in achieving all other SDGs. SDG 6 targets, achieving universal and equitable access to safe and affordable drinking water for all (6.1), and achieving access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations (6.2) will help reaching the poor and most marginalised populations, those living in informal settlements and slums, and across different gender, age, sexual and gender minorities¹, and other equity-seeking groups². The access and availability of safe WASH are fundamental to ensure that all men and women, in particular the poor and the vulnerable have access to basic services (SDG 1) and fighting viruses and protecting the health and well-being of people (SDG 3). Lack of access to safe and inclusive WASH services in schools is identified as a key factor resulting in low enrolments and absenteeism (UNICEF et al., 2019), particularly for girls when gender-sensitive facilities and services are absent, further creating hurdles in achieving inclusive and equitable quality education for all (SDG 4). Besides, reducing time spent by women (and girls) on unpaid domestic work of collecting water will further make time available for girls to attend schools, and to achieve gender equality (SDG 5). SDG 6 is also closely linked to SDG 11-making cities and human

¹ This report uses the term sexual and gender minorities to refer to individuals whose gender identity/gender expression may depart from female and male majority norms. These may include transgender, intersex, non-binary, gender non-conforming, and/or gender fluid individuals as well as those who may identify as lesbian, gay men, bisexual, queer or prefer no label at all. This term is inspired by its use in Jeffrey O'Malley et al (2018)

² OGP refers to equity-seeking groups as social groups whose members have historically been denied equal access to government services. Canada's Employment Equity Act defines equity-seeking groups as women, Aboriginal peoples, persons with disabilities and members of visible minorities. Available at https://www.opengovpartnership.org/wp-content/uploads/2019/03/Actions-for-a-More-Inclusive-OGP_1.pdf

settlement inclusive, safe, resilient, and sustainable by providing improved drinking water and sanitation to the city inhabitants, and contributing to SDG 13 on adaptation and mitigation (Dzebo, A. et al, 2018), through increased efficiency around services, water treatment and reuse, open defecation free efforts, and developing citizen centred WASH response plans to address climate disasters. Adapting open government approaches to reforms in the WASH sector will also help advance in meeting SDG 16 towards building effective, accountable, and inclusive institutions at all levels. Even within SDG 6, synergies are needed across different targets, for instance, achieving SDG targets 6.1 and 6.2 (UN-Water, 2016). Improved coordination with other water stakeholders, beyond the WASH sector i.e., the Water Resources Management (WRM) sector, will be crucial as well to monitor the implications of changes in water resources quantity and quality and achieve all the targets within the goal.



Figure 1 SDG 6 on water and sanitation is a core requisite goal for sustainable development (ESCAP, 2017)

Open Government Partnership (OGP): A platform to improve water governance through open government principles.

The Open Government Partnership (OGP) offers an excellent platform enabling city governments to strengthen the linkages between water and open government through its Local strategy (Open Government Partnership, 2019) and the Community of Practice (CoP) on Water and Open Government (Box 1). OGP Local³ provides the opportunity for cities to adopt an open government commitment, through strengthening government and citizen engagement, and ensuring that open government core values and principles are well integrated into the process. Improving citizen-centred governance and public service delivery are among the priority areas of OGP Local⁴. Towards this, one of the key entry points is addressing the accessibility and quality of WASH services among other public services, through improved transparency, fighting corruption, and engaging citizens in the decision making and monitoring processes. OGP Local also aims to scale, integrate, and support both locally led innovations and foster closer linkages with the Open Government National Action Plan (NAP) and the Local Action Plan (LAP) to accelerate strategic national-local integration (Open Government Partnership, 2019). These LAPs can be a medium to address many of the local WASH challenges.

The OGP initiative on Water and Open Government Community of Practice (CoP), complements the objective of OGP Local and promotes the collaboration of citizens, civil society, and government at the local level with a key focus on developing water⁵ commitments by engaging the sector stakeholders. The CoP will help cities create a bridge between open government and water sector silos, and promote fairer, more reliable, and more efficient WASH services for their people. Through the guidance and knowledge products developed under these two programs, government, and Civil Society Organisations (CSOs) will be able to incorporate the open government values in their water actions and commitments. Many countries have already developed innovative ideas through such multi-stakeholder processes, focused around the OGP principles of effective participation, transparency, and accountability in policies and programs; open data; and financing for infrastructure development in WASH service delivery. For instance, WASH service delivery has been a key entry point for OGP Local in Ghana, where efforts are taken to strengthen the model of collaboration between the Metropolitan Assembly of Sekondi Takoradi and landlords to address sanitation challenges related to the provision of household

³ More information on the OGP Local available at <https://www.opengovpartnership.org/ogp-local/about-ogp-local-program/>. The application process and selection criteria to become a member can be found here: <https://www.opengovpartnership.org/ogp-local/ogp-local-become-a-member/>

⁴OGP Local Engagement Strategy: Approved by the OGP Steering Committee on 29 May 2019. Available at https://www.opengovpartnership.org/wp-content/uploads/2020/02/SC_Local-Strategy_20190529.pdf

⁵ Throughout the report, the use of the terminology ‘water commitments’ refers to both water and sanitation.

toilets in underserved communities and develop water and open government commitments (OGP, 2020).

Box 1. The Community of Practice (CoP) on Water and Open Government

The CoP on Water and Open Government was established by OGP together with the Fundación Avina, the Stockholm International Water Institute (SIWI), the Water Integrity Network (WIN), and the World Resources Institute (WRI). It aims to strengthen linkages between water and open government reformers; mobilize actions that help realize the human right to water and sanitation by bringing together water and open government experts from around the world; and facilitate knowledge sharing and the development of innovative, cross-sector approaches that leverage OGP core values and principles. With support from the OGP Multi-Donor Trust Fund, supported by the World Bank, the goals of the CoP for 2019-2021 include:

- Creating a help desk to work with interested governments on developing and implementing country-specific commitments through OGP National Action Plans
- Creating a knowledge and exchange mechanism to provide governments and civil society with technical information and expertise needed to create transformative water and sanitation commitments.
- Producing guidance materials to help water professionals understand the OGP process and the specific opportunities to advance water reforms.
- Organizing learning events that increase data sharing, technical expertise, good practices, and peer learning to boost the development and implementation of more ambitious commitments.
- Strengthening international and national coalitions that effectively use the OGP platform to push for water reforms.

Water and open government commitments: Examples from different countries

This section will guide the OGP Government Points of Contact (POC), and Civil Society Organisations (CSOs) in understanding the need and benefit of focusing on water and open government reforms. Evidence from different countries is provided that illustrates a clear link between improving WASH governance through the OGP core principles of effective participation, transparency and open data, accountability, and inclusion, diversity and gender equality.

- **Effective Participation and Multi-stakeholder processes:** Open Government platform of Multi-stakeholder forums (MSF), provides the opportunity for local government to directly engage and coordinate with citizens and CSOs, public service providers, and the private sector. This platform could be further utilised to enhance the linkages with the water stakeholders. For example, in **Uruguay** a group of 15 citizens of various ages, occupations and regions formed a special panel, Deci Agua, and contributed to the development of Uruguay's National Water Plan (OGP, 2018).

- **Transparency and Open data**⁶ are crucial for improving sector performance data (such as WASH sector reports, expenditure reports), WASH planning, and make evidence-based decision making at both national and local levels. Further, improved transparency will help strengthen the accountabilities between service providers and water users, where the users get the right to raise their voices to have good and affordable services as well as fulfil their duty to pay for the services received. In **Argentina**, Sed Cero - a collective of water organisations has been coordinating to establish a Water Platform to monitor the quality of water service provision and the efficiency of water utilities, thus adopting OGP water commitment in September 2019. This effort led to releasing data from eight water utilities across different provinces to better inform the various provinces and municipalities' policies, programs, and national investment plans (Water and Open Government CoP, 2020a). In **São Paulo, Brazil**, the civil society organisation, Alliance for Water engagement and efforts to tackle the water crisis in the city resulted in a new water security bill, that provides the provision for having a competent body to implement the Municipal Policy for Water Safety and Water Management and presenting water security status report regularly (WIN, 2019b).
- **Accountability:** Access to clarity on roles and responsibility of key stakeholders, and availability of data and information in a timely manner to users and civil society, is a prerequisite to facilitate free, active, and meaningful participation⁷ and to ensure that citizens can influence the WASH project design and implementations. For instance, in **Armenia**, through the Open Government co-creation process, the Water Resources Management Agency has established a unified information system for water resources, along with setting up a new model of collaboration between local government and landlords to increase the coverage of household toilets (OGP, 2019). Accountability mechanism will also facilitate accessibility to feedback and appeal systems to raise complaints on WASH service performances when deemed necessary; and ensure the existence of mechanisms to impose sanctions and penalties on individuals, officials, and institutions for non-compliance and non-enforcement in the services and rewarding for achievements to promote compliance. In **Brazil**, adapting to water and Open Government commitments in the NAPs has helped improve and increase awareness of water resources, including through feedback from a diverse group of stakeholders (Water and Open Government CoP, 2020b).
- **Anti-corruptions:** The OGP principles on transparency will help strengthen integrity and curb corruption in the WASH sector, by focusing on improved WASH financial decisions and procedures through minimizing risk, saving money, broaden competition, and ensuring that

⁶ Open, complete, primary, timely, accessible, machine processable, non-discriminatory, non-proprietary, license-free data must be made available and in accordance with international standards for publishing data on the Web. Source:

<https://www.opengovpartnership.org/stories/how-about-defining-open-government-principles/>

⁷ This is referred to in the Human Rights framework to water and sanitation, where six procedural elements are defined for free, active, and meaningful participation. The framework stresses that States must incorporate provisions into their constitutions, laws, regulations and/or policies that ensure that people have opportunities to active, free and meaningful participation in decisions relating to the realisation of the human rights to water and sanitation. Source:

https://www.ohchr.org/Documents/Issues/Water/Handbook/Book2_Frameworks.pdf

procurement processes are implemented fairly, transparently, and efficiently. In **Paraguay**, a commitment developed for monitoring infrastructure and public services, including water provision that promotes and facilitates social monitoring of public works and public services; as well as contributing to the increase of ethics within the public function (OGP, 2016).

- **Inclusion, diversity, and gender equality:** The focus of OGP on inclusivity, non-discriminatory approaches, and gender equality will help ensure reaching the most vulnerable and recognizing the rights of individuals and groups and their inclusion within water management. In its commitment towards building transparency in the management and policy making of the water, forestry, and fishing sectors, **Mexico** has underscored the need for inclusion and consultation of vulnerable and marginalised groups, specifically highlighting women, indigenous peoples, and small producers; further stating that these groups are the primary defenders of natural territories (Función Pública; & Núcleo de la Sociedad Civil para el Gobierno Abierto en México; Instituto Nacional de Transparencia, 2019).

FOUR-STEPS APPROACH TO CO-CREATE WATER AND OPEN GOVERNMENT COMMITMENT & ACTION PLAN

This guide will enable cities to collaboratively develop and implement water and open government commitment and action plan. It has been developed under the OGP CoP initiative, as part of providing resources and guidance for local government/cities on how to best use the OGP platform and initiate the co-creation process. It is particularly targeted at the OGP POC and the CSOs working in the areas of open government reforms and WASH sector. It is important to note here that the open government and water reforms can be initiated by any stakeholder in a city, including the WASH service providers who could play a valuable role in strengthening and promoting such commitments together with the local government, CSOs and POC. This guide will enable these stakeholders to strengthen the open government reforms in the urban WASH sector, by improve the coordination between open government and water stakeholders, strengthening users' cooperation with the government through the engagement of the CSOs working on open government as well as water sector, and enhance action planning around water and open government at the local level.

