

A person is holding a large, red plastic basin filled with water. The water is clear, and a child's reflection is visible in the center. The child is wearing a light-colored, patterned shirt and dark shorts. The person holding the basin is wearing a green long-sleeved shirt. The background is a dark, textured surface, possibly asphalt or concrete. The text "WASH Bottleneck Analysis Tool: Country Implementation Guide" is overlaid on the image in white and blue colors.

WASH Bottleneck Analysis Tool:  
**Country Implementation Guide**



# WASH Bottleneck Analysis Tool: **Country Implementation Guide**

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# Contents

FOREWORD	vii
ACKNOWLEDGMENTS	viii
INTRODUCTION TO THE WASH BAT	1
STEP 1. IDENTIFYING THE DEMAND AND NEED FOR THE WASH BAT	9
STEP 2. PREPARING FOR THE WASH BAT	15
Step 2.A. Identify the scope and main stakeholders, and develop the terms of reference	15
Step 2.B. Identify moderators, facilitators and rapporteurs	16
Step 2.C. Prepare stakeholders for a bottleneck analysis (modality/subsectors/participants/ location/timing/logistics)	20
Step 2.D. Preparatory meetings with government agencies	35
Step 2.E. Prepare and validate the WASH BAT agenda	37
Step 2.F. Training of facilitators and rapporteurs for the workshop	40
Step 2.G. Prepare an in-depth contingency plan	42
Step 2.H. Day before the workshop: final checklist	46
STEP 3. IMPLEMENTING THE WASH BAT WORKSHOP	47
Step 3.A. Opening of the WASH BAT workshop	50
Step 3.B. The accountability mapping session (optional)	50
Step 3.C. Complete the criteria-bottleneck-cause-activity sequence	53
Step 3.D. Develop the Action Plan	57
Step 3.E. Closure of the WASH BAT workshop	57
STEP 4. GOVERNMENT ENDORSEMENT OF THE WASH BAT ACTION PLAN	59
STEP 5. IMPLEMENTING THE ENDORSED RECOMMENDATIONS	61
STEP 6. MONITORING AND EVALUATION OF THE IMPLEMENTED ACTIONS	63
REFERENCES	65
ANNEX 1. CHECK LIST	67
ANNEX 2. EXAMPLE OF SCHEDULE AND CHRONOGRAM OF PREPARATORY WASH BAT PROCESS	70
ANNEX 3. SELF-ASSESSMENT TO DETERMINE THE DEMAND AND NEED FOR CONDUCTING THE WASH BAT	77
ANNEX 4. EXAMPLE OF REPRESENTATION OF PARTICIPANTS IN A WASH BAT WORKSHOP	79
ANNEX 5. EXAMPLE OF AN AGENDA FOR A TWO-DAY WORKSHOP	81
ANNEX 6. EXAMPLE OF AN ANNOTATED AGENDA FOR A THREE-DAY WORKSHOP	82
ANNEX 7. EXAMPLE OF AN AGENDA FOR A CLIMATE RISK INFORMED WASH BAT	84
ANNEX 8. VIRTUAL FACILITATION	85
ANNEX 9. ADDITIONAL ASSESSMENT CRITERIA TO INFORM THE ANALYSIS	94
ANNEX 10. IMPLEMENTATION APPROACH FOR RISK INFORMED WASH BAT	98
ANNEX 11. GUIDANCE ON DATA ENTRY IN THE ONLINE PORTAL	103
ANNEX 12. EXAMPLE OF A WORKSHOP EVALUATION FORM	107

## LIST OF FIGURES

Figure 1.	Countries implementing the WASH BAT	1
Figure 2.	Elements to consider in the process of preparing and implementing the WASH BAT	4
Figure 3.	Typical steps in a WASH BAT workshop	5
Figure 4.	The banner and menu of the <a href="http://www.washbat.org">www.washbat.org</a> website	7
Figure 5.	Key questions to determine the need for a WASH BAT and facilitate decision-making about use of the tool	12
Figure 6.	Example of set-up and organization of group work	19
Figure 7.	Methodological approach to integrate climate change criteria and expertise with the sector analysis	25
Figure 8.	Blended use of risk assessments and WASH BAT tools into the risk informed WASH BAT	27
Figure 9.	Approach to a risk informed WASH BAT	28
Figure 10.	UNICEF steps to shift to climate-resilient WASH programming	29
Figure 11.	The triangle of accountability in the service delivery framework	51
Figure 12.	Example: Nigeria, water district level	53
Figure 13.	Example: Ethiopia, rural water	53
Figure 14.	Horizontal analysis of bottlenecks, causes and activities	54
Figure 15.	Vertical analysis of bottlenecks, causes and activities	54
Figure 16.	Overview of dashboards developed for the virtual facilitation of WASH BATs using the Miro software	85
Figure 17.	Example of additional criteria	95
Figure 18.	Modality to integrate climate change into the WASH BAT	96
Figure 20.	Information on drought mapping by the Bolivia risk informed task force	99
Figure 19.	Hazards to the WASH sector	99
Figure 21.	Components of the vulnerability analysis	100
Figure 22.	Approach to a risk informed WASH BAT	102
Figure 23.	A screenshot from the online tool showing the reports module and the different options available to the user	105
Figure 24.	Screenshot showing options for a WASH BAT analysis	106

## LIST OF TABLES

Table 1.	Building blocks and governance functions which provide the structure for the WASH BAT	2
Table 2.	Recommendations for whether to conduct a WASH BAT based on demand and need	10
Table 3.	Matrix of technical requirements for workshop	21
Table 4.	Advantages and disadvantages of selecting building blocks before the workshop or during it	23
Table 5.	Summary of shocks impacting the delivery of WASH services	26
Table 6.	Approximate resource requirements for organizing a WASH BAT workshop	35
Table 7.	Workshop agenda template for three days	38
Table 8.	Workshop agenda template for four days	39

Table 9.	Training schedule for half day programme	41
Table 10.	List of potential problems/risks in implementing a WASH BAT	43
Table 11.	Examples of bottlenecks and their causes for specific WASH BAT criteria	48
Table 12.	Guidance questions to map and discuss accountability relations among WASH stakeholders	52
Table 13.	Scenario for virtual facilitation of ToT	87
Table 14.	Advantages and disadvantages of assessing vulnerability criteria before or during the workshop	101

## LIST OF BOXES

Box 1.	Additional WASH BAT resources – the <a href="http://www.washbat.org">www.washbat.org</a> website	7
Box 2.	WASH BAT is complementary to other sector tools	11
Box 3.	Engaging a core group to ensure government ownership and adaptation to the context	16
Box 4.	Engaging young water professionals as rapporteurs of all working groups	18
Box 5.	Recommendation to use the off-screen modality, paper-based workshop	22
Box 6.	Examples from Bolivia and Ecuador of workshops focusing on WASH in schools and health-care facilities	24
Box 7.	Integration of climate change criteria into the Ecuador WASH BAT	25
Box 8.	The co-benefits of implementing a risk informed WASH BAT	29
Box 9.	The WASH BAT online tool	30
Box 10.	Adjusting the WASH BAT methodology for a two-day workshop	32
Box 11.	Examples from Ethiopia and Cambodia where a WASH BAT has been successfully linked with national processes	36
Box 12.	Example from Madagascar of a workshop split into two parts	40
Box 13.	The impact of the moderation and facilitation on the outputs of the workshop	41
Box 14.	Differences between bottlenecks and their causes	48
Box 15.	Prioritizing activities through a marketplace dynamic	56
Box 16.	Different types of ‘official’ WASH BAT outputs	58
Box 17.	Government endorsement of the Puntland Action Plan	60
Box 18.	Lessons learned on the implementation of Action Plan activities	61
Box 19.	Conducting a follow-up WASH BAT workshop in Montero, Bolivia to support the Municipal Plan for Water and Sanitation	64



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# FOREWORD

Despite significant investments over recent decades, and hundreds of millions of people gaining access to improved water supply and sanitation, sustained access to quality water, sanitation and hygiene (WASH) services remains a persistent challenge. WASH programmes too frequently fail to bring sustainable benefits to the people they seek to serve, due to lack of social or financial sustainability, or breakdown of infrastructure without any mechanisms in place to repair or replace hardware. This lack of sustainability of WASH interventions has devastating consequences for individuals, economies, and the environment, and poses a major obstacle to achieving the goal of universal access to WASH services under Sustainable Development Goal (SDG) targets 6.1 and 6.2.

In addition, UNICEF estimates that more than 1.4 billion people lived in areas of high or extremely high water vulnerability in 2020 (WHO and UNICEF, 2021). Climate change is compounding water scarcity, and increasing the threat to those with already inadequate access to WASH services. In particular, children in water-scarce contexts are often forced to walk longer distances to fetch water – interrupting their education and even putting their lives at risk. Many changes in climate are felt through water – droughts, floods, rising seas – and extreme weather events can damage vital water and sanitation infrastructure and services in homes, schools and health-care facilities (UNICEF, 2021).

Recent research shows that technical aspects are often not the binding constraint, rather it is the lack of good governance which compromises service delivery. Some of the governance issues hampering WASH service delivery include: lack of responsible institutions, lack of coordination between institutions, bureaucratic inertia, insufficient human resource capacity, lack of transparency in the public sector and corruption. In many

countries, institutional arrangements for water service delivery are in place: policies, plans and institutions exist. However, performance remains poor.

'Accountability' mechanisms that seek to instil responsibility and to improve the quality of relationships between the different stakeholders in service delivery is a key element to making these institutional arrangements function as intended. To address this, UNICEF and the Stockholm International Water Institute (SIWI) initiated a partnership in 2014, "Accountability for Sustainability", which aims at increasing sustainability of UNICEF-supported WASH interventions through the enhancement of the enabling environment in the service delivery framework.

In recognition of the multiple issues faced by countries in identifying and implementing improved policies and programmes to scale up and sustain WASH services and behaviours, in 2011 UNICEF initiated the development of the WASH Bottleneck Analysis Tool (WASH BAT). With the contribution of multiple partners, the scope and methodology were defined and over 2012–2015 the WASH BAT was implemented in Excel format in over 15 countries. Following sustained demand and requests for improved functionality, it was converted to an online tool in 2016. The software allows for greater flexibility to apply the tool in different contexts and has many useful features. The full set of features can be discovered online at [www.washbat.org](http://www.washbat.org) from where the user manual and other materials can be downloaded, and a video tutorial viewed. Drawing on experience from all WASH BAT exercises carried out in the last 10 years in more than 50 countries, this new edition of the Country Implementation Guide aims to be a useful resource for governments and sector stakeholders (including UNICEF)

that are planning to conduct a diagnosis of the enabling environment of the WASH sector, and formulate costed and prioritized Action Plans to remove the bottlenecks that constrain the WASH sector and hinder the delivery of sustainable and climate-resilient

WASH services. Many of the updates in this new edition build on the findings and recommendations from the global review of the WASH BAT, published in 2020 (UNICEF and SIWI, 2020).

## ACKNOWLEDGMENTS

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The revised version of the guide has been developed by Henning Göransson Sandberg (Programme Officer), Antoine Delepiere (Senior Programme Manager), Ricard Giné (Advisor) and Alejandro Jiménez (Director of the Water and Sanitation Department), at SIWI. From UNICEF, Guy Hutton (Senior Adviser, WASH) and Jorge Alvarez-Sala (WASH Specialist) reviewed the guide and provided support throughout.

# Introduction to the WASH BAT

The Water, Sanitation and Hygiene Bottleneck Analysis Tool (WASH BAT) is both a tool and a process to identify systematically and collectively the key sector bottlenecks and to define a costed Action Plan which addresses those bottlenecks. It forms an integral part of WASH sector strengthening. The WASH BAT was created and developed by UNICEF with inputs from global sector partners. It is an unbranded tool, to be taken and adapted by governments and development partners in any country. The online software version was developed by Community Systems Foundation. A helpdesk function is provided on the WASH BAT portal ([www.washbat.org](http://www.washbat.org)).

This WASH BAT Country Implementation Guide aims at supporting resource people who are responsible for facilitating and organizing a workshop on the application of the WASH BAT, and helps to ensure an effective outcome. It guides each user to reflect on different elements, steps and

preconditions required for the successful preparation and implementation of the entire process, and provides a checklist of activities. The guide also provides different options so that it can be customized to any given context.

**Background |** The first version of the WASH BAT was developed in Excel format by UNICEF in 2012. Following this early experience with the tool and an increased demand for bottleneck analysis, a second version of the tool was developed in 2016. This version comprises online software which is simpler, more user friendly and allows for greater flexibility in the tool's application.

Over the last 10 years, the tool has been implemented more than 80 times in more than 50 countries. The figure below shows the geographical spread of the tool at the time of developing this document.

**Figure 1. Countries implementing the WASH BAT**

Source: <https://washbat.org/map/> (27 June 2022).



The online version of the WASH BAT is based on the governance functions developed by UNICEF and SIWI (UNICEF and SIWI, 2016a) which have been regrouped into five 'building blocks' that widely reflect the enabling environment of WASH service delivery, as noted by the Sanitation and Water for All (SWA) partnership (see Table 1). These building blocks include: (1) policy and strategy, (2) institutional arrangements, (3) financing and budgeting, (4) planning, monitoring and evaluation (M&E) and learning, and (5) capacity development. The WASH enabling environment is further described in a UNICEF Guidance Note (UNICEF, 2016). The WASH BAT also includes broader elements outside the WASH sector that influence the effectiveness of the WASH sector, including political prioritization, decentralization and social norms. Finally, a module exists within the tool for deeper assessment of the issues faced by service providers.

The tool has continued to evolve, and the new version allows for an easy integration of a risk lens in the bottleneck analysis. There are two different methods, depending on the scope

and the level of ambition: (1) a 'lighter touch', which is based on the inclusion of additional risk criteria into each one of the building blocks, and (2) a more in-depth approach, the so-called 'Risk Informed WASH BAT' (RI WASH BAT), that blends the use of two different methodologies into one single process, building on their common participatory approach for implementation. In the RI WASH BAT, two main steps are therefore required. First, a risk assessment for the WASH sector should be completed. This contains elements of different types of risk assessment, including the methodology developed by UNICEF and the Global Water Partnership (GWP) within their [Strategic Framework for WASH Climate-resilient Development](#) (UNICEF and GWP, 2017 and 2022). Second, to identify and appraise suitable risk adaptation and mitigation response options to address the prioritized risks identified in the assessment. The aim of the blended approach is to build consensus on the actions that are needed to remove bottlenecks and to address identified risks, thus strengthening, for example, the climate component of WASH strategies and programmes.

**Table 1. Building blocks and governance functions which provide the structure for the WASH BAT**

<b>Building block</b>	<b>Governance functions</b>
<b>Sector policy &amp; strategy</b>	Sector policy & strategy
<b>Institutional arrangements</b>	Coordination
	Service delivery arrangements
	Accountability & regulation
<b>Budgeting &amp; financing</b>	Budget & expenditure
	Financing
<b>Planning, monitoring &amp; review</b>	Planning
	Monitoring, evaluation & learning
<b>Capacity development</b>	Capacity development
<b>Broader enabling environment</b>	Political leadership
	Decentralization
	Social norms
<b>Service providers</b>	Service providers



Photo credit: Antoine Delepiere

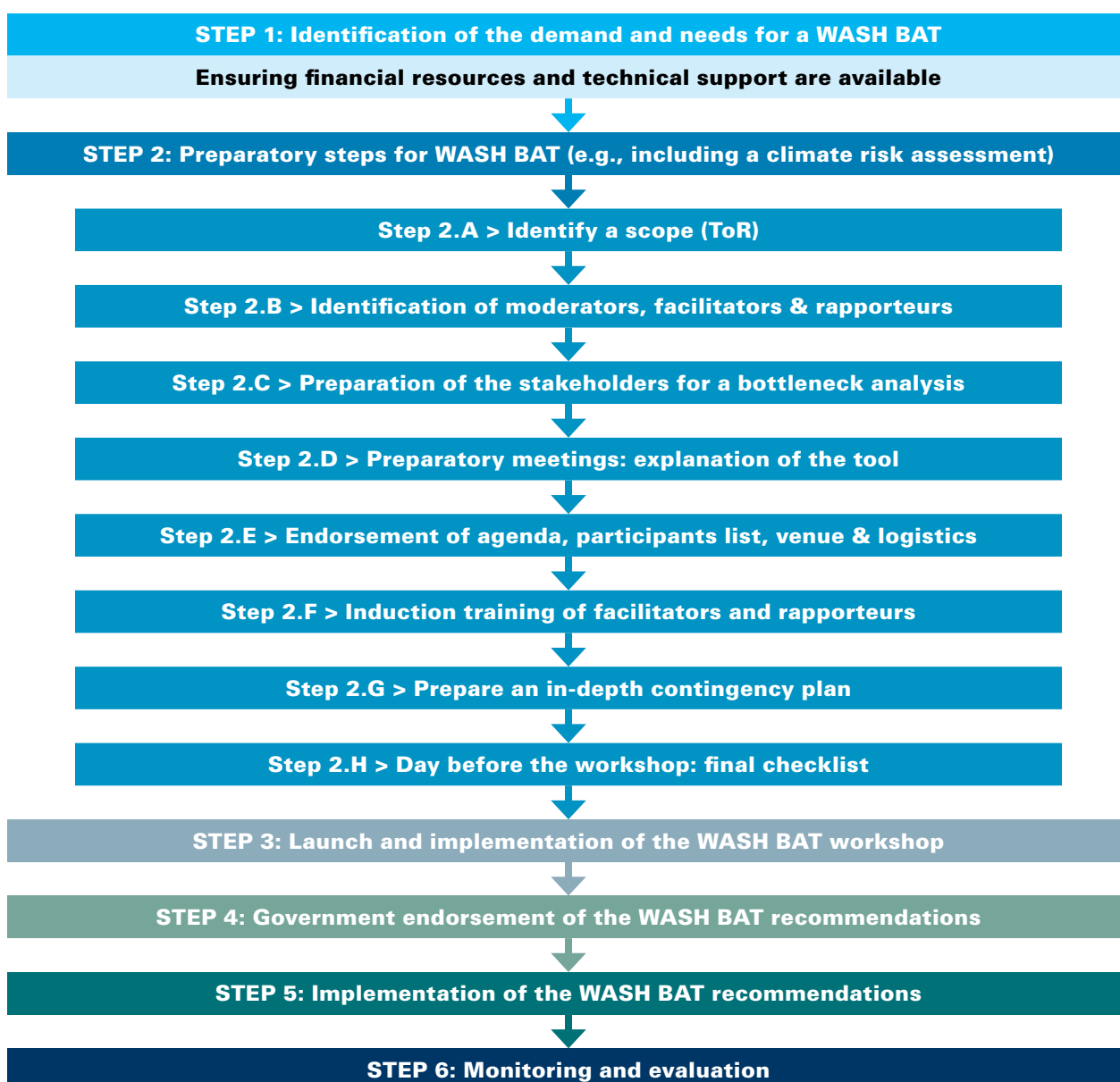
**The WASH BAT process** | The WASH BAT enables a systematic and collective identification of factors (or ‘bottlenecks’) that prevent achievement of sustainable WASH service delivery targets and helps stakeholders to define activities aimed at removing the root causes of these bottlenecks. The tool can be applied at national or subnational level, and in different WASH subsectors both individually and together. Since the available resources may not be always sufficient to remove the bottlenecks completely, the tool allows for prioritizing activities and planning of sequenced activity implementation. Bottleneck analysis is therefore more than a methodology, it is a process and, as such, it is more powerful when led by a government agency that takes ownership of the tool and its findings. In turn, the participation of a range of stakeholders will help ensure that the sector diagnosis reflects a diversity of viewpoints, thus increasing the transparency and credibility of the analysis and the findings it leads to. Furthermore, if all stakeholders can support

the implementation of solutions to remove the bottlenecks, it is possible to attract and mobilize the required financial and human resources.

The WASH BAT structure requires different analyses to be conducted separately in each subsector and in different jurisdictions (i.e., levels of government). Therefore, if different working groups are organized accordingly in a single workshop, the tool can be simultaneously conducted for rural water at national level, urban sanitation at provincial level and rural hygiene at district level, for example. Specific modules for WASH in institutions (either schools or health-care facilities) allow implementation in non-household contexts.

**The WASH BAT Country Implementation Guide** | The scope of this guide captures the steps required to be taken prior to the WASH BAT workshop as well as during and after it. It is structured based on the six main steps of the tool implementation, which are shown below (*see Figure 2*).

Figure 2. Elements to consider in the process of preparing and implementing the WASH BAT



Key: ToR, terms of reference; WASH BAT, water, sanitation and hygiene Bottleneck Analysis Tool.

**Step 1** is vital in deciding whether there is value in implementing the tool, as well as sufficient awareness and support of key stakeholders. Before starting, it is also important to ensure financial resources and technical support are available, not only for the workshop, but also for the implementation of recommendations.

Once it is established that the WASH BAT is needed and a request is made by the

key stakeholders, a critical next step is the preparation for WASH BAT implementation (**Step 2**). The various sub-steps are described below (see *Figure 3*).

**Step 3** refers to the WASH BAT workshop, which consists of several sessions which must be applied in sequential order, with each session building on the previous one (see *Figure 3*). First, participants set up the analysis, making choices about the

subsectors and jurisdictions the analysis will be implemented in. Second, they review the criteria for each governance function of the enabling environment. The tool allows flexibility for the selection of criteria; those that do not apply can be deleted or new ones can be created instead to fully reflect the specifics of the location in which it is being applied. For instance, and as previously mentioned, a new set of climate change criteria can be integrated to analyse how climate change is impacting on the delivery of services. All selected criteria are then scored as to the degree of progress achieved. Third, participants identify the major bottlenecks present in the subsector and their causes, building on the scoring of the criteria. Fourth, participants identify which activities are required to remove the bottlenecks, their costs, existing finance available, which activities to prioritize to receive additional funds, who is responsible for the activity and the timeline for its execution.

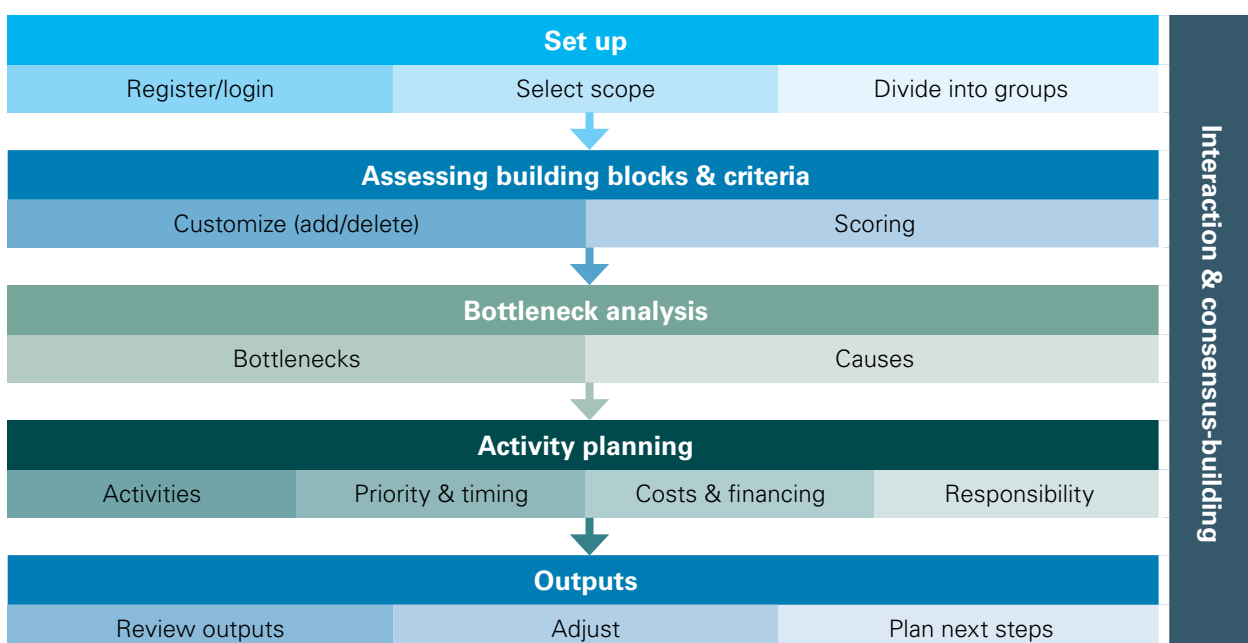
Following the workshop, three additional steps must be completed. **Step 4** seeks to secure endorsement of the government and sector stakeholders of the WASH BAT Action Plan, which summarizes all prioritized

activities during the workshop. **Step 5** refers to implementation of the WASH BAT Action Plan by the relevant stakeholders. The Action Plan should include the funding available, its source, as well as any identified funding gaps, responsible stakeholder and timeline for the implementation. **Step 6** refers to the follow-up, monitoring and evaluation of the implementation of the Action Plan.

This Country Implementation Guide also includes a number of different annexes that aim to support the implementation of the WASH BAT. The following annexes are available at the end of this document:

- ANNEX 1. Checklist – provides a complete checklist of the actions to be taken during the preparation and implementation of the WASH BAT workshop
- ANNEX 2. Example of schedule and chronogram of preparatory WASH BAT process – proposes an approximate timeline for the preparation of a WASH BAT process
- ANNEX 3. Self-assessment to determine the demand and need for conducting the WASH BAT – provides questions to guide the decision to hold a WASH BAT workshop

Figure 3. Typical steps in a WASH BAT workshop



- ANNEX 4. Example of representation of participants in a WASH BAT workshop – provides a list of stakeholders to be invited to a WASH BAT workshop if relevant, based on the topics to be covered
- ANNEX 5. Example of agenda for a two-day workshop – proposes an agenda for a WASH BAT workshop lasting two days
- ANNEX 6. Example of agenda for a three-day workshop – proposes an agenda for a WASH BAT workshop lasting three days
- ANNEX 7. Example of agenda for a four-day workshop (risk informed modality) – proposes an agenda for a WASH BAT workshop lasting four days
- ANNEX 8. Virtual facilitation – provides recommendations for WASH BATs held remotely, either wholly or using a hybrid modality
- ANNEX 9. Additional criteria – provides a description of the additional criteria developed for WASH BATs, covering other topics if relevant
- ANNEX 10. Implementation approach for risk informed WASH BAT – describes the step-by-step approach for integrating a risk assessment in the WASH BAT, focused on climate risks
- ANNEX 11. Guidance on reporting through the online portal – a quick guide to the online tool, available at [washbat.org](http://washbat.org)
- ANNEX 12. Example of workshop evaluation form – a template for an evaluation form to monitor and evaluate the workshop.



Photo credit: A.Delepiere



### Box 1. Additional WASH BAT resources – the [www.washbat.org](http://www.washbat.org) website

**The WASH BAT website** | Complementing the Country Implementation Guide, the WASH BAT homepage ([www.washbat.org](http://www.washbat.org)) contains useful resources for further understanding the tool, including:

- The login page, for access to the WASH BAT database and online tool ([www.washbat.org/tool/#/](http://www.washbat.org/tool/#/)), where you can start a new data entry process or review previously input data
- The register page, where new users can register to use the WASH BAT database
- The help desk, where users can ask questions or get technical assistance with any aspect of the WASH BAT website
- The countries implemented page, showing a map of countries that have implemented WASH BATs so far, including which version, at what level, and any other available information, including the workshop reports
- The resources page, where you can find an introductory video, the Country Implementation Guide, the user guide for the online tool; resources specifically for facilitators and rapporteurs, example workshop reports and Action Plans, training materials on the enabling environment, and more.

Figure 4. The banner and menu of the [www.washbat.org](http://www.washbat.org) website





Photo credit: A. Delepiere

# Step 1. Identifying the demand and need for the WASH BAT

Before committing time and resources to a bottleneck analysis process, it is essential to assess the added value of conducting a bottleneck analysis in a country, subsector and jurisdiction. A bottleneck analysis should not be an academic exercise that builds good intention but whose recommendations remain unimplemented. Instead, it should be conducted by or in close consultation with those with decision-making powers and with influential sector organizations, and it should be strongly linked to the internal decision-making processes of governments and other partners.

The objective of the WASH BAT is to untangle the many barriers constraining progress in WASH outcomes, with a focus on improving services for poor and vulnerable populations. In the context of water scarcity, where resilience to cumulative stresses and shocks is often low, a risk informed bottleneck analysis can help strengthen the reliability of WASH services, and enhance the capacity of governments and communities to build resilience over time. Hence, a roadmap which addresses these barriers needs to be formulated together with all those who should contribute to the outcomes. If there is an environment in which sector partners can meet to discuss these barriers in an open way and with an expectation that actions can be taken based on these findings, then it is likely that bottleneck analysis is a relevant tool to apply. On the other hand, if there already exist robust sector assessments whose findings have been accepted and endorsed by the major sector stakeholders, then the added value of the WASH BAT is likely to be lower.

If government demand for a WASH BAT is not supported by a strong need, or if a need

is not supported by a strong government demand, it is proposed as the first step to clearly distinguish between demand and need. This assessment, as recommended in Annexes 1 and 2, should begin at least three months before an eventual WASH BAT workshop might take place. To simulate possible relations between the two, *Table 2* illustrates four different scenarios. In the first scenario, there is both the need and the demand for bottleneck analysis, so the conditions are therefore fulfilled for the WASH BAT to be used (quadrant 1). In the second scenario, the identified need is met with limited demand, and therefore the key stakeholders need to be further sensitized about the benefits of WASH BAT (quadrant 2). In the third scenario, where a demand for the WASH BAT is indicated without a sufficient need, a further justification would be needed – such as a statement of the main stakeholders’ expectations and the necessity for this specific tool to be used (quadrant 3). Such justification should provide more insight on whether the reasons behind the limited need are of a political nature or due to technical limitations or geographic scope. Finally, in scenario 4, if there is neither need nor demand for the WASH BAT, it is unlikely to be a useful tool within the given context.

Suggested key questions to ask when deciding whether to conduct the WASH BAT are detailed in Annex 3. The flow chart (*see Figure 5*) describes the key questions regarding demand and need to help decide whether to conduct a WASH BAT. The user should start at the blue boxes containing the questions “Is there a need for a WASH BAT? Is BAT relevant?” and “Is there a demand for a WASH BAT?” The key to *Figure 5* explains the nature of the boxes and lines. Each

question requires the user to follow one line to arrive at a proposed recommendation. In the yellow boxes, recommendations are

made which allow a negative response to be changed to a positive one.

