**SIGNIFICANCE OF RESOURCE POOLING THROUGH EXECUTING AGENCIES TO FUND IMPLEMENTATION OF HOLISTIC WASH INTERVENTION PROGRAMS ESPECIALLY IN POST EMERGENCY SETTINGS FOR COMPREHENSIVE PUBLIC HEALTH ASSURANCE:**

A CASE STUDY OF THE INTEGRATED PROGRAMME TO IMPROVE THE LIVING CONDITIONS IN GULU AND SMALL TOWNS EN-ROUTE IN THE NILE CATCHMENT (IPILC) – JOINTLY FUNDED BY KfW, IDA-WB AND GoU

BY

BRIAN TEDLEY OTIENO O.

**A RESEARCH PROJECT SUBMITTED IN PARTIAL FULFILLMENT OF THE REQUIREMENT FOR THE AWARD OF DIPLOMA IN WATER SANITATION AND HYGIENE TO THE AFRICA INSTITUTE FOR PROJECT MANAGEMENT STUDIES**

**DECEMBER 2019**

**DECLARATION**

**Declaration by the Student**

This research project is my original work and has not been presented to any other examination body. No part of this research should be reproduced without my consent or that of the Africa Institute for Project Management Studies.

Name: \_\_\_**Mr. Otieno B.\_**Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_

**Declaration of the Supervisor/Lecturer**

This research project has been submitted for defense with my approval as the Africa Institute for Project Management Studies Supervisor.

Name: \_\_\_**Mr. Ratemo F**.\_Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_

**Lecturer Supervising**

**For and on behalf of the Africa Institute for Project Management Studies**.

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_

**Nairobi Branch Manager**

**DEDICATION**

I dedicate this research project to my family and colleagues.

**ACKNOWLEDGEMENT**

I acknowledge the entire Project Team for the IPILC phase 1A and 1B for their diligence in conceptualizing, funding, supervising and executing this project to realize the goal to provide sustainable WASH infrastructure and behavior change. It has formed the case study for my research. I acknowledge their direct contribution especially in sharing data from feasibility studies to monitoring and evaluation.

**ABSTRACT**

……….

**Table of Contents**

[1. INTRODUCTION 1](#_Toc26910508)

[1.1 Overview 1](#_Toc26910509)

[1.2 Background Information 1](#_Toc26910510)

[1.3 Problem Statement 3](#_Toc26910511)

[1.4 Research Objectives 4](#_Toc26910512)

[1.4.1 General Objective 4](#_Toc26910513)

[1.4.2 Specific Objectives 5](#_Toc26910514)

[1.5 Research Hypotheses 5](#_Toc26910515)

[1.6 Justification of Study 5](#_Toc26910516)

[1.7 Scope and Limitation 7](#_Toc26910517)

**LIST OF ABBREVIATIONS**

**GDP** GROSS DOMESTIC PRODUCT

**IPILC** INTEGRATED PROGRAMME TO IMPROVE THE LIVING CONDITIONS IN GULU AND SMALL TOWNS EN-ROUTE IN THE NILE CATCHMENT (IPILC)

**KfW** THE GERMAN DEVELOPMENT BANK

**NWSC** NATIONAL WATER AND SEWERAGE COMPANY- UGANDA

**SDG** SUSTAINABLE DEVELOPMENT GOAL

**WASH** WATER, SANITATION & HYGIENE

**WB** WORLD BANK

# INTRODUCTION

## Overview

The reality is that we live in a world of finite resources, while the competing needs to ensure satisfactory living conditions for the world’s population are in every sense infinite. This reality is particularly critical in Africa, which suffers unique challenges in comparison to the developed nations. These challenges require massive capital infusions to counter them. Our resources are however scarce and misappropriated in most cases. One of the biggest such challenges facing Africa is the actualization of SDG 6. The following is brief look in to the challenges of accessing adequate funds as well as targeted channeling of the funds to achieve the maximum impact through integrated WASH programmes.

## Background Information

In 2015, world leaders converged at the United Nations and made commitments to achieve 17 Sustainable Development Goals (SDG’S) by 2030. This was done to alleviate human suffering due to poverty, inequality as well as to conserve the Environment. SDG 6 in particular aims to ensure availability and sustainable management of water and sanitation for all. Access to water and sanitation undoubtedly is a key pillar for development towards health, equity, education for all and gender mainstreaming. Equitable access to WASH is therefore complimentary to the other SDG’s. Specific indicators to monitor actualization of SDG 6 exist. They cover all areas from provision of WASH facilities to behaviour change.