The guide presents a four-step approach (Figure 2). Each step outlines key components and evidence that will help the POC and CSOs to transit through this pathway of developing and implementing WASH and open government action plans and commitments through a multi-stakeholder approach. The initial step (1) of the co-creation process is to understand the city's WASH service delivery and engage with the key sector stakeholders. This guide provides tools with practical examples that will help POC and CSOs to facilitate this step. Once the relevant stakeholders have been engaged, the next step (2) is to identify and assess the existing WASH governance gaps. A set of tools and methodologies with evidence of its application is provided that will guide in assessing the existing gaps and co-develop and prioritise the water and open government action plans. Following to this, is step (3) which directs at the implementation process, which outlines a set of factors that must be considered to achieve a higher impact of the actions implemented. The final step (4) is establishing a monitoring, evaluation and learning mechanism to track progress and for the follow-up of the actions implemented. The co-creation steps are represented in a circular format to denote that the process is constant, where lessons from the past can help shape future planning and engagement. In addition to these steps, there is a foundation step, which stands at the core of the circle. This is the OGP co-creation standards that proposes a series of elements to be considered across different cycles for the development and implementation of an action plan.

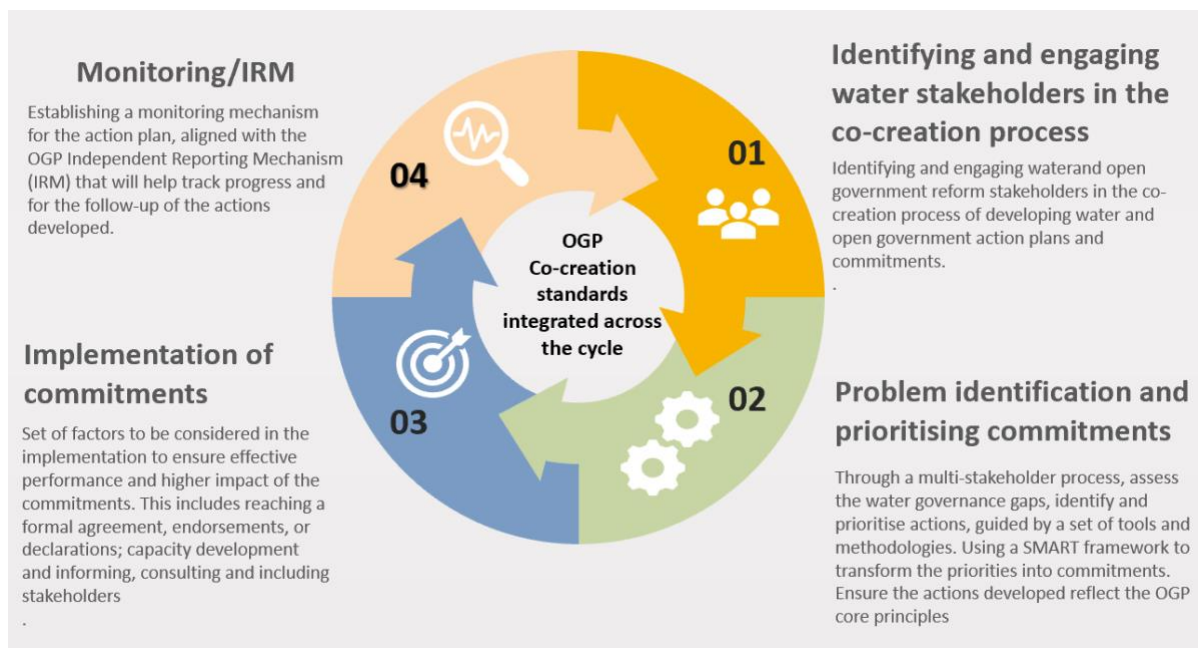


Figure 2 Steps that facilitate the co-creation process to Water and Open Government actions.

STEP 1

Who to involve: Identifying and engaging water stakeholders in the co-creation process?

1.1 Tools to identify key water stakeholders at the local level.

In the context of co-creating water and open government commitment at the urban scale, it is important to emphasise the need to not only involve the usual suspects in open government reforms, but also the stakeholders that are relevant to the urban water sector. In this process, understanding who has a role in the city's Water, Sanitation and Hygiene (WASH) service delivery as well as how best to engage the users and all other relevant stakeholders in accountability and reporting will be a fundamental step.

This initial step of identifying all the relevant stakeholders will help engage with all the individuals and organisations that must be engaged from the initial stages of co-creation process of developing the commitments. Table 1 provides an example of key stakeholders across different levels (national, provincial, and municipal) and beyond the usual participants' list of the MSF, who needs to be considered before starting the process. However, the example provided gives a generic idea and is contextual. It will vary from one country to the other, depending on the governance structures and institutional arrangements. Therefore, it is crucial that adequate time and resources are invested to identify all the relevant stakeholders to be included in the MSF.

Table 1 Example of key stakeholders to be involved in the co-creation process of water commitments at an urban scale.

WATER SECTOR STAKEHOLDERS	
National	Local Level (Municipal and Provincial)
<p>Government: Ministries and government departments at the national level (Ministry of Planning, Urban, WASH, Health, Environmental Agency, Water Resources Management (WRM), Hydraulic Ministry (Urban / Rural), Basin authorities</p> <p>Regulators: Regulatory agency for WASH services, Environmental and Health regulators</p> <p>Civil Society and Water Users: Non-governmental Organisations (NGO), Community based organisations (CBOs), CSOs working in the water sector at a national and local level; Water Users Associations; representative of organizations and networks on Indigenous communities and Elders where relevant; women-led organizations and CBOs working on gender equality and water</p> <p>Service Providers: Water utilities; Water management committees (rural); Private operators, small and informal service providers</p> <p>Other stakeholders: Representative of Financial and Technical partners, External support agencies (ESAs, e.g., humanitarian or development actors</p>	<p>Local Government: Representative of Municipalities, Provincial/state-level representative from the WASH sector/unit</p> <p>Civil Society and Water Users: Local NGOs, CBOs, CSOs with a focus on the urban water sector and other interconnected urban sectors (energy, food, transport); representative of networks on Indigenous communities and Elders where related, women-led organisations, CBOs working on gender equality and water at an urban scale</p> <p>Service Providers: Water utilities, Private operators, small and informal service providers</p> <p>Other stakeholders: Private industries and sector, External support agencies (ESAs, e.g., humanitarian or development actors, upstream and downstream stakeholders</p>

Below tools and approaches with examples of its application are provided which will help POC and CSOs to identify all relevant WASH actors that they need to engage in developing and implementation of the commitments. The tools will help identify the roles and responsibilities, accountability relations between different actors, as well as the existing gaps in the stakeholder engagement process.

1.1.1 Water service delivery triangle actors

The conceptual model of the public services accountability framework (Figure 3) depicts a triangle of typical relationships between the stakeholders involved in WASH service delivery (UNDP-SIWI Water Governance Facility & UNICEF, 2015; World Bank, 2004).

The POC and CSOs by using this triangle will be able to identify all relevant sectoral stakeholders, the accountability relationship between different actors within the WASH services provision, and the existing gaps. The triangle is designed as a human rights-based framework, showcasing the relationship between different stakeholders. It defines that the responsible individual and organisations such as the policymakers and/ or service providers/municipalities who are the duty bearers, must protect, respect, and fulfil their obligation to provide safe water and sanitation to all users. While these end users i.e., the communities, including traditionally marginalised groups, are aware of their rights to safe water and sanitation and claim for their fulfilment.

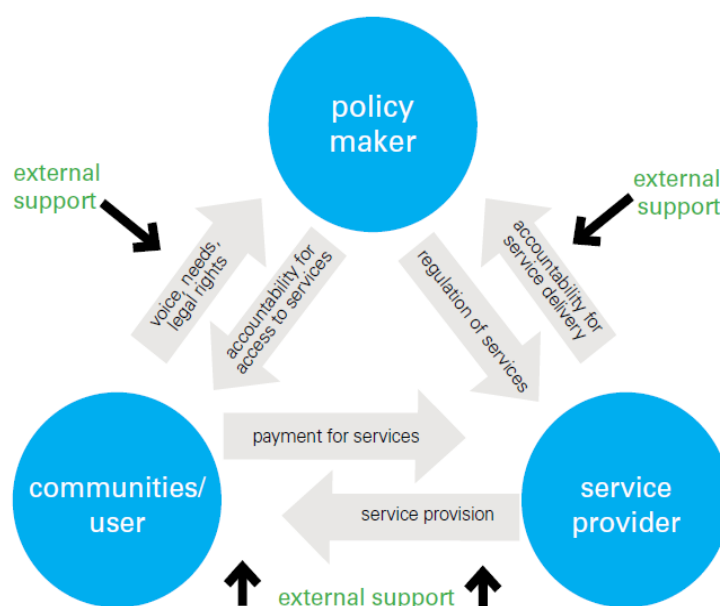


Figure 3. Conceptual model of the Accountability Framework for Sustainable Water and Sanitation Services (UNDP-SIWI Water Governance Facility & UNICEF, 2015; World Bank, 2004)

The arrows indicate the relationships between the three types of actors: policy makers, services providers, and communities or users. In an ideal situation, **communities** are empowered to raise their voices claiming for their right to have a good service to the policy maker, while they fulfil their duty to pay for the services that they receive from the provider. The **policy maker** i.e., in the context of cities, it will usually be the municipality or local government, who is accountable to the communities for setting the enabling environment (WASH plans, strategy, service, quality standards, etc.) for an adequate service provision, while it is also accountable to the service provider by assuring the legal framework in which the service provider operates. In turn, the

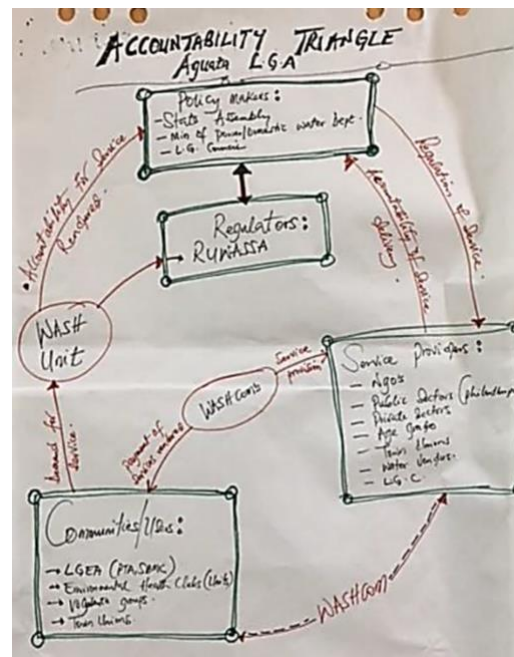
service providers are accountable to the policy maker/municipalities in terms of the timely, adequate, and safe service provision, while they are also accountable to the communities by fulfilling their duty of providing an adequate level of services. Another key stakeholder is the **regulator**, who performs the function of “referee” and intervene in most of the accountability relations of the service provision framework. This implies overseeing not only that the interests and needs of all parties are respected according to the legal framework and the contracts in place but also to ensure that political targets and international agreements have a bearing on local water provision. Box 2 presents an example of mapping the accountability relations between different water service delivery stakeholders in the Aguata Local Government Area in Nigeria.