**Table 2. Recommendations for whether to conduct a WASH BAT based on demand and need**

PRESENT?		Is there need for a WASH BAT? Is BAT relevant?	
		YES	NO
Is there demand for WASH BAT?	YES	Conditions are met for immediate application of the WASH Bottleneck Analysis <b>1</b>	Stakeholders should collectively assess the relevance of WASH Bottleneck Analysis <b>3</b>
	NO	Stakeholders need to be sensitized about the need for WASH Bottleneck Analysis <b>2</b>	No action needed <b>4</b>



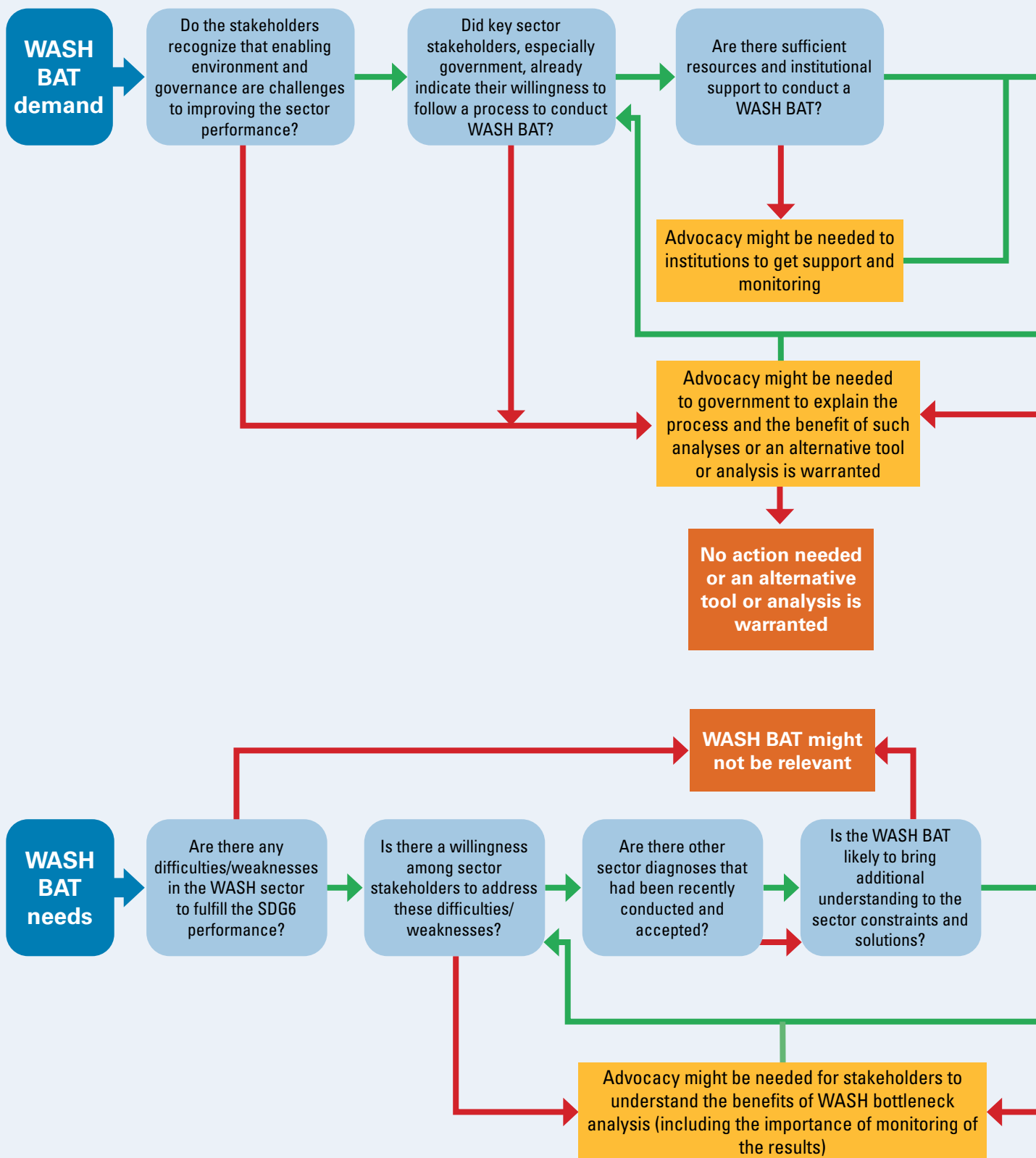
## Box 2. WASH BAT is complementary to other sector tools

If the analysis of demand and need determines that it might not be appropriate to conduct a WASH BAT, there are other tools which can provide a certain level of analysis of the sectoral bottlenecks: UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water (GLAAS) reports and Country Status Overviews (CSO), also termed Service Delivery Assessments (SDAs). The main difference between WASH BAT and the other tools is the process used to identify those bottlenecks. While GLAAS and SDAs can be complementary to WASH BAT, the fact that the WASH BAT exercise is done collectively in a structured and systematic way, contributes to high levels of ownership by sector stakeholders

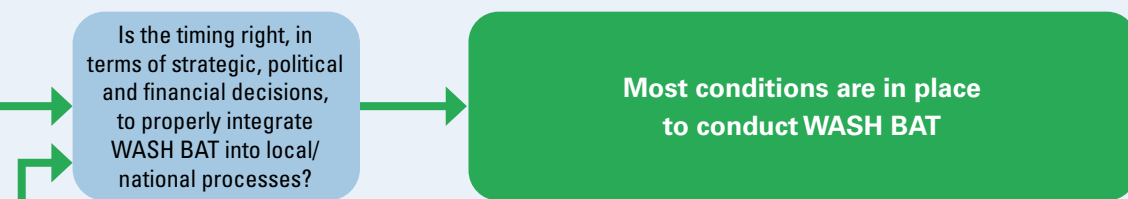
**GLAAS:** Conducted biannually since 2008, GLAAS has been used by the World Health Organization (WHO) in an increasing number of countries. Information is collected on national planning and coordination, monitoring, human resources and financing (domestic and external). The GLAAS survey now covers roughly 100 countries and includes over 20 external support agencies. The WASH BAT online tool provides links to the GLAAS Country Survey by providing pop-up text next to a GLAAS icon under the relevant criteria in each building block. The text shows the GLAAS questionnaire number so that previous assessments can be considered.

**SDA:** SDAs were developed by the Water and Sanitation Program of the World Bank and since 2006 have been used in close to 50 countries. Initially, they were developed in collaboration with the African Ministers Council on Water (AMCOW), when they were called CSOs. They were applied in 16 African countries in 2006 and 32 African countries in 2012. The tool was later adapted and applied in >10 countries in Asia and Central America under the name Service Delivery Assessment. The CSO and SDA methodology followed a theory of change for WASH systems strengthening, and this was adapted and expanded for the first version of the WASH BAT.

Figure 5. Key questions to determine the need for a WASH BAT and facilitate decision-making about use of the tool<sup>1</sup>



1 An adapted Figure 5 reflecting the risk informed WASH BAT can be found in Annex 10.



**Key:** Light blue rounded rectangles are questions. Yellow boxes are actions to move along the process – they are recommendations which allow a negative response to be changed to a positive one. Dark orange and green text boxes are recommendations on whether to proceed or not. Green lines are positive responses (“YES”). Red lines are negative responses (“NO”) to questions.

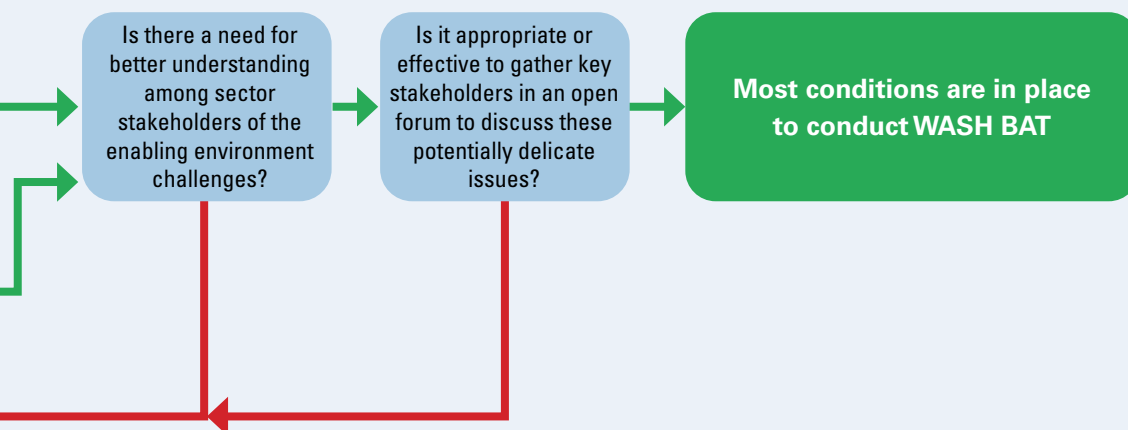




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## Step 2. Preparing for the WASH BAT

In the preparatory phase, there are six main tasks to implement. These tasks are time and resource intensive, and so this phase is recommended to commence at least three months before the workshop is scheduled to take place. The checklist in Annex 1 and the timeline in Annex 2 provide further detail.

### Step 2.A. Identify the scope and main stakeholders, and develop the terms of reference

Once the demand and need for the WASH BAT have been determined, the lead ministries should be briefed about the specific activities involved in a WASH BAT and the decision makers' expected outcomes. In turn, those institutions involved in the process will take a wide range of decisions including:

- The **subsectors** and **jurisdictions** (administrative levels) which will be analysed, following the demand
- The **integration of a climate perspective** in the analysis, and the level of ambition, i.e., a light-touch approach versus a more ambitious risk informed WASH BAT (see Section 2.C.iv for more detailed description)
- Whether all the subsectors and jurisdictions will be analysed in the **same workshop** or in a **phased** manner
- A **participant list**, reflecting different stakeholder groups

- The **length and agenda of the workshop**, to use the time most efficiently and to include high-level segments
- The **timing and format** of sessions to ensure maximum participation of key stakeholders
- The **location of the workshop**, to be convenient for participants to have the required space for group work and technical facilities (e.g., internet access, projectors to aid group work, materials)
- The **organizing agency** and the **facilitators/rapporteurs** that have legitimacy among the main stakeholders.

It is proposed to initially convene meetings among those most concerned in the organization of the WASH BAT, as well as ministry staff to discuss the above points, and to compare the advantages and disadvantages of different options. It is expected that after preliminary meetings, decisions will be taken to ensure adequate allocation of financial and human resources to guarantee a dedicated support to the entire process. A concept note or terms of reference (ToR) for the workshop and associated processes should be prepared, as well as ToR of consultants to be contracted for the purpose of supporting the WASH BAT. The WASH BAT website resources page includes a template for a concept note in preparing a WASH BAT workshop<sup>2</sup>.

<sup>2</sup> <https://www.WASH BAT.org/resources/> see the Template for a Concept Note in Preparing a WASH BAT Workshop.

### Box 3. Engaging a core group to ensure government ownership and adaptation to the context

**A core group of key stakeholders involved early in the preparation process can ensure a WASH BAT implementation tailored to the context and that the Action Plan is monitored and followed-up.**

Ideally, a core group should be formed with participants from the key sector organizations, including government departments – as well as the facilitators and rapporteurs if relevant – with responsibility for parts of the preparation process. In the weeks leading up to the workshop they should take part in biweekly or weekly calls. The main task of the group should be to ensure that the WASH BAT is tailored to the country context and to the output which is desired. They should also review the sector-specific legal framework before the workshop and ensure that the key knowledge products and sector information are available before the workshop.

The responsibilities of the core group should include adapting the criteria to ensure that the bottlenecks are relevant to the context, reviewing the agenda and invitation list, and ensuring the output is developed in the best format for implementation. The preparation work should include gathering key documents of relevance to the WASH sector to ensure that all participants are on the same page when the workshop starts. These documents might include existing policies, local data and global data sets (e.g., GLAAS and WHO/ UNICEF Joint Monitoring Programme for Water Supply, Sanitation and Hygiene data), reviewing the introductory sessions in the workshop on the enabling environment, and the national or subnational context in relation to WASH and climate change.

This core group should also be responsible for the next steps after the workshop, ensuring that any outstanding tasks are completed and the implementation of the Action Plan is monitored and followed up.

#### Step 2.B. Identify moderators, facilitators and rapporteurs

The effort needed to organize a successful WASH BAT workshop should not be underestimated. There should be at least one institution that is fully tasked with its success from the beginning and that should be ready to follow through to the logical conclusion. This institution must be a reputable sector stakeholder, preferably one that has a good relationship with the government agencies responsible for the WASH sector. It might be most appropriate for the chair or co-chair of the sector coordination or working group to play a lead role in the WASH BAT implementation. The various events around WASH BAT must be carefully planned to ensure budget

discipline aimed to deliver the first cycle of the process, which spans a period of approximately one year. The lead organizer books the workshop venue, discusses and finalizes the participant list, ensures the right stationery, equipment and IT facilities are available and ensures responsibilities are assigned for follow-up of the workshop. In addition, it is advised to have a lead moderator that provides overall facilitation of the WASH BAT workshop. The lead moderator should be supported by at least one dedicated staff member from one of the supporting sector agencies, which might be a partner organization or a ministry.

The different roles needed for a successful WASH BAT workshop can be described as follows.

- The **lead moderator** is an expert of the WASH BAT tool, with profound knowledge about the enabling environment, who is responsible for introducing the WASH BAT, moderating the plenary sessions and leading the plenary discussions to reach consensus on the Action Plan and the main conclusions of the workshop. The lead moderator might be asked to produce a workshop report, unless the supporting agency uses one of its staff or another consultant for this purpose.
- **Facilitators** are assigned to be responsible for the group work of each subsector throughout a workshop. The facilitators are WASH experts from the country (or with very good knowledge of the context) and should be knowledgeable about the enabling environment framework and its governance functions. Facilitators do not need to be experts in using the tool but should have gone through it before the workshop, preferably in a dedicated training session of at least half a day. The roles facilitators play include:
  - Initiating and steering discussion within the group, and facilitating the equal participation of the participants
  - Guiding and supervising the group's rapporteur
  - Ensuring the right stationery has been provided and is at the participants' disposition (e.g., coloured markers, Post-it notes, flipcharts, coloured cards)
  - Utilizing the projector/screen/computer appropriately to record the decisions for all participants to see and agree
- Leading the discussion at the table to agree which building blocks and governance functions to cover (which is likely to have been decided prior to the workshop with the organizers)
- Controlling proper colour coding when scoring the criteria and ensuring the right level of detail in describing the bottlenecks and their causes to ensure the description of required activities and their costs and timeline can be easily agreed
- Recording the outcomes of each WASH BAT session by photographing the outcomes written on flipcharts.
- **Rapporteurs** are responsible for recording both the discussion and the agreements during the group work. The notes of the discussion are to be recorded on paper or a Word or Excel document. The agreements and outcomes of the working group should be recorded directly on the computer, either in the template Excel file that contains columns for different elements of the main modules, or on the [www.washbat.org](http://www.washbat.org) website. The rapporteur is responsible for recording the discussion on a flipchart or on cards. Once the tool is filled out, the rapporteur is encouraged to share the Excel file copy and/or software analysis file with the group participants who are also registered in the tool. Rapporteurs and users can export to PDF format and print the intermediate outputs of the tool, which are available in three modules: Award, Activities and Costing. This can be printed or shared electronically to facilitate the next stage of the discussion.

#### Box 4. Engaging young water professionals as rapporteurs of all working groups

##### In Paraguay, 10 young water professionals were engaged in the WASH BAT as rapporteurs, offering a number of advantages

The RI WASH BAT implemented in Paraguay in 2021 promoted the meaningful and active participation of youth by integrating young water professionals in the role of rapporteurs. Most of the young professionals, who belonged to the Paraguayan National Youth Water Network, were already engaged in water-related topics and activism in their country and they knew the sector. The Paraguayan experience of integrating young professionals as rapporteurs showed several advantages:

1. Young professionals are very committed to the role of rapporteurs, and in general, to the development and success of the workshop. As they are starting to build a career in the water sector, they have an incentive of potential benefits for their career development in terms of networking and getting to know the sector and stakeholders better. This is reflected in the punctuality and interest shown throughout the process.
2. The training is dynamic as young professionals are keen to constantly acquire new skills and knowledge that could boost their careers. If the training is done virtually this can help avoid dull, long sessions and make the training more interactive.
3. Young professionals learn fast and retain better what is taught during the training, contributing to smoother rapporteuring during the workshop.
4. The use of the online WASH BAT software is easier for young professionals who are familiar with technology and have incorporated it into their daily lives. Also, they can solve technology-related issues easier. This facilitated the registration of the data and information from the WASH BAT process.
5. Being rapporteurs gives young professionals more visibility and engagement during the workshop, empowering them to express their opinions and views.

The involvement of young professionals in this role gave the workshop dynamism and energy, contributing to the discussions with innovative ideas and a fresh perspective. It was also an opportunity to encourage intergenerational knowledge and experience exchange, which is much needed in a WASH sector dominated by senior male professionals.

Depending on the number of participants and subsectors to be analysed, the organizing agency should aim for:

- Between 30 and 45 participants (3–4 groups): one lead moderator, 3–4 facilitators, 3–4 rapporteurs
- Between 45 and 60 participants (4–6 groups): one lead and one supporting moderator, 4–6 facilitators, 4–6 rapporteurs
- Between 60 and 80 participants (6–9 groups): one lead and one supporting moderator, 6–9 facilitators, 6–9 rapporteurs.

Ideally, as described in Annex 1 and 2, the lead moderator should be identified

at least three months before the WASH BAT workshop is scheduled to take place, and be closely involved in the preparation process. The allocation of workshop roles, facilitators and rapporteurs, is ideally made at least two months before the workshop. Facilitators and rapporteurs should receive at least one orientation training session before the workshop and take part in some of the preparatory meetings in the weeks before the workshop to ensure they are well briefed and prepared. This can be conducted remotely. In addition, at least a half day dedicated to specific training and preparation is required, to cover workshop

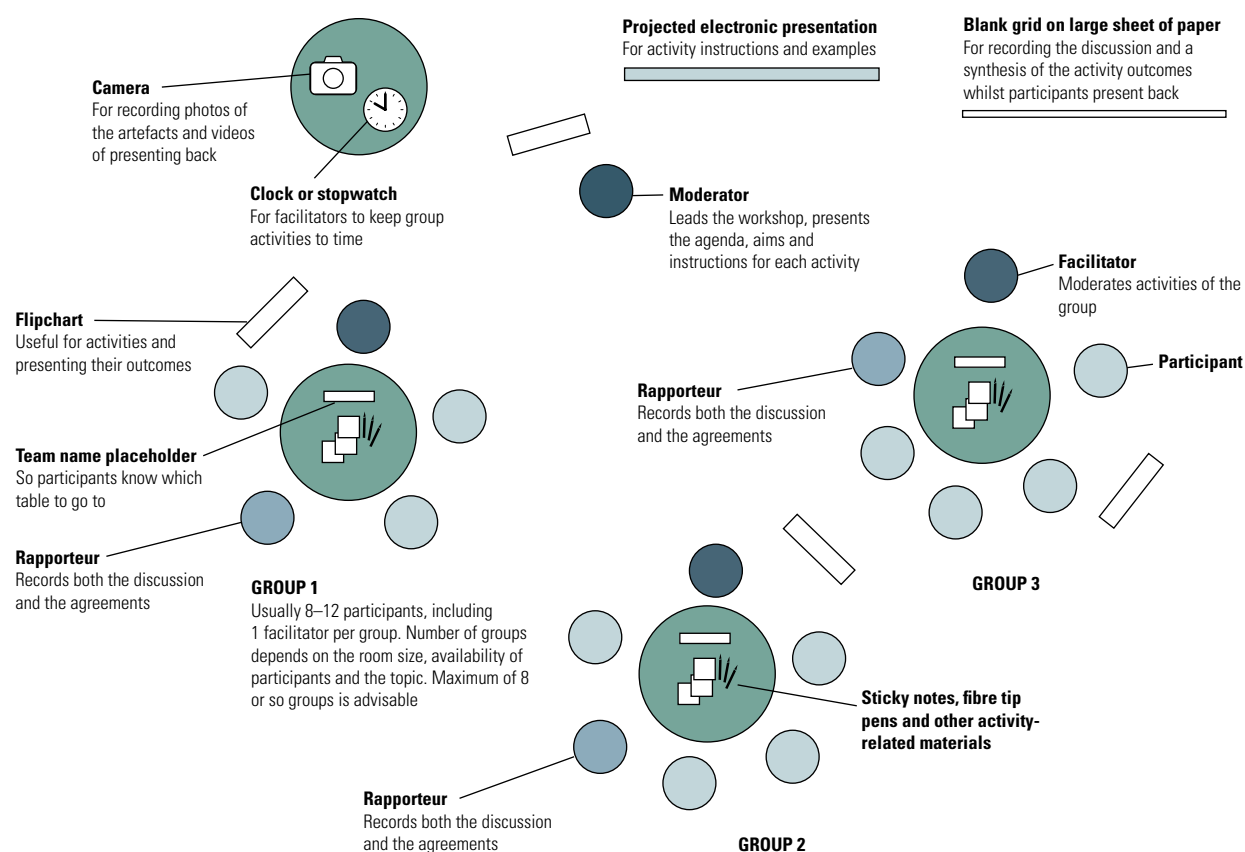
methodology and the roles of the facilitator and rapporteur. Ideally, this training is led by the lead moderator(s) and should take place the day or the week before the workshop. Training participants are also encouraged to review the WASH BAT introductory training materials and analyse the Country Implementation Guide before the training session. These can be found on the resources page of the WASH BAT website<sup>3</sup>.

Facilitators and rapporteurs should have basic computer/IT skills, that is familiarity with MS Word and Excel and familiarity with use of internet and software tools. In case of limited computer literacy, it is recommended to seek other facilitators and rapporteurs or else conduct a relevant training.

Each subsector working group should contain roughly 8–12 participants with a range of different representations (i.e., stakeholder agency, administrative level, expertise type). If there are many more participants per subsector at the workshop, it is also possible to divide the analysis into two groups for a single subsector. Each of these groups then addresses different building blocks, and the results are merged in the online tool later. Prioritization should then be done jointly to agree on an Action Plan per subsector.

A visual illustration of the group work set-up is shown in *Figure 6*. There should be sufficient space between tables to ensure the groups are not distracted by high noise levels in the room.

**Figure 6. Example of set-up and organization of group work**



<sup>3</sup> [www.washbat.org/resources/](http://www.washbat.org/resources/), e.g., the Facilitator Training PowerPoint Presentation or the WASH BAT Facilitators' Guide PowerPoint Presentation.

Prior to the start of the workshop, it is advised that the facilitator and rapporteur register themselves in the tool, at [www.washbat.org](http://www.washbat.org).

A WASH BAT focal point at country level should be given the 'Sub-administrator' function in the portal, which gives them the right to approve new users registering from their country, and thus expedite faster approval of users registering themselves during the workshop. A formal request should be submitted to the WASH BAT helpdesk (helpdesk available on [www.washbat.org](http://www.washbat.org)) for the 'Sub-administrator' function designation.

### **Step 2.C. Prepare stakeholders for a bottleneck analysis (modality/ subsectors/participants/location/ timing/logistics)**

To properly prepare the workshop, a wide range of issues need to be considered. These are listed in Annex 1, with checkboxes against them to assess progress. Annex 2 provides a chronology and timing of the preparation steps.

#### *Step 2.C.i Selection of workshop modality*

When conducting a WASH BAT workshop, there are several workshop modalities options. The option chosen depends on technical requirement, resources, and the preferences of the organizers, moderators and facilitators. The various options are presented below, including some lessons learned from previous WASH BAT workshops regarding the requirements needed to run the workshop, whether it is online or offline, on-screen or off-screen.

**Full online software, on-screen:** when strong and reliable internet is available, it is possible to insert all the data within the web-based tool during the workshop. For this to happen, facilitators and rapporteurs should master the online tool before the workshop

and be able to adapt their facilitation approach in the case of internet variability or dysfunction of the tool. The saving process and moving between modules can take a few seconds, even with good internet connection, which can break the flow of discussion. The advantage of this approach is that the group work is very focused on entering the information required, with little room for going 'off topic'. However, by focusing on the online tool and the software elements, it might detract from the deep discussions the participants typically get into when they are exposed to the bottleneck analysis methodology.

**Offline software, on-screen:** when in a moderate internet environment, all data can be inserted in the offline version of the tool during the workshop, which is then synchronized with the Computing Cloud later. The issue of waiting time for saving or moving between modules that is experienced with the online version is avoided. The precondition for using this approach is that the scope of the analysis and the building blocks and criteria to be analysed are selected before the workshop (while the user has good internet access), which then enables download to the desktop to allow the tool to be used offline.

**Outside the software, on-screen:** in this case the rapporteur is working in an Excel file with columns defined for the various data entry required (scoring criteria, bottlenecks, causes, activities, timeline, costs, responsibility), and the rows are the building blocks and criteria. A template tool is available for this to be done in the facilitators page. The advantage of this approach is that it does not rely on internet connection and it leads to less distraction from features of the software tool. Later (each evening or at the end of the workshop) the rapporteur needs to copy across the Excel-based data to the software version of the tool, which therefore needs extra

time from the rapporteur than if they do this during the group work.

**Off-screen (recommended):** in this case the workshop is facilitated by a participatory process using traditional materials like cards and flipcharts and where results can be stuck on the walls in order to show the full process. As each module is completed, it is possible for the rapporteur to enter the data in the online or offline tool, or in Excel, and then take printouts to aid the discussion in the following module. The advantages of the off-screen include better engagement and interactions among the participants, moving the focus from a screen to a wall that allows people to revise the entire analysis at a glance.

**Remote:** due to the coronavirus disease 2019 (COVID-19) pandemic, the WASH BAT workshop was implemented remotely in some countries using video conferencing. Although it is possible to implement it, the discussions are richer, and participants are more engaged when the discussions are done in person. Remote or blended options should be done only under exceptional circumstances.

For all modality choices (except for remote workshops), it is encouraged to print some of the background materials such as a complete list of the building blocks, their definitions and the criteria, in order to facilitate the running of the sessions. *Table 3* clarifies the minimum technical requirements for each option.

**Table 3. Matrix of technical requirements for workshop**

Technical requirements	Full online software	Offline software, screen-based	On-screen, outside software	Off-screen	Remote/blended
High-speed internet connection	X			(X)	X
Video projectors and screens (one per working group)	X	X	X		X
One computer per group	X	X	X	(X)	X
One computer per participant (with microphone and camera working)					X
Guarantee of unbroken electricity supply	X	X	X		X
Availability of materials, stationery, walls for display of colour cards, etc.	(X)	(X)	X	X	(X)
One separate room per working group					(X)

Key: X – required. (X) – optional

### Box 5. Recommendation to use the off-screen modality, paper-based workshop

A paper-based modality, using sticky notes, flipcharts and printouts of the key materials needed can contribute to a more participatory process and increase engagement.

Operation of the online tool requires a high-speed internet connection. Therefore, a paper-based workshop using the off-screen modality is recommended. This has the added advantage of avoiding any technical difficulties that may arise. A paper-based approach requires that all the key materials of the workshop are printed out for the participants, including the list of building blocks, functions and the criteria per function. Also, stationery should be available for the participants, and there should be the option of printing during the workshop in case new material is needed.

Showing the software on the screen can be distracting because the text is small and any delays in loading or navigating between pages (even if this is only a few seconds) can disrupt the conversation flow.

An off-screen, paper-based modality has the added benefit of requiring there to be only one computer per table, for the rapporteur to record the conversation and decisions taken. At the end of each day, or alternatively at the end of each session, the rapporteur can then fill out the relevant sections in the online software in order to record the workshop. It is important to fill out the software regularly during the workshop in order to not miss any important information and to ensure the online software contains the complete record of the outputs.



Photo credit: Antoine Delepiere



### Step 2.C.ii Selection of subsectors and administrative levels to be analysed

Given that separate analyses need to be conducted for rural, urban, and peri-urban areas, as well for water, sanitation and hygiene, and institutional WASH, and by administrative level, it is important to decide on the scope of the workshop well in advance. The choice of which subsectors and jurisdictions to analyse will have direct impact on who is invited to participate, where the workshop is held, and how the meeting agenda and group work are organized so that the WASH BAT can be completed within the given time. When it is too challenging to analyse simultaneously all the subsectors and jurisdictions, a phased approach could be applied instead (i.e., more than one workshop), with the highest priority or easiest subsectors to be analysed first.

Similarly, once there is clarity on the subsectors, the prioritization and selection of building blocks and governance functions are needed. The following guiding questions should support the selection process:

- Is the function necessary to improve governance?
- Is there consensus regarding its sustainability?
- Are there potential challenges and gaps?

- Can sector development plans be adapted to incorporate the function?
- Is there a possibility to influence its development?

This selection could be done before or during the workshop. Table 4 shows some tips for choosing the right timing of the selection.

A general recommendation from the WASH BAT global review report (UNICEF and SIWI, 2020) is to be as specific as possible when focusing the analysis on WASH in institutions, for example splitting this into two separate analyses for WASH in schools and for WASH in health-care facilities, for which specific criteria have been developed. These have historically been treated separately in the majority of workshops, and by splitting them focus is kept on either subsector, which may also increase participation and engagement from the relevant ministries and other key stakeholders. It is also important to review the criteria for WASH in schools or in health-care facilities, as there may be more national or regional peculiarities in these subsectors than in others. In such cases, the need to adapt the functions and criteria to the local context, and the early engagement of key stakeholders, is more important than for other areas. *Box 6* details examples related to the specific issues recent WASH BAT workshops have dealt with in these subsectors.

**Table 4. Advantages and disadvantages of selecting building blocks before the workshop or during it**

	Advantages	Disadvantages
<b>Prioritization during workshop</b>	<ul style="list-style-type: none"> <li>• Participants are adequately involved in the entire process and their commitment is secured</li> <li>• More participatory debate and decision. There is a fuller understanding of the tool by all concerned</li> </ul>	<ul style="list-style-type: none"> <li>• Depending on the decisions, the required duration of the workshop may change</li> <li>• It is potentially more difficult to arrive at a consensus</li> <li>• Different work groups might select different building blocks to prioritize, leading to inconsistent use of tool</li> </ul>
<b>Prioritization before workshop</b>	<ul style="list-style-type: none"> <li>• Workshop can be made shorter and focus on key building blocks and functions</li> <li>• More time is given to discuss criteria, bottlenecks, causes and activities</li> </ul>	<ul style="list-style-type: none"> <li>• Decision is made when there is less understanding of the tool</li> <li>• Less commitment and participation</li> <li>• Less debate and consensus</li> </ul>

## Box 6. Examples from Bolivia and Ecuador of workshops focusing on WASH in schools and health-care facilities

The fact that the analysis of a WASH BAT can be focused on WASH in schools or in health-care facilities, provides a good opportunity to invite the right actors to the debate, and to deal with very specific issues that are not necessarily the same for the service provision in general urban or rural settings.

Focusing parts of a WASH BAT on **WASH in schools** has proven to yield interesting results, as it allows the entry of new actors that are relevant to the discussion. In Ecuador, for example, numerous participants from the Ministry of Education at national level and educators at local level joined a dynamic dialogue that identified bottlenecks in the decentralization of the sector. In Bolivia, participants from the Ministry of Education and the Federation of Municipalities were able to identify the loopholes in implementation of the sectoral policies (related to construction standards for schools, which are a responsibility of the Ministry of Education, and service operation and maintenance, which are a responsibility of municipalities) and proposed a series of measures for bridging that gap while coordinating responsibilities. WASH-in-schools-related activities were voted as the first priority for the sector.