According to Africa Policy Review 2018, Africa faces disproportionate challenges in the access to clean water and sanitation services. As of 2018, about 340 million and 508 million people lacked access to clean water and improved sanitation respectively. This is due to widespread water-based challenges including water shortage, pollution, degradation of water sources, flooding and poor water resource management. These challenges are compounded by climate change, rural-urban migration and conflicts. It is projected that more than 50% of population growth up to 2050 shall occur in Africa. This shows how much more desperate the situation shall be if no measures are set in place to mitigate the lack of access to WASH facilities.

Studies have shown a strong correlation between WASH and sustainable development especially for Africa. Africa loses approximately 5% of its annual GDP due to lack of access to WASH facilities and 5% to 25% to droughts and floods depending on extent of natural disasters. Lack of access to WASH facilities more adversely affects girls and women. It has proven to be an obstacle to their empowerment and security. All these extenuating factors led to the adoption of the Common African Position (CAP); which originated from an African Union agenda, Agenda 2063, which aims to create an Africa that Africans deserve by 2063. The CAP is closely linked with the SDG’s.

While there has been renewed focus on the implementation of WASH programmes as suggested by the increase in Official Development Assistance (ODA) disbursements by 2017, resources are still not sufficient to attain SDG 6 especially in Africa by 2030. The African Development Bank estimates that Africa needs 11 billion dollars per year to achieve SDG 6. This is beside the shortage of capacity and weak institutions as well as fickle leadership that does not honour its commitments towards achieving SDG 6. The N’gor Declaration on Water and Sanitation developed by Africa’s Water Ministers among other issues, seeks to commit African countries to develop national strategies to achieve SDG 6; and to prioritize the implementation of water projects under the Programme for Infrastructure Development in Africa (PIDA). The declaration further seeks to push for appropriate national spending targets for high quality investments in water and sanitation. The focus on quality of investments stresses the reality that funding is limited, and that what is available should be focused towards the most productive investments in WASH.

There is a serious need to explore implementation of new and innovative financing mechanisms by governments, private sector as well as development organizations. If these mechanisms are further supported by ODA, there could be greater steps taken towards redressing the inequality in access to WASH facilities. This study explores one such innovative financing models. It also gives empirical proof of the positive effects of pooling funds through well-constituted executing agencies to execute integrated and holistic WASH programmes in securing the public health of a population post-emergency.

## Problem Statement

Africa faces a myriad of challenges while it has limited financial capacity to tackle all of the challenges effectively. One major challenge is the attainment of SDG 6 by 2030 to be able to ensure equitable access to safe water and improved sanitation. The need for WASH facilities is even direr in post-emergency settings. Emergencies in Africa are diverse and range from natural catastrophes to prolonged armed conflicts leading to displacement of millions of Africans. The damage to lives is often irreparable. However, one significant way to alleviate human suffering in the immediate aftermath is to initiate integrated WASH programmes to improve the access to safe drinking water and access to sanitation. This can significantly reduce the disease burden on the population if the initiatives are holistic and encompass all facets of WASH. A reduced disease burden means that families can allocate more time to productive activities such as work and going to school. This is especially significant for girls and women who bear the biggest brunt for lack of access to improved WASH services. Augmentation of WASH infrastructure with sustained hygiene, sanitation and health promotion to be able to foster behaviour change is key for the effectiveness of WASH programmes.

Pooling of resources to ensure that holistic programmes can be executed in the aftermath of emergencies is the surest way to secure the public health of recovering communities post emergencies. Studies have shown that provision of clean water combined with improved sanitation and hygiene is the only effective method in reducing the disease burden due to lack of access to safe water and improved hygiene and sanitation. While many organizations are involved in the WASH sector in Africa, there is limited coordination or even sharing of information among the organizations. The result is that whereas funding is undoubtedly limited, a lot of money is spent implementing similar small projects that could be redundant. This is not ideal, as the effect on the community is limited because disease spread occurs over large geographical areas. There is need for more efforts to ensure better cooperation between organizations involved in conceptualizing, funding and implementing WASH programmes, to ensure that the little available resources are channelled in to the highest quality projects that yield maximum impact on the target communities.