In addition to these actors, there are the **External support agencies** (ESAs, e.g., humanitarian or development actors) who are not part of the national service delivery framework (they do not bear duties and rights in the national context). But they can play an important role in strengthening the accountability links between the actors.

Box 2. Putting the accountability triangle into practice: Actors, roles, and responsibilities in Aguata Local Government Area (LGA), Nigeria (UNICEF; SIWI, 2018)

In Aguata Local Government Area, the analysis of accountability relations in water service delivery help identify the following actors and their role in water service delivery. This example:

- As **policy makers** the State Assembly, the Ministry of Power/Domestic Water Department, and the Local Government.
- As **regulator**, the Rural Water Supply and Sanitation Agency (RUWASSA), was largely seen as the actor with a regulatory function although with a limited mandate.
- As **service providers**, many as seven types were drawn: NGOs, public sector, private sector, water vendors, LGCs and Town unions. The Water Supply, Sanitation and Hygiene Committee (WASHCOMS), community-based users associations were selected between users and providers because of their double role of user associations and manager of small water systems.
- As **users**, town unions, Local Government Areas, environmental health clubs and voluntary groups figured among user stakeholders.



The triangle also allowed the identification of roles and coordination mechanisms among actors; as well as a thorough discussion about how responsive and accountable policy makers, service providers and users are in practice. The most necessary challenge identified was the clarification of the roles and responsibilities among different stakeholders. It was emphasised that the delegation of authority from the government to services must be clarified and specified. More specifically, the analysis called the state Ministry of Power/Domestic Water Department to issue policy guidelines, while requested RUWASSA to conduct more training and provide the most needed regulation and monitoring. When it came to local level monitoring, documentation, and sensitization, the local government WASH units were named responsible for its more profound application. Finally, community WASHCOMS were identified by the participants to carry maintenance and security monitoring.

1.1.2 Sanitation service delivery triangle actors

At first sight, the performance and delivery of sanitation services could be compared to water services. There are, however, significant differences, particularly in urban areas. Sanitation coverage does not cope with rapid urbanization trends: today, more than half of the world's population lives in urban areas. The idea of networked cities, with sewerage collecting wastewater, is not a reality. Emptying, transporting and adequate discharge and treatment of this faecal sludge is in many circumstances an emerging solution for sanitation. Over a billion people in urban and semi urban areas of Africa, Asia, and Latin America are served by onsite sanitation technologies, and around 2.7 billion need Faecal Sludge Management (FSM) services today (UNICEF & WHO, 2017). FSM is very different from wastewater, both in terms of service level and service delivery. Multiple actors are involved, which often operate informally, and these actors might perform different functions within the value chain (UNDP-SIWI Water Governance Facility, 2016). In addition, specific aspects of regulation for FSM include, among others, the protection of both the environment and the public health, regarding the discharged effluents and the sanitation workers involved in FSM (Strauss & Montangero, 2002). The need to regulate the management of each step of the service chain needs also to be considered, including the storage, collection, transport, treatment, and end use or disposal of faecal sludge, which, as previously mentioned, can be (or not) performed by the same actors. As regards peri-urban areas, they often fall into a responsibility gap between **rural and urban authorities**, leaving them in a grey zone of unclear legalities, regulations, and administration. This confusion often leads to a lack of regulatory control, poor policy design and implementation, and corresponding ineffective delivery of basic services, with direct impact on the level of service accessed by population living in slums and peri-urban neighbourhoods. A case on different roles and responsibilities in sanitation service delivery in the municipality of Montero, Bolivia is presented below (Box 3). The analysis using the accountability triangle tool will guide POC or the CSOs

identify the accountability gaps and review the approaches to engage different stakeholders with the WASH sector for the co-creation process.

Box 3. Unpacking roles and responsibilities for sanitation services in the municipality of Montero, Bolivia (UNICEF; SIWI, 2019a)

In Montero, using the Accountability service delivery triangle, the following actors were identified and their role in the provision of sanitation services:

- The **Local Government Authority** and other **national government** actors like the Ministry of Environment and Water are responsible for setting policies and regulating services.
- The **service provider, COSMOL (Montero Public Services Cooperative), is** legally registered as an association of users. It is related to the Local Government Authority by means of a loan contract for operating the sewerage network. However, a large number of unregulated service providers (ETLR -Empresa de trabajos de limpieza y recojo/Cleaning and disposal company) work informally in a range of faecal sludge management activities (e.g., latrine emptying, faecal sludge transportation, etc.), beyond the control of the regulator and with no respect for health and hygiene policies.
- The **regulator** is the Authority for Fiscalization and Social Control of Drinking Water and Sanitation (AAPS) is the government agency in charge of the supervision and regulation of the provision of drinking water and sanitation services.
- Finally, sanitation service users and communities are represented by community associations like COSMOL or ETLRs, who are at the same time community service providers and user's associations, this arrangement can translate into a high degree of informality.



1.1.3 Link WASH and Water Resources Management (WRM): WRM actors as key stakeholders

The actors involved in WASH are largely different from the actors involved in the Water Resources Management (WRM), although there may be some overlap, depending on the specific country context. In most cases, urban WASH services are implemented with limited to no engagement with the WRM actors. For the POC and CSOs to understand opportunities for strengthening cooperation between WRM and WASH actors and for improving “sustainable safely managed WASH” and “water resources conservation” interlinked outcomes, this framework will be useful. It helps to, (i) Identify the actors involved in WRM and WASH across different levels (national, regional, local); (ii) Understand the relationships and interactions

between these actors; and (iii) Understand the accountabilities of the different actors to each other, or lack of accountability. Towards this, an expanded accountability mapping exercise is developed that provides an increased understanding of which relationships and interactions demand further policy attention for achieving the outcomes: this may involve strengthening existing relationships and accountabilities or may involve establishing new relationships and related accountabilities. In this version, the WRM actors are introduced which helps in establishing the relationships and accountabilities between these water sub-sectors. A resulting joint WRM-WASH accountability triangle is depicted in Figure 4 (UNDP-SIWI Water Governance Facility & UNICEF, 2020).

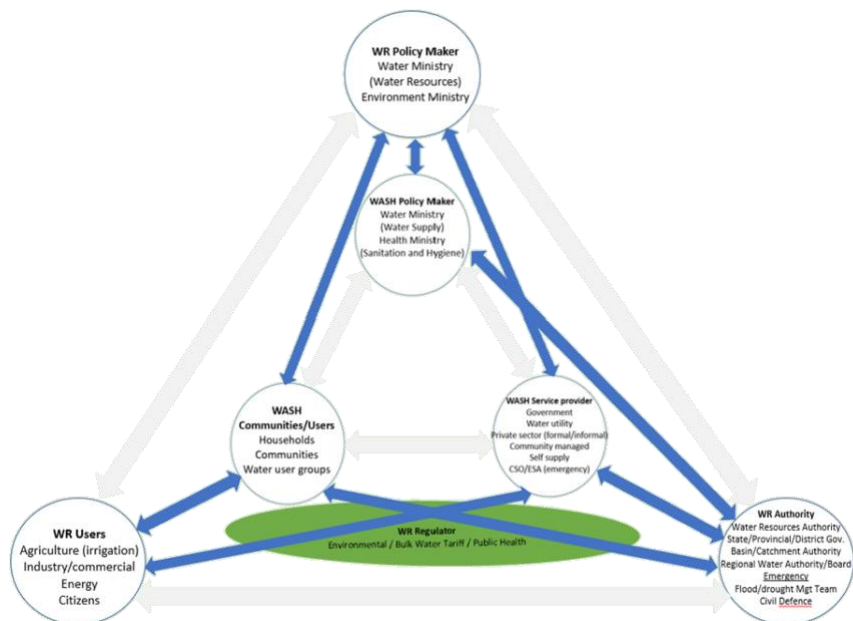


Figure 4. WRM-WASH accountability framework (UNDP-SIWI Water Governance Facility & UNICEF, 2020)

The blue two-way arrows connect WRM and WASH actors, while the faint grey arrows represent the relationships within the two sectors at the national level. The dark green oval/ellipse represents the various water resources regulators that regulate activities undertaken jointly by WRM and WASH sectors, e.g., compliance for quality of wastewater resources produced by water service providers (WSP) intended for reuse in the agricultural sector. Generally, joint WRM-WASH activities that are regulated are undertaken jointly by the Water Resources Authority, water resources users, and WASH service providers, hence why the ellipse is positioned in the lower portion of the representation. This triangle could be applied at an urban level as well to map all the relevant WASH and WRM actors that need to be included in the MSF and co-creation process to develop water commitments at urban scale.

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1.1.4 Link WASH with other sectors: Health and Education sector as key stakeholders

In recent years, it has become increasingly evident that global effort to achieve sanitation and water for all should be extended beyond the household to include institutional settings, such as schools, healthcare facilities, public spaces and workplaces. For instance, a review of studies showed that inadequate WASH services in schools negatively affect the learning process. Where little water was available, children drank less, and their cognitive capacity was reduced. Also, lack of adequate sanitation facilities increased the incidence of diseases and decreased the rate

of attendance, especially among girls that had started menstruating. Similarly, poor WASH in health facilities was seen to dramatically increase the risk of infections among patients. And in markets, significant health problems were found to be related to the use of contaminated water for washing food. However, WASH in institutions will only be achieved through a prompt and adequate engagement of those sectors with responsibilities in the matter. It is further important to consider that women, girls, and gender minorities will use and experience WASH services differently in public spaces, and thus care must be taken to specifically consult these groups and keep informed of changes. In schools, for instance, global education strategies highlight how WASH improves access to education and learning outcomes, particularly for girls, by providing a safe, inclusive, and equitable learning environment for all. It would therefore be incomprehensible to improve water supply and / or sanitation in education facilities without the involvement of the **education authorities** and decision-makers, as well as the whole educational community, which typically includes **school principals and teachers, and families of students** (see Box 4), as well as taking care to best understand the needs of girls in the region without making assumptions.

The same applies to the health sector. It is impossible to deliver quality health care services (e.g., maternal and child health, nutrition, and pandemic response) without reliable access to safe water and sanitation facilities. The term “WASH in health care facilities” is typically referred to as the provision of water, sanitation, health care waste management, hygiene, and cleaning infrastructure; and includes primary (health posts and clinics), secondary, and tertiary (district or national hospitals), public and private (including faith-run), and temporary structures designed for emergency contexts (e.g., isolation centres during the COVID-19 pandemic), both in urban and rural areas. Improving WASH services in health facilities, therefore, requires adequate coordination among WASH and **health stakeholders**, starting with leadership from the health sector, strong technical inputs from the WASH sector and political commitment from governments dedicated to better health for all. More specifically, policies on WASH in health care facilities should be accompanied by a delivery structure that encompasses, among others, technical and financial resources, clarity on institutional and stakeholders’ roles and responsibilities at different levels, from national to facility level, capacity building and training. An example from Ecuador is presented below (Box 4).

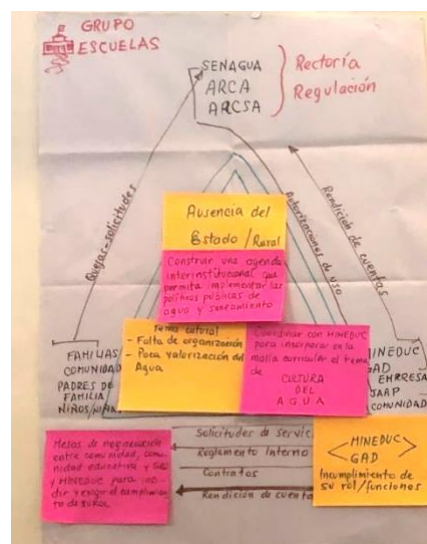
Box 4. WASH in schools, Ecuador (UNICEF; SIWI, 2019c)

The accountability mapping of WASH in schools conducted in Ecuador first revealed that:

- As **decision makers**, the policymaking and regulatory functions fall under the responsibility of three different stakeholders, who define the policies, norms and regulations in a coordinated manner, the National Water Secretariat (SENAGUA), the Water Regulation and Control Agency (ARCA) and the National Agency for Health Regulation, Control and Surveillance (ARCSA).