In the WASH BAT exercise conducted in the municipality of Santa Cruz de la Sierra, Bolivia, one working group was focused on **WASH in health-care facilities**. Practical issues around wastewater management (such as the correct disposal of hazardous and infectious waste) were raised, together with the lack of guidance on emptying latrines (as there is no planning system or information on public latrine capacity), which ends in latrine overflow with high risks for public health.

### *Step 2.C.iii Selection of categories to be included in the discussion*

The WASH BAT has almost one hundred default criteria per subsector, organized by building block, that helps participants in the identification of bottlenecks in a structured sequence of criteria-bottleneck-cause-activity. Besides the 'standard' criteria, which is included in all WASH BAT exercises, there are additional sets of criteria which can be added based on country interest and focus. Countries can decide if they want to include some additional 'focus' criteria in the following categories:

- Climate change
- Fragile contexts
- Emergency contexts

- Water scarcity
- Water resources management.

These additional criteria can help countries have a deepened analysis in contexts affected by these listed risks or seeking to work on gender inequalities. They might be used in addition to, or instead of some of the 'standard' assessment criteria provided in the online tool. Those 'focus criteria' can refer to water, sanitation and hygiene alike, as well as to rural, urban and to peri-urban contexts. However, not all criteria are relevant for all these contexts or subsectors, hence part of the preparatory process includes the selection of the criteria ('standard' and 'focus') to be used per subsector.

## Box 7. Integration of climate change criteria into the Ecuador WASH BAT

In November 2019, a national WASH BAT workshop was implemented in Ecuador to discuss the quality, sustainability and climate resilience of water, sanitation and hygiene services in rural areas and schools. It was the first time that climate change was comprehensively integrated in the bottleneck analysis.

Facilitation of the WASH BAT with the newly developed climate change criteria required some methodological adjustments, as described below:

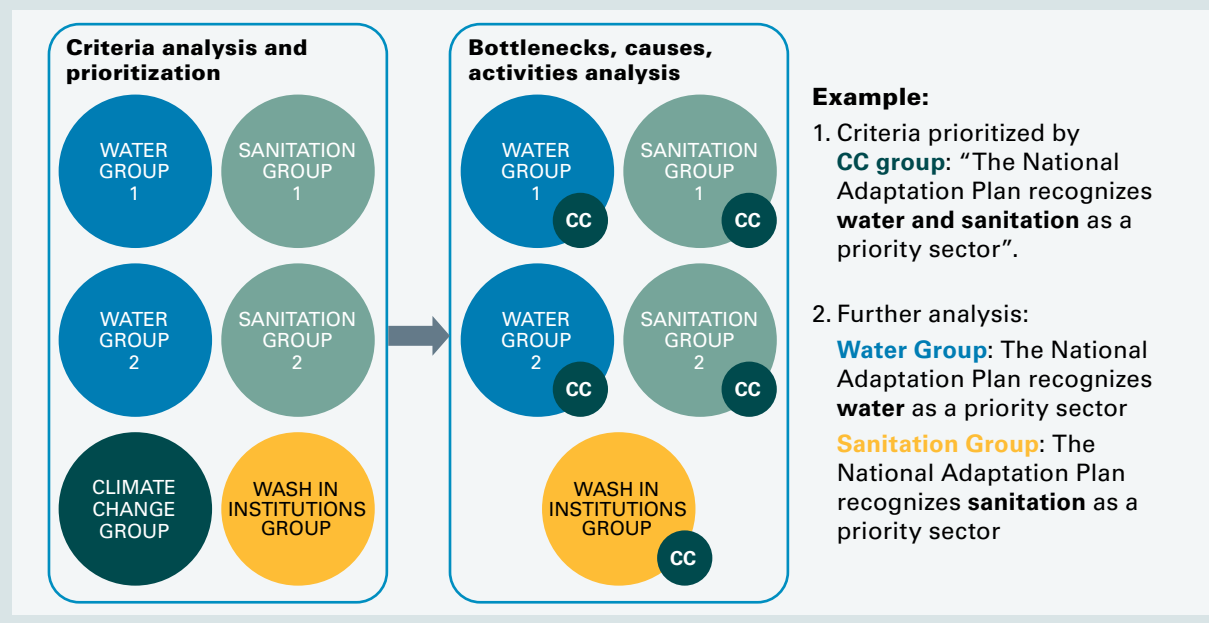
**(a) Establishment of a specific team to prioritize climate change criteria** | On the first day of WASH BAT criteria scoring, six teams working at different tables were initially established, with approximately eight members in each of them:

- Two teams with focus on rural water (approximately 50 WASH BAT criteria were analysed by each table)
- Two teams with a focus on rural sanitation (approximately 50 WASH BAT criteria were analysed by each table)
- One team with a focus on water, sanitation and hygiene in schools (all 60 WASH BAT criteria were analysed by that table)
- One team with a focus on climate change (42 climate-focused criteria were analysed by the table).

Each of these teams analysed and scored which of the criteria assigned to their group were the greatest challenge and of the highest relevance in Ecuador.

**(b) Integration of climate change criteria and expertise with the sector analysis** | Once all criteria were scored, those that were prioritized by the climate change group were distributed and integrated into the remaining groups according to the distribution of categories. In the following steps, the climate change team was dissolved, and its members were distributed evenly among the rest of the five teams to support the following steps of the analysis with their expertise. The intersectoral teams continued with the identification of sectoral bottlenecks, and the identification of appropriate actions to eliminate them, as *Figure 7* shows.

Figure 7. Methodological approach to integrate climate change criteria and expertise with the sector analysis



Box 7. Integration of climate change criteria into the Ecuador WASH BAT (continued)

**(c) Inclusion in roadmap |** On the third day of the workshop, the actions to remove bottlenecks were consolidated into a roadmap that included a detail of sub-activities, responsible agencies and estimated costs. The members of the original climate change group accompanied this process to ensure consistency of the proposed activities and to help identify the stakeholders that should lead on the different climate change related aspects of the agreed roadmap activities.

Source: Vancraeynest et al. (2020).

**Step 2.C.iv Decision on integrating the risk perspective**

As outlined above, climate change, natural and anthropogenic disasters, water scarcity, conflicts, economic instability, diseases, etc. are significantly impacting the delivery of WASH services. For instance, increasing frequency and severity of water-related disasters such as drought and flood are putting additional stress on water resources, while reinforcing increased competition

among different water users. Water scarcity is another factor driving fragility. UNICEF recently estimated that around 450 million children live in areas of high and extremely high water vulnerability (UNICEF, 2021). With climate change, these trends and figures are expected to worsen. Shocks are of different nature, and they impact services and infrastructure in different ways. The table below presents a non-exhaustive list of shocks that commonly affect the delivery of WASH services.

Table 5. Summary of shocks impacting the delivery of WASH services

Shock category	Example of shocks
<b>Extreme weather (climate-related)</b>	Fluvial/pluvial/coastal flood Drought Thunderstorm/hurricane/cyclones/tornado Blizzard Heat wave Cold wave
<b>Natural hazards</b>	Earthquake Tsunami Volcanic eruption Geomagnetic storms/space weather Wildfire Landslides
<b>Conflicts</b>	Profound social instability (e.g., riots, etc.) Intercommunal conflicts over land and water use Large-scale terrorist attacks Weapons of mass destruction Interstate conflicts with regional consequences State collapse or crisis (e.g., civil conflict, military coup, failed states, etc.)
<b>Other shocks</b>	Economic instability Power outage Migration Diseases and pandemics (e.g., COVID-19, etc.)

Against this context and based on increasing demand from countries to bring a risk lens to the bottleneck analysis, the WASH BAT tool now offers two different approaches that can be adopted for such a purpose, depending on the scope of the exercise and the level of ambition.

On one hand, a ‘lighter touch’ approach can be adopted through the integration of additional risk criteria to the existing set of WASH BAT criteria, being organized per building block and function (see Box 7).

On the other hand, a more comprehensive integration of risks and shocks into WASH BAT can be also proposed through a risk informed WASH BAT, which blends the use of different analyses into one single process. In essence, the process aims to increase the understanding of the nature of risks and

shocks, as well as the potential impacts on WASH services and facilities. Therefore, an analysis of risks and their drivers before the BAT workshop helps in prioritizing risks to be addressed in the bottleneck analysis. The risk informed analysis can be exhaustive, aiming to assess all different types of shocks; or it can be partial, with specific focus on one shock category (e.g., climate, conflicts).

By way of example, the integration of a climate lens might build on a common participatory approach for assessing climate risks and vulnerabilities, as described in the [WASH Climate Resilient Development; Guidance Note, Risk Assessment for WASH](#) (GWP and UNICEF, 2017) (see Figure 8). A more detailed step-by-step approach, with a focus on climate change risks and vulnerabilities, is described in Annex 10.

**Figure 8. Blended use of risk assessments and WASH BAT tools into the risk informed WASH BAT**



Alternatively, a conflict-sensitive analysis needs to understand, among others, the drivers, actors and possible triggers of conflict, and what role WASH can play in, or be affected by, it. This would require

the formation of a specific task force with the relevant stakeholders, and capacity to conduct this assessment. Finally, there are other risks which might not be climate related (e.g., COVID-19, economic crises),

but which can have an impact on WASH. This would require a different angle in the risk analysis.

In essence, the incorporation of the risk lens requires: (1) the assessment of risks that are affecting WASH services and infrastructure – this is typically done by a task force during the months preceding the workshop – and (2) the addition of four sessions, as briefly explained below and as illustrated in *Figure 9*:

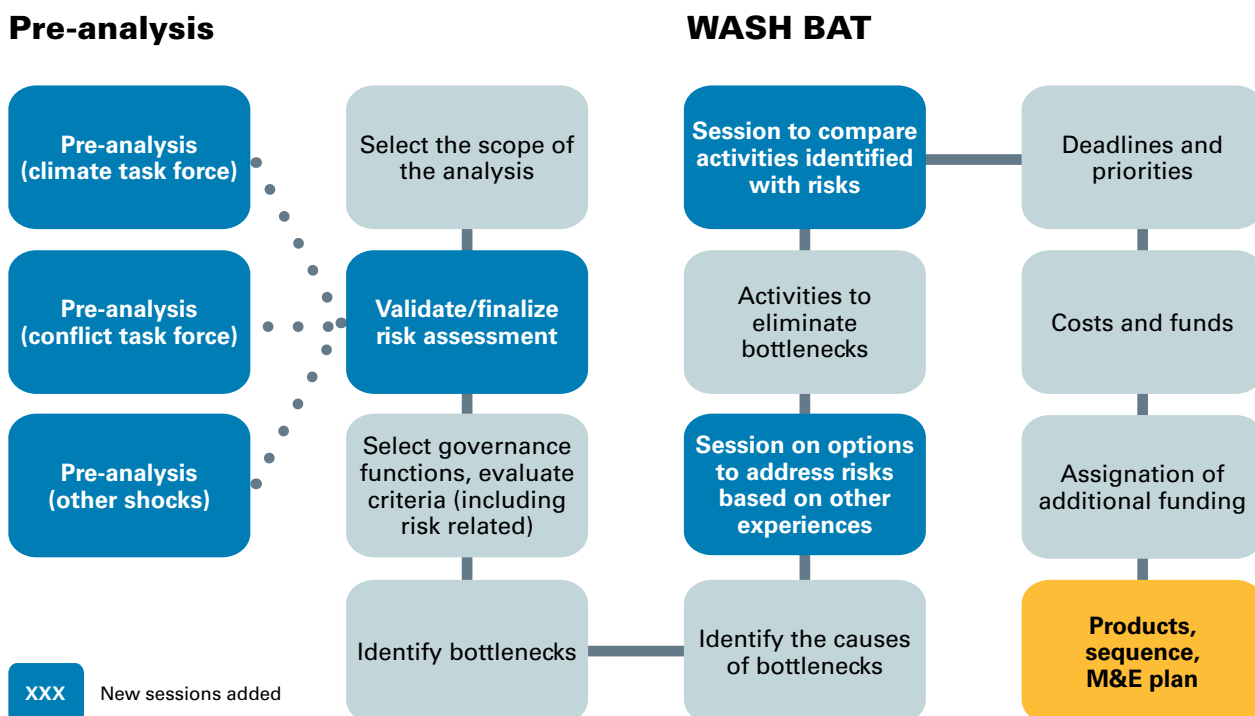
- **WASH BAT session on validation and finalization of risk analysis** | The work that has been advanced by the task force is shared with the participants attending to workshop. Results from the assessment, and the most relevant risks are presented and discussed among working groups for validation and endorsement, also providing an opportunity for participants to fine-

tune and tailor the main findings to the specificities of each subsector.

- **Contextualized risks criteria added** | Additional WASH BAT criteria linked to prioritized risks developed by the task force<sup>4</sup> are added to the regular WASH BAT criteria for analysis.
- **Sensitization session on options to address risks** | A session is facilitated after the identification of the causes that create bottlenecks, to briefly explain the potential options to address identified risks.
- **Recalibration of activities for bottleneck removal** | Once the WASH BAT working groups have identified activities to remove bottlenecks, they are requested to look at the list of prioritized risks once again so that the activities agreed to remove bottlenecks can be further adjusted to ensure that they also help address identified risks.

**Figure 9. Approach to a risk informed WASH BAT**

Additional steps are presented in the dark blue boxes.



<sup>4</sup> In addition to climate change criteria (see Section 2.C.iii), a specific subset of criteria related to prioritized hazards and climate risks can be also developed and scored, followed by the standard criteria-bottleneck-cause-activity sequence.

The aim of the blended approach of merging the two analyses into the same exercise is to build consensus on the actions that are needed to remove bottlenecks and to address identified risks affecting the WASH sector. Therefore, a 'risk informed WASH BAT' seeks to promote participation in related consultative workshops of actors who have not traditionally been considered

for a bottleneck analysis, which allows for expansion of the horizon of the exercise. It also allows humanitarian, peace, and development actors to work closer together so that WASH-prioritized action can inform national and subnational adaptation planning, while at the same time the sector can integrate WASH resilience into its policies, strategies and plans.

### Box 8. The co-benefits of implementing a climate risk informed WASH BAT

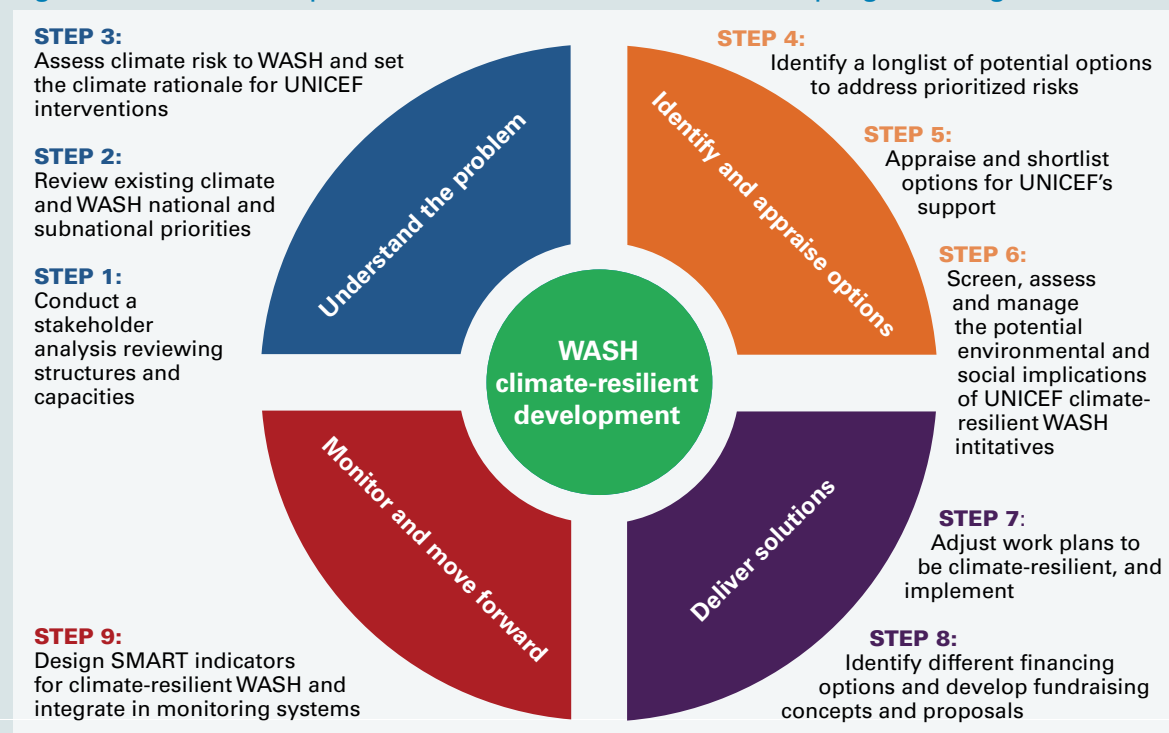
#### Implementing a climate risk informed WASH BAT to support a shift to climate-resilient WASH

Through the implementation of a climate risk informed WASH BAT, UNICEF can provide much needed support to the government by strategically mainstreaming WASH into national adaptation and mitigation planning (i.e., National Adaptation Planning, and Nationally Appropriate Mitigation Action) and in the revision of the Nationally Determined Contribution to the Paris Agreement.

It can also help in building the climate rationale of WASH programmes and in establishing connections with the important area of national and multilateral climate financing.

Finally, the facilitation of a risk informed WASH BAT can be a pragmatic approach to support the shift of WASH programmes to become more climate-resilient, which UNICEF considers critical activity for its own programmes and the entire sector. The introduction of the risk informed WASH BAT contributes to Steps 1–5 of UNICEF's shift to climate-resilient WASH programming (see Figure 10)

Figure 10. UNICEF steps to shift to climate-resilient WASH programming



Key: SMART, Specific, Measurable, Achievable, Relevant and Time-Bound.

### Step 2.C.v Decision on using the online tool

The online tool<sup>5</sup> can assist the users, most likely to be the moderator and the rapporteurs, to structure and capture the discussions and decisions taken during the workshop. It also assists with future follow-up when implementers wish to monitor

the actions or update/repeat the exercise, for which there are special functions in the tool. In order to make it more user-friendly, the tool follows the same sequential approach as the bottleneck analysis (see Box 9). It is therefore strongly recommended to record the workshop in the online software.

## Box 9. The WASH BAT online tool

### Step-by-step bottleneck analysis in the online tool

The tool guides the users through the key steps of the WASH BAT process, as described below:

- **Create Analysis** – the first step is to create a new analysis in the online tool. It is important to clearly indicate in the name of the analysis the country and, if applicable, the subsector of analysis (e.g., “WASH BAT Tanzania\_Rural Sanitation\_Group 2”). Each subsector where the tool is applied will have a separate online file.
- **Scope of Analysis** – the user will select country, subsector, and jurisdiction (rural/urban areas, and administrative level) where the tool will be applied, as well as preferred currency for the cost figures. The user will also select a file name, which should be concise, but informative about the country, scope, jurisdiction and time period of the analysis.
- **Participant List** – the user will add the names and email addresses of the participants working on the analysis at hand. The user could in theory add all the participants taking part in the workshop, but it might be more efficient to add only those who will be involved in the analysis, which could include the moderators, facilitators and rapporteurs of the workshop, as well as anyone else closely involved in the planning of the workshop.
- **Building Blocks** – the user will add those governance functions to be analysed during the workshop. Each governance function is categorized under the five Sanitation and Water for All (SWA) critical building blocks of a well-functioning WASH sector (SWA, 2017). Building blocks, functions and criteria that will not be analysed should be unchecked by the user, and this removes them from the later modules. Under each governance function, criteria are selected. A criterion is an indicator describing the ideal situation for that function which, when progress is made on it, contributes to achieving sector outcomes.
- **Awards, Bottlenecks and Causes** – all the criteria that have been selected to be analysed by the user should now be assessed for the degree of progress achieved: ‘No’ (red), ‘To some extent’ (yellow), ‘To a large extent’ (green), and ‘Yes’ (blue). This scoring helps with the identification and prioritization of bottlenecks to be removed in later modules. Based on the scores already given, the user should identify up to three bottlenecks per criterion, and up to five causes of each bottleneck. A bottleneck is a constraint for achieving sector outcomes, and should be closely linked with the corresponding criteria.

<sup>5</sup> Training materials are available on the WASH BAT website resources page at <https://www.washbat.org/resources/>. See for example the PDF WASH BAT software User Guide, providing a step-by-step explanation on how to use the online WASH BAT and enables troubleshooting for users; the PowerPoint Training Material “WASH Bottleneck Analysis Tool Online Software” and “WASH Bottleneck Analysis Tool Review and offline functions”.



Box 9. The WASH BAT online tool (continued)

- **Activities for Bottleneck Removal** – the user fills out the activities which have been identified for removing the most critical causes of bottlenecks. For each bottleneck, activities should be identified that will address the causes, and remove the bottleneck. Activities should be as concrete and as explicit as possible (ideally being Specific, Measurable, Achievable, Relevant and Time-Bound [SMART]).
- **Costing Intervention** – the user will add the costing intervention; the required and available financing for each activity should be entered, if available, but the value cannot exceed the activity cost.
- **Fund Allocations** – the user will fill out the potential funding sources to cover the funding gap (if applicable).
- **Responsibility** – the lead agencies responsible for ensuring the implementation of activities should be entered on this page.
- **Reports** – the user can select the data they would like to download, and generate reports tailored to the need of the analysis. The list can be sorted and filtered according to the different analyses' needs, and a Gantt chart can be generated to show a comparative timeline of the proposed activities.

It is important to note that the rapporteurs should be given time before the workshop, preferably up to a week, to create the analysis and fill out the scope of the analysis and other sections which may be known, in order to familiarize themselves with the tool. The online tool contains only the original default criteria and does therefore not contain all the risk-related criteria mentioned in previous section. If governance functions have been selected before the workshop, or if new criteria need to be added, or existing criteria tailored, this should be done before the start of the workshop.

At the end of the workshop, the tool generates a workshop report template. The software automatically generates tables in the Word document using the data entered in the analysis. One report is generated per toolkit application; hence if the workshop covers four subsectors then four different reports will need to be generated. The rapporteur (or someone who has been assigned responsibility) will need to complete the report, adding descriptive parts on background as well as analysis and next steps, as guided by the template. The template includes annexes for a full

participant list, the workshop programme and detailed costs and financing data. To generate a single workshop report, the workshop rapporteur will need to assemble this by drawing on the individual reports of the subsectors, extracting the high-level findings and referring to the more detailed analyses in the subsector report.

Outputs can be generated in various forms and downloaded in PDF, Word or Excel formats. Also, the software allows each session to be viewed in a PDF or in summary form for analysis and validation before moving onto the next session. For instance, facilitators and rapporteurs have the option of printing the progress made at the end of each day or sharing with participants. Each module of the tool allows a PDF to be generated, which summarizes the modules entered so far. Also, the key information that has been entered in an Excel file could be printed or shared electronically with participants. This practice helps the participants to digest the interim findings and to better prepare them for the next session. Facilitators and rapporteurs are also tasked to complete the final report for each respective working group, which is performed at the end of the

workshop and allows for each subsector to present its findings. In the 'Output' module the user can select which columns to include in the view and can download these to Excel for further editing and to allow information to be presented simply to the plenary. The User Manual<sup>6</sup> provides guidance on how to use the tool, including how to download the information entered in different forms.

### *Step 2.C.vi Decision on timing and length of workshop*

The duration of the workshop should match the availability of an optimum number of key sector representatives and resource people to attend. While a complete implementation of the workshop requires a minimum of three days, and is planned for four to five days, the actual length may be adjusted to the envisaged availability of participants. It is essential to keep participants engaged for the whole duration of the workshop. Hence, it is better to run a shorter workshop with the

key stakeholders fully engaged than having a longer one with many participants coming and going. Also, once participants are assigned to a working group, they should stay with that group for the full duration of the workshop.

To complete a WASH BAT in fewer than three days could compromise the results, since it requires either (1) adjusting the number of subsectors to be analysed; (2) breaking one subsector into two working groups, i.e., increasing significantly the number of attendees; or (3) reducing the number of building blocks and/or criteria to be analysed. This should be discussed with government, key partners, and WASH BAT experts from the outset to ensure the right decisions are made.

If there are insufficient days to conduct an entire WASH BAT for the selected subsectors, it is possible to break it into two workshops, taking place from a week to a month apart. The spacing should not be too long, to ensure the discussions are not forgotten.

## **Box 10. Adjusting the WASH BAT methodology for a two-day workshop**

A two-day WASH BAT was conducted in Montero, Bolivia, in December 2018. In order to accommodate the agenda to fit all content into two days, some methodological adjustments were needed, together with specific preparatory work.

Two different options were initially considered. The first option was to limit the evaluation of criteria only to a reduced number of governance functions, to be selected in advance. The second option entailed working on all governance functions but limiting the number of criteria. The second option was finally preferred. For its implementation, a thorough preparation was required, where the core group (UNICEF, the government, and some key non-governmental organizations [NGOs]) reviewed the criteria by function and reduced them by half. They selected the most relevant criteria for the assessment given the municipal context in Bolivia, which was the scope of the workshop. A second key step for shortening the agenda was undertaking a very practical training of trainers (ToT) meeting the day before starting the workshop. During this ToT, the facilitators had the opportunity to practice all steps on the methodology until they were very familiar with them. The agenda and what was requested of them was very well understood by the time the workshop started. During the first day, participants implemented the accountability triangle exercise and assessed all the criteria. During the second day, they were fully devoted to identifying bottlenecks, causes and finding solutions to design the Action Plan. The workshop ended with a declaration being signed by all participants.

<sup>6</sup> The manual is available at <https://washbat.org/resources/>.

Also, the same people should be involved in the two workshops, as far as possible. The working groups can then either choose to cover selected building blocks in the first workshop and work these through to completion; or else to cover all building blocks in the first workshop and implement the first set of modules. The second workshop then completes the work not completed in the first workshop.

It is also possible to complete part of the activities shortly after the main stakeholder workshop. For instance, experience has shown that, in the working groups during a workshop, it is difficult to estimate precise costs of the activities and to know who will be funded, and how. It is therefore possible to assign a different working group represented by different sector agencies and involving budgeting/financing experts, who then work on the cost and funding assessment to complete the Action Plan after the initial workshop.

### *Step 2.C.vii Decision on the number and list of participants*

The criteria for selection of participants in the WASH BAT workshop or related meeting(s) include: (1) broad representation of key stakeholders; (2) firm commitment to provide solid and quality inputs; (3) willingness to respect the time frame and instructions; and (4) experienced participation in other similar analysis exercises. If there is a GLAAS focal point in a ministry, this person should be offered an opportunity to input at the planning stage and also ask them to play a coordination role, given the similarity of discussions that might have recently taken place during the UN-Water GLAAS consultations. It is important to include representatives from joint donor-government coordination groups and constituency focal points (where available) for the SWA partnership, as well as leaders

of knowledge or other project initiatives. In addition, when there is a significant number of participants, the workshop should feature participants from different regions within the country, a good gender balance and (ideally) include users or users' associations. Generally, the more experienced and/or senior the participants are, the more likely it may be that the decisions taken during the WASH BAT workshop are implemented subsequently. However, participation of young people should also be promoted, empowering them to play a vital role in the discussion (e.g., inviting some youth participants to be rapporteurs; see *Box 4* on the engagement of youth representatives in the WASH BAT workshop in Paraguay).

Therefore, adequate time should be spent on selecting the right participants, giving appropriate notice for them to be able to participate. Ensuring that the invitees are willing and able to participate in the WASH BAT can enable a sector-wide discussion on WASH priorities, ensuring that any output is a result of sector consensus on which activities are most likely to successfully remove bottlenecks that inhibit sector progress are fundable, are integrated into the relevant ministry and organizational plans, and are subsequently implemented.

The breakout groups (each group focusing on one subsector<sup>7</sup> in one jurisdiction) should include no fewer than eight participants and no more than 12 per group, including one facilitator and one rapporteur. Each subsector group must ideally have a balanced representation of government agencies, development partners, service providers, decentralized stakeholders, private sector, and civil society, including users and/or users associations.<sup>8</sup> Cross-cutting issues should also be considered to secure a gender balance among participants and a good representation of youth and vulnerable groups.

<sup>7</sup> It is recommended that each group assesses and scores approximately 50 to 75 criteria. Depending on the total number of criteria per subsector, it can be split in two groups that work in parallel throughout the workshop, each group covering one half of the governance functions.

<sup>8</sup> See Annex 4 for an example of representative participants.

It is important to mention that the WASH BAT exercise is intended to be a horizontal discussion among participants in each of the groups. Ensuring that those groups are balanced is paramount, with both senior and junior members, and also with key representation from the government. At the same time, in countries with strong hierarchical structures, some participants might need encouragement to speak up in front of supervisors or more senior members. In those cases, facilitators will have to ensure that everybody's opinion is heard.

It is important that formal invites are sent to all attendees at least three weeks prior to the workshop. Proper management of the invitations (sending, confirmations, making lists) and participants' registration in the workshop is needed to ensure sufficient overall number and representation of constituencies in the group work. Where there are challenges with attendance, groups can be reconfigured (i.e., participants moved between groups), or else if there are insufficient group members, to reduce the scope of the exercise (i.e., the number of groups).

### *Step 2.C.viii Decision on workshop venue*

The workshop venue should fulfil at least the following requirements:

- One big room to host both plenary discussions and group work. If a big room is not available for the entire workshop (or is too costly to hire), group work can be conducted in separate rooms. In this case, time for transitions need to be allocated in the agenda. In remote or blended workshops, where some participants and/or the facilitators might be connected remotely, separate rooms for each group is recommended to avoid background noise.
- A sufficient space for interaction, both in plenary and in group work.
- A good soundproofed room (e.g., noise barriers) or otherwise, enough space between groups working next to each

other, thus allowing participation while avoiding distraction between the different working groups. If this is not possible, a second (and third room) should be hired in the same venue to allow the group work to be conducted.

- Available space on the walls to stick working cards and results.
- An optimum internet connection for the modality chosen.
- A minimum of one projector per working group, depending on the working group modality chosen (see above).
- One computer per working group along with cable extensions to connect all projectors and computers.
- A minimum of one flipchart per working group.
- Round tables fitting 8 to 12 people.
- Printing facilities for the interim outputs of the group work.

It is also recommended to select a venue outside of the capital city, with the participants staying at the venue for the duration of the workshop. This will allow for more engagement from the participants, enabling them to focus on the workshop from start to finish. Experience shows that some participants, especially those more senior, may arrive late or leave the workshop early for other commitments. Thus, having a residential workshop in a more remote location can reduce this problem. However, a residential workshop will also mean increased costs, since the accommodation and evening meals for the participants will need to be covered by the workshop budget.

### *Step 2.C.ix Decision on budget needs*

The leading agency, along their financial partners should estimate the budget needed to implement a WASH BAT workshop before committing to the modality, size and workshop location. *Table 6* shows some major expenditure items needed from the preparation process to the launch of the workshop and follow-up, and an indicative budget need (from \$ to \$\$\$).

