**SWA COLLABORATIVE BEHAVIORS: COUNTRY PROFILES 2017**

*An introduction to the profiles*

In 2014, the Sanitation and Water for All (SWA) global partnership identified four Collaborative Behaviours that, if jointly adopted by governments and development partners, would improve long-term performance and sustainability in the water, sanitation and hygiene (WASH) sector. SWA has also developed a monitoring strategy with a set of indicators to assess progress on the four Collaborative Behaviours.

Based on publicly available data, the country profiles provide an overview of how both the government and development partners are applying the Behaviours. Information regarding the government and development partners is presented side-by-side to highlight areas of success and to encourage mutual accountability. The 2017 country profiles are the first round of profiles for the Collaborative Behaviours and they may be further refined moving forward.

**Using the profiles**

These profiles are intended as a resource for countries and development partners. While the profiles are not completely exhaustive, by bringing together relevant available data they provide an overall summary of how governments and development partners are working in the sector and a starting point for discussions on how to improve behaviors to strengthen long-term performance. For example, both countries and development partners can use the profiles to see how well they and others are applying the Collaborative Behaviours and identify areas that may need more focus and/or resources.

Because of limitations in the availability of data, many of the profiles contain considerable data gaps. However, it is hoped that they will still serve to catalyze discussions, and trigger action to ensure these gaps are addressed in future monitoring rounds.

**About development partners’ responses**

A main data source for development partners in the country profiles is the GLAAS 2016-2017 External Support Agency (ESA) survey. All development partners in the profiles are from the GLAAS 2016-2017 ESA survey unless otherwise stated. For Nepal, ESA provided feedback specifically on the country (out of 20 ESAs that responded to the GLAAS 2016-2017 ESA survey). Because not all COSA-ESAs are included, the country profiles do not capture all development partner activity in the country. Further work is required to collect more data from ESAs to better show their work in the country.

### Background on the SWA Collaborative Behaviours Country Profiles

The World Health Organization (WHO) through the UN-Water Global Analysis and Assessment of Sanitation and Drinking Water (GLAAS) is leading the monitoring of the Behaviours.

In order to avoid placing a burden on countries, SWA has leveraged existing monitoring initiatives and data sources for the country profiles. Information for the profiles is drawn from the most recently available data from GLAAS, OECD, CSO, CPA and ESA. While these sources provide a significant amount of data on the indicators, some information is not available for all countries or development partners.

These profiles have been produced by SWA partners, including representatives from countries, external support agencies (including donors and multi-bilateral organizations), civil society, and research and learning institutions. A full list of partners can be found at: [http://www.waterobservatory.org/partners](http://www.waterobservatory.org/partners).

For additional information, please contact: glaas@who.int or info@sanitationandwaterforall.org

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### Indicators

#### Information available on revenues, transfers, and loans and their contributions to the WASH sector

<table>
<thead>
<tr>
<th>Indicator</th>
<th>Note</th>
<th>Data available or not (national budget and expenditures)</th>
<th>Data available or not (participating agencies)</th>
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<tr>
<td>WASH funds</td>
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<td>WASH budget</td>
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<td>WASH government recurrent expenditure as % of GDP</td>
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<td>WASH capital programme expenditure</td>
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<td>WASH capital programme expenditure as % of GDP</td>
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</tbody>
</table>

### BEHAVIOUR A

1. Demonstrate commitment to “public goods” by making investments in WASH priority.
2. Securing resources for WASH are considered budget priorities.
3. Resource allocations for WASH are budgeted in the national budget.
4. There is a distinct budget line for WASH.
5. There is no general budget support for WASH.

### BEHAVIOUR B

1. Finance plan exists and defines if operations and basic maintenance is to be covered by tariffs or household contributions.
2. Urban drinking-water
3. Rural drinking-water
4. Urban and rural sanitation,
5. Over 75% of urban and rural sanitation

### BEHAVIOUR C

1. Water services funded through the national budget.
2. There is no general budget support for the WASH sector from the World Bank.
3. There is no general budget support for the WASH sector from the World Bank.
4. AFD, DFID, WB
5. Data not available

### BEHAVIOUR D

1. Non-tariff household expenditure data (self-supply) on WASH are available.
2. Data not available
3. Data not available
4. Funding committed versus funding dispersed over the last three fiscal years.
5. Number of donors using pooled funding.
### Behaviour 1

**Sanitation Data Not Available**

- **Existence of payroll audits to identify control weaknesses and/or ghost workers**: Data not available
- **Level of disaggregation allows for assessment of inequalities**: 5
- **Quality of public sector management and quality of institutions**: Insufficient data
- **Procurement methods**: Data not available