- As **service providers**, the following actors were identified: The Ministry of Education (MinEduc); the Autonomous Decentralized Governments (GAD), in charge of delivering the service directly or through a municipal drinking water utility; and water user associations JAAP (Juntas Administradoras de Agua Potable/Water Administration Committees), which provide the service in rural areas. Under specific circumstances, the community itself can take the role of service provision.

- As **users** of the services include the whole educational community, i.e., the educators, the students, and their families.



1.1.5 Women, girls, gender minorities, and equity seeking groups as key stakeholders.

When identifying and engaging with representatives of policy makers, service providers, and users in the co-creation process, it is imperative that efforts are made to achieve appropriate gender balance and ensure free and open consultation with female stakeholders, gender minority and equity seeking groups; and proactive outreach and engagement with CSOs, government ministries and departments which are tasked with gender or inclusion. Engaging these diverse group of stakeholders in the process of co-creating water and open government commitments will bring issues to forefront that often goes unnoticed and help design more inclusive and impactful water and open government actions that recognizes and protects the human rights of all. While gender equality is truly about equality among women, men, and sexual and gender minorities, more evidence is available to support the inequalities faced by women. The focus on the inequalities faced by women is therefore treated as an entry point to the broader set of issues.

Women and girls are disproportionately affected by insufficient access to WASH services as well as changes to the distribution of water resources— and yet they are often poorly represented (or

missing) from relevant decision-making forums with a limited ability to influence how decisions are being made. The inclusion of women is not only a matter of representation and rights but also of sustainability and efficiency (Bruce Gross, 1995; Deepa Narayan, 1995; UNDP Cap-Net; Gender and Water Alliance, 2014). Yet despite a strong evidence base we still often see women and their perspectives missing or poorly incorporated into WASH and water resources management project design.

Women and girls bear the primary responsibility for water collection in 80 per cent of households without in-home water access (UN Women 2018) and collectively spend more than 200 million hours every day collecting water (UNICEF, 2017). This is time that could and should be spent on education and earning an income. In Tanzania, a one-hour reduction in water collection time has been found to directly correlate to a 19 per cent increase in school enrolment for girls (Sommer et al., 2015). Inadequate access to sanitation and hygiene facilities at or near home, school or work puts women and girls at risk of illness, violence, and harassment. It is also found that WASH service providers soliciting sex in exchange for water is evident from cases in Colombia and Johannesburg, informal settlements in Nairobi (UNDP-SIWI Water Governance Facility, 2017; WIN, 2019a).

It is for these immense societal gains, as well as the decades of experience that touts the sustainability benefits of including women's needs in planning that dedicated efforts must be made to engage and consult women in every role at every level. As nearly half of the global agricultural and food production workforce are women (FAO, 2012), their lack of access and control of water resources puts global and local food supplies at tremendous risk (World Water Assessment Programme, 2012). As the primary managers and users of water in the home, women provide valuable insights into availability, quality, and management of water during the day when many men are engaged outside the home. As service providers and water management authorities, women can ensure that priorities of women and children are actually captured in everyday service delivery and that changes in service provision and resource access do not negatively affect women and children in the communities they serve (World Bank, 2019). Women as policy makers and regulators can actively promote and support policy (and its enforcement) that includes issues relevant to women in the community. The Nigerian Environmental Study/Action Team (NEST) has provided some guidance on applying a gender inclusive lens to stakeholder mapping and selection through their experience in developing gender sensitive climate change adaptation programming (BNRCC, 2011). While not strictly water focused, the approach and advice can easily be applied to the design of WASH and water resources management projects.

STEP 2

How to prioritise and develop water and open government actions and commitments?

Once the stakeholders are identified and engaged, the next step will be to assess what elements are hindering and what is required in making strong water commitments that integrates the OGP core values and principles. This chapter guides POC and CSOs to understand how action-oriented water governance approaches can be meaningfully designed and implemented to strengthen the water and open government action plans. In addition, it will also provide a set of methodologies and tools that can help cities to assess the existing gaps and priorities in WASH services. Below some examples on generic commitments around WASH and open government is provided.

3.1. Understand Water Governance: Core water sector functions and OGP principles.

To develop strong water and sanitation commitments, an understanding of what are the existing gaps in the Urban WASH governance will be essential. Towards this, the OGP principles discussed below in detail, establishes a baseline that can help improve the performances of the WASH services and address such gaps. We here explain an approach through a water governance framework (Figure 5) that will help guide in understanding what needs to be assessed and how to identify the water governance gaps. The framework could be broadly described as analysing the “what” (the core functions implemented in the water sector), “how” it is performed (the attributes or the principles), and “what for” (the outcomes). This framework provides an understanding on how to apply water governance in practice. It explains *Water governance as a combination of functions, performed with certain attributes, to achieve one or more desired outcomes, all shaped by the values and aspirations of individuals and organisations* (Jiménez, Saikia, et al., 2019)

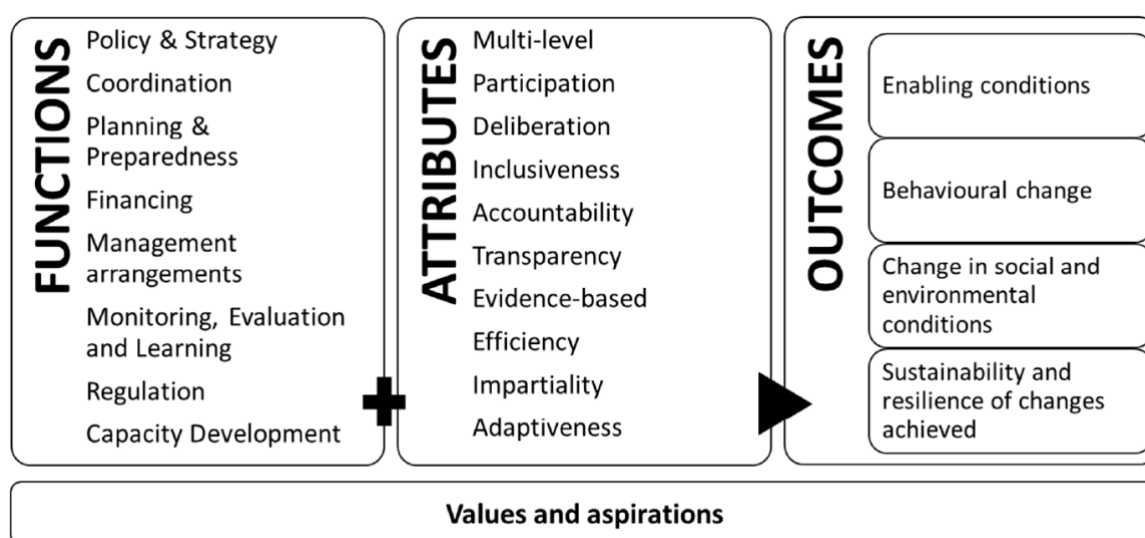


Figure 5 Water Governance Framework: (Jiménez, Saikia, et al., 2019)

3.1.1 The Water Governance functions

To move towards a reform, the stakeholders must monitor and evaluate how their water sector is performing, by analysing the water governance functions (Fig.3). The governance functions are the core key elements that the sector must have in place to be able to deliver sustainable services and progressively eliminate inequalities in access (Sanitation and Water for All (SWA), n.d.). How the WASH sector is performing can be analysed against these functions, i.e., it can be used as a diagnostic framework to identify key aspects of successful open governance and enable an evidence-based assessment of performance and effectiveness. The premise is that they should be prioritised and considered in multi-stakeholder partnerships. These key governance functions are discussed in detail in the table below Table 2.

Table 2 The list of core water governance functions and descriptions

WATER GOVERNANCE FUNCTIONS

Policy and Strategy	This function comprises a set of processes whereby laws, policies, and strategies are developed, ratified, and entered into force for the water sector, and creating linkages with other sectors (e.g., energy, agriculture, environment, land use, industry, navigation).
Coordination	It relates to mechanisms that promote and ensure multi-level, multi-sectoral, and multi-stakeholder cooperation among all actors – relevant ministries and departments across different levels, CSOs, private sector, communities, etc.
Planning & Preparedness	Planning is the process of data collection and analysis, formulation of actionable plans and estimations of resources for managing the water resources and services, and preparedness refers to the arrangements, capacities to anticipate, plan and respond effectively to uncertainties.
Financing	It relates to the ability to raise funds from different funding sources to cover all the elements of water services or water resources management, e.g., forecasting (ability to project the costs under different scenarios) and budgeting (ability to plan expenditure).
Management arrangements	It refers to the combination of organisational, managerial, and institutional arrangements that support or undermine the functioning of the management entities. E.g., in service provision, it relates to the service delivery model- who provides technical support, who invests, who operates the infrastructure, etc.
Monitoring, Evaluation and Learning	This refers to ongoing, systematic processes of collecting, analysing, evaluating, and using data to track performance and inform planning and decision-making. Learning includes formal and informal processes of exchanging good practices and evidence to adapt and improve policies and programmes.
Regulation	It covers formal legal mechanisms, enforcement processes, and other rules to ensure that stakeholders fulfil their mandates and that standards, performance is monitored, as well as to ensure that the interests of each stakeholder are respected.

Capacity development

It refers to the processes by which organisations, society, and individuals systematically stimulate, develop, strengthen, and maintain their capabilities through training, skill development, awareness building, etc., to develop their goals and objectives for a sustainable sector

3.1.2 The OGP principles (or attributes)

The OGP principles are embedded in the wider spectrum of UN “good” governance principles, which helps in improving the performances of a sector’s core governance functioning, when striving to achieve a certain outcome, such as open government. These good governance principles include promoting legitimacy and voice through participation, consensus, and informed decisions; the performance of institutions and processes through responsiveness, effectiveness, and efficiency; promoting accountability and transparency; ensuring fairness by implementing equity, rule of law, and conflict management (Sheng, 2009). Over the last years, several initiatives have worked on defining desirable principles or attributes for governance (Jiménez, Saikia, et al., 2019). For instance, the OECD water governance principles, which are rooted in the UN good governance principles, promote legitimacy; transparency; accountability; human rights; rule of law, and inclusiveness in water governance processes (Akhmouch & Correia, 2016). More recently, a comprehensive review of water governance literature has been conducted and proposes a limited list of governance attributes in the water governance function mentioned above. These include Multi-level, Participation, Deliberation, Inclusiveness, Accountability, Transparency, Evidence-based, Efficiency, Impartiality, and Adaptiveness ((Jiménez, Saikia, et al., 2019). These attributes are essential to enhance the performances of the governance functions of WASH services.

Some of these key attributes are reflected in the OGP four principles that inform the shaping of open government reforms (Open Government Partnership, 2011). These are discussed in detail below. They are related to how open governance processes could be performed. Principles rarely stand alone but are often linked to and complement each other. By way of example, for open government reform to be effective it must be supported by *effective, informed, and inclusive participation* among the multiple decision-making centres and actors, for which *transparent decision-making and access to information* are needed. This would further require an *accountability mechanism* which will ensure clearly defined roles and responsibilities, and compliance for actions taken at different levels and layers (Jiménez, Saikia, et al., 2019).