Table 6. Approximate resource requirements for organizing a WASH BAT workshop

Main items	Amount of resources
Consultative and preparatory meetings	\$
Per diem for facilitators and rapporteurs for pre-workshop training	\$
Training of facilitators and rapporteurs including meeting facilities rental	\$\$
Moderation fee and cost (including travel and accommodation, depending on length of workshop) and reporting	\$\$
Venue and related equipment, depending on the overall size of the workshop in terms of participation and scope	\$\$\$ <sup>1</sup>
Lunch cost for all participants	\$\$
Residential workshop (accommodations and full board for residents)	\$\$\$ <sup>2</sup>
Transportation for participants	\$\$

1 Unless using free space of a sector organization.

2 Depending on the selection of a venue in the same city or outside the city.

### Step 2.D. Preparatory meetings with government agencies

During the preparatory phase it is essential to establish how the WASH BAT outcome will be communicated to and integrated within the ongoing policy processes. It is during these preparatory meetings that the organizers must assess the opportunities and gather participants' expectations on the potential links between the WASH BAT recommendations and existing national processes. This includes annual, medium-term and long-term planning and budgeting cycles as well as review and reporting mechanisms. The organizers must therefore converse with stakeholders from various ministries and partners, and collect documentation and materials. These materials help workshop participants make evidence-based assessments during the workshop, such as the scoring of criteria, proposals for solutions and financial assessments. It is suggested to have a session at the start of the workshop where a summary of the sector status and sector evidence base are presented and a discussion is held about main challenges in the WASH sector, thus helping warm the participants up in thinking about bottlenecks and causes.

Studies and information to collect in advance include:

- WASH coverage estimates, including higher standards of 'safely managed' water and sanitation.
- Ongoing monitoring initiatives.
- Sector plans, budgets and financing.
- Previous sector analyses that include analysis of bottlenecks. This includes the UN-Water GLAAS, Sector-Wide Sustainability Checks, Service Delivery Assessments, or rapid assessment of the strength of building blocks in preparation for the SWA high-level meetings.
- WASH policies, strategies, regulations and sector studies.
- Assessment of climate risks and vulnerabilities impacting the WASH sector.
- Relevant documents from other sectors such as health and education.

Secondly, these preparatory meetings can also investigate the possibility of integrating the WASH BAT and the outputs of the WASH BAT (e.g., an Action Plan) and the momentum created by the WASH BAT with existing or upcoming national processes. Linking the WASH BAT to a national process, such as a Joint Sector Review, recognizes the importance of basing future plans on a

good understanding of sector weaknesses as well as opportunities. By connecting the use of the WASH BAT to a national process, governments can assume ownership of the outputs, ensuring that they feed into policies which can be implemented to produce positive outcomes for the sector.

Furthermore, it is proposed that the core group proposed in *Box 3* as well as subsector facilitators and rapporteurs involved in workshop preparation, should review and refine the criteria for each

building block prior to the workshop. This step is especially important if the additional criteria are utilized, given that there are more than 200 additional criteria covering climate change, water scarcity, fragility, and emergency contexts, as well as water resources management (see previous Section 2.C.iii “Selection of categories to be included in the discussion”). This preliminary review has the added benefit of making facilitators and rapporteurs more confident with the workshop steps and allowing smooth facilitation of the group discussions.

### **Box 11. Examples from Ethiopia and Cambodia where a WASH BAT has been successfully linked with national processes**

#### **WASH BAT supports the development of the One WASH National Programme in Ethiopia**

In **Ethiopia** the WASH BAT was linked to the One WASH National Programme (OWNP), a sector-wide approach to programming which brings together ministries, development partners, academia and civil society organizations with a common goal of one plan, one budget and one report. The WASH BAT was held in October 2017, while the sector was revising and updating the OWNP for phase 2.

The political commitment, which was communicated through the OWNP, and endorsed at both national and regional levels, ensured that there was sufficient buy-in to the WASH BAT and to the resulting Action Plan. A majority of the key short-, medium- and long-term activities identified in the WASH BAT were incorporated in the second phase of the OWNP. While the team of experts that developed the OWNP document had already identified some of these recommendations prior to the WASH BAT workshop, additional recommendations were identified and incorporated during the process. Moreover, the proposals finally incorporated in the OWNP were more accepted by the stakeholders as they came out of a systematic and participatory process.

#### **Cambodia WASH BAT to support the country becoming open defecation free**

In **Cambodia** the WASH BAT was linked with the Accelerated Sanitation and Water for All programme and open defecation free (ODF) district planning. The WASH BAT was planned as part of Provincial ODF Planning Workshops in two provinces, Kampong Speu and Svay Reing, and focused on supporting rural ODF achievement. The workshops, held in December 2018, resulted in the development of Provincial Action Plans (PAPs). These were presented and discussed with Provincial Department of Rural Development officials, including their visions beyond the PAP. Provincial ODF initiatives were introduced as a result and the provincial ODF plans were disseminated in workshops which further validated the WASH BAT findings.

The workshops allowed senior WASH practitioners and other relevant stakeholders and partners to review and provide additional feedback on the provincial plans, and to identify opportunities to help districts to set and achieve ODF targets, as aligned with provincial targets.

## Step 2.E. Prepare and validate the WASH BAT agenda

As mentioned above, a WASH BAT workshop should be a minimum of three days for each subsector. Taking into account introductory and concluding sessions, as well as other formalities, a four-day workshop gives more space to groups to properly implement the tool. It also allows the addition of other sessions, such as risk assessments, accountability mapping, and cross-linking with other initiatives such as the GLAAS survey.

The workshop agenda follows the flow of the tool, i.e., the governance function selection, scoring, bottleneck analysis and activities to remove bottlenecks. After each session of group work, the agenda should allow space for presenting preliminary results of each group in plenary, as there is often cross-fertilization of ideas and opportunity to assess overlaps and gaps. The agenda should also leave some room for unexpected delays. In addition, other specific sessions might complement the agenda, as outlined below:

- The **opening** and introductory segments of the workshop are important to set the stage, bringing the international perspectives (e.g., the SDGs) and to explore participant expectations. A high-level government representative should give the official opening and an inspiring speech that supports the aims of the workshop and motivates participants.
- One session for the **accountability mapping**, allowing participants to define the institutional service delivery framework and identify accountability challenges within the sector.
- Three additional sessions to integrate the climate component in a **risk informed WASH BAT** (see previous subsection 2.C.iv and Annex 10 for more detailed information): (1) session on validation and finalization of the risk assessment; (2) sensitization session on options to address risks, using case studies; and (3) recalibration of proposed activities for bottleneck removal, further adjusting them

(if needed) to ensure that they also help address identified risks.

- **Re-cap sessions** at the start of each subsequent day, to remind participants where they had reached and what are the objectives of the coming day's sessions.
- **Review and planning meetings** at the end of each day with the core group (including facilitators and rapporteurs) to check what went wrong during the day, what went well, and review the agenda for the following day. Rapporteurs should also allocate time at the end of each day to input data in the online tool.
- The **closing**, in which Action Plans developed for all subsectors are presented and discussed in plenary. It is also recommended to invite to the closing high-level government representatives, who should formally commit in a closing speech to the implementation of all priorities identified during the workshop.

*Tables 7 and 8* give an overview agenda for three- and four-day workshops, respectively. A more detailed agenda for a three-day workshop is provided in Annex 6. Annex 5 gives a two-day workshop option, which can be applied under special circumstances (e.g., if subsector groups break into two or three subgroups to progress through the tool quicker, or if the criteria per building block are significantly reduced). Finally, Annex 7 presents a template agenda for a four-day risk informed workshop, where additional sessions are included to properly address the climate, water scarcity, fragility, humanitarian or broader water resources management lens. It is worth noting that proposed agendas offer a rather generic time allocation, and the final agenda needs to be tailored and adjusted to each context and specific country's needs, in terms of duration and contents, based on selected subsectors and jurisdictions, seniority of attendees (e.g., a high-level segment) and the availability of keynote speakers. For example, the opening or closing sessions could be shortened or prolonged depending on the actual presence of high-level government representatives.

- **Three-day agenda:** includes a short introduction and accountability mapping during the first morning and then start to discuss building blocks and scoring criteria after lunch. The second day is dedicated to identifying bottlenecks, their causes, and activities. Then the third day will focus on prioritization of activities, costing, responsibilities and closing the workshop.
- **Four-day agenda:** includes a longer introduction and accountability mapping

during the first morning, followed by discussion on building blocks. The second half day (morning) is dedicating to scoring criteria and the afternoon to identifying bottlenecks, their causes and activities. During the third day, participants will complete the identification of activities and then will focus on prioritization of activities. The last day will focus on costing, responsibilities and closing the workshop.

**Table 7. Workshop agenda template for three days**

TIME	DAY 1	DAY 2	DAY 3
08.30–09.00	Registration	Recap of Day 1	Recap of Day 2
09.00–10.30	<b>Session 1:</b> Introduction/ plenary (09.00–09.45)	<b>Session 3:</b> Analysis of prioritization of building blocks and criteria <i>Plenary by moderator</i>	<b>Session 5:</b> Prioritization of the activities in detail and timing
	<b>Session 2a:</b> Accountability mapping (09.45–10.30) <i>Short presentation and group work</i>	<b>Session 4a:</b> Bottlenecks, their causes <i>and</i> activities	
10.30–11.00	Health break		
11.00–12.30	<b>Session 2b:</b> Accountability mapping (11.00–11.45) <i>Reporting back in plenary</i>	<b>Session 4b:</b> Bottlenecks, their causes <i>and</i> activities	<b>Session 6:</b> Justification and prioritization through cross-group work
	<b>Session 2c:</b> Selection of the building blocks and criteria (11.45–12.30)		<b>Session 7:</b> Budget and responsibility for the implementation of the recommendations
12.30–13.30	Lunch		
13.30–15.00	<b>Session 2d:</b> Evaluation of criteria	<b>Session 4c:</b> Bottlenecks, their causes <i>and</i> activities	<b>Session 8:</b> Preparation for the closing plenary
15.00–15.30	Health break		
15.30–17.00	<b>Session 2e:</b> Prioritization of criteria	<b>Session 4d:</b> Bottlenecks, their causes <i>and</i> activities	<b>Session 9:</b> Workshop closure
17.00–17.30	Plenary closure of the day	Plenary closure of the day	Joint work of the facilitators and rapporteurs to wrap up the workshop report
17.30–18.30	Joint work of the facilitators and rapporteurs to wrap up and data entry of Day 1	Joint work of the facilitators and rapporteurs to wrap up and data entry of Day 2	



Table 8. Workshop agenda template for four days

TIME	DAY 1	DAY 2	DAY 3	DAY 4
08.30–09.00	Registration	Recap of Day 1	Recap of Day 2	Recap of Day 3
09.00–10.30	<b>Session 1:</b> Introduction/ plenary <ul style="list-style-type: none"> <li>• Opening</li> <li>• Enabling environment</li> <li>• WASH BAT</li> </ul>	<b>Session 2d:</b> Prioritization of criteria	<b>Session 4d:</b> Bottlenecks, their causes and activities	<b>Session 7a:</b> Budget and responsibility for the implementation of the recommendations
		<b>Session 3:</b> Analysis of prioritization of building blocks and criteria  <i>Plenary by            moderator</i>		
10.30–11.00	Health break			
11.00–12.30	<b>Session 2a:</b> Accountability mapping  <i>Short presentation            and group work</i>  <i>Reporting back in            plenary</i>	<b>Session 4a:</b> Bottlenecks, their causes <i>and</i> activities	<b>Session 4e:</b> Bottlenecks, their causes and activities	<b>Session 7b:</b> Budget and responsibility for the implementation of the recommendations
12.30–13.30	Lunch			
13.30–15.00	<b>Session 2b:</b> Selection of the building blocks and criteria	<b>Session 4b:</b> Bottlenecks, their causes <i>and</i> activities	<b>Session 5:</b> Prioritization of the activities in detail/ time frame	<b>Session 8:</b> Preparation for the closing plenary
15.00–15.30	Health break			
15.30–17.00	<b>Session 2c:</b> Evaluation of criteria	<b>Session 4c:</b> Bottlenecks, their causes <i>and</i> activities	<b>Session 6:</b> Justification and prioritization through cross- group work	<b>Session 9:</b> Workshop closure
17.00–17.30	Plenary closure of the day	Plenary closure of the day	Joint work of the facilitators and rapporteurs to wrap up and data entry of Day 3	Joint work of the facilitators and rapporteurs to wrap up the workshop report
17.30–18.30	Joint work of the facilitators and rapporteurs to wrap up and data entry of Day 1	Joint work of the facilitators and rapporteurs to wrap up and data entry of Day 2		

There are alternative structures and formats for the three- and four-day workshops. For instance, the workshop can be split into two parts. There are two places where the workshop could be broken: the introductory part (one half day), and the concluding part (one half day).

- By having the introductory segment some days or weeks before the actual tool

application allows the participants to reflect on the workshop objectives and prepare the information needed for the analysis, as well as selecting the right participants to attend. This type of discussion and information sharing should be part of the preparatory activities.

- By having the concluding session a few days or weeks after the tool

## Box 12. Example from Madagascar of a workshop split into two parts

To reduce the burden on participants, Madagascar divided the workshop into two sessions of two and three days, respectively, conducted four months apart in May and September 2018. Six functions were selected for analysis at the first workshop, and the developed bottlenecks and activities were then reviewed at the second workshop, along with the analysis of an additional five functions.

Such an approach will need to ensure as far as possible that momentum is not lost between the sessions, and that the same participants, or at least a core group of them, attend both workshops for continuity. It is also useful to carry out refresher or follow-up meetings, which can be held remotely, between the workshop dates.

application, the participants are able to go away and reflect on the results and recommendations, before coming back and discussing how they can be used and taken forward. This time allows the completion of the BAT including the costs and financing, the details of which might not be captured during the workshop. It also allows more senior staff to be invited for the concluding session, especially if the main workshop was held away from the usual working place of the participants.

Once it is prepared and validated, the agenda should be sent to all invited participants at least three weeks prior to the workshop, together with the invitation letter.

### Step 2.F. Training of facilitators and rapporteurs for the workshop

The week before the workshop, facilitators and rapporteurs should receive a half or full day training. This can be done face-to-face (the day before the workshop), remotely, or through a combination of both. The trainer might be the lead moderator of the workshop, or a local or international consultant hired for implementing the tool. A full day training allows enough time for the

participants to go through the tool modules in detail in a mock exercise. The structure of the ToT is outlined below.

**Half day training schedule.** During the ToT, facilitators – and if possible, rapporteurs – should understand:

- Background of key challenges in WASH services delivery in the country. Likewise, basic understanding of the importance to strengthen the enabling environment (EE) in achieving universal WASH coverage, as set out in SDG targets 6.1 and 6.2.
- The recent history of tool development for this purpose – the context of WASH BAT (quick overview).
- The sequence of steps required for a WASH BAT process, including criteria scoring, analysis of causes and bottlenecks, definition and prioritization of activities.
- The role of facilitators, showcasing good and bad practices.
- The benefits and challenges of the process and its implementation.
- The support that they can receive from WASH BAT experts.
- The preparation of a roll-out plan for WASH BAT implementation and uptake.

Table 9. Training schedule for half day programme

TIME	PROGRAMME	SESSION LEAD/FORMAT
20 min	Welcome and introductions, other local requirements. Short presentation of participants	Lead agency/Trainer
10 min	Overview of the training and the WASH BAT implementation process	Presentation (Trainer)
15 min	Importance of the enabling environment in meeting the WASH SDGs, and the sector building blocks	Presentation (Trainer)
15 min	Objectives of implementing the WASH BAT and the options for implementation	Presentation (Trainer) Discussion
60 min	Introduction to the BAT modules and tool features: Online version/taking tool offline/methodology of workshop	Presentation (Trainer)
15 min	Health Break	
30 min	Key lessons on how to facilitate WASH BAT group work and workshop organization	Trainer/Lead agency
45 min	Discussion of challenges and how to prepare, for the entire WASH BAT process/prioritization	Trainer
40 min	Preparation and logistics for WASH BAT workshop implementation/agenda	Lead agency/Trainer
10 min	Workshop follow-up – preparing for next steps	Lead agency/Trainer
10 min	Closing remarks	Trainer

In parallel, rapporteurs should have a dedicated session on the WASH BAT online tool (90 min), allowing them to create and

prepare the analysis for their specific group. This could be done at the end of the training workshop.

### Box 13. The impact of the moderation and facilitation on the outputs of the workshop

#### Facilitators need to be mindful of the impact their facilitation might have on the outputs

It is important to consider how the workshop is facilitated in terms of the effect it may have on the criteria, bottlenecks and activities which are discussed and developed. An example of this is if the participants are instructed to vote on at least one activity from each prioritized function for inclusion in the Action Plan.

This may change the result from what it would have been without the instruction. Such potential interference in the workshop and the effect on the outputs need to be carefully considered at the start of the workshop. Hence, the way facilitators introduce the topics and invite participant contributions needs to be discussed in advance with the core group of organizers (including government representatives) to ensure unbiased results are obtained.

## Step 2.G. Prepare an in-depth contingency plan

The preparation and the implementation of the workshop might face a range of both common and unique problems that workshop planners and organizers need to take into consideration. A recent example of this is the emergence of the COVID-19 pandemic, resulting in multiple lockdowns and severe restrictions on attendance numbers at public gatherings and events. This meant that a number of WASH BAT workshops all over the world were cancelled, postponed or forced to go virtual. The effects of the pandemic, and of other similarly unforeseen global/national events such as natural disasters or civil unrest, are likely to continue for extended periods of time due to differing impacts and responses by individual countries.

It is therefore crucial that organizers develop a solid contingency plan they can rely on if circumstances change. In essence, it is proposed to “hope for the best, but plan for the worst”. This means going through each element of the workshop and identifying what can go wrong at every stage, and creating a backup or solution for this. Having a comprehensive contingency plan prepared in advance can ensure a dynamic and appropriate response to any issues that arise, even if the issues arising are different from those planned for.

In the table below, there is a list of key elements to consider when contingency planning, together with proposed mitigation strategies.



Photo credit: Antoine Delepiere

Table 10. List of potential problems/risks in implementing a WASH BAT

Problem/risk	Likelihood/impact	Mitigation strategy
<b>Preparing for the WASH BAT</b>		
<b>Poor engagement of the lead organization</b>   The commitment of the lead organization is key throughout the process. This role is typically shared between UNICEF and the government.	Medium/High	It is first recommended to conduct the WASH BAT based on actual needs and demands (see Step 1 of the implementation approach). Then, it is important that the lead organization fully understand its role and associated responsibilities. Also, to make sure that it has adequate capacities and resources.
<b>Poor convening power</b>   Adequate convening power is needed to develop a list of participants and secure their participation, including representatives of all stakeholders, and properly balance gender and youth (see subsection 2.C.vii).	Medium/High	Involvement of the government is needed to engage and secure participation of all sector stakeholders. The convening power of UNICEF should also be used more decisively.
<b>Inadequate venue</b>   The venue needs to meet certain requirements to allow for adequate group and plenary discussions (see subsection 2.C.viii). IT requirements need also be considered.	Low to medium/High	The venue needs to be identified and decided at least one month before the workshop. It should fulfil all requirements, in terms of space, comfort and IT resources. A contractual agreement should be also signed, clearly listing all needs and requirements.
<b>Lack of involvement of the climate task force</b>   Poor involvement of the task force in the assessment of risks, shocks and vulnerabilities (in the risk informed modality).	Medium/ Medium to high	The level of engagement of the task force needs to be decided in advance, based on time availability of WASH and non-WASH experts. It could be decided that the assessment is conducted by a third party, based on desk review. However, even in this case, some validation of achieved results by the task force is needed.
<b>Implementing the workshop</b>		
<b>Speakers or special guests drop out</b>   Keynote speakers and authorities are typically invited in the opening and closing ceremony. They may represent a motivation factor for participants, also giving greater visibility to the workshop.	Medium/ Medium	Make sure there are backup speakers or the technology is in place for speakers to join in virtually in case selected speakers suddenly cannot physically attend the workshop on the day.
<b>Poor attendance of participants, including lack of representation of key stakeholders</b>   Each subsector working group should be made up of roughly 8-12 participants with a range of different representations. An adequate number of participants representing all sector stakeholders is crucial to secure broad-based and rich discussions.	Medium/ Medium to high	The list of participants needs to be prepared in advance, making sure that representatives of all stakeholders are included. Backup options could be identified to deal with potential dropouts. The invites should be sent to all participants three to four weeks in advance, including the concept note of the workshop and a preliminary version of the agenda. Follow-up of the invites might help to assess the level of participation in advance, and for remedial action to be taken.
<b>Glitches in online tool</b>   The online tool is not working properly, and rapporteurs face problems with entering data.	Medium/ Medium	It is important that all rapporteurs are familiarized with the tool before the workshop. The ToT should be completed by them a few days before the workshop. It is also important to keep detailed handwritten notes in case information needs to be entered in the tool after the workshop.

Table 10. List of potential problems/risks in implementing a WASH BAT (continued)

Problem/risk	Likelihood/impact	Mitigation strategy
<p><b>The technology fails, including poor internet connection</b>   Internet connection is poor, hampering the use of the online tool, and the possibility to connect with virtual speakers. Other technology-related problems may include poor quality of the speaker system, the projector, etc.</p>	<p>High/ Medium to high</p>	<p>The best way to plan for this is to have an experienced event technologist and technician on hand to help if things go wrong, particularly in the opening and closing ceremony. This is especially important if your event is hybrid, and you have virtual attendees becoming increasingly frustrated at their blank screen. It is recommended that availability of a technician is negotiated in advance with the venue.</p> <p>If the internet goes down, it might be good to have a backup (e.g., local mobile networks for rapporteurs). Always make sure your venue is prepared for the worst with backup internet connections.</p> <p>Remote speakers can also record and share their presentations in advance, avoiding any problem on the day of the presentation. This may also avoid problems in keeping to the agenda.</p>
<p><b>No completion of the Action Plan</b>   Less effective time in sessions to conduct the analysis, leading to the non-completion of the tool (e.g., activities, costing, responsibilities) and incomplete Action Plan.</p>	<p>Medium to high/ Medium to high</p>	<p>Appropriate planning of the next steps after the workshop ensures that any sessions which were not finalized during the workshop can be finalized afterwards, with some of the key participants engaged. This should be discussed in preparatory discussions with the coordinating agency, the lead government agency, and the core group, if this exists. On the final day, a new session on the next steps after the workshop should be planned (time permitting).</p>
<p><b>Translation and interpretation</b>   In some workshops, translation into local languages is needed. It is important to ensure through adequate simultaneous translation that language is not a barrier to ensuring inclusive discussions among participants and the facilitators.</p>	<p>Medium to high/ Medium to high</p>	<p>In case simultaneous translation is needed, it is recommended to share all materials (e.g., PowerPoint slides) with the translators in advance. Also, it is important to provide them with a list of key concepts and terms (e.g., WASH BAT, enabling environment, etc.), making sure that they are properly translated.</p>
<p><b>Potential shocks beyond the control of the organizers</b>   A list of shocks can severely impact the preparation and delivery of the workshop, such as natural disasters, political instability, a pandemic (e.g., COVID-19), etc. All these shocks are beyond the control of the organizers, and most of them are difficult to predict in advance. There is always the chance that factors beyond anyone's control may mean that the workshop must be cancelled.</p>	<p>Low to medium/ High</p>	<p>In case of political instability or any other shock that can impact the correct implementation of the WASH BAT, it is recommended to reschedule and postpone it until the situation is more stable. If cancellation is not an option, and depending on the type of shock, there are two alternatives: (1) continue with the organization of the workshop, putting measures in place to ensure that the workshop is as safe as possible; (2) shift to a virtual or hybrid modality, where all or some participants attend the workshop virtually.</p> <p>It is also recommended to make sure flexible cancellation policies have been negotiated with the venue and suppliers to account for this contingency, allowing you to switch your event to virtual at no extra cost if required.</p>

Table 10. List of potential problems/risks in implementing a WASH BAT (continued)

Problem/risk	Likelihood/ impact	Mitigation strategy
<b>Implementing the endorsed recommendations</b>		
<p><b>Lack of endorsement from decision makers</b>   One major risk that might challenge the whole process and its outputs is poor endorsement of the Action Plan by relevant decision makers.</p>	Medium to high/High	<p>Various actions might be in place to promote endorsement of the results of the workshop by decision-makers. First, a brief report or a formal declaration should be shared with the relevant ministries (<i>see Box 16</i>). Second, it is important to identify the actual decision-making processes that the tool findings are intended to influence, as well as the specific way in which the recommendations will feed into these processes. Third, where relevant, it is recommended to link specific activities of the Action Plan to other ongoing processes and interventions in the country, aligning the WASH BAT with these initiatives (e.g., the development of a national policy or strategy, the implementation of a project in a particular region, etc.).</p>
<p><b>Lack of follow-up by convening organization(s)</b>   Too often, there is no clear plan for following up the Action Plan after the workshop, and no stakeholder or group of stakeholders accountable for this follow-up to take place.</p>	Medium to high/High	<p>The implementation of activities needs to be monitored and progress fed back to stakeholders to allow course corrections. The follow-up and monitoring of the Action Plan should be agreed on during or shortly after the WASH BAT workshop.</p> <p>A good practice is to include one section at the end of the workshop to discuss and agree the next steps and responsibilities. This can be prepared during the last day, when the facilitators know the types of activities prioritized and accountable stakeholders can be identified. An alternative approach is to entrust the monitoring of the Action Plan to the core group in charge of preparing the WASH BAT.</p>
<p><b>Unrealistic plans and time frames established during the workshop</b>   The level of ambition in the definition of activities and solutions needs to be balanced with the capacities and resources available for their implementation.</p>	Medium to high/ Medium to high	<p>The tool includes one specific session to discuss the timeline and the institutions involved in the implementation of prioritized activities. It is recommended that the Action Plan combines short-, mid- and long-term activities (e.g., five years). It is also recommended to be as realistic as possible, narrowing the scope of those activities that are unrealistic or too ambitious.</p>
<p><b>Limited resources/capacities to implement the plan</b>   One typical bottleneck that hampers the implementation of the Action Plan has been the availability of funding.</p>	Medium to high/High	<p>The tool includes one specific session to discuss funding resources. Therefore, once the priority activities are agreed, the financing source options need to be identified. If the funding is not forthcoming, this needs to be clearly highlighted, and remedial actions need to be prepared (e.g., development of funding proposals).</p>



## Step 2.H. Day before the workshop: final checklist

Specific tasks to be done on the day(s) prior to the WASH BAT workshop include:

- Finalization of the workshop agenda, depending on the presence of senior government representatives
- Confirming the official opening and closing with representatives from government
- Visiting the venue and preparing the room (e.g., setting up the tables, displaying on the wall all papers needed for Day 1)
- Checking coffee break and lunch break with the venue responsible
- Checking all equipment, particularly the projector (cable) and the audio system (mics and speakers)
- Checking the internet connection and power reliability
- Checking the working group leaders (facilitator, rapporteur) have registered in the online WASH BAT and will arrive on time for the beginning of workshop
- Checking/updating all presentations to be made in plenary
- Checking that all stationery needed is available
- Printing all the materials for Day 1 and being prepared for further printing during the workshop
- Preparing attendance list for plenary and working group; splitting the criteria poster and functions card by group.



## Step 3. Implementing the WASH BAT workshop

The application of the WASH BAT is expected to be a collaborative effort involving all major sector stakeholders, including development partners made up of different constituencies. These include government, external support agencies, civil society organizations, private sector and academia. In order to arrive at a consensus on which are the most practical solutions to remove bottlenecks inhibiting sector development, the tool is designed to cater to different needs. The principal users of the tool are expected to be government ministries responsible for WASH (termed 'line ministries').

In a systematic step-by-step approach, the WASH BAT workshop helps participants to:

- Assess the risks and vulnerabilities affecting WASH services and facilities (in the risk informed modality);
- Assess the key enabling factors to be developed for the WASH sector;
- Identify bottlenecks that restrict sector progress, and discuss about the associated causes (see *Box 14*);
- Propose (sequenced) activities for the removal of bottlenecks;
- Estimate resource requirements and costs of bottleneck removal;
- Propose priorities for utilization of additional funds made available to improve the enabling environment;
- Identify those responsible for leading activities to remove the bottlenecks; and
- Link bottleneck removal to sector and broader development objectives.

The moderator and his/her team will do this through the following modules of the tool:

- Scope of Analysis
- Building Blocks
- Scoring of Criteria, Bottleneck Identification and Bottleneck Cause(s)
- Bottleneck Removal Activity
- Costing Intervention
- Fund Allocation
- Responsible Stakeholders for Activity Implementation
- Report Generation and Review.



Photo credit: Antoine Delepiere

## Box 14. Differences between bottlenecks and their causes

### Identifying bottlenecks that constrain progress and their associated causes

A bottleneck is defined as a factor constraining progress in the delivery of goods or services to a target population, and the sustained consumption of that service. In other words, bottlenecks relate to things that are going wrong, not being done, or being done wrong – thus limiting progress. Therefore, they can refer to:

- The absence of an enabler
- The presence of a disabler.

The causes are the reasons, elements or factors that create or produce a bottleneck. A cause may, in turn, be caused by another cause, and it is therefore recommended to identify the priority cause.

In the workshop, it is important not to mix bottlenecks with their causes since this might hamper the identification of adequate solutions. See some examples below:

**Table 11. Examples of bottlenecks and their causes for specific WASH BAT criteria**

WASH BAT criteria	Bottleneck	Cause	Activity
Rural water policy includes coverage and service targets, including those aligned with 'safely managed' drinking-water services (Policy and Strategy)	The water policy does not include target aligned with global aspiration of universal coverage	Policy is 15 years old, and SDGs were not yet operationalized	Update policy based on SDGs
Business model is financially sustainable, and includes full operations and maintenance services to ensure safe disposal, while ensuring minimum service levels are affordable to poor and vulnerable groups (Service Delivery Arrangements)	Lack of context-specific sustainable service delivery models	No inclusion of service delivery models in city plans	City-wide sanitation master plan Develop sustainable service delivery model (subsidy, gender, finance, etc.)
Public allocations to water as % gross domestic product are sufficient	WASH sector receives 0.03% of national budget, covering only 17% of investment needs	The importance of WASH to population not recognized Weak political support Low water service cost recovery Lack of data for investment case	Prepare report on costs of inaction, the costs and benefits of action, and market size

**Table 11. Examples of bottlenecks and their causes for specific WASH BAT criteria (continued)**

WASH BAT criteria	Bottleneck	Cause	Activity
Public allocations to water as % gross domestic product are sufficient <i>(continued)</i>	Of the budget allocations made, only 62% are released and utilized	Procurement systems make it difficult to spend within fiscal year Requests for releases delayed by months, demotivating WASH actors & leading to reallocations	Conduct public expenditure review or Public Expenditures Tracking Surveys (PETS) Prepare guideline on budget utilisation
Coverage of specific population subgroups is monitored to track progress of vulnerable populations and feeds into decision-making	Coverage data are not broken down by provincial level and ethnic subgroups	No explicit mention in policy of types of population breakdown Ethnic groups not well defined in survey instruments Weak data analysis capacity	Prepare annex to policy stating groups to monitor Propose questions for household surveys
	No decision-making instrument exists to target resources to subgroup based on WASH	Poverty targeting mechanism does not include WASH coverage WASH funds allocated to provinces cannot contain conditionalities	Explore mechanisms for allocating resources to disadvantaged groups
Institutional roles and accountabilities are clearly defined and operationalized for school WASH	Education policy does not refer to role of WASH sector actors in school WASH	Education staff not sensitized No history of collaboration Weak voice of children in policy Seen as additional costs	Organize meeting with education sector Prepare a report on impact
	WASH policy does not explicitly refer to sector's role in school WASH	WASH actors see role in household WASH only Lack of evidence to show impact	Hold a meeting of WASH actors to agree best approach to issue Prepare a report on impact

Breakout groups are a key component of the workshop. It is advised that each group works through the entire tool for one subsector (water, sanitation, hygiene), covering one jurisdiction (rural, urban, peri-urban) and one administrative level (national, regional, provincial, district). Depending on the profile stakeholders wish to give to hygiene, it can

either be analysed separately (which requires dedicated groups) or integrated into the assessment of water and of sanitation (e.g., hygiene in water storage, or handwashing after toilet use). For WASH in institutions, the tool is applied simultaneously across water, sanitation and hygiene. It is also feasible for a group to first conduct the assessment at

the national level, and then go through the subnational level to assess what differences there are. However, additional time needs to be allocated for such assessments. If a group covers more than a single 'run' of the tool in a specific subsector, it means less time for creative discussions and blue sky thinking that such a workshop often leads to. Hence the group work should not be overly pressurized.