The African Ministers’ Council on Water (AMCOW) recognizes the scale of insufficiency of adequate financial capacity at present to ensure equitable access to improved WASH services as per SDG 6. They are actively pushing for innovative approaches for financing WASH infrastructure by governments, private sector and development partners. Among their recommendations are the establishment of water banks based on domestic resource mobilization such as pension funds and insurance companies. Also the establishment of Water/WASH Financing Facilities as a mechanism for domestic resource mobilization with characteristics of pooled investment projects; developing good governance frameworks and opportunity for blending private and public capital; and special taxes such as the use of 1% of taxes for WASH. It is only through such innovative financing that Africa shall be able to fund the realization of SDG 6.

## Research Objectives

### General Objective

This study endeavours to further advocate for exploration of more innovative means to fund WASH programmes in Africa. It seeks to encourage the strengthening of institutional capacity within the government for water resource management as a tool to attract investment in the sector both internally and externally to for investment in to holistic WASH interventions that are sustainable. It also empirically shows the impact of pooling of funds to do large scale and meaningful holistic WASH interventions on improving the public health of the population. It does so through a case study of Gulu Town and its environs in northern Uganda.

### Specific Objectives

1. To evaluate whether strengthened human capacity and project execution record for water resource management improves the attractiveness of executing agencies such as NWSC Uganda to funding agencies.
2. To evaluate the willingness of funding agencies to cooperate and pool funds for holistic WASH programmes such as IPILC through joint funding agreements with the executing agency.
3. To evaluate the significance of holistic WASH programmes on the behaviour change and hence public health of a population post emergency through tracking of standard indicators for SDG 6.

## Research Hypotheses

1. Strengthening the capacity of executing agencies such as NWSC Uganda has no effect on their attractiveness to funding agencies.
2. Funding agencies are not willing to cooperate in jointly funding WASH projects.
3. Execution of holistic WASH programmes has no significance on the public health of a population post emergency.

## Justification of Study

Studies and experience have shown that to achieve the greatest health benefits, improvements in hygiene should be made concurrently with improvements in the water supply and sanitation services to a community. These should also be integrated with other interventions such as improved nutrition and increasing average incomes. This requires significant financing.

This study is useful to all actors involved in WASH programming. More particularly, the study targets funding agencies, non-governmental actors in WASH and governmental executing agencies in WASH sector. Through a case study and empirical data, this study seeks to:

1. Advocate for the creation of a centralized database with baseline data for WASH indicators for the respective governance zones of a country. The database should be continuously updated to establish the changes in risky hygiene behaviours in the various regions. This would then be a good guide to all WASH actors seeking to design WASH programmes as it would indicate the most urgent risky behaviours that need to be addressed and the capital investment required to establish improved WASH facilities. This data should ideally be public and easily accessible such as on websites of Ministries of Health or Water and Sanitation.
2. Improve cooperation amongst WASH actors in pooling of resources to jointly initiate and implement holistic WASH programmes guided by actionable and up to date data above.
3. Encourage governmental agencies to improve their human resource capacity for water resource management and to develop a record of accomplishment of WASH programmes that will improve their attractiveness to funding agencies.
4. Encourage executing agencies to be resourceful in revenue collection to allow them to be able to solely fund some WASH programmes or to secure loans based on their ability to raise revenue internally. This is in line with finding creative modes of raising funds for WASH interventions.

## Scope and Limitation

This study shall be spatially limited to Gulu town and its environs in northern Uganda. The population in study (approximately 221 440) shall also be limited geographically to Gulu town and its environs. The case study chosen focuses on this area and population.

Due to cost and time constraints and in order to be able to collect sufficient data on behaviour change, the study shall have to rely on data collected via a KfW initiative to conduct a survey and create a baseline database for continuous monitoring and evaluation of indicators for improved WASH compliance of the population. The survey was carried out in November 2019. The data has not yet been processed. Due to the volume of the data, slightly more time shall be necessary to extract relevant statistics.

Finally, as humans are naturally dynamic, several external factors influence their behaviours. As the case study project is a phased project, behaviour change shall continue to be realized as the WASH services are progressively improved through the project. All these affects the absoluteness of data for behaviour change.