In addition to the four key principles of open government, in this guide, we emphasise on including Gender equality as a standalone principle, which has been earlier embedded within the principle of *inclusion and diversity*. Gender equality has increasingly become a prominent thematic area and a growing area of focus in the open government community. Further to this, experience tells us that unless gender equality is explicit and deliberate it is rarely achieved or

actioned upon, despite decades of policy advocating for its inclusion. Below we discuss the principles in detail.

OGP PRINCIPLES

Effective participation	Participation implies the meaningful and active involvement of a broad spectrum of stakeholders, including vulnerable or marginalised groups in decision making processes. The human rights framework to water and sanitation defines six procedural elements as crucial for achieving free, active, and meaningful participation: involving people in the design of the participatory procedures; creating access to participatory spaces; enabling an environment of free and safe participation; access to reliable and complete information in a timely manner, which is easy to understand and comes at no cost; providing support to enable effective contributions from the stakeholders; and having the opportunities to influence decisions taken in the sector along with the right to know how their inputs were considered, what decisions were made and implemented, and on what grounds (United Nations General Assembly, 2014). However, these procedural aspects also need to be adapted to the context, and the level of capacity and resources, and the attitudes towards the participatory process are also essential for its success (Jiménez, LeDeunff, et al., 2019).
Transparency and Open Data	Transparency refers to “openness and public access to information so that citizens can understand the decision-making processes that affect them and are knowledgeable about the standards to expect from public officials” (UNDP-SIWI Water Governance Facility; WIN; Cap-Net; WaterNet, 2011). Transparency requires governments, companies, organisations and individuals to facilitate all means for citizens to understand the decisions that may affect them; and it requires the information to be usable through open data, that is accurate, available, non-discriminatory, non-proprietary, complete, conformant, consistent, credible, machine processable, relevant and timely (Dekkers, M.; De Keyzer, M.; Loutas, N.; Goedertier, 2014).
Accountability	Accountability refers to the principle whereby elected officials and those that have a responsibility in water services account for their actions and answer to those they serve (Jiménez et al., 2018; UNDP-SIWI Water Governance Facility & UNICEF, 2015). The Human Rights framework identifies three essential principles for building accountability (a) responsibility: defining roles and responsibilities in service delivery and enabling coordination between different stakeholders, (b) answerability: by providing reasoned justifications and explanation for their actions and decisions to those they affect, (c) enforceability: by providing monitoring, supporting and enforcing compliance for the use of corrective and remedial action where necessary, such as sanctions for corrupt behaviour (Jiménez et al., 2018).
Inclusion and diversity	Inclusiveness is recognizing the rights of individuals and groups across different categories, needs and vulnerabilities, and without any kind of discrimination based on race, colour, age, gender, religious affiliation, ethnicity, language, disability, economic backgrounds, or any other conditions of origin. It also concerns taking into consideration these diverse social, economic, and cultural aspects, along with taking special account of the vulnerable groups, minorities, and indigenous people when performing different governance functions, contributing to balancing differences in power. For instance, designing and implementing pro-poor financing strategies, equitable distribution of water, and diversity – by paying special attention to women, the disabled, marginalised communities, and/or vulnerable groups. Attention includes the use of appropriate languages,

	technologies, and methodologies to guarantee effective inclusion across the different governance functions.
Gender equality	Gender equality refers to the equal rights, responsibilities, and opportunities of women and men, girls and boys, to access, control and use water services and resources. This principle calls for a gender responsive lens to be applied to the different functions of water services and resources mentioned above and requires the use of appropriate languages, technologies, and methodologies to ensure the free and active participation and inclusion of women, girls, and gender minorities within the different governance functions. This has been particularly emphasised as a separate principle from inclusion and diversity, based on the experience from the low number of OGP water commitments which have made mention of women and/or gender, it is essential to explicitly focus on these factors. As of March 2020, only 3 per cent of all OGP commitments include women or gender perspectives despite gender being the fastest growing thematic area for OGP in 2019 (Open Government Partnership, 2020). Gender equality is therefore lifted in this guide to underscore its critical importance in ensuring effective water governance.

3.2. Identify Water and Open Government priorities: Guided by a set of tools.

The sub-section above gives a brief overview on the conceptual understanding on the water governance functions and OGP principles which enables POC and CSOs to understand the context. In this sub-section, we presented a set of tools and methodologies that will help in assessing the existing gaps in water governance. There exist many global approaches, methodologies, and tools designed specifically to help cities to not just assess and identify the existing gaps and opportunities in WASH services concerning open government, but also provide a pathway to prioritise, develop, and implementing actions to address such gaps. Based on the need and context, the POC and CSOs can prioritise which tool to be used for analysis. The list of tools and methodologies are discussed below:

1. [Accountability Mapping guide⁸](#): Accountability mapping tools are participatory instruments developed to assess the status and quality of accountability lines within the WASH sector. This analysis is an extension of the exercise to map stakeholders in Step 1 of the co-creation process, providing guidance for POC and COSs together with the WASH stakeholders to conduct a deeper analysis on the existing accountability relations and gaps by using three accountability dimensions. This tool enables participants to review practices in any country at the local or sector level. It produces graphics of the water sector, represented as a comprehensive system of accountability. The Accountability Mapping exercise at the sector level allows getting an overview of the current structure of service and identifying accountability gaps within the sector as a whole and develop roadmaps for actions to address those gaps (Box 1 and 2). Through a multi-stakeholder process, participants can conduct a detailed assessment and review:

⁸ <https://www.wataergovernance.org/resources/wash-accountability-mapping-tools-facilitator-guide/>

- Responsibility: Stakeholders' roles and responsibilities: Who is mandated to do what? Who does what and how in the water sector? along with the relations between actors i.e., who responds to whom? How do these actors link to each other? This helps stakeholders understand the importance of well-defined roles and cooperation in water service delivery and identify ways to improve those aspects)
- Answerability: Assessing whether there is a flow of information and use of consumer feedback in the sector, Consumers' access to information about the services, and the existence of spaces for stakeholder participation. This helps in understanding the importance of informing, consulting, and including stakeholders in water service delivery and identify ways to improve those dimensions.
- Enforceability: Analysis of control and oversight mechanisms, such as whether there are mechanisms in place to monitor actions of public officials, institutions, and service providers, to reward or impose sanctions and to take corrective actions when needed (UNICEF & UNDP/SIWI, 2016).

2. **The City Water Resilience approach (CWRA)**⁹: CWRA aims to enable cities to take a holistic view of their water systems and inform decision-makers of a strategy to take forward and collaboratively build resilience to local water challenges. It enables cities to improve their capacity by focusing on water governance aspects and make better planning and investment decisions for their city's water systems, to be able to thrive and survive to water related shocks and stresses. CWRA provides a detailed methodology, coupled with a set of tools and resources that guides cities through a five-step process, i) Understanding the urban water system (establishing city champions, understand water-related shocks and stresses impacting the system, identify important system interdependencies and stakeholder mapping). This is supported by the OurWater digital tool, which guides in the system and stakeholder mapping; ii) Assess urban water resilience (measuring resilience capacity through the consultative workshop). An assessment tool, City Water Resilience Framework (CWRF) is provided, which includes a set of qualitative indicators that helps assess existing resilience strengths and weaknesses and establishes a baseline against which progress is measured through a multi-stakeholder consultation workshop; iii) Co-create an action plan. Based on the results of the assessment workshop, a Water Resilience Profile is developed in a follow-up workshop, where stakeholders identify and prioritise the key activities and actions to address the resilience gap; iv) Implement the action plan through partners coalition; v)

⁹ More information on the tool and case studies can be found here: <https://www.arup.com/perspectives/city-water-resilience-approach>

Evaluate, learn and adapt (monitoring, evaluation, and learning, co-learning through Community of Practice on water resilience) (ARUP & SIWI, 2019). The CWRP water resilience indicators integrate the key governance principles, including those that are outlined by the open government principles (Effective participation, Transparency, and Open Data, Accountability, and Inclusion and diversity), which helps assess the current performances of the city's water sector and guide to develop strategies to address the gaps noted. An example of the implementation of CWRP in a city and how it helped the stakeholders develop water resilience strategies is cited in Box 5.

Box 5. Assessing water resilience in the City of Greater Miami and the Beaches (GM&B), using City Water Resilience Framework (CWRP)

Through a multi-stakeholder assessment and visioning workshop, stakeholders of GM&B were able to assess their current urban water resilience capacity and co-develop a water resilience strategy. A three days' workshop was conducted on this, two half day sessions on assessing the indicators (assessment workshop) and one full day session on action planning (visioning workshop). The workshop results have contributed towards informing the existing Miami-Dade County's Sea Level Rise Strategy and the GM&B's Resilient 305 Strategy that represent wide-ranging efforts to build the region's resilience to current and future shocks and stresses. The results and action plans identified through the workshop have helped to strengthen the water component of these strategies. It represents an opportunity to continue regional efforts to build resilience capacity and explore through multiple lenses, strategies to improve water security. Given that the indicators included key water governance attributes, including the open government principles around accountability, transparency, participation, and inclusivity, the participants were able to identify if there are existing gaps in these areas and propose interventions to address those. For instance, appointing champions on water resilience and community engagement that could work closely with the Miami-Dade County (MDC) Office of Resilience and Resilient305 Strategy to enhance focus around water issues and community perspectives. Another is establishing an accessible knowledge action platform (the One Water Platform) on information sharing and improving collaboration across government departments and between government and civil society (ARUP; SIWI; The Resilience Shift; The Rockefeller Foundation; 100 Resilience Cities; 305 Resilient, 2020).

3. **Integrity Management (IM) Toolbox**¹⁰: The sectoral integrity management toolbox is a participatory methodology that aims to offer a space for collaboration between key organisations in the WASH sector for the joint definition of a sectoral integrity plan. This is

¹⁰ Information on the tool and resources can be accessed here: <https://www.waterintegritynetwork.net/action-tools/imtoolbox/>

based on the triangle of accountability in the framework of service provision, developed by UNICEF-SIWI (2015), in which the following key relationships are presented: (1) between users and providers, (2) between users and policy makers, and (3) between policy makers and providers. In the case of the existence of a regulator, the regulator acts as an arbitrator between the public policy maker and service providers, and between the service provider and the users. The sectoral integrity management toolbox offers a step-by-step methodology of the sectoral change process in which five phases are carried out: (1) process launch, (2) integrity process start-up workshop, (3) analysis of the results from an integrity perspective, (4) integrity management workshop and (5) implementation of the sectoral integrity plan. The application of this toolbox aims to improve the interrelationships between the governing body, the regulatory body, service providers and users, through integrity tools that allow to increase the transparency of the sector, improve accountability, ensure citizen participation and fight corruption in the WASH sector. In addition, the sector toolbox strengthens the internal integrity change processes of each institution in the sector, creating an inter-institutional community of practice that raises awareness about the need to manage integrity, thus improving the performance of the entire sector.