During the workshop, it will be important to identify similar or identical activities that are proposed by different groups and seek to combine these where possible. Hence, any double counting of activity costs will need to be removed. Note that more detailed assessment of costs and financing will normally be required after the workshop closure, and where such duplications can be identified. During the workshop, however, there should be opportunity for presenting interim results of each group after each session, exploring opportunities for cross-fertilization of ideas as well as identifying overlaps and gaps.

### **Step 3.A. Opening of the WASH BAT workshop**

The opening of the WASH BAT workshop has to be done in line with the customs in the country. However, having a high-level government representative giving the official opening of the workshop, and (ideally) inviting the same representative to join the final session of the workshop, could contribute to formalizing the WASH BAT as a key sector exercise. If a choice must be made, the presence of a high-level government representative might be more strategic in the closing remarks than in the opening ceremony. In the case of closing ceremony, if the government representative has decision-making powers (e.g., a minister), he/she can

endorse the proposed Action Plan at the end of the workshop.

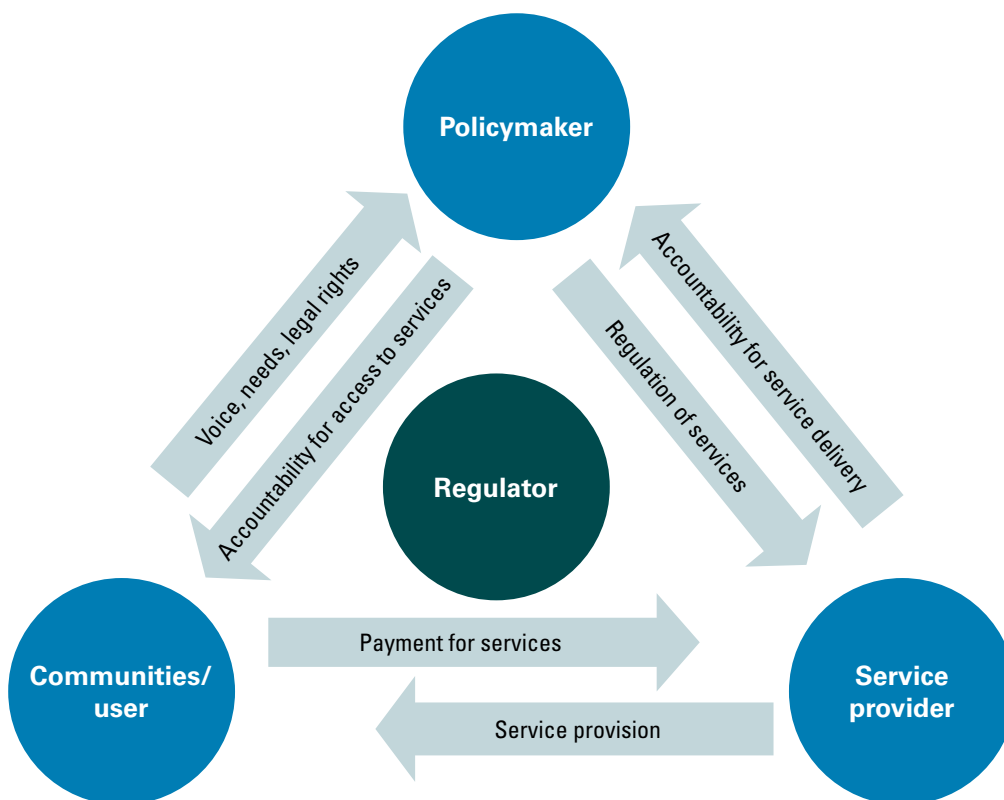
### **Step 3.B. The accountability mapping session (optional)**

The accountability mapping session aims to provide a common framework among the participants, and an overview of the structure of service delivery and to identify accountability challenges within each subsector. It enables participants to have the overall picture of the sector delivery framework in an easy-to-understand visualization. The accountability mapping serves as an eye-opener to participants during a WASH BAT exercise to help look at water and sanitation as services. It also allows participants to reach a common level of understanding on which actors are involved in the service delivery process and the relationships between them, as well as to identify weak points and gaps, i.e., parts of the system that do not function as they should. For this reason, it is recommended to initiate the WASH BAT workshop with this exercise, and before starting the bottleneck analysis.

The accountability mapping tool is built upon the accountability framework, which provides a generic set-up of institutional responsibilities in public service provision. It is represented as a triangle showing the existing functions and relations within the public service delivery, i.e., between the policymakers, service providers and users. The use of a triangle shows how the water and sanitation sector works as a system of interconnected functions that need to work together for the services to be provided successfully and sustainably, thus it helps to identify the weak accountability links that exist within the sector.



Figure 11. The triangle of accountability in the service delivery framework



The first step in drawing the accountability triangle is to map out and understand the existing accountability relations in service delivery. When mapping accountability relations, two broad types of issues must

be answered: (1) roles and functions; and (2) relations between actors. Specific questions to be asked should cover all three types of relationships within the WASH service delivery framework, as shown in the table below.

Table 12. Guidance questions to map and discuss accountability relations among WASH stakeholders

<b>Roles and functions:</b> Who is mandated to do what? Who does what and how in the WASH sector?	<b>Relations between actors:</b> Who responds to whom? How do these actors link to each other?
<ul style="list-style-type: none"> <li>• Who must ensure that people have access to water and sanitation?</li> <li>• Who is the owner of the infrastructure?</li> <li>• Who provides the services (e.g., water) to the people?</li> <li>• Who are the users?</li> <li>• Are there other actors that are involved in providing the services?</li> <li>• Is there an institution/entity that ensures that everyone fulfils their function adequately?</li> </ul>	<p><b>Accountability relations between policymakers and communities/users</b></p> <ul style="list-style-type: none"> <li>• What are the weaknesses in accountability relating to political representation and judicial processes?</li> <li>• How strong and clear is the voice of citizens in airing their concerns and priorities to decision makers?</li> <li>• To what extent is the State responsive and answerable to its citizens?</li> </ul> <p><b>Accountability relations between policymakers and service providers</b></p> <ul style="list-style-type: none"> <li>• How is the design and implementation of water management and oversight of providers by State?</li> <li>• Does the government fulfil its obligations towards service providers, for example in terms of investment?</li> <li>• Do service providers fulfil their contract with the State, including for the quality of service as well as the collection of agreed tariffs?</li> </ul> <p><b>Accountability relations between service providers and communities/users</b></p> <ul style="list-style-type: none"> <li>• What are the weaknesses in accountability in market processes between WASH users and service providers?</li> <li>• How responsive are service providers to their clients' demands?</li> <li>• Do consumers behave according to contracts?</li> </ul>

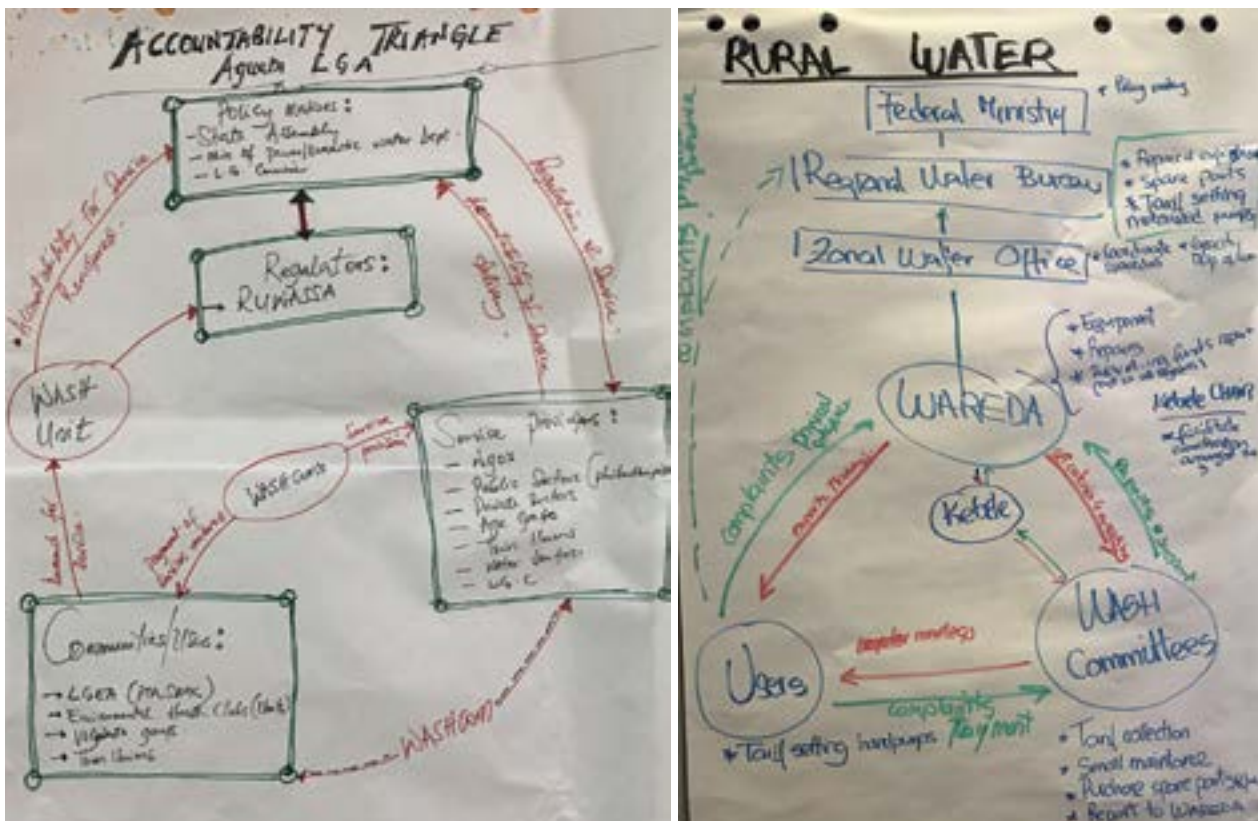
To ensure a structured approach to accountability in the water sector, three levels of obligations and conditions for relations need to be understood by the stakeholders to be accountable:

- **Responsibility:** obligation of those in authority to take responsibility for their actions. Requires that duties and performance standards are clearly defined.
- **Answerability:** obligation to inform, consult and include stakeholders in all stages of service delivery. Requires that duty-bearers provide justification for their actions and decisions to those who are affected.
- **Enforceability:** obligation of those in authority to be subject to some form of enforceable sanction if their conduct or

explanation for it is found unsatisfactory. Requires that 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.

In the next step, after the questions have been answered, the accountability triangle can be drawn, as shown in *Figures 12 and 13* below. The accountability triangle can help participants of the WASH BAT identify challenges and will help the working groups to focus on their subsector assessment during the WASH BAT. It has proven useful as part of the WASH BAT workshop, combined with the deeper analysis of governance functions provided through the WASH BAT

Figure 12. Example: Nigeria, water district level Figure 13. Example: Ethiopia, rural water



process. In sum, the mapping exercise helps to identify the accountability weaknesses to be addressed in the WASH BAT, the actors who should be engaged, and potential improvement actions.

For further information, refer to [WASH Accountability Mapping Tools](#) (SIWI and UNICEF, 2016b), the [accountability mapping facilitator guide](#) (SIWI and UNICEF, 2016c), the [reference guide for programming](#) (UNDP-SIWI Water Governance Facility and UNICEF, 2015b) and [explaining the concept of accountability in WASH](#) (UNDP-SIWI Water Governance Facility and UNICEF, 2015a).

### Step 3.C. Complete the criteria-bottleneck-cause-activity sequence

The main activities to be conducted by the group work throughout the workshop are the scoring of criteria, analysis of bottlenecks, and definition and prioritization of activities. The criteria-bottleneck-cause-activity

sequence can be completed in two different ways, as described below and shown in *Figures 14 and 15*:

- **Horizontal analysis:** This modality completes the sequence bottleneck-cause-activity in a row, for all prioritized criteria. That is, once the bottleneck is identified, in the same discussion with participants, causes and activities are defined. Therefore, analysis of the second criterion won't start until the activities for criterion 1 have been identified and discussed (see *Figure 14*).
- **Vertical analysis:** In this option, once all criteria have been scored and prioritized, the analysis first focuses on the bottlenecks. Then, bottleneck by bottleneck, all causes are identified. Finally, for each bottleneck-cause pair, one potential activity is defined (see *Figure 15*). In practical terms, each discussion is carried out in a separate workshop session.

It is recommended to opt for the horizontal analyses, in order to keep the flow of the analysis and logical sequence of the discussion. This approach can be easier to facilitate, as the whole logic chain for a bottleneck and its removal is discussed at once, rather than going backwards and

forwards between building blocks within each session. On the other hand, the advantage of the vertical analysis is that an overview of all bottlenecks is possible before prioritizing them and focusing on the most important ones in subsequent workshop sessions.

Figure 14. Horizontal analysis of bottlenecks, causes and activities

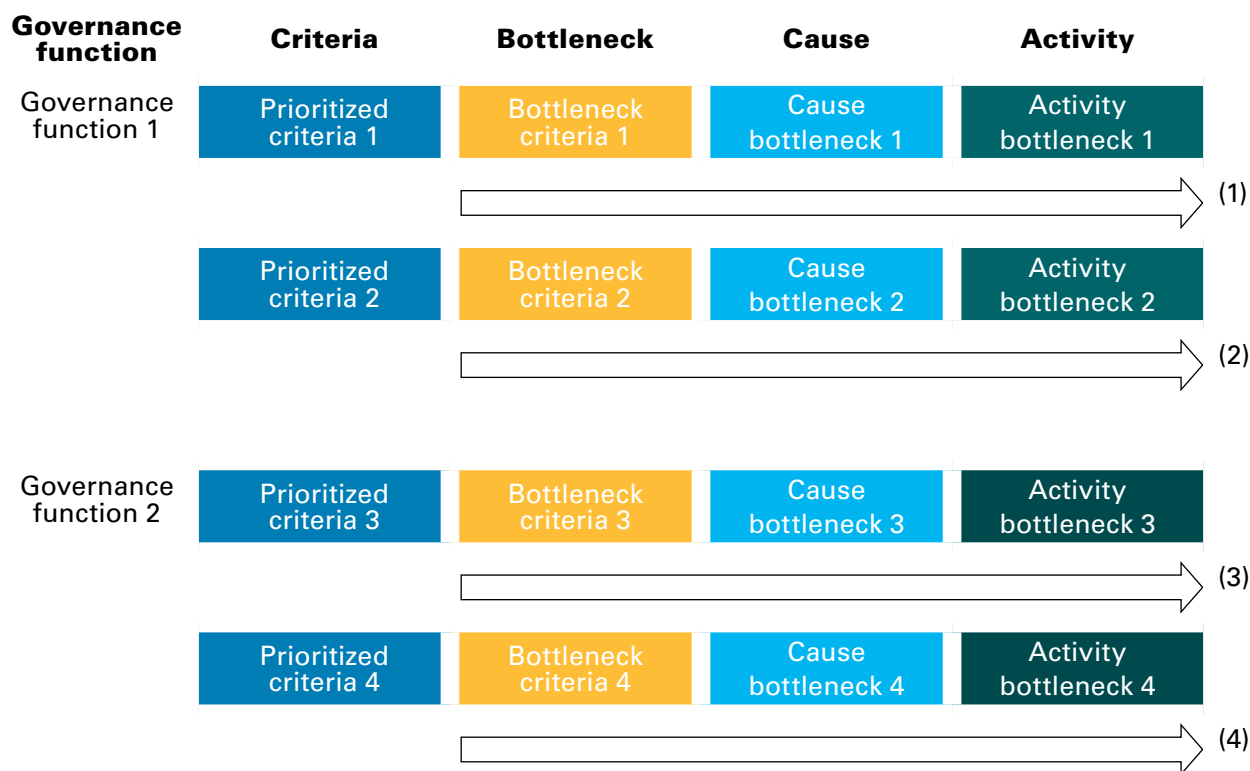
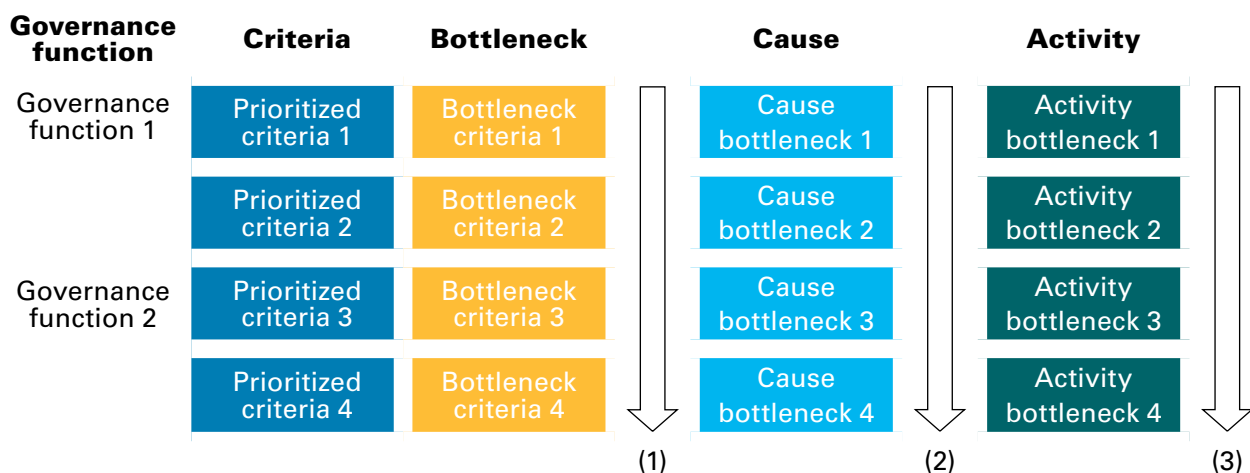


Figure 15. Vertical analysis of bottlenecks, causes and activities







**Score criteria** | All criteria are scored by the groups using a red, amber, green and blue traffic light rating system representing, respectively, ‘no progress’, ‘some progress’, ‘good progress’ and ‘fully met’. This scoring exercise forms the basis for identifying where the major bottlenecks are in sector functioning. In practical terms, only those criteria scoring red and amber are analysed in the following sessions.

The following guiding questions can help score the criteria:

- What is the degree of urgency for its implementation?
- What capacities are needed for the implementation to be efficient and effective?
- Can the criterion be adapted to any given context?
- Is there an enabling environment for the improvement of the criteria performance?

**Identify bottlenecks, decide on priorities, and activities** | Based on those criteria scoring the lowest, e.g., red or amber, bottlenecks constraining progress, and the associated causes, are defined by the groups in the workshop. The groups prioritize those criteria and bottlenecks which are most relevant to the sector, and define activities for each, which if implemented would solve the bottleneck and contribute to the associated criteria being met.

When defining and prioritizing activities, the following questions can be used to guide the group discussion:

- What is the feasibility for activity implementation?
- Is there consensus regarding the sustainability of the solution?
- What are the potential challenges and gaps?
- Can sector development plans be adapted to incorporate the activity?
- Is there a possibility to influence the activity of a particular stakeholder?

## Box 15. Prioritizing activities through a marketplace dynamic

A marketplace dynamic consists of an informal voting system where participants walk through the plenary room, stopping at the tables that interest them.

Before the voting, all working groups will have presented all proposed activities, making sure that all participants have adequate understanding of their rationale and their content.

Then, each participant takes a set of 5 to 10 sticky dots (depending on the total number of activities that need to be prioritized) and votes on the proposed activities that make the most sense to him or her. The voting can include some specific rules, depending on the exercise (e.g., participants must vote for at least one activity per subsector, or they need to vote for activities at both national and subnational level).

At the end of the voting, the lead moderator counts the number of dots each activity has received. After another round of debate within the group to discuss the findings, some activities can be re-written and adjusted after the vote. These are then included in the Action Plan.

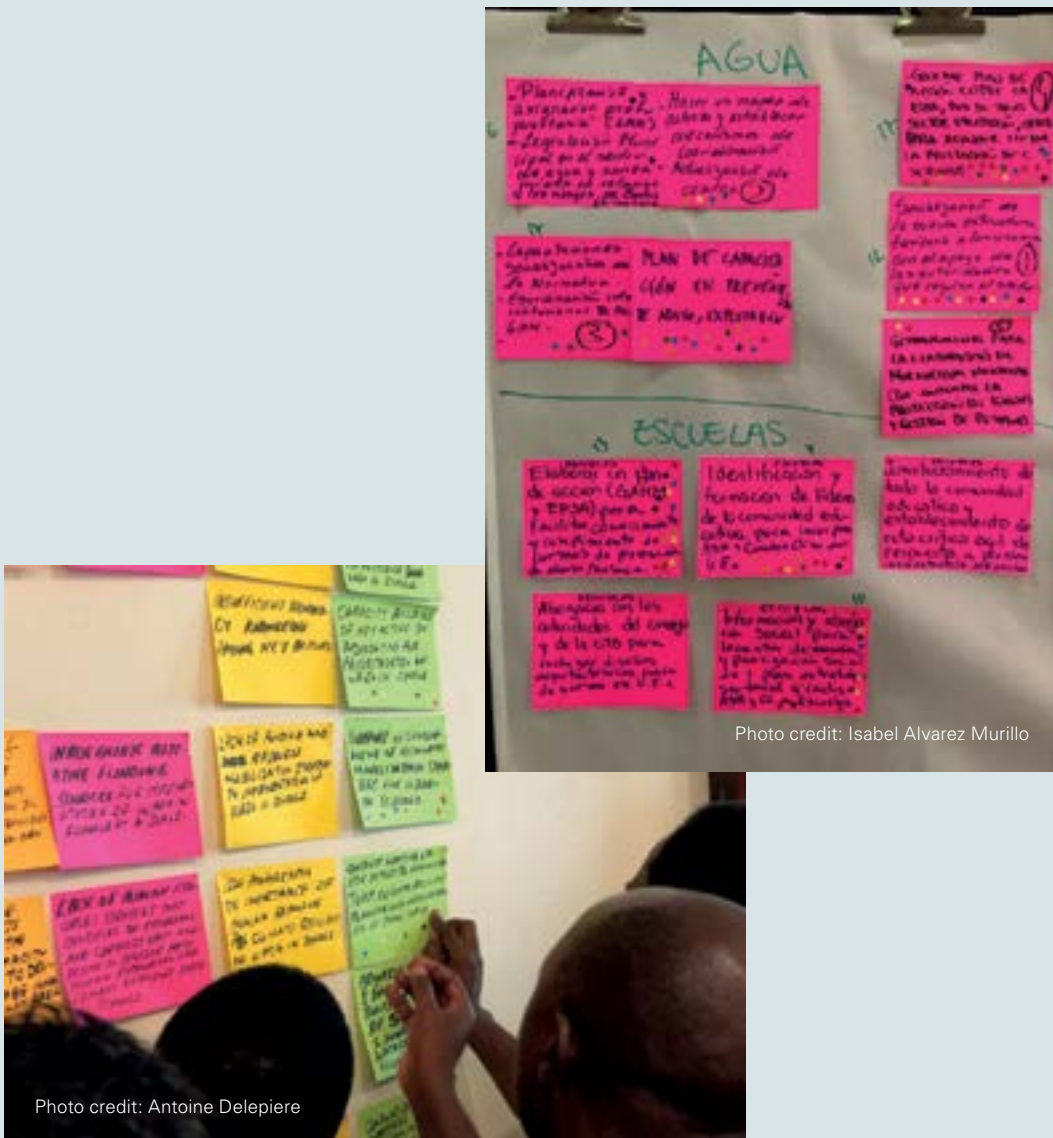


Photo credit: Isabel Alvarez Murillo

Photo credit: Antoine Delepiere

### Step 3.D. Develop the Action Plan

Once the activities have been prioritized, they need to be developed further to formulate the Action Plan. This is done during the last two sessions of the workshop.

#### Calibrate coherence of the activities proposed and define sector priorities |

A final review of the activities is performed in plenary, where they can be refined and made SMART. Activities also need to be consolidated across the different groups. As part of this process, key sector priorities can be defined, resulting in a prioritization of the activities proposed, either through consensus of the participants or through a voting mechanism.

#### Establish costs and responsibilities |

As a final stage of developing the Action Plan, costs of activities for each group or subsector are estimated, activity funding determined (fully-partially-not funded) and activities prioritized (high-medium-low-not a priority). It is important to specify a responsible agency or organization for each activity to strengthen accountability and follow-up.

At the end of the process, the main output of the WASH BAT exercise is an Action Plan that is specifically formulated to remove major bottlenecks that constrain sector progress and hamper safely managed water and sanitation services.

### Step 3.E. Closure of the WASH BAT workshop

As recommended earlier, the closing ceremony of the WASH BAT workshop is a key moment and therefore, in terms of securing high-level ministry participation, might be more important than the opening. Having a high-level government representative in the closing ceremony could contribute to formalizing the WASH BAT as a key sector exercise.

In the past, several Action Plans could not be fully completed and validated during the workshop, as the participants did not have the full authority to endorse an Action Plan which is to be implemented (UNICEF and SIWI, 2020). It is therefore recommended that the workshop includes one closing session in which the Action Plans for all subsectors are presented to a government representative with decision-making power (e.g., a minister). He/she can endorse the proposed Action Plan at the end of the workshop, thus setting the path of its implementation.

If the Action Plan cannot be officially endorsed during the closing ceremony, it could be postponed to a later date, or to a formal (e.g., written) endorsement. In parallel, some countries unable to obtain a full endorsement at the end of the workshop decided to have a written statement which participants either verbally agreed or signed (when time and circumstances allowed). It gives closure to the workshop, while also giving participants a document which can be presented to their colleagues or to a decision maker and can be used as a foundation for the next steps. This reduces the potential for misalignments or misunderstandings after the workshop. As the finalization of the report can sometimes take several months, the declaration can serve as a summary of the main findings until the report is finalized.

By way of example, the following three options are proposed (examples from countries are included in *Box 16*):

- An official declaration approved by all participants and signed by sector authorities and representatives of the main institutions participating in the workshop.
- A declaration agreed on and signed by the participants. This declaration can be presented to all authorities after the workshop.
- An executive summary of the workshop, including the main agreements and a summary of the Action Plan. This can be written in a neutral tone to prevent any potential political bias.

## Box 16. Different types of 'official' WASH BAT outputs

### Supporting the endorsement of the Action Plan by decision makers

One key output of the workshop, together with the Action Plan, might be a short declaration summarizing the main findings and the consensus agreements that have been reached during the workshop. The political tone, the type and number of key representatives participating in the closing session, the possibility of enforcement, and the need to engage key actors in the implementation of the Action Plan will influence the type of output that can be prepared.

Examples are:

- **Official Declaration**, in Montero, Bolivia. Key sector institutions in the municipality agreed to the signature of a two-page Declaration (Declaración de Montero, 2018) which summarized all activities included in the Action Plan. Signatories of the Declaration included representatives in the ceremony. However, all participants agreed on the need to prepare and sign a formal Declaration outlining the main agreements and set the strategic lines for the sector. Shortly after the workshop, this Declaration was officially presented at the ministry level in the presence of other national stakeholders.
- **Official Declaration**, in Ndjamena, Chad. Key sector institutions of the WASH sector agreed to the signature of a two-page Declaration which summarized the main activities included in the Action Plan. All participants agreed and signed the Declaration outlining the main agreements and set the strategic lines for the sector. Shortly after the workshop, this Declaration was officially presented at the ministry level in the presence of other national stakeholders.
- **Official Declaration**, in Asunción, Paraguay. All participants in the workshop agreed to the signature of a four-page Declaration which summarized the main activities included in the Action Plan. It also referred to the need to establish a national committee in charge of monitoring the implementation of all prioritized activities. This Declaration was officially submitted to the representative of the Government's Directorate of Drinking Water and Sanitation during the closing ceremony.
- **Executive Summary** of the WASH BAT in Suriname. The need for a signed document was not agreed on. Instead, the organizers prepared an executive summary of the workshop, including the methodology and major consensus. A copy of the document was given to all participants.

*Source:* UNICEF and SIWI (2020).

Finally, as already mentioned, where possible the WASH BAT and its Action Plan should be connected to a process already ongoing in the country. A task force should also be allocated that is responsible for following up on the

implementation of the plan and ensuring that it translates into policies, including the plans for follow-up and those accountable (see Step 6 below).

## Step 4. Government endorsement of the WASH BAT Action Plan

Following the workshop, there needs to be a further step for summarizing the outputs, including the formal workshop report and engaging with key stakeholders absent from the workshop. If some groups did not complete all the modules, responsibility should be assigned to complete them.

If some parts of the tool could not be completed due to lack of information, the required information should be located, or else plans made for collecting it. For instance, the estimation of activity costs and financing available might not have been completed or conducted in depth. Therefore, as consensus is reached on which activities should be prioritized, the costing and financing implications need to be checked and estimated with a greater degree of accuracy.

A brief report should be shared with the relevant ministries, to gain endorsement from the ministers or deputy ministers (see Section 3.E). The actual decision-making processes that the tool findings are intended to influence need to be identified, as well as the specific way in which the recommendations will feed into these

processes. Similarly, where relevant, it is important to link specific activities to other ongoing processes and interventions in the country, aligning the WASH BAT with these initiatives (e.g., the development of a national policy or strategy, the implementation of a project in a particular region).

One typical bottleneck that hampers the implementation of the Action Plan has been the availability of funding. Therefore, once the priority activities are agreed, the financing source options need to be identified for the identified activities. If the funding is not forthcoming, funding proposals should be prepared.

Having participated in the WASH BAT workshop directly, responsible agencies should consider how relevant the WASH BAT is for other levels (e.g., subnational) and other subsectors not yet analysed.

As they move ahead, activities and their impacts need to be monitored and reported periodically to a sector group (see Step 6. Monitoring and evaluation of the implemented actions).

## Box 17. Government endorsement of the Puntland Action Plan

### Puntland (Somalia) Ministry of Health including WASH BAT activities in annual work plans

At the start of the WASH BAT workshop in Garowe in October 2019, the Puntland Ministry of Health, which played an important role in successfully implementing the WASH BAT workshop, expressed its intention to support the outputs of the exercise. During the opening remarks, the Director General (DG) indicated that the Ministry would continue to offer a strong coordination role in all government commitments, stating that the WASH BAT exercise offered an opportunity to look critically at the challenges faced by the sector and identify the activities that can resolve them.

During the closing session, the Action Plan was presented to the representative of the Ministry of Health (deputy of the DG), since he did not participate in the main section of the workshop. He was surprised by the final results and did not agree with some of the bottlenecks identified by the stakeholders. Thus, there was no agreement on the Action Plan at the end of the workshop. This meant that the workshop report had to go into detail about all the steps of the workshop, including the discussions of each table, explaining all arguments regarding the prioritization process in order to secure agreement and endorsement by the Ministry of Health. As a result, several of these activities have been included in the annual work plans of the Ministries of Health, Water and Education.



Photo credit: Antoine Delepiere

## Step 5. Implementing the endorsed recommendations

Application of the WASH BAT gives an understanding on the linkages between the bottlenecks, an indication of the priority level of each bottleneck, and the likely sequencing for their removal. However, the tool does not currently allow for bottlenecks to be linked or provide a visual output that shows the order in which bottlenecks should be removed. Such assessments should be conducted outside the tool. In some cases, the same activities are relevant for multiple subsectors and hence these need to be planned together, which can also lead to greater impact as well as cost savings.

Recommendations include short-, medium- and long-term activities that need to be implemented to remove the bottlenecks. An example of a short-term activity is the development of a particular guidance document. A medium-term activity might be the development of a sector financing strategy, which can take 12–18 months. An example of a long-term activity is the creation of a regulatory agency. Without an overall long-term vision and direction for each subsector, short-term activities risk being ineffective. Short-term activities identified by the WASH BAT are recommended to be included in the sector roadmap which helps keep track of them.

### Box 18. Lessons learned on the implementation of Action Plan activities

The WASH BAT review study (UNICEF and SIWI, 2020) found that in three out of every five workshops (61 per cent), the Action Plan was reported as completed during the workshop or soon after. Of those workshops completed before 2019, 71 per cent have started at least partial implementation of the Action Plan, with no country stating that the full Action Plan had been implemented at the time of writing. Only 10 per cent of countries had started monitoring the implementation of activities. The final report of the workshop had been completed in the vast majority (85 per cent) of workshops. All countries consulted believed that the WASH BAT produces useful outputs, in line with the stated aim of the tool.

In several countries, such as Bangladesh, Ethiopia and Cambodia, the WASH BAT has been one of the key inputs to new plans, strategies, or large-scale national programmes in the WASH sector. The WASH BAT is a valuable way to get consensus among all concerned stakeholders on the priorities which need to be addressed, but also highlights the need to follow-up on the implementation of the WASH BAT recommendations a few years down the line. In some countries, the WASH BAT has also contributed to additional funds being made available or earmarked for WASH initiatives.

The vast majority of WASH BAT participants agreed that the output of the WASH BAT, primarily the activities developed and the Action Plan, are generally of high quality, producing a list of actionable activities and sub-activities agreed on by a broad segment of the sector and ready for high-level approval and implementation. When asked about the objectives initially set for the workshop, all respondents interviewed agreed that they were achieved in their country, at least to some degree.



Photo credit: A. Delepiere



## Step 6. Monitoring and evaluation of the implemented actions

The WASH BAT review study states that too often there has been no clear plan for following up the Action Plan after the workshop, and no stakeholder or group of stakeholders accountable for this follow-up to take place (UNICEF and SIWI, 2020). The implementation of activities needs to be monitored and progress fed back to stakeholders to allow course corrections. As activities are implemented, new constraints may surface which need to be addressed in a timely way. Inadequate monitoring and evaluation is undoubtedly one of main barriers that hamper the successful implementation of the Action Plan.

The **follow-up and monitoring of the Action Plan** should be agreed on during or shortly after the WASH BAT workshop, which includes the who (lead organization), the what (which activities need to be monitored) and the how (accountability mechanisms in place and set of indicators to measure progress).

A good practice to ensure proper follow-up of the agreements made during the WASH BAT workshop, is to include one section at the end of the workshop to discuss and agree the next steps and responsibilities. This can be prepared during the last day, when the facilitators know the types of activities prioritized and accountable stakeholders can be identified. The benefit of having such a session during the workshop means the momentum of

the workshop can be used to agree on the lead agency, as well as on the accountability mechanisms that should be employed.

An alternative approach is to entrust the monitoring of the Action Plan to the core group in charge of preparing the WASH BAT. Whatever the outcome, the commitment to follow-up and those accountable should be detailed in the Action Plan. The online tool contains additional modules for assessing how the bottlenecks and activities have changed, and where updates to the Action Plan can be entered.

In terms of **'mid-term' evaluation**, it is proposed to review the WASH BAT after a period of two years, with a focus on assessing how many activities have been implemented, whether the enabling environment is performing better or worse (through re-scoring of the criteria), and whether new bottlenecks have emerged or the nature of existing bottlenecks has changed. The frequency and timing of this review will depend on the timing of internal decision-making processes of the government and major partners, and the appetite of the stakeholders to revisit the inputs of the tool. It also depends on the amount of change achieved. If most activities remain unimplemented, then instead an analysis should be focused on what the implementation bottlenecks are: lack of political will? lack of funding? lack of linking WASH BAT findings to local processes?

### Box 19. Conducting a follow-up WASH BAT workshop in Montero, Bolivia to support the Municipal Plan for Water and Sanitation

In 2018, UNICEF collaborated with the local government of Montero (GAMM) in the elaboration of a Municipal Plan for Water and Sanitation (PMAS). A sector-wide and participatory diagnosis of WASH services delivery was conducted in December 2018, utilizing the WASH BAT. The resulting Action Plan, fully supported by the GAMM and all sector stakeholders, launched relevant initiatives such as registration of informal sanitation service providers, implementation of a faecal waste treatment plant, and creation of a municipal WASH department. Two important milestones were reached: (1) the holding of a summit on water and sanitation on 26 February 2019; and (2) the creation of a multi-stakeholder platform to promote dialogue and participatory decision-making on WASH-related activities and processes. This platform was also in charge of monitoring and following up the implementation of all actions included in the WASH BAT plan.

The PMAS was officially published in 2019, with the governance component based on inputs, recommendations and actions discussed and agreed during the WASH BAT workshop. To accelerate progress towards implementing the PMAS, particularly in the short term, UNICEF Bolivia country office and GAMM organized a follow-up WASH BAT workshop in January 2020. This workshop was conducted to assess progress in relation to: (1) the 2018 WASH BAT Action Plan; (2) the PMAS; and (3) to conduct a new sector diagnosis, including of WASH in schools, as well as integrating the perspectives of climate change and child protection in the analysis. Inputs from these three complementary approaches were clustered and consolidated into one single Action Plan, which will guide the sector in the coming years towards safe drinking water and sanitation for all.

It is also advisable to plan for a more rigorous evaluation of the WASH BAT implementation. This should reflect an independent view of whether activities have been implemented based on the recommendations, and with what impact. Have the recommended activities been implemented? If not, why not? If so, with what effect? Have bottlenecks been removed? Has the removal of bottlenecks lead to an improved enabling environment for progress to be made on WASH service coverage and use? After some years of removing bottlenecks, it might be possible to link (through a theory of change) the bottleneck removal with changes in the trajectory of WASH service

coverage. However, in the shorter term any evaluation should focus on the changes in the enabling environment that can be attributed to the application of the WASH BAT and the activities that resulted from it. Due to the multiple influences on the enabling environment, there will be some uncertainties around assessing causality, that is, how much activities can be determined to have directly removed the bottlenecks. An independent assessment of the different contributing factors to bottleneck removal through monitoring activities and discussions with stakeholders can isolate to some degree of certainty as to whether the WASH BAT was influential or not.

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Photo credit: A. Delepiere

# ANNEX 1. Check list

<b>1 Identify demand and need – at least three months before workshop</b>		
<b>1.1</b>	Assessment of a context and needs/relevance/willingness to process/ability to implement and follow	<input type="checkbox"/> To Do
<b>1.2</b>	Commitment of a government/request	<input type="checkbox"/> To Do
<b>1.3</b>	Advocacy might be needed to government to explain the process and the benefit of such analyses	<input type="checkbox"/> To Do
<b>1.4</b>	Budget allocation for an analysis	<input type="checkbox"/> To Do
<b>1.5</b>	Overall planning of WASH BAT	<input type="checkbox"/> To Do
<b>1.6</b>	<b>Management response/clear request</b>	<input type="checkbox"/> To Do
<b>2 WASH BAT preparation – at least two months before workshop</b>		
<b>A Identify a scope</b>		
<b>A.1</b>	Commitment of an organizing agency and engagement of a core group to support preparations	<input type="checkbox"/> To Do
<b>A.2</b>	Discussion about the choice of subsector/admin level to be analysed/timing/length/number of participants/venue/facilitation with/out external support/logistics/budget	<input type="checkbox"/> To Do
<b>A.3</b>	Preparation of a Concept Note and/or a Terms of Reference until the workshop	<input type="checkbox"/> To Do
<b>A.4</b>	<b>Validation of a scope and an organizing agency</b>	<input type="checkbox"/> To Do
<b>B Identify facilitation support (external and/or in country)</b>		
<b>B.1</b>	Identification of moderators and level of support needed/validation	<input type="checkbox"/> To Do
<b>B.2</b>	Identification of facilitators and level of support needed	<input type="checkbox"/> To Do
<b>B.3</b>	Identification of rapporteur and level of support needed	<input type="checkbox"/> To Do
<b>B.4</b>	<b>Agreement on WASH BAT team (moderators and facilitators/rapporteurs)</b>	<input type="checkbox"/> To Do
<b>C Preparation process with stakeholders</b>		
<b>C.1</b>	Selection of workshop modality (online/offline; face-to-face/remote/hybrid; etc.)	<input type="checkbox"/> To Do
<b>C.2</b>	Selection of administrative level and subgroup to be analysed	<input type="checkbox"/> To Do
<b>C.3</b>	Selection of categories to be included in the discussion (climate change; fragile contexts; emergency contexts; water scarcity; etc.)	<input type="checkbox"/> To Do
<b>C.4</b>	Decision on integrating the risk perspective	<input type="checkbox"/> To Do
<b>C.5</b>	Definition of timing and length of a workshop/validation of a calendar week	<input type="checkbox"/> To Do
<b>C.6</b>	Discussion about participants involvement/selection of institutional representation and participation (government agency, external partner, decentralized level, implementer, civil society and private sector)	<input type="checkbox"/> To Do
<b>C.7</b>	Selection of the workshop location: residential workshop vs. non-residential workshop	<input type="checkbox"/> To Do
<b>C.8</b>	Validation of facilitators and rapporteurs list	<input type="checkbox"/> To Do

<b>C.9</b>	Procurement process for a venue taking into consideration key features	<input type="checkbox"/>	To Do
<b>C.10</b>	Visit several venue options taking into consideration key features	<input type="checkbox"/>	To Do
<b>C.11</b>	Invitation letter for moderator/facilitator(s) (including visa process for internationals where relevant)	<input type="checkbox"/>	To Do
<b>C.12</b>	Booking flight/accommodation for external support (where relevant)	<input type="checkbox"/>	To Do
<b>C.13</b>	<b>Agreement on a level/subgroup/timing/participants/location</b>	<input type="checkbox"/>	To Do
<b>D</b>	<b>Hold meetings and consultations to explain the bottleneck analysis</b>		
<b>D.1</b>	Meeting to explain the tool (web-based tool) – enabling environment framework and SDG	<input type="checkbox"/>	To Do
<b>D.2</b>	Meetings with the task force to assess and analyse risks (risk informed modality)	<input type="checkbox"/>	To Do
<b>D.3</b>	Meeting to review functions and secure a common understanding	<input type="checkbox"/>	To Do
<b>D.4</b>	Meeting to review criteria and enhance common understanding	<input type="checkbox"/>	To Do
<b>D.5</b>	Organize a webinar with a moderator, the lead agency, and facilitators/rapporteurs	<input type="checkbox"/>	To Do
<b>D.6</b>	Virtual meeting with moderator to explain the facilitation methodology and shared draft agenda	<input type="checkbox"/>	To Do
<b>D.7</b>	<b>Circulate the coordination meeting minutes on the methodology</b>	<input type="checkbox"/>	To Do
<b>E</b>	<b>Meeting for validation of an agenda/participants/venue/logistics</b>		
<b>E.1</b>	Review agenda (opening/closure) and final approval in coordination with a moderator	<input type="checkbox"/>	To Do
<b>E.2</b>	Review and final approval of a participants list following the feedback by stakeholders and an organizing agency	<input type="checkbox"/>	To Do
<b>E.3</b>	Update or adjust WASH BAT ToR	<input type="checkbox"/>	To Do
<b>E.4</b>	Final agreement and approval of a venue (procurement process completed/ booking). Signature of contract with the selected venue	<input type="checkbox"/>	To Do
<b>E.5</b>	Dispatch invitation letters, summarized agenda, and ToR	<input type="checkbox"/>	To Do
<b>E.6</b>	Preparation of all logistics and equipment of a meeting room and facilitation materials	<input type="checkbox"/>	To Do
<b>E.6a</b>	Purchase all materials (stationery) required for facilitation	<input type="checkbox"/>	To Do
<b>E.6b</b>	Preparation of stationery materials (Post-it notes, markers, flipchart, sticky paste, etc.)	<input type="checkbox"/>	To Do
<b>E.6c</b>	Booking of projectors and computers (for facilitation and rapporteur assignment)	<input type="checkbox"/>	To Do
<b>E.6d</b>	Facilitation materials preparation from a moderator (functions card and criteria posters)	<input type="checkbox"/>	To Do
<b>E.7</b>	Preparation of an in-depth contingency plan	<input type="checkbox"/>	To Do
<b>E.8</b>	<b>Dispatch the meeting minutes to all stakeholders involved in WASH BAT preparation</b>	<input type="checkbox"/>	To Do

<b>F Training of facilitators and rapporteurs</b>		
<b>F.1</b>	Dispatch invitation to facilitators and rapporteurs at least one week prior a training	<input type="checkbox"/> To Do
<b>F.2</b>	Prepare an agenda of the training and update its presentation flow	<input type="checkbox"/> To Do
<b>F.3</b>	Moderator and facilitators arrive one day before the workshop	<input type="checkbox"/> To Do
<b>F.4</b>	Organize the logistics for the training (meeting room with projector, round table, flip chart, markers, internet, extension cable, computers etc.)	<input type="checkbox"/> To Do
<b>F.5</b>	Conduct half/full day training with moderator/facilitator/rapporteur	<input type="checkbox"/> To Do
<b>F.6</b>	Short coordination meeting between a moderator and an organizing agency	<input type="checkbox"/> To Do
<b>F.7</b>	<b>Dispatch a short training report with all presentations and comments</b>	<input type="checkbox"/> To Do
<b>3 Last-minute tasks before launching the workshop</b>		
<b>3.1</b>	Verify the participant confirmation of attendance	<input type="checkbox"/> To Do
<b>3.2</b>	Organize an opening and closing protocol for WASH BAT with a designated institution	<input type="checkbox"/> To Do
<b>3.3</b>	Check a venue meeting rooms and all equipment and material, including stationery	<input type="checkbox"/> To Do
<b>3.4</b>	Check internet connection. Secure the presence of an IT person during first half hour of the opening to provide assistance in case of need	<input type="checkbox"/> To Do
<b>3.5</b>	Check WASH BAT web-tool profiles	<input type="checkbox"/> To Do
<b>3.6</b>	Print all the materials needed during the workshop (criteria, templates, etc.)	<input type="checkbox"/> To Do
<b>3.7</b>	Check and update all introductory presentations	<input type="checkbox"/> To Do
<b>3.8</b>	Ensure that facilitators and rapporteurs arrive at least 30 min before the opening session (last coordination)	<input type="checkbox"/> To Do
<b>3.9</b>	<b>Record an entire process for the purposes of the future lessons learned</b>	<input type="checkbox"/> To Do
<b>4 Follow-up after the workshop</b>		
<b>4.1</b>	Completion of results of the workshop in the online tool	<input type="checkbox"/> To Do
<b>4.2</b>	Completion of a standard workshop form in the 'Countries implemented' page of the online tool <a href="http://www.washbat.org">www.washbat.org</a> and upload relevant documents as they become available	<input type="checkbox"/> To Do
<b>4.3</b>	Completion and validation of Action Plan with decision makers from leading agency	<input type="checkbox"/> To Do
<b>4.4</b>	Completion of the workshop report and endorsement	<input type="checkbox"/> To Do
<b>4.5</b>	Set up monitoring and evaluation mechanism for the implementation of action	<input type="checkbox"/> To Do
<b>4.6</b>	<b>Record progress in the online tool</b>	<input type="checkbox"/> To Do

## ANNEX 2. Example of schedule and chronogram of preparatory WASH BAT process

N°	Activities/tasks	Month	At least 3 months before	2 months before				Last month							Result  % done	Responsible  Due by	Stakeholders										
		Week		8	7	6	5	4	3	2	1							UNICEF	Organizing Agency	Moderator	Facilitator	Rapporteur					
		Day									7	6	5	4			3						2	1	0		
<b>1</b>	<b>START: IDENTIFICATION OF THE DEMAND/NEEDS</b>																17%										
1.1	Assessment of a context demand and need/relevance/willingness to process/ability to implement and follow Action Plan etc.																100%	UNICEF	X	X							
1.2	Commitment of a government/request																0%	UNICEF		X							
1.3	Awareness/advocacy to the main WASH stakeholders																0%	UNICEF	X								
1.4	Budget allocation for an analysis																0%	UNICEF	X	X							
1.5	Overall planning of WASH BAT																0%	UNICEF									
1.6	<b>Management response and clear request</b>																0%	UNICEF									
<b>2</b>	<b>PREPARATORY STEPS FOR WASH BAT</b>																0%										
<b>A</b>	<b>Identify a scope</b>																										
A.1	Commitment by an organizing agency and engagement of a core group to support preparations																0%	Organizing Agency		X							



N°	Activities/tasks	Month	At least 3 months before	2 months before				Last month								Result % done	Responsible Due by	Stakeholders							
		Week		8	7	6	5	4	3	2	1								UNICEF	Organizing Agency	Moderator	Facilitator	Rapporteur		
											7	6	5	4	3			2						1	0
A.2	Discussion about the choice of subsector/admin level to be analysed/timing/length/number of participants/venue/facilitation with/out external support/ logistics/budget																0%	Organizing Agency	X	X					
A.3	Preparation of a Concept Note and/or a Terms of Reference and/or an Action Plan until the workshop																0%	Organizing Agency	X	X					
A.4	<b>Validation of a scope and an organizing agency</b>																0%	UNICEF	X	X					
<b>B</b>	<b>Identify facilitation support (external and in country)</b>																0%								
B.1	Identification of moderators and level of support needed/ validation																0%	UNICEF	X	X	X				
B.2	Identification of facilitators and level of support needed																0%	Organizing Agency	X	X					
B.3	Identification of rapporteur and level of support needed																0%	Organizing Agency	X	X					
B.4	<b>Agreement on WASH BAT Team (moderators and facilitators/ rapporteurs)</b>																0%	UNICEF	X	X	X	X	X		
<b>C</b>	<b>Preparation process with stakeholders</b>																0%								
C.1	Selection of workshop modality (online/offline; face-to-face/ remote/hybrid; etc.)																0%	Organizing Agency	X	X					
C.2	Selection of administrative level and subgroup to be analysed																0%	Organizing Agency	X	X					

WASH BAT Workshop

N°	Activities/tasks	Month	At least 3 months before	2 months before				Last month							Result	Responsible	Stakeholders									
				8	7	6	5	4	3	2	1							% done	Due by	UNICEF	Organizing Agency	Moderator	Facilitator	Rapporteur		
											7	6	5	4			3								2	1
C.3	Selection of categories to be included in the discussion (climate change; fragile contexts; emergency contexts; water scarcity; etc.)															0%	Organizing Agency	X	X							
C.4	Decision on integrating the risk perspective															0%	Organizing Agency	X	X							
C.5	Definition of timing and length of a workshop/validation of a calendar week															0%	Organizing Agency	X	X							
C.6	Discussion about participants involvement/selection of institutional representation and participation (government agency, external partner, decentralized level, implementer, civil society and private sector)															0%	Organizing Agency	X	X	X						
C.7	Location of a workshop: residential workshop vs. classic workshop															0%	UNICEF	X	X							
C.8	Validation of facilitators and rapporteurs list															0%	Organizing Agency	X	X							
C.9	Procurement process for a venue taking into consideration key features															0%	UNICEF	X	X							
C.10	Visit several venues taking into consideration key features															0%	Organizing Agency									
C.11	Validation of moderator and invitation															0%	UNICEF									
C.12	Booking flight/accommodation for a moderator															0%	Moderator									
C.13	<b>Agreement on a level/subgroup/timing/participants/location</b>															0%	Organizing Agency	X	X							

WASH BAT Workshop

N°	Activities/tasks	Month	At least 3 months before	2 months before				Last month								Result	Responsible	Stakeholders																			
				8	7	6	5	4	3	2	1							% done	Due by	UNICEF	Organizing Agency	Moderator	Facilitator	Rapporteur													
											7	6	5	4	3										2	1	0										
<b>D</b>	<b>Hold meetings and consultations to explain the bottleneck analysis</b>																0%																				
D.1	Meeting to explain the tool (web-based tool) – Enabling environment framework and SDG																0%	Organizing Agency	X	X																	
D.2	Meetings with the task force to assess and analyse risks (risk informed modality)																0%	Organizing Agency	X	X																	
D.3	Meeting to review functions and secure common understanding																0%	Organizing Agency	X	X																	
D.4	Meeting to review criteria and enhance common understanding																0%	Organizing Agency	X	X																	
D.5	Organize a webinar with a moderator, UNICEF, an organizing agency and facilitators/rapporteurs																0%	Moderator	X	X	X																
D.6	Virtual meeting with moderator to explain the facilitation methodology and shared draft agenda																0%	All	X	X	X																
D.7	<b>Circulate the coordination meeting minutes on the methodology</b>																0%	Organizing Agency	X	X																	
<b>E</b>	<b>Endorsement of an agenda/ participants/venue/logistics</b>																0%																				
E.1	Review agenda (opening/closure) and final approval in coordination with a moderator																0%	Organizing Agency	X	X																	
E.2	Review and final approval of a participants list following the feedback by stakeholders and an organizing agency																0%	Organizing Agency	X	X																	

WASH BAT Workshop

N°	Activities/tasks	Month	At least 3 months before	2 months before				Last month								Result	Responsible	Stakeholders								
		Week		8	7	6	5	4	3	2	1							% done	Due by	UNICEF	Organizing Agency	Moderator	Facilitator	Rapporteur		
		Day									7	6	5	4	3										2	1
E.3	Update or adjust WASH BAT ToR																0%	Organizing Agency	X	X						
E.4	Final agreement and approval of a venue (procurement process completed/booking)																0%	UNICEF	X	X						
E.5	Dispatch invitation letters, summarized agenda and ToR																0%	Organizing Agency	X	X						
	Preparation of all logistics and equipment of a meeting room and facilitation materials																0%	Organizing Agency	X	X						
	E.6a Purchase all materials (stationery) required for facilitation																0%	Moderator	X			X				
E.6	E.6b Preparation of stationery materials (post-it, markers, flip chart, sticky paste, etc.)																0%	Moderator	X			X				
	E.6c Booking of projectors and computers (for facilitation and rapporteur assignment)																0%	Organizing Agency	X	X						
	E.6d Facilitation materials preparation from a moderator (functions card and criteria posters)																0%	Moderator				X				
E.7	Preparation of an in-depth contingency plan																0%	Organizing Agency	X	X						
E.8	<b>Dispatch the meeting minutes to all stakeholders involved in WASH BAT preparation</b>																0%	Organizing Agency	X	X						
<b>F</b>	<b>Induction training of facilitators/ rapporteurs</b>																0%									
F.1	Dispatch invitation to facilitators and rapporteurs at least one week prior a training																0%	Organizing Agency	X	X						

WASH BAT Workshop



N°	Activities/tasks	Month	At least 3 months before	2 months before				Last month							Result  % done	Responsible  Due by	Stakeholders								
		Week		8	7	6	5	4	3	2	1							UNICEF	Organizing Agency	Moderator	Facilitator	Rapporteur			
											7	6	5	4			3						2	1	0
3.6	Printing all the materials needed during the workshop (criteria, templates, etc.)																								
3.7	Check and update all introductory presentations																0%	Moderator	X	X					
3.8	Ensure that facilitators and rapporteurs arrive at least 30 min before the opening session (last coordination)																0%	Organizing Agency	X	X	X	X	X		
3.9	<b>Record an entire process for the purposes of the future lessons learned</b>																0%	Organizing Agency	X	X					
<b>4</b>	<b>FOLLOW-UP AFTER THE WORKSHOP</b>																								
4.1	Completion of results of the workshop in the online tool																	Organizing Agency	X		X	X	X		
4.2	Completion of a standard workshop form in the 'Countries implemented' page of the online tool "washbat.org", and upload relevant documents as they become available																	Organizing Agency		X					
4.3	Completion and validation of Action Plan with decision makers from leading agency																	Organizing Agency	X	X					
4.4	Completion of the workshop report and endorsement																	Organizing Agency	X	X	X	X	X		
4.5	Set up monitoring and evaluation mechanism for the implementation of action																	Organizing Agency	X	X	X	X	X		

WASH BAT Workshop

# ANNEX 3. Self-assessment to determine the demand and need for conducting the WASH BAT

## Key questions to ask the stakeholders in the process of conduction WASH BAT analysis

### Questions related to needs

Questions related to NEEDS	Response	Possible actions
<ul style="list-style-type: none"> <li>Are there any difficulties or weaknesses in the WASH sector to fulfil the SDG6?</li> </ul>	YES	While conditions could be in place for application of the WASH Bottleneck Analysis, an overall willingness should be assessed
	NO	WASH BAT might not be relevant
<ul style="list-style-type: none"> <li>Is there a willingness among sector stakeholders to address these difficulties and weaknesses?</li> </ul>	YES	Conditions could be in place for an application of the WASH Bottleneck Analysis with further assessment needed
	NO	Key stakeholders need to be sensitized to the benefits of the WASH bottleneck analysis
<ul style="list-style-type: none"> <li>Are there other sector diagnoses that had been recently conducted and accepted?</li> </ul>	YES	Check the need for a better understanding of EE challenges
	NO	Conditions could be in place for application of the WASH Bottleneck Analysis with more questions to be assessed
<ul style="list-style-type: none"> <li>Is the WASH BAT likely to bring additional understanding to the sector constraints and solutions?</li> </ul>	YES	Conditions could be in place for an application of the WASH Bottleneck Analysis following an assessment of other related conditions
	NO	WASH BAT might not be relevant
<ul style="list-style-type: none"> <li>Is there a need for a better understanding among sector stakeholders of Enabling Environment challenges?</li> </ul>	YES	Conditions could be in place for an application of the WASH Bottleneck Analysis following an assessment of other related conditions
	NO	Advocacy might be needed for stakeholders to understand the benefits of WASH bottleneck analysis (including the importance of monitoring of the results)
<ul style="list-style-type: none"> <li>Is it appropriate or effective to gather key stakeholders in an open forum to discuss these potentially delicate issues?</li> </ul>	YES	Conditions could be in place for application of the WASH Bottleneck Analysis following an assessment of other conditions
	NO	Further assessment needed

## Questions related to demand

Questions related to DEMAND	Response	Possible actions
<ul style="list-style-type: none"> <li>Do the stakeholders recognize that Enabling Environment and Governance are challenges to improve the sector performance?</li> </ul>	YES	Continue the process questioning the needs for a WASH BAT and others demand oriented questions
	NO	Advocacy might be needed to explain the process and the benefit to government for such analyses or an alternative tool or analysis is warranted
<ul style="list-style-type: none"> <li>Did key sector stakeholders, especially a government, already indicate their willingness to follow a process to conduct WASH BAT?</li> </ul>	YES	Continue the process questioning the needs for a WASH BAT and other demand-oriented questions
	NO	No action needed, or an alternative tool or analysis is warranted
<ul style="list-style-type: none"> <li>Are there sufficient resources and institutional support to conduct a WASH BAT?</li> </ul>	YES	Continue the process questioning the needs for a WASH BAT and other demand-oriented questions
	NO	Advocacy might be needed with institutions to get their support and monitoring
<ul style="list-style-type: none"> <li>Is the timing right, in terms of strategic, political and financial decisions, to properly integrate WASH BAT into local/national processes?</li> </ul>	YES	Continue the process questioning the needs for a WASH BAT and other demand-oriented questions
	NO	No action needed – waiting for the best time to launch the process or an alternative tool or analysis is warranted
<ul style="list-style-type: none"> <li>Is the demand limited to some stakeholders?</li> </ul>	YES	If yes, it is advised to examine why that is so. Is it because ministry staff are too busy with other priorities? Or is it because they do not see the value of conducting bottleneck analysis? In these cases, a closed meeting of a few key stakeholders might be required to discuss the sector status and the value added for conducting a bottleneck analysis. This would be aided by showing examples from other countries. It is advised to identify a respected official or expert who understands the value of the tool
	NO	Key stakeholders need to be sensitized to the benefits of WASH bottleneck analysis (advocacy)



# ANNEX 4. Example of representation of participants in a WASH BAT workshop

Group	Group participants representative	Water Rural National	Water Peri-Urban National	Water Urban National	Water Rural Regional	Water Urban Regional	Water Peri-Urban Regional	Sanitation Rural National	Sanitation Peri-Urban National	Sanitation Urban National	Sanitation Rural Regional	Sanitation Peri-Urban Regional	Sanitation Urban Regional	Hygiene Rural National	Hygiene Peri-Urban National	Hygiene Urban National	WASH in Schools National	WASH in Health Care Facilities National	Risk experts (climate, conflicts, etc.)
Government national	Representative of Ministry of Planning	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
	Representative of Finances / Budget/Economy Ministry	X	X	X				X	X	X				X	X	X	X	X	
	Representative of Ministry of rural/urban development	X			X			X			X			X			X	X	
	Representative of Ministry of Health	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Representative of Ministry of Education													X	X	X	X	X	
	Representative of Hydraulic Ministry (Urban/Rural)	X	X	X	X	X	X							X	X	X	X	X	
	Representative of Direction in charge of sanitation							X	X	X	X	X	X	X	X	X	X	X	
	Representative of WASH coordination Unit	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Regulators	X	X	X	X	X	X			X	X		X	X					
	Representative of Climate Change Department/ Emergencies/etc.																		