4. **The WASH Bottleneck Analysis Tool (WASH BAT)¹¹**: WASH BAT is both a process and an analysis and monitoring tool developed to assess the enabling environment of WASH delivery by tracking the removal of barriers to services at national, regional, service provider, and community levels. This process can be adaptable and applied at the national, regional, and local levels. The process involves a stepwise methodology, from understanding and identifying the need and demand for conducting the bottleneck analysis, preparation and conducting the consultative workshops, identifying funding sources for the activities prioritised in the workshop, to government endorsement of the WASH BAT action plan, implementing the endorsed recommendations, and monitoring and evaluation of the implemented actions. This is achieved through facilitating dialogue between diverse stakeholders, including ministries, public and private service providers, civil society organisations, across different groups (gender, indigenous, and other equity seeking groups), academia, by offering practical proposals which are inclusive to remove barriers and increase sector development (see example in Box. 6). Specifically, the tool helps in assessing the enabling environment for WASH service delivery by identifying and tracking the barriers to delivering sustainable and efficient services at national, regional, service provider, and community levels. The performance of key factors in the enabling environment is scored, bottlenecks are identified, and activities for the removal of bottlenecks are agreed upon, sequenced, and prioritised. Costs are estimated, funding

¹¹ More information on the tool and associated resources are available at <https://washbat.org/>

sources are assessed, and additional funds are allocated to the activities according to their priority level (UNDP-SIWI Water Governance Facility, 2017).

Box. 6 Comprehensive stakeholder representation in WASH BAT exercise in Suriname, with the inclusion of indigenous communities' representation

The WASH BAT workshop may need 3-4 days of implementation, with a half a day of training of facilitators. The preparation time for WASH BAT process before the workshop is implemented would require additional time and resources, with active engagement of local stakeholders.

To assess the bottlenecks in WASH sub-sectors at the national level, both in the rural interior and urban areas, a wide and diverse stakeholders' participation, including the Government of Suriname, academia, civil society, private sector, indigenous people's organisation, and service providers and with equal gender representation. The participation of indigenous representation provided meaningful contributions and perspectives from the indigenous communities which helped prioritise activities around recognizing their rights in WASH priorities. This included recommendations such as developing a legislative framework to recognize the rights of indigenous peoples, and application of the Free Prior and Informed Consent (FPIC) process; drafting Water Laws for the sector, which considers the rights of traditional people and the FPIC process; improving understanding of socio-cultural diversity in rural sanitation through analysing and considering the knowledge, behaviours, and practices across different communities before implementing interventions (UNICEF; SIWI, 2019b). This case provides a good understanding on a local level implementation and engagement of citizens.

5. **The WASH Regulation (WASHREG) approach¹²:** This methodology aims to help practitioners to diagnose a given regulatory context, design related adjustments and plan its implementation in terms of required financial and human capacities. To support the exercise, the guide provides an institutional mapping matrix to identify challenges and opportunities in regulation, then provides examples of different regulatory tools and mechanisms in different contexts to identify implementation priorities to be transformed into a regulatory action plan, which includes identification of a budget, schedule of activities and responsible institutions. Although most of the countries have the regulation function

¹² The WASHREG approach was presented at Stockholm World Water Week 2020, in the session on 'Water and sanitation regulation in the climate change era'. More information can be found here: https://www.youtube.com/watch?v=wH3OY8iYX_0

centralized at the national level, regional and local governments have some degree of regulatory responsibility, ranging from full responsibility on designing water and services regulations, like in Argentina where dedicated regulatory authorities are set up at province level (OECD, 2019), to lighter regulatory roles as when municipalities must only account to the national regulations; the WASHREG approach can provide clarity and understanding of these different mandates, roles and responsibilities and how this translates to the local level helping to identify regulatory challenges like no regulated areas at the local level, and supporting the development of a road map. Box 7 shows an example on how the WASHREG approach helped strengthen regulatory mandate in Liberia.

Box 7. WASHREG approach to support the National Water Supply, Sanitation and Hygiene Commission NWASHCOM strengthen its regulatory mandate in Liberia.

The WASH Regulation Workshop carried in Monrovia aimed to help the participants (mainly from the National Water Supply, Sanitation and Hygiene Commission- NWASHCOM, Ministry of Health, OXFAM and UNDP) to better understand the building blocks of the WASH enabling environment, main concepts and principles of the WASH regulation and how different regulatory functions could be performed. The ultimate objective was for the NWASHCOM to develop a coherent action plan that materialized into its 5-year Strategy.

The training was conducted with over 20 regulatory practitioners who primarily focused on different sessions dedicated to each regulatory function i.e., environment, public health, price setting, service quality, competition and consumer protection. The Action Plan prioritised actions over the 5 years. Given the fact that most of the regulatory functions are not being performed in Liberia by its regulator NWASHCOM, the participants opted for rule definition and information collection within the first two years of the proposed action plan while the tasks related to monitoring and enforcement came second in their time prioritisation.

6. **OECD Water Governance Indicator Framework¹³**: The framework is conceived as a self-assessment tool, which is part of the implementation strategy of OECD 12 Principles on Water Governance. This framework has been applied in several countries to assess the water governance gaps. The framework comprises of a

¹³ OECD Water Governance Indicator Framework can be accessed at: <https://www.oecd.org/cfe/regionaldevelopment/oecd-water-governance-indicator-framework.htm>

set of 36 governance indicators and a checklist with more than 100 governance questions that helps in measuring the water governance policy framework (what), institutions in charge (the who), and the coordination tools and instruments (how) for each Principle, and their needed improvements over time. The primary objective is to stimulate a transparent, neutral, open, inclusive, and forward-looking dialogue across stakeholders on what works, what does not, what should be improved, and who can do what. The framework could be applied at both the national and local levels. It will help cities foster the open government principles through the self-assessment using the indicators developed across the governance Principles (roles and responsibilities, appropriate scale(s), policy coherence, capacity, data and information, finance, regulatory frameworks, innovative water governance practices, integrity and transparency, stakeholder engagement, trade-offs across water users, rural and urban areas and generations, monitoring, and evaluation). Alongside it also helps in fostering dialogue at local, basin, regional and national levels around the water governance performances, promotes inclusiveness across stakeholders and identify the role that each can play to contribute to positive spill-overs on water governance, stimulate transparency in the performance of water-related institutions, increase awareness on specific issues that would otherwise not receive the same attention, trigger actions to bridge water governance gaps and for further discussion on future improvements of the sector (OECD, 2018b). The guidelines on the implementation of the framework highlight a 10 step methodology, from Preparation, Diagnosis, to Action (Figure 6) (OECD, 2018a). With this framework and with a particular focus on urban water systems, OECD has proposed an analytical framework which helps in understanding the water governance in cities through (i) assessing the key factors affecting the effectiveness of urban water governance; (ii) a mapping of the roles and responsibilities at different levels of government; (iii) an appraisal of the main multi-level governance gaps to urban water management; and (iv) a focus on the policy responses to mitigate fragmentation and to foster integrated urban water management in cities and Water their hinterland (Romano & Akhmouch, 2019). A set of 50+ concrete practices and case studies are presented in the OECD report

on 'Implementing the OECD Principles on Water Governance: Indicator Framework and Evolving Practices', (OECD, 2018a), illustrating the benchmarking that will provide guidance on implementation of this framework.

7. **World Water Assessment Programme (WWAP) Water and Gender Toolkit¹⁴**
 Sex-disaggregated data in the water sector should be used to monitor progress on gender equality and women and girl's empowerment towards the Goals of the 2030 Agenda for Sustainable Development. It is recommended that the collection and analysis of both quantitative and qualitative sex-disaggregated water data becomes a standard practice within the context of development projects and programmes (both public and private). Similarly, the uptake of such data by decision-makers and planners may greatly promote the formulation of evidence-based gender-responsive and transformative policies. This in turn will help create a positive feedback mechanism and the creation of a solid baseline for monitoring and evaluation efforts towards the promotion of gender equality. These data should be collected and used under recognized international standards to assess and monitor gender-responsiveness in policies and national strategies, as well as their capacity to be transformative. Taking into consideration the current lack of sex-disaggregated data, as well as the urgent need for practical tools and universal methods and standards for data collection, the UNESCO World Water Assessment Program has developed a Toolkit on Sex-disaggregated Water Data (World Water Assessment Programme, 2019). Through the creation of an innovative methodology for the collection and analysis of sex-disaggregated

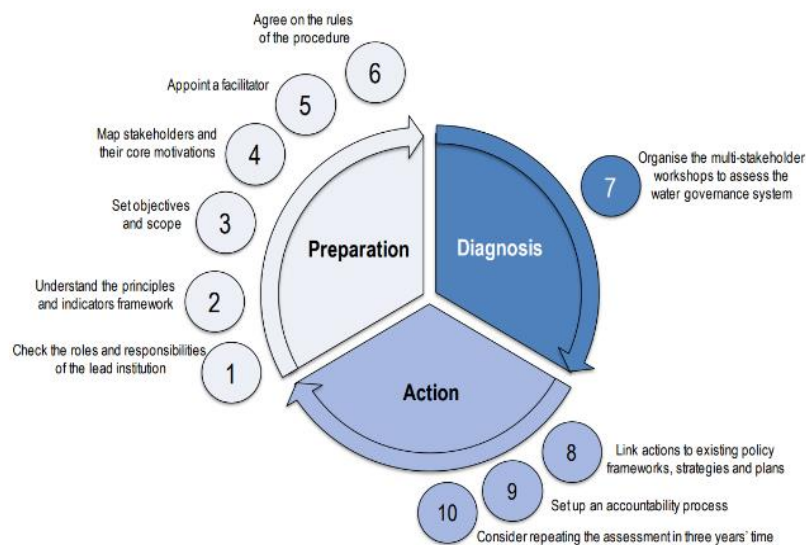


Figure 6 From OECD Water Governance Indicator Framework 10 step implementation methodology, 2018

¹⁴ The tool can be accessed here: <http://www.unesco.org/new/en/natural-sciences/environment/water/wwap/water-and-gender/methodology-indicators-and-toolkit/>

water data, the toolkit is designed to help fill the gender data gap and analyse gender and water information through the use of a broad range of gender and water indicators designed to be applied in a broad range of contexts. An example on application of the UNESCO WWAP gender and water indicators is presented in Box 8.

Box 8. Using sex-disaggregated data to inform national policy in Argentina.

In early 2020, a group of women water professionals from the National Institute of Water (INA) from Argentina, with the support of the National Argentinean Office of Hydraulic Infrastructure and UNESCO WWAP, started a research project to analyse the participation of women in science, technology and management of water resources at the country level¹⁵.

The lack of sex-disaggregated water data at national level motivated the group to test and apply selected UNESCO WWAP gender and water indicators. Preliminary results from the study confirm the limitations that the lack of sex-disaggregated data impose in water policy and practice. In addition, the use of the WWAP indicators demonstrates the value of such methodologies to collect robust data and elaborate better informed water analyses. In a short period of time, the findings from these analyses are being considered in the political dialogue with promising results. For example, a national gender equality network that includes focal persons from water institutions was recently created. In addition, the National WASH Office recently started a revision of their data collection systems to incorporate sex-disaggregated data in their surveys whenever appropriate.

¹⁵ Information can be accessed here <https://www.ina.gov.ar/index.php?seccion=26¬icia=555>

3.3 Transform the priorities into a Water and Open Government Commitment

Once the priorities have been identified through the use of any of the methodologies presented above or similar, the POC and CSOs leading the processes must ensure that the preparation and formulation of the commitments consider applying a minimum SMART criterion which meets the following requirements of being specific, measurable, answerable, and relevant and time-bound (Box 9).