Group	Group participants representative	Water Rural National	Water Peri-Urban National	Water Urban National	Water Rural Regional	Water Urban Regional	Water Peri-Urban Regional	Sanitation Rural National	Sanitation Peri-Urban National	Sanitation Urban National	Sanitation Rural Regional	Sanitation Peri-Urban Regional	Sanitation Urban Regional	Hygiene Rural National	Hygiene Peri-Urban National	Hygiene Urban National	WASH in Schools National	WASH in Health Care Facilities National	Risk experts (climate, conflicts, etc.)
Government regional	Representative of Regional Water and Sanitation unit	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X			
	Representative of Municipality	X	X	X	X	X	X	X	X	X	X	X	X				X	X	
FTP	Representative of Financial and Technical partners	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Civil society	NGO (local and international)	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Community-based organization	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
	Academia	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	Users, including water users' associations/federation, consumer groups, youth, etc.	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
	Women users' organization/ Gender equality organizations	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
	Organizations representing marginalized groups as per the context (e.g., indigenous groups, disability rights groups, etc.)	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Service provider	Water and sanitation service providers (utilities)	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
	Water management committees (village)	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
	Private operators/sector	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
<b>Minimum requirement*</b>		<b>8-10</b>	<b>8-10</b>	<b>8-10</b>	<b>8-10</b>	<b>8-10</b>	<b>8-10</b>	<b>8-10</b>	<b>8-10</b>	<b>8-10</b>	<b>8-10</b>	<b>8-10</b>	<b>8-10</b>	<b>8-10</b>	<b>8-10</b>	<b>8-10</b>	<b>8-10</b>	<b>8-10</b>	<b>8-10</b>

\* All WASH BAT workshops should strive for a gender balanced participation, including representation from context specific marginalized groups, and youth representation (generally defined as members representing youth organizations or youth users' organizations, such as the Water Youth Network (<https://www.wateryouthnetwork.org/>), and the participation of young professionals under the age of 35). It is estimated that, in total, each sector analysed in the workshop will require the participation 15 to 20 experts (also depending on the total number of criteria analysed).

## ANNEX 5. Example of an agenda for a two-day workshop

TIME	DAY 1	DAY 2
08.00–08.30	Registration/Welcome	Recap of Day 1
08.30–10.00		<b>Session 2b:</b> Analyse of criteria of 2 <sup>nd</sup> building block selected <i>and</i> bottlenecks, their causes <i>and</i> activities/cost/funding/responsibility assessed
10.00–10.30		Health break
10.30–12.30	<b>Session 0:</b> Introduction/plenary <ul style="list-style-type: none"> <li>• Context introduction</li> <li>• EE Framework</li> <li>• WASH BAT TOOL</li> </ul>	<b>Session 2b:</b> Bottlenecks, their causes <i>and</i> activities
12.30–13.30	Lunch	Lunch
13.30–14.30	<b>Session 1:</b> Analysis and prioritization of criteria <i>Building blocks and criteria should be selected in advance (before the workshop)</i>	<b>Session 3:</b> Prioritization of the activities in detail and timing. Budget and responsibility for the implementation of the recommendations
14.30–15.00	Health break	Health break
15.00–17.00	<b>Session 2a:</b> Bottlenecks, their causes <i>and</i> activities	<b>Session 4:</b> Preparation for the closing plenary
		<b>Session 5:</b> Workshop closure
17.00–17.15	Plenary closure of the day	Joint work of the facilitators and rapporteurs to wrap up data entry on the website WASH BAT
17.15–18.15	Joint work of the facilitators and rapporteurs to wrap up data entry on the website WASH BAT/Feedback preparation for the moderator	

# ANNEX 6. Example of an annotated agenda for a three-day workshop

Time	DAY 1	DAY 2	DAY 3		
08.30–08.45	Registration	Plenary: Moderator recaps Day 1	Plenary: Moderator recaps Day 2		
09.00–09.45	<b>Intro session</b> Welcome and introduction of the workshop	<b>Session 5: Analysis of building blocks and criteria scoring</b> Plenary: moderator introduces the analysis Discussion	<b>Session 8: Prioritization of activities, timetable and responsibilities</b> Plenary: moderator introduces the exercise Group work: facilitator ensures its group understanding		
	5 min			25 min	10 min
	20 min			20 min	5 min
09.45–10.30	Introduction to the Enabling Environment and to the WASH BAT	<b>Session 6a: Bottlenecks and their causes and activities</b> Plenary: moderator introduces the exercise Group: selection of 10 criteria. Focus on those marked with yellow and red <i>Rapporteurs write the criteria on the orange coloured post it and put it on the walls</i>	Group work: identification of activities, its prioritization and planning <i>Rapporteurs register the group work outcome on the yellow coloured post it and put it on the walls</i>		
	Agenda and Who is who			10 min	80 min
	20 min			30 min	
10.30–11.00	<b>Session 2a: Accountability mapping group exercise + plenary</b> Plenary: moderator introduces the concept accountability mapping exercise Group work: facilitator steers the discussion + group work	Health break			
	15 min				
	30 min				
11.00–11.45	<b>Session 2b: Accountability mapping reporting back in plenary</b> Group work: three questions (follow) Plenary: rapporteur presents its group results	<b>Session 6b: Bottlenecks and their causes and activities (Part II)</b> Plenary: moderator introduces how to start identifying the most critical bottlenecks, their causes and activities Group work: identification of the bottlenecks and their causes and activities <i>Rapporteurs write the results on the pink coloured post it and put it on the wall</i>	<b>Session 9: Cohesion of activities</b> Plenary: moderator introduces the exercise Group work: discussion around 5 top activities to propose Open market voting exercise <i>Rapporteurs register the voting results</i> Discussion and approval of the sector results		
	15 min			90 min	10 min
	30 min (5 per group)				10 min
11.45–13.00	<b>Session 3: Selection of functions and group prioritization</b> Plenary: moderator introduces the exercise to all groups Group work: facilitator ensures its group understand the exercise. Selection of the six most important functions and its exposure on the wall		50 min		
	5 min		20 min		
13.00–14.00		Lunch			

Time	DAY 1	DAY 2	DAY 3
14.00–15.30	<p><b>Session 4a: Notification of criteria</b></p> <p>Start of the session 2: instructions + start of notification (10+30 min)</p> <p><i>Facilitator ensures its group understand the exercise and steers the discussion</i></p> <p>90 min</p>	<p><b>Session 6c: Bottlenecks and their causes and activities</b> (Part III)</p> <p>Continuation of the group work on identification of the most critical bottlenecks, their causes, and activities removal</p> <p><i>Rapporteurs write the results on the pink coloured post it and put it on the wall</i></p> <p>90 min</p>	<p><b>Session 10: Budget, responsibility and agreement</b></p> <p>Plenary: moderator introduces the exercise 10 min</p> <p>Group work: facilitator steers the discussion around budget and leading roles 40 min</p> <p><i>Rapporteurs register the group work outcome on the green coloured post it and put it on the walls</i></p> <p>Plenary: moderator steers discussion around the next steps 40 min</p>
15.30–16.00	Health break		
16.00–17.30	<p><b>Session 4b: Notification of criteria</b></p> <p>Participants continue to analyse the criteria and to notify them</p> <p><i>Facilitators steer the discussion</i></p> <p>Rapporteurs share the collected data within the tool</p> <p>90 min</p> <p>If extra time</p>	<p><b>Session 7: Bottlenecks and their causes and activities reporting back in plenary</b></p> <p>Each group report back in plenary 45 min</p> <p>Discussion of activities selected (vote) 45 min</p>	<p><b>Session 11: Closing session</b></p> <p>Plenary: evaluation of the workshop 30 min</p> <p>Plenary: group presentation of each sector or subsector road map 30 min</p> <p>Plenary: closing message by Lead Organizer senior representative 30 min</p>
17.45–18.30	Working session of the moderator, facilitators, and rapporteurs around the online tool	Working session of the moderator, facilitators, and rapporteurs around the online tool	Working session of the moderator, facilitators, and rapporteurs around the online tool

# ANNEX 7. Example of an agenda for a climate risk informed WASH BAT

TIME	DAY 1	DAY 2	DAY 3	DAY 4
08.30–09.00	Registration	Recap of Day 1	Recap of Day 2	Recap of Day 3
09.00–10.30	<b>Session 1:</b> Introduction (Plenary) <ul style="list-style-type: none"> <li>• Opening</li> <li>• Enabling Environment and WASH BAT</li> </ul>	<b>Session 5:</b> Prioritization of criteria	<b>Session 8c:</b> Bottlenecks, their causes and activities	<b>Session 12a:</b> Budget and responsibility for the implementation of the recommendations
10.30–11.00	Health break			
11.00–12.30	<b>Session 2:</b> Introduction to climate and wash (Plenary) <ul style="list-style-type: none"> <li>• Climate change impacts on WASH</li> <li>• Climate and WASH policy landscape</li> </ul>	<b>Session 6:</b> Analysis of prioritization of building blocks and criteria <i>Plenary by moderator</i>	<b>Session 9:</b> Condense and make sense of all activities <i>Initial selection and prioritization of activities</i>	<b>Session 12b:</b> Budget and responsibility for the implementation of the recommendations
	<b>Session 7:</b> Solutions to improve climate-resilient wash <i>Good practices at local, watershed and national level</i>			
12.30–13.30	Lunch			
13.30–15.00	<b>Session 3:</b> Validation of climate risk analysis	<b>Session 8a:</b> Bottlenecks, their causes and activities	<b>Session 10:</b> Justification and prioritization through cross-group work	<b>Session 13:</b> Preparation for the closing plenary
15.00–15.30	Health break			
15.30–17.00	<b>Session 4:</b> Accountability for sustainability <i>Group work and reporting back in Plenary</i>	<b>Session 8b:</b> Bottlenecks, their causes and activities	<b>Session 11:</b> Ensuring a climate lens in the Action Plan <i>Adjustment of prioritised activities, integrating the climate perspective</i>	<b>Session 14:</b> Workshop closure
17.00–17.30	Plenary closure of the day	Plenary closure of the day	Joint work of the facilitators and rapporteurs to wrap up and the workshop report	Joint work of the facilitators and rapporteurs to wrap up the workshop report
17.30–18.30	Joint work of the facilitators and rapporteurs to wrap up and data entry of Day 1	Joint work of the facilitators and rapporteurs to wrap up and data entry of Day 2		

# ANNEX 8. Virtual facilitation

## Rationale

Triggered by the COVID-19 pandemic declared in 2020, resulting in prolonged travel bans and lockdowns in many countries around the world, SIWI developed approaches to virtually facilitate WASH BATs with different scenarios depending on the ability to engage a task force and the commitment of partners.

Three scenarios for Training of Trainers workshops have been developed, ranging from one full day of training to five days (2–2.5h per day) once a week for five weeks.

Three scenarios for the WASH BAT have been developed, ranging from three full days to 10 days (4h per day), two days a week for five weeks.

## Approach

SIWI used the Miro platform (<https://miro.com/app/dashboard/>) to develop several dashboards that could be used for all the different steps of the WASH BAT workshop:

- Selecting the building blocks using a voting system
- Assessing criteria
- Identifying bottlenecks, causes and activities
- Preparing the Action Plan with time frame, responsibility, budget, funding, etc.

Figure 16 below shows an overview of the different dashboards developed.

**Figure 16. Overview of dashboards developed for the virtual facilitation of WASH BATs using the Miro software**



Two modalities are possible:

- Fully virtual: all participants will be online – each person connects from their device. The platform used needs to be able to provide breakout rooms and there needs

to be enough facilitators and rapporteurs engaged for each possible breakout room. Each participant has access to the digital tools to be used, e.g., Miro.

- Blended: different options are possible for the blended approach, but the primary modality will be when the moderator is online and only facilitators and/or rapporteurs are using the digital tools (e.g., Miro). Participants will be physically in one or several rooms and facilitation will be done through traditional methods. The moderator will ideally be able to follow the work of the breakout groups on the Miro software or any other software used and by moving into breakout rooms (and

facilitators and rapporteurs will report back to the moderator at regular intervals).

Miro boards are available here:

- WASH BAT workshop: [https://miro.com/app/board/o9J\\_INJQLRo=?share\\_link\\_id=447037371661](https://miro.com/app/board/o9J_INJQLRo=?share_link_id=447037371661)
- WASH BAT remote scenario for virtual facilitation of WASH BAT ToT and virtual facilitation WASH BAT workshop: [https://miro.com/app/board/o9J\\_ID372jE=?share\\_link\\_id=688719840953](https://miro.com/app/board/o9J_ID372jE=?share_link_id=688719840953)



## Training of trainers

In the table below, scenarios for virtual facilitation of ToT are provided. Sessions have been divided to comply with different scenarios.

Table 13. Scenario for virtual facilitation of ToT

				Scenario 1			Scenario 2			Scenario 3					
Training of trainers				ONLINE	3 Days (6.5 to 7h per day), 13 sessions, 20 hours			5 Days (3 to 4.5h per day), 13 sessions, 20 hours			9 Days (2 to 2.5h per day), 13 sessions, 20 hours, 5 weeks				
REF of session	List of sessions	Sub-session	Duration of session by hours	Duration of session by minutes	Full day/3 days	Number of sessions/subsessions per day	Number of hours per day	Half day in one or 2 weeks	Number of sessions per day	Number of hours per day	Few hours in 6 weeks	Week number	Number of hours per day		
TOTBAT1	<b>Module 1: Introduction of WASH BAT to facilitator and rapporteur</b>		2	120	DAY 1	6.5	6.5	DAY 1	4.5	4.5	DAY 1	1	2		
TOTBAT2	<b>Module 2: EE-accountability mapping</b>	Theory	0.5	30	DAY 1		DAY 1	DAY 1		DAY 1	DAY 1	DAY 1	DAY 2	1	0.5
		Practice with exercise	2	120	DAY 1		DAY 1	DAY 1		DAY 1	DAY 1	DAY 2	1	2	
TOTBAT3	<b>Module 3: Building blocks and criteria</b>		2	120	DAY 1		DAY 2	DAY 2		DAY 2	DAY 2	4.5	DAY 3	2	2
TOTBAT4	<b>Module 4: Bottlenecks-causes and activities -prioritization</b>	Bottlenecks-causes and activities	2	120	DAY 2		DAY 2	DAY 2		DAY 2	DAY 2	DAY 2	DAY 4	2	2
		Prioritization exercise	0.5	30	DAY 2		DAY 2	DAY 2		DAY 2	DAY 2	DAY 2	DAY 4	2	0.5
TOTBAT5	<b>Module 5: Tasks, time frame, cost, responsibilities</b>		2	120	DAY 2		DAY 3	DAY 3		DAY 3	DAY 3	4	DAY 5	3	2
TOTBAT6	<b>Module 6: Action Plan/Closing/Endorsement/Implementation/M&amp;E</b>	Action Plan and closing	1	60	DAY 2		DAY 3	DAY 3		DAY 3	DAY 3	DAY 3	DAY 6	3	1
		Endorsement/Implementation and M&E	1	60	DAY 2		DAY 3	DAY 3		DAY 3	DAY 3	DAY 3	DAY 6	3	1

					Scenario 1			Scenario 2			Scenario 3		
		Training of trainers		ONLINE	3 Days (6.5 to 7h per day), 13 sessions, 20 hours			5 Days (3 to 4.5h per day), 13 sessions, 20 hours			9 Days (2 to 2.5h per day), 13 sessions, 20 hours, 5 weeks		
REF of session	List of sessions	Sub-session	Duration of session by hours	Duration of session by minutes	Full day/ 3 days	Number of sessions/ subsessions per day	Number of hours per day	Half day in one or 2 weeks	Number of sessions per day	Number of hours per day	Few hours in 6 weeks	Week number	Number of hours per day
TOTBAT7	<b>Module 7: Online tool (WASH BAT) introduction of main functionality – and practical test</b>		2	120	DAY 3		7	DAY 4		4	DAY 7	4	2
TOTBAT8			2	120	DAY 3			DAY 4			DAY 8	5	2
TOTBAT9			2	120	DAY 3			DAY 5			DAY 9	5	2
TOTBAT10			1	60	DAY 3			DAY 5				5	1
<b>TOTAL</b>			<b>20</b>	<b>1200</b>			<b>20</b>			<b>20</b>			<b>20</b>

## WASH BAT workshop

In the table below, the scenario for virtual facilitation of remote WASH BAT is provided. Sessions have been divided to comply with different scenarios.

WASH BAT workshop					Scenario 1	Scenario 2	Scenario 3						
					3 Days (6.5 to 8h per day), 27 sessions, 24 hours	5 Days (3.5 to 4.75h per day) 27 sessions, 24 hours	10 Days (0.5 to 4h per day), 30 sessions, 24 hours, 5 weeks						
REF of session	List of sessions	Sub-session	Duration of session by hours	Duration of session by minutes	Full day/3 days	Number of sessions/subsessions per day	Number of hours per day	Half day in one or 2 weeks	Number of sessions per day	Number of hours per day	Few hours in 6 weeks	Number of sessions per day	Number of Hours per day
BAT0	<b>Module 1: Opening session – official speeches</b>	Framing the exercise and link to national processes	0.5	30	DAY 1	12	7.5	DAY 1	8	4.5	Day 1 Week 1	5	2.5
BAT1	<b>Module 2: Workshop objective/ introduction participants/ expectations</b>	Objective and collecting expectations	0.5	30	DAY 1			DAY 1			Day 1 Week 1		
BAT2	<b>Module 3: Background and contextual perspective on the provision of water and sanitation services in the local context</b>		0.5	30	DAY 1			DAY 1			Day 1 Week 1		
BAT3	<b>Module 4: Introduction to the Enabling Environment Framework (EE) + Q&amp;A</b>		0.5	30	DAY 1			DAY 1			Day 1 Week 1		
BAT4	<b>Module 5: Introduction to WASH-BAT: From Sector Diagnosis to Action Plan + Q&amp;A</b>		0.5	30	DAY 1			DAY 1			Day 1 Week 1		

					Scenario 1			Scenario 2			Scenario 3							
WASH BAT workshop					3 Days (6.5 to 8h per day), 27 sessions, 24 hours			5 Days (3.5 to 4.75h per day) 27 sessions, 24 hours			10 Days (0.5 to 4h per day), 30 sessions, 24 hours, 5 weeks							
REF of session	List of sessions	Sub-session	Duration of session by hours	Duration of session by minutes	Full day/ 3 days	Number of sessions/ subsessions per day	Number of hours per day	Half day in one or 2 weeks	Number of sessions per day	Number of hours per day	Few hours in 6 weeks	Number of sessions per day	Number of Hours per day					
BAT5	<b>Module 6: Accountability mapping</b>	Module 6a: Initial presentation of the theoretical framework and its dimensions - Accountability mapping + Q&A	0.25	15	DAY 1			DAY 1			Day 2 Week 1							
BAT6		Module 6b: Accountability mapping exercise (1/2/3) and feedback + Q&A	1	60	DAY 1			DAY 1			Day 2 Week 1			3	2			
BAT7		Module 6c: Accountability feedback/results + Q&A	0.75	45	DAY 1			DAY 1			Day 2 Week 1							
BAT8	<b>Module 7a: Building blocks discussion and selection</b>	Explanation of building blocks definition and outcomes/instructions	0.25	15	DAY 1			DAY 2			Day 1 Week 2			5	3.5	Day 1 Week 2	5	3.5
		Prioritisation of most challenging functions	0.75	45	DAY 1			DAY 2			Day 1 Week 2							
BAT9	<b>Module 7b: Scoring criteria + Q&amp;A</b>	Instructions for scoring criteria/add criteria	0.25	15	DAY 1			DAY 2			Day 1 Week 2							
		Assessment of criteria	1.75	105	DAY 1			DAY 2			Day 1 Week 2							
BAT10	<b>Module 7c: Analysis of group work for criteria</b>	Analysis of criteria assessment	0.5	30	DAY 2			DAY 2			Day 1 Week 2							

					Scenario 1			Scenario 2			Scenario 3		
WASH BAT workshop					3 Days (6.5 to 8h per day), 27 sessions, 24 hours			5 Days (3.5 to 4.75h per day) 27 sessions, 24 hours			10 Days (0.5 to 4h per day), 30 sessions, 24 hours, 5 weeks		
REF of session	List of sessions	Sub-session	Duration of session by hours	Duration of session by minutes	Full day/ 3 days	Number of sessions/subsessions per day	Number of hours per day	Half day in one or 2 weeks	Number of sessions per day	Number of hours per day	Few hours in 6 weeks	Number of sessions per day	Number of Hours per day
BAT11	<b>Module 8a: Bottlenecks-causes and activities</b>	Instructions for identifying bottlenecks and causes	0.25	15	DAY 2	7	6.5	DAY 3	3	4.75	Day 1 Week 3	2	4
		Identify bottlenecks-causes and activities	3.75	225	DAY 2			DAY 3			Day 1 Week 3		
		Presentation of results (activities) in plenary	0.75	45	DAY 2			DAY 3			Day 2 Week 3		
BAT12	<b>Module 8b: Prioritization of activities + Q&amp;A</b>	Instructions for prioritization and voting	0.25	15	DAY 2			DAY 4	Day 2 Week 3	4	2		
		Market place exercise – voting session	0.5	30	DAY 2			DAY 4	Day 2 Week 3				
		Feedback of results	0.5	30	DAY 2			DAY 4	Day 2 Week 3				
BAT13	<b>Module 9: Activities/tasks, time frame, cost, responsibilities + Q&amp;A</b>	Reflection and adjustment of activities based on voting and sharing draft Action Plan by subsector – interlinkage	0.75	45	DAY 3	DAY 4	6	4.5	Day 1 Week 4	3	3.25		
		Instructions for developing time frame, costs responsibility for selected activities	0.25	15	DAY 3	DAY 4							
		Develop time frame, costing and responsibilities	2.25	135	DAY 3	DAY 4	Day 1 Week 4						
BAT14	<b>Module 10: Draft Action Plan presentation</b>	Groups to share their draft Action Plan and discussion across subsector – coherence	1.5	90	DAY 3	DAY 5	Day 2 Week 4						

WASH BAT workshop					Scenario 1			Scenario 2			Scenario 3		
					3 Days (6.5 to 8h per day), 27 sessions, 24 hours			5 Days (3.5 to 4.75h per day) 27 sessions, 24 hours			10 Days (0.5 to 4h per day), 30 sessions, 24 hours, 5 weeks		
REF of session	List of sessions	Sub-session	Duration of session by hours	Duration of session by minutes	Full day/ 3 days	Number of sessions/subsessions per day	Number of hours per day	Half day in one or 2 weeks	Number of sessions per day	Number of hours per day	Few hours in 6 weeks	Number of sessions per day	Number of Hours per day
BAT15	<b>Module 11: Preparation of closing – Action Plan presentation to officials</b>	Groups adjust their Action Plan based on participants feedback	1	60	DAY 3			DAY 5		4.75	Day 2 Week 4	3	3
BAT16	<b>Module 12: Evaluation of the workshop</b>		0.5	30	DAY 3			DAY 5			Day 2 Week 4		
BAT17	<b>Module 13: Closing and Endorsement and next steps</b>	Each group/subsector present to results of the workshop in plenary	0.75	45	DAY 3			DAY 5			Day 1 Week 5	2	1.75
		Officials' speech for closing	1	60	DAY 3			DAY 5			Day 1 Week 5		
BAT18	<b>Module 14: Recap with all facilitators/ introduction of results into online tool</b>		2	120	DAY 3 or 4		2	DAY 5 or 6		2			2
<b>TOTAL</b>			<b>24</b>	<b>1440</b>		27	<b>24</b>		27	<b>24</b>		27	<b>24</b>

## Example of implementation: Lessons learned from Iran for a WASH BAT ToT

The workshop was organized to train trainers in provinces that will use the WASH BAT. The workshop was fully virtual.

### *Improvement comments*

- **Online sessions must be longer** in order to compensate physical presence with more discussion around the substance
- **Cameras must be on all the time** as the common way to conduct the trainings online, with participants titles and institutions within the photo icons (sine qua non for online mode)
- **Traditional facilitation must be visualized systematically** for each module/session through photos of roles and material (airplane instructions type of photo guidance)

- Participants' computer literacy must be verified/updated ahead of the ToT (notably for anticipated Miro types of exercise)
- Participants must be in a workshop state of mind and not a conference mode.
- It is possible that time management is important due to some internet connection from participants or related to misunderstanding of live interpretation.

### *Positive comments (provided all the improvement conditions are met)*

- Online training allows better control of the actual participation
- Online training allows better follow-up of the various discussion (depending on the quality of translation and break out room)
- Online training should be however considered only as a plan B
- With the lower participation, it is recommended to conduct the online training in the plenary room only.

# ANNEX 9. Additional assessment criteria to inform the analysis

## Rationale

With countries facing issues related to emergency, water scarcity and climate change, UNICEF with the support of SIWI developed additional criteria to tackle specific problems.

A first compilation of criteria was completed for emergency and fragile contexts including some climate change aspects at the end of 2018 and trialed in some countries. Then after specific requests from some country offices more detailed climate change criteria were added in 2019, followed by water resources management in 2020. Additional criteria are also inter-connected with the development of a Risk informed WASH BAT (several countries are under this process). Specific criteria have also been developed linked to an initiative launched by the Global WASH Cluster to strengthen the government-led WASH coordination in emergency using the WASH BAT approach and SWA building blocks.

We have compiled all additional criteria into a database of 200 criteria organized by focus area and then launched a large consultation with some strategic partners of the WASH BAT to review a list of additional criteria related to the following specific focus area:

- Climate change
- Emergency (including fragility)
- Water scarcity
- Water resources management.

Some adjustments were made to agree on a common list of additional criteria that will be used as a basis for the upcoming WASH BATs on the above topics.

## Ways to use the criteria

All additional criteria are now available in several languages (English, French, Spanish, Portuguese, Arabic) in an Excel file available in the WASH BAT resources page here: <https://www.washbat.org/resources/>

The criteria could be filtered by topic/area of application to facilitate their use.

A set of 200 climate change, emergency, water scarcity and water resources management criteria were developed following the same structure of building block – Function – Outcome – Criteria. (e.g. climate change criteria allows for a climate resilience analysis in the context of countries that are signatory of the United Nations Framework Convention of Climate Change and Paris Agreement)

Criteria can be adjusted/tailored to fit national context (can be easily adjusted to fit other contexts). In order to do that other actor (beyond those included in a normal WASH BAT), e.g., for CC important to invite Ministry of Environment, including focal points for multilateral climate financing schemes, national departments of weather forecasting, risk management, and development partners working more broadly with climate resilience to discuss and adapt the list of criteria

The criteria contained in this document have been formulated since the WASH Bottleneck Analysis Tool online version was released. The below criteria should be used in addition to, or in the place of, the default assessment criteria provided in the online tool. These criteria provide the basis for a deepened analysis of contexts affected by emergency, fragility, climate change or water resources



Figure 17. Example of additional criteria

**WASH BAT: Additional criteria for Climate Change or Water Scarcity-Affected Contexts, Emergency, Fragility, Water Resource Management**

**FOCUS AREA**

The criteria contained in this document have been formulated since the WASH Bottleneck Analysis Tool online version was released. The below criteria should be used in addition to, or in the place of, the default assessment criteria provided in the online tool. These criteria provide the basis for a deepened analysis of contexts affected by emergency, fragility, climate change or water resources management concern. They can be used for water, sanitation and hygiene alike, as well as rural, urban or peri-urban contexts. Not all criteria are relevant for all these contexts or subsectors, hence the specific criteria to be applied at national or sub-national level should be used selectively, and identified in advance of a workshop, to avoid unnecessary additional time being devoted to the selection process in the group work.

The criteria are not for a specific scope but could be used for all scopes

**Color Legend**

Climate Change criteria list

Additional criteria for Emergency, Fragile or Climate Change-Affected Contexts list

Water Resources Management criteria list

REF	BUILDING BLOCK	FUNCTION	ADJUSTED CRITERIA	TOPIC (criteria to select when relevant for the topic)					SCOPE / application : criteria to select when relevant for the scope (cross)						
				Climate change	Water Scarcity	Emergency	Fragility	Water Resources Management	Water	Sanitation	WASH in institution	National	Sub-national	Urban	Rural
1	Sectoral policy and strategy	Sectoral policy and strategy	PRIORITY: There is a strategic framework in which environmental and climate change policies are well aligned with those of water supply & sanitation, and vice versa, with the aim of guiding programmes and interventions towards building more resilient services.	X				X	X	X		X		X	X
2	Sectoral policy and strategy	Sectoral policy and strategy	The National Adaptation Plan (NAP) and the Nationally Determined Contribution (NDC) to the Paris Agreement include the key adaptation needs for drinking water and sanitation.	X					X	X		X		X	X
3	Sectoral policy and strategy	Sectoral policy and strategy	National water and sanitation development policies/strategies make special mention of how climate change affects the sector (including through shocks and sudden events and also slower onset events) and are aligned with national adaptation and mitigation priorities.	X					X	X		X		X	X
4	Sectoral policy and strategy	Sectoral policy and strategy	National water and sanitation strategies include sustainable use of water and promote increased distribution efficiency, water savings and water reuse, and generally "low regret options" that would be appropriate even without climate change	X					X	X		X		X	X
5	Sectoral policy and strategy	Sectoral policy and strategy	Drought and flood management strategies exist in the country (linked to early warning and contingency planning) that enforce policies and prioritize the use of water for human consumption over other uses in the event of scarcity	X	X			X	X			X	X	X	X
6	Sectoral policy and strategy	Sectoral policy and strategy	Climate information (observed and projected impacts) exists and is available at the appropriate temporal and geographical scales to inform national water resources strategic planning in the medium and long term, which is then effectively used to prioritize interventions in the water and sanitation sector.	X				X	X	X		X		X	X
7	Sectoral policy and strategy	Sectoral policy and strategy	WASH policies integrate the principles of responsibility, participation, gender, protection of ecosystems, the rights of nature and the protection of the most vulnerable groups from the impacts of climate change.	X					X	X		X	X	X	X
8	Sectoral policy and strategy	Sectoral policy and strategy	A WASH legal framework for response to a humanitarian crisis exists (i.e. RC cluster activation letters, WASH Cluster/Sector ToR)			X	X		X	X	X	X	X	X	X

management concern. They can be used for water, sanitation and hygiene alike, as well as rural, urban or peri-urban contexts. Not all criteria are relevant for all these contexts or subsectors, hence the specific criteria to be applied at national or sub-national level should be used selectively, and identified in advance of a workshop, to avoid unnecessary additional time being devoted to the selection process in the group work.

Depending on the number of criteria to add from few to 70–80, it could be possible to add the criteria in the online tool manually, but this will not be manageable if the list is long.

### Option 1: with risk informed WASH BAT process

During the risk informed WASH BAT process, when the risk analysis is completed, the task force that participate in the risk analysis will link the prioritized risks with the additional criteria by adjusting them, selecting and tailoring them for their specific context. A specific group will look at climate change criteria (see Figure 18).

Depending on the modality of the WASH BAT workshop (one climate group or climate perspective mainstream in all groups), the additional criteria will be used.

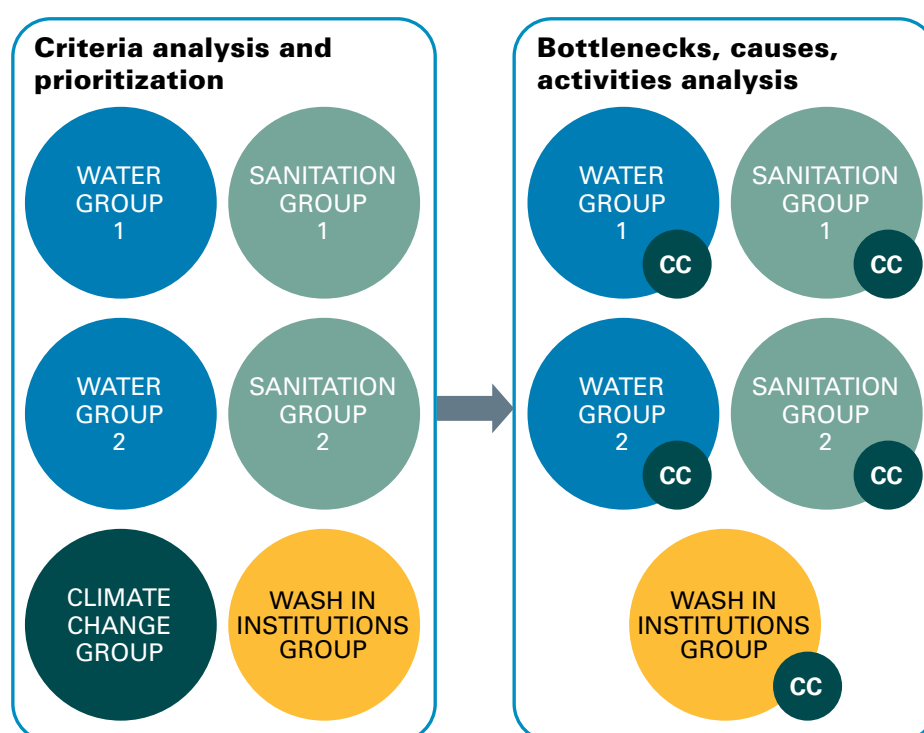
### Option 2: without risk informed WASH BAT process

Even, if the WASH BAT process will not be risk informed, a group of experts from the country identified by UNICEF could be involve in the review of additional criteria by selecting and tailoring them for their specific context.

How facilitation might change using the new criteria:

- One specific additional group to focus on additional criteria (with right participants around the table). Critical climate change (CC) criteria are identified (within building blocks/functions) – and they continue with analysis of bottlenecks, causes and activities to remove bottlenecks
- Critical criteria are distributed to groups analysing subsectors. The criteria posters are prepared in advance with those critical criteria (spelling of CC criteria needs to

Figure 18. Modality to integrate climate change into the WASH BAT



be adjusted to only mention water or sanitation according to group assigned during the workshop).

- A climate change 'expert group' is dispersed among subsectors groups to support those groups and further continue with analysis of bottlenecks, causes and activities to remove bottlenecks.

The two-modality presented for the option 1 is still valid here

### Example of implementation

Several countries have already used the additional criteria in their WASH BAT process.

Option 1: Bolivia, Angola, Chad, Central African Republic, etc.

- **In Chad** (moderated by SIWI), a list of climate change criteria was selected among the list and distribute to each subsectors (27 in total) spread among the 13 governance functions. So, on average two to three additional criteria per function were analysed with the default criteria. In addition, hazards criteria for climate change were developed in order to take into consideration the result

of the risk analysis. A specific group analysed those criteria, and the most critical ones were afterward distributed to groups analysing subsectors.

- **In CAR** (moderated by SIWI), a list of climate change criteria was selected among the list and distribute to each subsectors (32 in total) spread among the 13 governance functions. So, on average two to three additional criteria per function were analysed with the default criteria. In addition, hazards criteria for climate change were developed in order to take into consideration the result of the risk analysis. A specific group analysed those criteria, and the most critical ones were afterward distributed to groups analysing subsectors.

Option 2: Suriname, Tanzania, Ecuador, Gaza, etc.

- For those countries, a list of climate change criteria was selected among the list analysed by a group of experts and the most critical one were distribute to each subsectors in order to continue the analysis of bottlenecks, causes and activities to remove bottlenecks.

# ANNEX 10. Implementation approach for risk informed WASH BAT

The following sections explain the stepped approach that can be followed for the development of a risk Informed WASH BAT.

## 1. Preparatory phase. Stakeholder Mapping before the WASH BAT workshop

### 1.1 Stakeholder Analysis and Mapping

This preparatory step is recommended, but not required, depending on the context. The stakeholders to involve for the development of the national risk informed WASH BAT are those that can help with the bridging SDG 6 targets, beyond 6.1. and 6.2, and also with SDG 13 on climate action. Therefore, stakeholders need to be identified going beyond the 'traditional' WASH partners and include ministries, departments, agencies, and partners working with water and food security, energy, water resource management, wastewater treatment and reuse, solid waste management, water scarcity, drought/flood management, resource monitoring, climate processes, and disaster prevention and management.

Regardless of the administration level of the exercise, stakeholders should be identified at various levels (national, sub-national, local) and across many institutions (government, private sector, non-governmental organizations, United Nations, civil society, donors, academia), as well as communities and private individuals, each with precise roles in water management and climate-resilient development.

The development of the stakeholder analysis aims at defining and establishing a Climate Task Force that will carry the risk analysis including hazard exposure and vulnerabilities assessments. This Climate Task Force is also expected to adjust (and assess) existing criteria (or create new/additional criteria) for a quick participatory vulnerability analysis, and to make the WASH BAT criteria sensitive to identified hazards.

The Climate Task Force would also establish the necessary connections with non-traditional WASH stakeholders and would advise on stakeholders and participants to be invited to the risk informed WASH BAT.

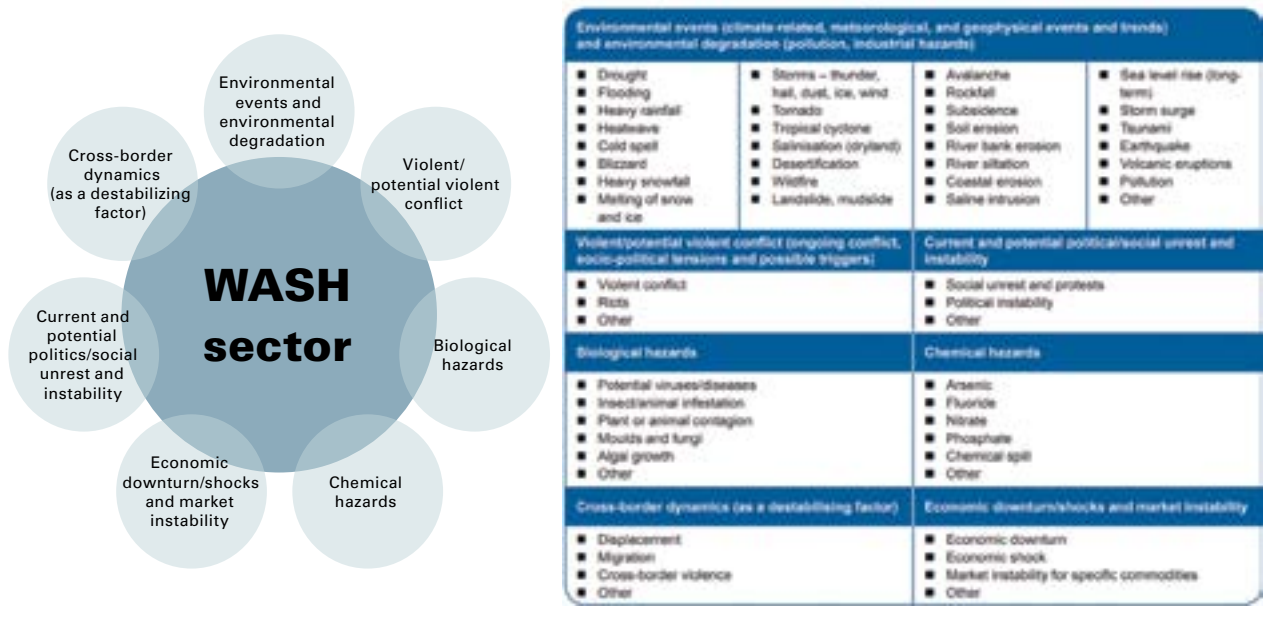
## 2. Preliminary risk analysis phase. This is to be facilitated by a WASH climate task force before the WASH BAT workshop

### 2.1 Hazard Assessment

The Climate Task Force would be given the task – making use of existing literature and expertise within the Task Force – to make a selection of the most important hazards in the country (with special attention to climate related hazards). For this the set of hazards shown in Figure 19 can be initially considered (based on UNICEF's existing Risk Analysis for WASH guidance).

The identified priority hazards would then be characterized, recording elements such as frequency, intensity, geographical extent, etc. A table similar to the one below can be used to record all the information.

Figure 19. Hazards to the WASH sector



The Climate Task Force would then agree on a scoring mechanism (low, medium,

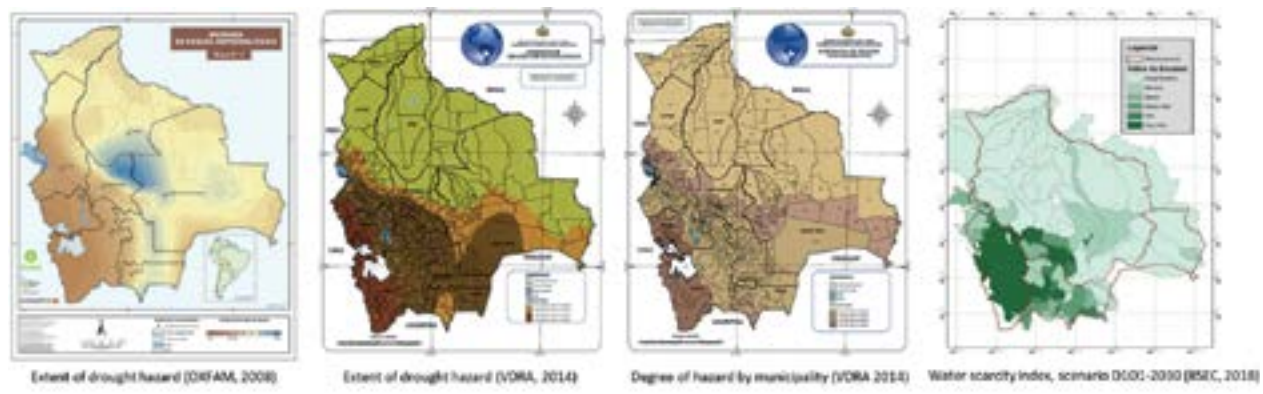
high) for the hazards and would proceed with assigning scores to the prioritized risks.

Hazard group	Hazard	Frequency	Duration	Intensity	Geographical extent	Time of year

The Climate Task Force would also develop (or gather) national and/or subnational maps with type of hazards affecting specific

hotspots. The following is an example of how other task forces have gathered maps related to a specific hazard:

Figure 20. Information on drought mapping by the Bolivia risk informed task force



## 2.2 Exposure Assessment

After completing the hazard assessment, the working group would proceed with assessing the exposure levels of all hazards that have been prioritized. The objective would be to determine what the exposure for a particular hazard might be, considering whether the hazard affects:

- Any people (if so, any specific groups such as children)
- Critical infrastructure
- Water sources (if so, are these primary water sources?)
- Any other types of assets in the area

## 2.3 Definition (and assessment) of vulnerability and WASH BAT criteria

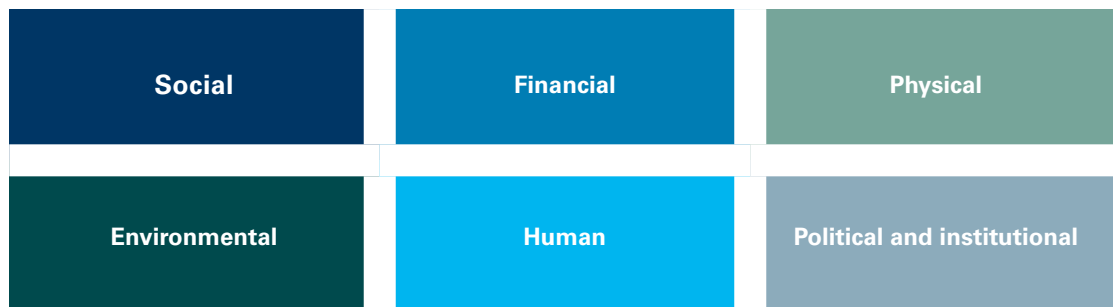
The last part of the risk analysis is to determine/adjust the criteria to be used during the risk informed WASH BAT workshop.

### 2.3.1 Vulnerability criteria

Taking as a basis the generic criteria/questions already available in the [UNICEF Guidance Note Risk Analysis for WASH](#), and based on the hazards and exposure levels identified by the Climate Task Force, the final step of the pre-assessment is to adjust the criteria/questions for its used during the risk informed WASH BAT workshop.

The generic criteria are organized into six components (see *Figure 21*).

Figure 21. Components of the vulnerability analysis



The assessment of all defined criteria can be completed before the workshop, or during the

workshop. Each modality has specific pros and cons, as shown in *Table 14*.

**Table 14. Advantages and disadvantages of assessing vulnerability criteria before or during the workshop**

Assessment of vulnerability criteria	Pros	Cons
Before the workshop, by the Climate Task Force	By completing the analysis before the workshop allows the computation of risks and analysis of achieved results in advance. The validation section of the workshop can focus on the results. No need to include in the workshop one session to assess vulnerability criteria.	One extra session is needed with the Climate Task Force to complete the analysis. Participants do not participate in the climate risk analysis. They only validate achieved results.
During the workshop, by all participants	Participants have the opportunity to be engaged in the risk analysis, which supports the endorsement of achieved results.	One extra session needs to be included in the agenda to assess vulnerability. This probably means less time to validate results from the whole risk assessment. The computation of risks needs to be done live, with no capacity to analyse results in advance.

### 2.3.2 WASH BAT governance functions criteria

Finally, the last task is the fine-tuning of the generic WASH BAT set of criteria, including the specific generic water resources and climate change criteria (already available). They can be used as a basis for adjusting to the results of the risks assessments done by the Climate Task Force.

This leads to the development of additional criteria and needs to be finalized by the Working Group prior to the risk informed WASH BAT workshop.

### 3. WASH BAT workshop. Introducing risk analysis as part of the WASH BAT workshop with sector partners.

The third phase consists of the development of a WASH BAT with an expanded scope when compared to the traditional approach, to cover also for specific aspects of climate change risks.

For this extension of the WASH BAT analysis there are four main additions to make to its structure, as explained below.

#### 3.1 WASH BAT session on validation and finalization of risk analysis

The work that has been advanced by the Climate Task Force on hazard and exposure (and vulnerability) assessments is shared with the participants attending to the WASH BAT workshop for validation and endorsement. If not yet done, the vulnerability criteria that was developed by the Climate Task Force (as per Section 2.3.1 above) is used to facilitate a vulnerability assessment with all the WASH BAT participants. The results of the vulnerability assessment are then used in combination with the results of the hazard and exposure assessments to compute risks, using the equation:

$$\text{Risk} = \text{Hazard scoring} \times \text{Exposure scoring} \times \text{Vulnerability scoring}$$

A summary matrix with all scores and prioritized risks is developed and discussed in plenary.

### 3.2 Contextualized Hazard criteria added

The additional WASH BAT criteria linked to prioritized risks that were previously developed by the Climate Task Force (as per section 2.3.2 above) is added to the regular WASH BAT criteria for analysis of the different WASH BAT working groups.

### 3.3 Sensitization session on climate change options to address risks

A session is facilitated after the identification of the causes that create bottlenecks to explain briefly potential options to address identified risks. This session uses as a basis the UNICEF/GWP Strategic Framework for WASH Climate Resilience and is intended to raise awareness and inform the subsequent discussion on activities to remove

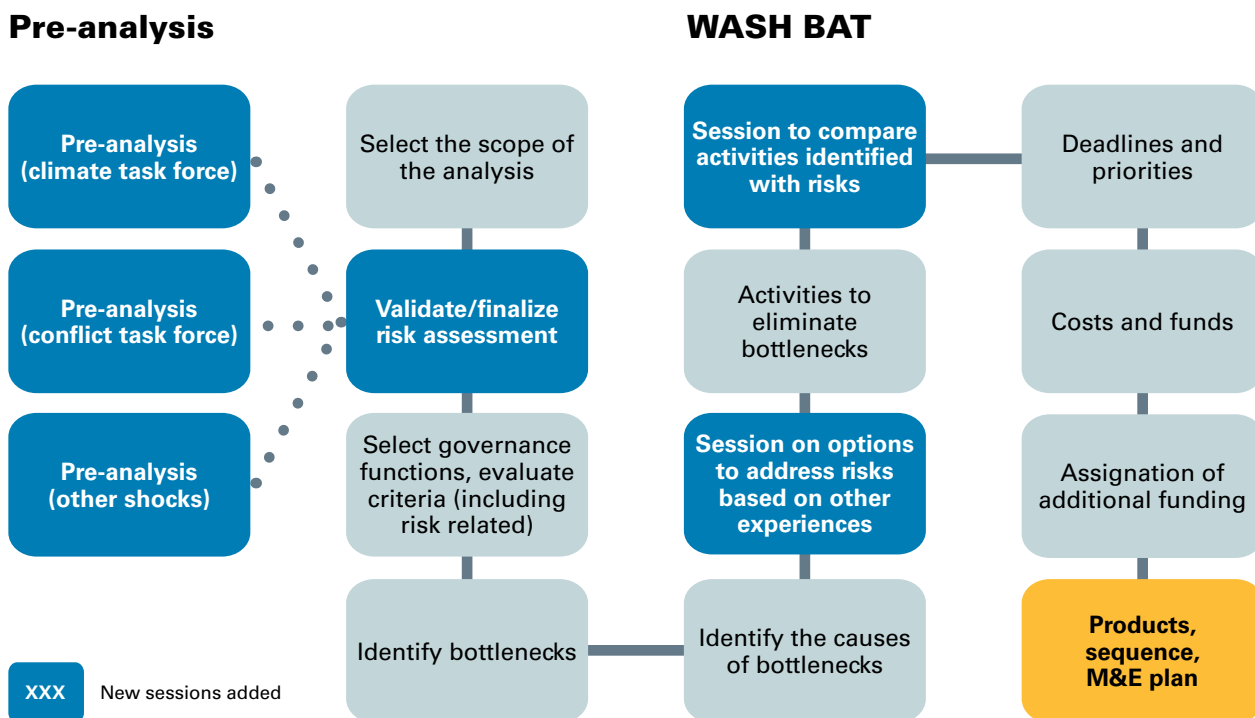
bottlenecks. As part of this session emphasis is given to options that can address the risk identified. Also, relevant international case studies on how others might have addressed similar risks are presented.

### 3.4 Recalibration of activities for bottleneck removal

The final addition to the traditional structure of WASH BAT is a session that is introduced once the WASH BAT working groups have identified activities to remove bottlenecks. They are requested then to look at the list of prioritized risks once again so that the activities agreed to removed bottlenecks can be further adjusted to ensure that they also help address identified risks. New activities can be also added at this stage to be part of the WASH BAT Action Plan.

The following figure explains in a graphic way the proposed approach for a risk informed WASH BAT.

Figure 22. Approach to a risk informed WASH BAT



Additional steps are presented in the dark blue boxes.



# ANNEX 11. Guidance on data entry in the online portal

## Background and Rationale

The online portal, [www.washbat.org](http://www.washbat.org), was developed by Community Systems Foundation in 2016, under the leadership of UNICEF. The online portal follows the WASH BAT methodology and enables the rapporteurs to capture the key outputs of the WASH BAT in a structured way. This annex aims to give a brief overview of the main features of the online tool and its' potential uses. A summary of the WASH BAT online tool User Guide can also be found at the resources page on the WASH BAT portal, [www.washbat.org/resources/](http://www.washbat.org/resources/), provides a comprehensive step-by-step explanation on how to use the online WASH BAT and enables trouble-shooting for users. Additionally, a helpdesk function for any questions is provided on the WASH BAT website ([www.washbat.org](http://www.washbat.org)).

## Key features of the online tool

In a step-by-step approach, the tool assists a user to:

- Assess the key enabling factors to be developed for the WASH sector;
- Identify bottlenecks that restrict sector progress;
- Propose (sequenced) activities for the removal of bottlenecks;
- Estimate resource requirements, and costs of bottleneck removal;
- Propose priorities for utilization of additional funds; and
- Link bottleneck removal to sector, and broader development objectives.

The user will do this through the following sections:

- **Scope of Analysis** – the user will select country, subsector, and jurisdiction (rural/

urban areas, and administrative level) where the tool will be applied, as well as preferred currency for the cost figures. The user will also select a file name, which should be concise, but informative about the country, scope, jurisdiction and time period of the analysis.

- **Participant List** – the user will add the names and email addresses of the participants working on the analysis at hand. The user could in theory add all the participants taking part in the workshop, but it might be more efficient to add only those who will be involved in the analysis, which could include the moderators, facilitators and rapporteurs of the workshop, as well as anyone else closely involved in the planning of the workshop.
- **Building Blocks** – the user will add those governance functions to be analysed during the workshop. Each governance function is categorized under the five SWA critical building blocks of a well-functioning WASH sector (<https://www.sanitationandwaterforall.org/about/our-work/priority-areas/building-blocks>). Buildings blocks, functions, and criteria that will not be analysed should be unchecked by the user, and this removes them from the later modules. Under each governance function, criteria are selected. A criterion is an indicator describing the ideal situation for that function which when progress is made on it contributes to achieving sector outcomes.
- **Awards, Bottlenecks and Causes** – the criteria that have been selected to be analysed by the user should now be assessed for the degree of progress achieved: 'No' (red), 'To some extent' (yellow), 'To a large extent' (green) and 'Yes' (blue). This scoring helps with the identification and prioritization of

bottlenecks to be removed in later modules. Based on the scores already given, the user should identify up to three bottlenecks per criterion, and up to five causes of each bottleneck. A bottleneck is a constraint for achieving sector outcomes and should be closely linked with the corresponding criteria.

- **Activities for Bottleneck Removal** – the user fills out the activities which have been identified for removing the most critical causes of bottlenecks. For each bottleneck, activities should be identified that will address the causes, and remove the bottleneck. Activities should be as concrete and as explicit as possible (ideally being SMART).
- **Costing Intervention** – the user will add the costing intervention; the required and available financing for each activity should be entered, if available, but the value cannot exceed the activity cost.
- **Fund allocations** – the user will fill out the potential funding sources to cover the funding gap (if applicable).
- **Responsibility** – the lead agencies responsible for ensuring the implementation of activities should be entered on this page.
- **Reports** – the user can select the data they would like to download, and generate reports tailored to the need of the analysis. The list can be sorted and filtered according to the different analyses needs, and a Gantt chart can be generated to show a comparative timeline of the proposed activities.

The online portal also contains modules for assessing how the bottlenecks and activities have changed, and provides an updated Action Plan.

## Reporting options

There is a workshop report template, which can be generated by the user within the software. The software automatically generates tables in the

Word document using the data entered in the analysis. One report is generated per toolkit application; hence if the workshop covers four subsectors then four different reports will need to be generated. The rapporteur (or someone who has been assigned responsibility) will need to complete the report, adding descriptive parts on background as well as analysis and next steps, as guided by the template. The template includes annexes for a full participant list, the workshop programme and detailed costs and financing data.

To generate a single workshop report, the workshop rapporteur will need to draw on the individual reports of the subsectors, extracting the high-level findings and referring to the more detailed analyses in the subsector report.

The facilitators and rapporteurs have the option of printing the progress made at the end of each day or sharing with participants. Each module of the tool, as described above, allows a PDF to be generated which summarizes the modules entered so far. Alternatively, the key information could be exported to an Excel file which could be printed or shared electronically with participants. This practice helps the participants to digest the interim findings and makes them better prepared for the next session. Additionally, it can enable the moderator to prepare summaries of the work of the different groups of the WASH BAT workshop, and to present aggregated data during the workshop.

Both facilitators and rapporteurs are also tasked to complete the final report for each respective working group, which is performed at the end of the workshop and allows for each subsector to present its findings. In the 'Report' module the user can select which columns to include in the view and can download these to Excel for further editing to allow a simple presentation of information to the plenary.

Figure 23 below provides a screenshot of the online tool, showing the Reports module, highlighting the main options for tailoring the data. This includes generating a Gantt chart, exporting the data to Excel, sharing the analysis, and to get assistance through the page guide. The Report page shows the process of the WASH BAT, from selecting the criteria (through selecting the building blocks and governance functions), scoring

the criteria, developing the bottlenecks and causes for those deemed most critical, and developing the activities for bottleneck removal. The Reports page also shows the other elements of the Action Plan, including the prioritisation of the activities, the responsible stakeholder and the budget. Using the filter function you can select those columns and the data you want to see in the exported report.

Figure 23. A screenshot from the online tool showing the reports module and the different options available to the user

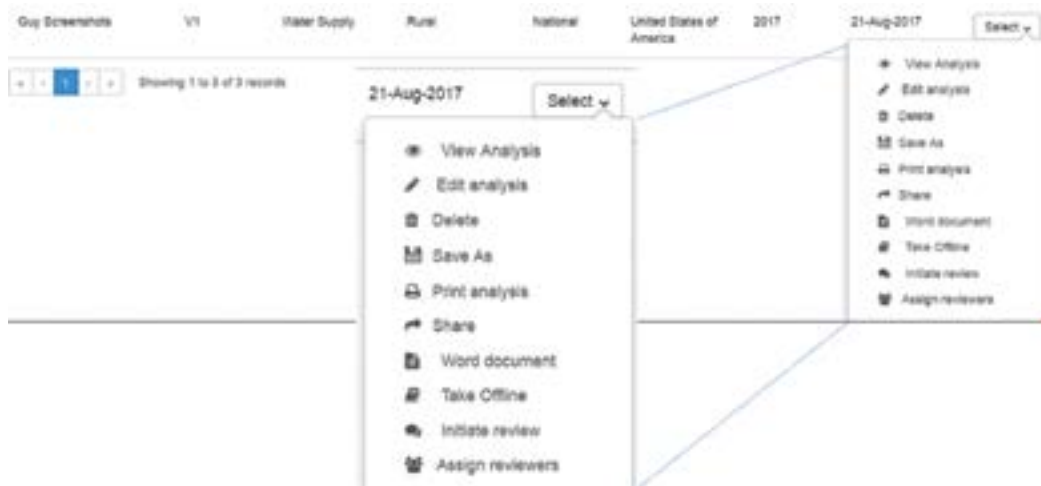
The screenshot shows the 'Reports' module of the online tool. At the top, there are six callout boxes with arrows pointing to specific features: 'Generate a Gantt chart', 'Export to excel', 'Share the analysis', 'Page guide', 'Filter data', and 'Select columns'. The main interface includes a breadcrumb trail 'WASH Analysis > My Screenshots > Reports', a 'Reports' header with navigation icons, and a descriptive text block. Below this, the currency is set to 'US Dollar (USD)'. A table with columns for 'Criteria', 'Award', 'Bottlenecks', 'Cause', 'Activity For Bottle...', 'Priority', 'Responsible', and 'Total Cost' is displayed. Each column has a 'Filter' button. The table contains several rows of data, including 'A supply-chain for...', 'A coordination bod...', 'Well-functioning bo...', 'Mandated govern...', 'Existence of one g...', 'Coordinating body...', 'Standards/benchm...', and 'The sector delivery...'.

Sharing the analysis enables the user to select a number of other users to share a copy or the original. When shared as “copy”, the analysis will not reflect any modifications carried out by the recipient users. However, when shared as “original”, any modifications done by the recipient users will be reflected in the copy used by the original sharer. In the WASH Analysis page, it is possible to select a range of actions, including sharing the analysis as described above, but also

to select “Word document”. This action automatically downloads the complete analysis structured in a word document in the format of a workshop report. For purposes of reporting, this file will need comprehensive checking and editing.

The online tool and User Manual provides further guidance on how to use and download the information entered in different forms.

Figure 24. Screenshot showing options for a WASH BAT analysis



# ANNEX 12. Example of a workshop evaluation form

## WASH BAT Evaluation Survey

*Please give us some information about yourself (the survey is anonymous):*

a) Please choose your gender

Male  Female  Other  Prefer not to say

b) Please choose your age range

18–24  25–35  36 or older  Prefer not to say

c) Please choose the type of organization which best describes your role

Government  Private sector  NGO  Donor  Utility  Academic  Other  Prefer not to say

d) Please describe which level best describes your working area of focus (can tick more than one)

National  Provincial/regional  District  Municipal/city  Urban  Rural  Other  Prefer not to say

*Please let us know what you thought of the workshop:*

1. Overall, I think that the workshop has provided relevant inputs that can contribute to enhance the WASH sector

Strongly agree  Somewhat agree  Neither agree nor disagree  Somewhat disagree  Strongly disagree  Don't know

2. How do you think the workshop could be improved in the areas of the methodology used; the moderation and facilitation; any other improvements?

3. After the workshop, what do you think the outputs of the workshop, the activities developed and the Action Plan could be used for, and what will you personally do to take it forward?

*Please let us know to what extent you agree with the following statements:*

4. I felt that my opinion was heard and considered throughout the workshop

Strongly agree     Somewhat agree     Neither agree nor disagree     Somewhat disagree     Strongly disagree     Don't know

5. If you answer "somewhat disagree" or "strongly disagree" at question 4, please explain why and how you think it could be improved?

6. I felt that I could influence the decision-making process throughout the workshop

Strongly agree     Somewhat agree     Neither agree nor disagree     Somewhat disagree     Strongly disagree     Don't know

7. If you answer “somewhat disagree” or “strongly disagree” at question 6, please explain why and how you think it could be improved?

8. Do you agree or disagree that the workshop was balanced in terms of participation and input from all genders and/or participants representing women?

Strongly agree     Somewhat agree     Neither agree nor disagree     Somewhat disagree     Strongly disagree     Don't know

9. If you answer “somewhat disagree” or “strongly disagree” at question 8, please explain why and how you think it could be improved?

10. Do you experience that the workshop was balanced in terms of participation and input from young people and/or participants representing young people (professionals younger than 35 y/o)?

Strongly agree     Somewhat agree     Neither agree nor disagree     Somewhat disagree     Strongly disagree     Don't know

11. If you answer “somewhat disagree” or “strongly disagree” at question 10, please explain why and how you think it could be improved?

12. Do you have any other comments or points you would like to raise?