Box 9. The SMART framework

The Handbook recommends using the SMART framework that stipulates the following criteria when developing a commitment

- **Specific:** The commitment precisely describes the problem it is trying to solve, the activities it comprises, and the expected outcomes.
- **Measurable:** It is possible to verify the fulfilment of the commitment.
- **Answerable:** The commitment clearly specifies the main agency responsible for implementation, the coordinating or supporting agencies where relevant, and if necessary, other civil society, multilateral, or private sector partners who have a role in implementing the commitment.
- **Relevant:** For each commitment, the action plan should explain its relevance to one or more of the open government principles outlined above (transparency, accountability, public participation, and technology and innovation).
- **Time-bound:** The commitment clearly states the date when it will be completed, as well as dates for milestones, benchmarks, and other potential deadlines.

To help the reader visualize what could constitute a commitment, the following table (Table 3) proposes a list of generic commitments as examples that can be adapted from the UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water (GLAAS)¹⁶, the Feminist Open Government: Addressing Gender Equity Challenges in Open Government Co-Creation Processes (Silvana Fumega, 2019) and the indicators from the UNESCO World Water Assessment Programme Water (WWAP) and Gender Toolkit (UNESCO World Water Assessment Programme, 2019). This list does not pretend to be a comprehensive list of universal commitments; further fine-tuning as well as consideration of specific milestones in context of a time-bound Action Plan would be required to adapt them to the specificities of each action plan.

¹⁶ The UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water (GLAAS) emerges as the most comprehensive monitoring instrument currently in place for WASH governance issues (World Health Organization, 2018).

Table 3. Generic commitments examples in relation to effective participation, transparency and open data, accountability, and inclusion and diversity in water and

Principle	Questions / Indicators ²
<p>1. Effective participation</p>	<ol style="list-style-type: none"> 1. Existence and implementation of institutional and organisational mechanisms to equally engage female and male service users and communities across different vulnerable areas in the city such as informal settlements in the design, development, and review of water and sanitation programmes and strategies at local level (adapted from questions A4.a and A4.b of 2018/2019 GLAAS survey). This could include participation of water users in water utilities advisory committees, participating in collecting data, evidence on quality of water at local level. For example, in São Paulo where specific body inside the government were created to articulate and integrate local action along with build a set of indicators that can be used as a powerful instrument for monitoring, improving public policy and wider communication with the society and the citizens. 2. Existence and implementation of procedures to equally engage female and male service users and communities in the implementation of water and sanitation programmes and strategies at local level (A14a). 3. Existence and implementation of functioning mechanisms to equally include female and male stakeholders in the process of setting objectives and targets of water and sanitation programmes and strategies at local level (A6.b.i and ii). 4. Availability of sufficient financial resources to support the free and equal participation of female and male users and communities in the design, development, and review of water and sanitation programmes and strategies (A14.c.i). 5. Availability of sufficient human resources to support equal participation of female and male users and communities in the design, development, and review of water and sanitation programmes and strategies (A14c.ii).
<p>2. Transparency and Open Data</p>	<ol style="list-style-type: none"> 6. Existence and implementation of functioning mechanisms that enable female and male service users and members of the public to access information in relation to water and sanitation service delivery – taking into account the different ways in which women and men access information and technology (B3.e). 7. Existence and implementation of functioning mechanisms to make expenditure reports publicly available and easily accessible (D3). Reports allow actual spending on WASH to be compared with committed funding. Special consideration is given to how women and men access information. 8. Existence and implementation of clearly defined standards in the definition of performance indicators to track the progress of service operators (B6). 9. Dissemination of data on drinking-water quality (e.g., compliance with national standards for microbial and chemical water quality), which are publicly available and easily accessible (B8.c) 10. Dissemination of data on quality of water service delivery (e.g., functionality, continuity, efficiency), which are publicly available and easily accessible (B8.d) 11. Dissemination of data on quality of sanitation service delivery (e.g., treated wastewater flows and faecal sludge volumes, frequency,

	transport, and disposal safety, etc.), which are publicly available and easily accessible (B9.e and f)
3. Accountability	<p>12. Existence and implementation of policies or legal frameworks that provide clarity about institutional roles, responsibilities, and lead stakeholders in water and sanitation service delivery (A11).</p> <p>13. Existence and implementation of functioning mechanisms that enable service users to provide or receive feedback and / or to file complaints (A14.b.v) Mechanisms are designed taking into account women's and men's differences in accessing technology and public spaces.</p> <p>14. Existence and implementation of functioning enforcement mechanisms to resolve conflicts between service providers and users (A14.b.vi)</p> <p>15. Existence and implementation of functioning enforcement mechanisms to take corrective action against non-performers service providers (B8.e and B9.g)</p> <p>16. Existence and implementation of social audit mechanisms, water users watch groups to support the regulators.</p> <p>17. Existence and implementation of a functioning formal coordination mechanism among the stakeholders responsible for implementation of the commitments (A12)</p> <p>18. Collection and dissemination of accurate data and sufficient human resources for data reporting and analysis to support evidence-based decision-making (B2.l)</p> <p>19. Existence and implementation of mechanisms that ensures adoption of a code of ethics by the water utility</p>
4. Inclusion and diversity	<p>20. Existence and implementation of specific measures to extend water and sanitation services to women and girls, vulnerable groups and marginalised populations (A9).</p> <p>21. Existence and implementation of functioning mechanisms to track progress among vulnerable and marginalised groups (B5). Information is disaggregated by vulnerable groups and gender.</p> <p>22. Existence and implementation of measures in the financing plan to target resources to reduce inequities in access and levels of service (D5) through tools such as gender responsive budgeting.</p> <p>23. Existence and implementation of financial schemes to make access to water and sanitation services more affordable for women and vulnerable groups (D6).</p>
5. Gender equality	<p>24. Ensure the participation of women in decision making meetings and advisory boards, adjusting meeting schedules to accommodate the needs of female participants (adapted from indicator 3.b.iii. of UNESCO WWAP Water and Gender Toolkit)</p> <p>25. Ensure the presence and effective participation of women's associations/unions in decision making/public consultations (6.a.v.)</p> <p>26. Water and sanitation service providers, regulatory agencies and ministries meaningfully employ women at all levels with steps taken to ensure a safe work environment and a strong pipeline of female employment candidates (1.b.).</p> <p>27. Data collected on quality of services, for data report analysis to support evidence-based decisions must be disaggregated by gender where</p>

possible. Dissemination efforts must consider the gender and socio-cultural dynamics of accessing and consuming information differently.

28. Performance indicators to monitor and track the progress of water and sanitation services, plans and projects must ensure data collected is disaggregated by gender to ensure equal delivery to women and men.
29. Ensure that resources are allocated for equitable and meaningful participation of men, women, and gender minority groups in decision making processes, project designs, implementation, and review, with specific consideration to the needs, capacities, and schedules of female participants

Notes: 1) This term has been interpreted restrictively. By definition, accountability entails effective participation, transparency, and access to information. However, to avoid overlap with two other principles, we refer herein only to the definition of roles and responsibilities, and the existence of mechanisms to support and enforce compliance; 2) Commitments may need to measure separately the different sub-sectors of water and sanitation service delivery (e.g., national-subnational, urban-rural, water-sanitation, WASH in schools, water resources management).

STEP 3

How to implement the action plan and commitments?

Intending to guide how to improve the efficiency and performance of commitments, this chapter provides guidance on factors to consider when implementing and follow-up the action plan, and standards to consider throughout the cycle.

4.1 Key factors to consider in the implementation of the action plan and commitments.

Once the action plan has been developed, there are key factors that need to be considered towards achieving the desired outcomes and results of the commitments. This includes i) formal endorsement, ii) identifying and providing the technical support in implementation, where needed, iii) informing, consulting, and including stakeholders. These factors are discussed below in detail:

The **first factor is reaching a formal agreement, endorsements, or declarations** to ensure continuity of the process, and that decisions agreed in the multi-stakeholder exercises will ultimately be included in the OGP Action Plan. Examples of types of formal agreements that can be used in this regard can be found in Box 10. The agreement must include clearly defined roles and responsibilities i.e., the duties and performance standards of different stakeholders in the OGP Action plans and commitments developed. The most desirable form of endorsement will be to materialise the reached agreements into the OGP Action plans to be submitted to the OGP Support Unit.

Box 10. Examples of reaching an agreement, endorsement, or declarations on the action plans developed.

Agreements with water utility: In El Salvador, the Management of the National Water and Sewerage Administration of El Salvador (ANDA) signed three Water Integrity Pacts with external partner SIWI-UNDP Water Governance Facility (WGF), around the tenders for pipe replacement in the greater San Salvador area. This was to build trust and increase transparency around public procurement. The Pacts were signed by ANDA as the commissioning agency, the contractors as the bidders, the Foundation for Studies on the Application of Law in El Salvador (FESPAD) in the role of a monitor, and WGF as the international witness and advising on the implementation of the Integrity Pact.

Official Declaration: At the municipality level, in Montero, Bolivia, to continue with the process and committing to implementation of the proposed WASH BAT action plan, workshop participants met with the signature of a two-pages declaration (Declaración de Montero, 2018). This was signed by six main actors of the sector, including community representatives, committing to work together and to coordinate action from that moment on. Signatories of the Declaration included representatives of the Municipality, the service provider, UNICEF Country Office, and the Swedish Embassy. In addition, a platform was established, to set up a follow-up on the declaration (UNICEF; SIWI, 2019a).

The **second factor is capacity development of the implementing institutions** i.e., assessing the need and demand for technical support in implementation and monitoring, where gaps are noted and establishing a structured mechanism to improve the cooperation between all stakeholders involved. As evident from the application of the above-mentioned tools and approaches, providing support to enhance the capacity of the implementing institutions is crucial in effective implementation of the commitments.

The **third factor is informing, consulting and including stakeholders** in all stages of the implementation process of the action plan, with regular exchange of information and feedbacks between the government, service providers, CSOs and users, and all other relevant actors. This helps in collective problem solving and plan and adapt to any hurdles faced in the action plan implementation phase.

STEP 4

Establishing a monitoring mechanism for the action plan

This step focuses on establishing a monitoring mechanism for the action plan, aligned with the OGP Independent Reporting Mechanism (IRM) that will help track progress and for the follow-up of the actions developed. It will also help in monitoring the performances of the implementing organisations, and in supporting enforcement and compliance with the existing legal framework and ensure that appropriate corrective and remedial action is taken. The OGP IRM, which produces reports that assess the design and implementation of the commitments adopted by OGP participating governments in their country action plans, will be a good reference point for guidance. It will further help the Local POC and CSOs to provide relevant information from the progresses made through the implementation of the actions plan.

Towards this, a structured step by step process must be defined for conducting monitoring, evaluation, and learning (ME&L) for the intervention. While monitoring is essential to track progress, evaluation of the implemented actions will help determine the relevance, impact, effectiveness, efficiency, and sustainability of the interventions. Along with this a focus on learning will promote peer-to-peer exchange among the POC, CSOs, water stakeholders and others to exchange good practices and experiences to adapt and improve the actions. For example, where POC and CSOs working in the open government sector will be able to provide experiences of implementing open government related projects and interventions, the water stakeholders will contribute from their experiences. In this entire process of ME&L, identifying the accountability links between different implementing institutions and stakeholders involved will be important. The accountability mapping in the first step of the co-creation process will help

identifying the relevant stakeholders to be involved in the implementation and monitoring process. The setting-up such a mechanism before developing the commitments and actions might not always be possible as it would depend on the activities developed and the primary responsible stakeholder would only be identified in the aftermath. Therefore, different roles, responsibilities and mandate of the implementing institutions and stakeholders involved, how to engage them and if any new stakeholders must be involved should be mapped after the activities are identified and prioritised. The ME&L plan should cover the follow-up of the action plan and implementation of the activities, with responsibility assigned to relevant institutions and participants to take this forward. If a declaration or a summary of the outputs are to be created and agreed upon, it should include details on the accountability mechanism for the action plan, and such templates should be prepared in advance.

THE FOUNDATIONAL STEP

OGP co-creation standards integrated in the four-steps approach.

The OGP standards propose a series of elements to be considered across different cycles of the co-creation process, from identification of the stakeholders, to assessing the governance gaps, to development and implementation of action plans (Open Government Partnership, 2017). These elements should also guide the elaboration of commitments at the local level for cities. Some of the elements have been amended to include recommendations to integrate local context, along with for improving gender equality as outlined in *Feminist Open Government: Addressing Gender Equity Challenges in Open Government Co-Creation Processes* (Silvana Fumega, 2019) .

Dissemination of information

- The government or the MSF proactively communicates, via its national OGP website and other channels of communication (radio, televisions, newspaper, social media platforms) used in the country, with adequate notice and effort for the POC to engage all relevant water stakeholders such as urban water utilities from an early stage of the process of development and implementation of the NAP and LAP. This will help spread the information widely and generate the urgency among the local officials working on open government reforms to prioritise and take collective actions on water issues in the process.
- The progress update on the local action plans (including notes of events, drafts of commitments, and other relevant information), overview of public and civil society contributions, and the government's response must be disseminated through via the national OGP website/webpage and other pertinent channels, regular (i.e., at least every month) to ensure local-national integration of strategies.
- Efforts are taken to ensure that communication around the OGP process and its outcomes are disseminated via channels which are relevant and accessible to women and other equity

seeking groups by including non-written and informal formats such as radio, use plain language, can be accessed in local languages and dialects, and adapted to the local context such as it do not exclusively rely on access to internet and literacy. Follow up steps are taken to understand and address any unforeseen barriers to information access at local level, and/or engagement by women and other equity seeking groups.

Spaces and platforms for dialogue and co-creation

- The government, guided by the MSF, provides opportunities to any interested stakeholders (e.g., citizens, civil society organisations, government, subnational governments, parliament, academics, private sector, etc.) to participate in the development of the AP. With specific efforts made to sensitize and engage relevant women's associations. Similarly, for the co-creation process of local water commitments, MSF must include stakeholders from water sector, local government, and local CSOs.
- The government provides adequate background information (e.g., the OGP, the scope of the action plan, and development process), to participants in order that they can participate in an informed manner and take steps to ensure female participants are well capacitated to encourage meaningful engagement. This should be provided well in advance to all relevant stakeholders using different communication channels and at meetings/events.
- The government or MSF develops an appropriate and inclusive methodology for the consultation. This should include an appropriate combination of open meetings and online engagement for the country and local context, involve groups throughout the country across different levels (national to local), allow for gender or demographic segregation as necessary, and be open for an adequate duration.
- The government publishes and collects feedback on draft commitments. This information should be available and disseminated (i.e., via the national OGP website/webpage and other appropriate channels), include a range of options for stakeholders to respond (e.g., written responses, online discussions, surveys, face-to-face or remote meetings), and be open for an adequate duration (e.g., at least 2 weeks). Efforts should also be taken to monitor who/which groups submit feedback with steps taken to ensure feedback is garnered from all relevant groups and address any unforeseen barriers to providing feedback.

Co-ownership and joint decision making

- An MSF meets frequently (e.g., at least once a month), and discusses, agrees, and oversees the action plan development process (e.g., number of events, location, format). The MSF must include adequate representation of female members and the inclusion of women's associations. In developing and implementing the local action plans, national level stakeholders must be engaged to build coherence and strategic integration with the NAP.
- During the development of commitments, government representatives discuss with other members of the MSF the government's priorities for commitments and the political feasibility

of adopting civil society priorities and proposed commitments. Specific efforts are made to engage women's associations to assess the integration of women's priorities into commitments.

- Once commitments have been drafted, government representatives review with the MSF their comments, the final selection of commitments to be included in the action plan and state clearly their reasoning behind decisions. When following best practice, an additional review of all draft commitments should be completed to ensure the action plan takes into consideration the commitments made at national level, the local context, and the needs of women and other equity seeking groups (Open Government Partnership, 2017)

CASE STUDY: APPLICATION OF THE METHODOLOGY IN SEKONDI TAKORADI, GHANA

The Sekondi-Takoradi Metropolis of Ghana have been facing severe sanitation challenges. Only 17 per cent of residents have access to improved household toilet facilities in their homes, with the remaining 83 per cent relying on the limited and poor public facilities. 78 per cent of households residing in informal settlements within the metropolis have undesirable access to toilet facilities and as such over 80 per cent of households rely heavily on public toilets. The challenges are not limited to domestic use alone. Out of a total of 252 basic schools in the metropolis, only 24 per cent have access to toilets, urinal and handwashing facilities on their compounds.

With the objective to improve the sanitation services, in 2019, Sekondi Takoradi Metropolitan Assembly (STMA) in Ghana successfully applied for funding from the OGP Multi-Donor Trust Fund to support implementation of their commitment on Citizen Engagement in the Delivery of Public Sanitation Services. During the initial engagement with the World Bank team to advance STMA's proposal to a fully refined project, STMA with the support of the MDTF Implementation team, drafted a problem analysis and workplan. These exercises helped define the project activities. But as the project encompassed a wide range of activities, a more structured approach was needed to sharpen key result areas, sequence activities, incorporate open government principles into the activities, and identify key stakeholders. Towards this WASH expertise was needed to help inform project design decisions.

In response to this demand, in 2020, OGP organised a series of design sprint sessions with support from the Stockholm International Water Institute (SIWI), who brought both technical advice and facilitation expertise to the sessions. These sessions were held online, using both synchronous (real time) and asynchronous (occurring at different times) methods. This process contributed to strengthening the STMA implementation work plan. In total, five sessions were organised, which were designed based on the steps outlined in this guide. This included identification of stakeholders and their roles in implementing the activities using the "triangle of accountability" framework. The tool helped outline how policy makers, service providers and communities/users are part of an interconnected system that must work together to improve the sanitation services and be successful in the long term. The WASH Bottleneck Analysis Tool (WASH BAT) was used for problem identification and prioritisation of the key activities and guide STMA for an in-depth analysis to inform the work plan. The process further helped in refining the actions by integrating the open government principles. For example, one of the activities identified was *'Develop a 5-year strategic plan to improve water and sanitation management in low-income areas'*. The newly proposed action reflected the key principles and was refined as *'Develop together with relevant stakeholders, in a transparent way, a 5-year strategic plan to improve water and sanitation management in low-income areas that outlines clear roles and responsibilities of stakeholders, and a transparent and accountable mechanism to follow up on progress achieved'*.

FINAL CHECKLIST



Step 1: Identify and engaging all relevant stakeholders

- Establishing a Multi-Stakeholder Forum (MSF)¹⁴ and include stakeholders beyond the usual Open Government space.
- Identify and engage with water and sanitation service delivery actors (policy makers, local government, regulators, communities/users, CSOs, service providers, external support agencies), Water Resources, Health and Education stakeholders, and private sector.
- Crucial to identify and engage women, girls, gender minorities and other equity seeking groups as key stakeholders (across the categories of policy makers, service providers and users).
- Need to identify and map not just the roles, responsibilities (who is doing what) but the accountability relations (who is accountable to whom) and identifying the existing accountability gaps.



Step 2: Problem identification and prioritising commitments

- Assess the “what” (core water governance functions), and “how” it is performed (using the different OGP principles/ attributes), and “what for” (the outcomes i.e., to achieve Open Government reforms). To achieve Open Government, the OGP principles are crucial i) Effective participation, ii) Transparency and Open Data, iii) Accountability, iv) Inclusion and diversity, v) Gender equality.
- Select from the set of processes, methodologies and tools to assess the water governance gaps. These tools will help in identifying the solutions/actions and in prioritisation through a multi-stakeholder process.
- Ensure the actions developed reflect the OGP core principles. Apply the SMART framework to transform the prioritised actions into commitments.



Step 3: Implementation of the commitments

- Set of factors to be considered in the implementation to ensure effective performance and higher impact of the commitments. This includes reaching a formal agreement, endorsements, or declarations; capacity development and informing, consulting and including stakeholders



Step 4: Monitoring/IRM

- Establishing a monitoring mechanism for the action plan, aligned with the OGP Independent Reporting Mechanism (IRM) that will help track progress and for the follow-up of the action plans. The established mechanism must integrate step by step processes of evaluation and learning as well.



Ensuring the OGP co-creation standards are integrated throughout the cycle

ANNEX 1. Existing commitments about water and sanitation 2018-2019¹⁷

Commitment Unique Identifier	Country/ Locality	Region	National or Local	Year of Submission	Short Title	Full text available at:
AM0039	Armenia	Asia Pacific	National	2018	State Water Cadastre	Link
BR0109	Brazil	Americas	National	2018	Water Resource Management	Link
CL0058	Chile	Americas	National	2018	Water Resource Management	Link
COT0001	South Cotabato, Philippines	Asia Pacific	Local	2018	Access to Information	Link
CV0002	Cabo Verde	Africa	National	2018	Re-Qualification, Rehabilitation, and Accessibility Program	Link
GT0085	Guatemala	Americas	National	2018	Sensitize and Educate the Public About the Effects of Climate Change, Efficient Use of Natural Resources, Disaster Risk	Link

¹⁷ This analysis only covers those water and sanitation commitments developed in the period 2018-19. However, this does not indicate that water and sanitation commitments were not developed in previous years or later. There are other good examples of commitments, such as the participatory management of safe water developed by La Libertad, Peru Action Plan, (2016), which can be accessed at: <https://www.opengovpartnership.org/members/la-libertad-peru/commitments/lal0002/>

					Management, Care of the Environment, and Its Publication in Open Data	
HN0063	Honduras	Americas	National	2018	Open Data in Public Works	Link
KE0020	Kenya	Africa	National	2018	Open Geo Spatial Data for Development	Link
MAD009	Madrid, Spain	Europe	Local	2018	Transparency in Waste Management and Creation of a Waste Information Platform	Link
PY0046	Paraguay	Americas	National	2018	Access to Information on Water Services	Link
SEK0010	Sekondi-Takoradi, Ghana	Africa	Local	2018	Public Services-Sanitation	Link
TN0040	Tunisia	Africa	National	2018	Improve water resource governance	Link
UY0099	Uruguay	Americas	National	2018	Implementation of the National Water Plan	Link
AUS0006	Austin, United States	Americas	Local	2019	Community Climate Resilience Project	Link
IAS0002	Iasi, Romania	Europe	Local	2019	Improve waste-management practice	Link
MN0047	Mongolia	Asia Pacific	National	2019	Governance of waste management	Link

AR0080	Argentina	Americas	National	2019	Interactive Map for Information about Indigenous People	Link
AR0085	Argentina	Americas	National	2019	Publishing Water and Sanitation Data	Link
NG0015	Nigeria	Africa	National	2019	Participatory Budgeting	Link
DK0066	Denmark	Europe	National	2019	Climate Atlas	Link
DK0067	Denmark	Europe	National	2019	Public Terrain, Climate and Water Data	Link
MX0084	Mexico	Americas	National	2019	Transparency of Forestry, Water and Fishing Management	Link
MX0085	Mexico	Americas	National	2019	Disclosure of beneficial owners	Link
NR0002	Narino, Colombia	Americas	Local	2019	Community water management and planning	Link

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