### Australia

- **Policy and plan coverage targets for specific WASH areas**: Data are timely, reliable and endorsed by a multi-stakeholder forum
- **Mechanism includes non-governmental stakeholders (i.e. NGOs, civil society organizations, advocacy groups)**: Data collected are used to inform decision-making (i.e. results are incorporated into country monitoring systems or ADB, WB
- **Data collected through partner programs feeds into country monitoring systems**: Insufficient data
- **Data not available for other elements**

#### Part 1: Overview

- **Part 1.1**: A regularly reviewed, government-led national plan3 for WASH is in place and implemented
- **Part 1.2**: Proportion of water and sanitation ODA allocated to strengthening/supporting or developing (in the absence of) sector planning processes as proportion of ODA
- **Part 1.3**: ODA allocated to strengthening/supporting or developing (in the absence of) sector planning processes as proportion of ODA
- **Part 1.4**: Government leadership of sector planning processes

#### Part 2: Water AID

- **Part 2.1a**: Government has defined public financial management and procurement systems that adhere to broadly accepted standards
- **Part 2.2a**: Development partners adhere to country planning processes and policies

#### Part 3: Use One Information and Mutual Accountability Platform

- **Part 3.1a**: Development partners use information to inform decision-making (i.e. results can be incorporated into country monitoring systems)

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### Behaviour 2

**Strengthen and Use Country Systems**

- **Performance has defined public financial management and procurement systems that adhere to broadly accepted standards**: Data not available
- **Proportion of water and sanitation ODA allocated to strengthening/supporting or developing (in the absence of) sector planning processes as proportion of ODA**: Data not available
- **Government leadership of sector planning processes**: Data not available

#### Part 1: Overview

- **Part 1.1**: A regularly reviewed, government-led national plan3 for WASH is in place and implemented
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#### Part 3: Use One Information and Mutual Accountability Platform

- **Part 3.1a**: Development partners use information to inform decision-making (i.e. results can be incorporated into country monitoring systems)

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### Behaviour 3

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

- **Part 3.1a**: Development partners use information to inform decision-making (i.e. results can be incorporated into country monitoring systems)
<table>
<thead>
<tr>
<th>INDICATORS</th>
<th>GOVERNMENT</th>
<th>DEVELOPMENT PARTNERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td>A regularly reviewed, government-led national plan for WASH is in place and implemented</td>
<td>Yes</td>
</tr>
<tr>
<td>1.2</td>
<td>Effective political leadership of sector planning processes</td>
<td>No</td>
</tr>
<tr>
<td>1.3a</td>
<td>Percentage of WASH activities that are a) captured in the national WASH plan</td>
<td>100%</td>
</tr>
<tr>
<td>1.3b</td>
<td>ODA allocated to strengthening/supporting or developing (in the absence of) sector planning processes</td>
<td>Significant</td>
</tr>
<tr>
<td>1.4</td>
<td>A system of performance information and measurement exists for sector planning and review</td>
<td>Insufficient data</td>
</tr>
<tr>
<td>1.5</td>
<td>A government-led multi-stakeholder coordination mechanism exists for sector planning and review</td>
<td>Yes</td>
</tr>
<tr>
<td>1.6</td>
<td>Participation by stakeholders including civil society is ensured for sector planning and review</td>
<td>Insufficient data</td>
</tr>
<tr>
<td>1.7</td>
<td>Human resource capacity and institutional arrangements to carry out WASH sector planning and review</td>
<td>Yes</td>
</tr>
<tr>
<td>1.8</td>
<td>Monitoring and evaluation mechanisms exist for sector planning and review</td>
<td>Insufficient data</td>
</tr>
<tr>
<td>1.9a</td>
<td>Degree of integration and reconciliation between personnel records and payroll data</td>
<td>100%</td>
</tr>
<tr>
<td>1.9b</td>
<td>Donor results are incorporated into country monitoring systems</td>
<td>Data not available</td>
</tr>
<tr>
<td>1.9c</td>
<td>National assessment for drinking-water, sanitation, and hygiene is available (year of latest assessment)</td>
<td>Data not available</td>
</tr>
<tr>
<td>1.10a</td>
<td>Percentage of ODA spending using country procurement system (%): * a. WaterAid</td>
<td>19%</td>
</tr>
<tr>
<td>1.10b</td>
<td>Insufficient data</td>
<td>WaterAid</td>
</tr>
</tbody>
</table>

**BEHAVIOUR 2**

**STRENGTHEN AND USE COUNTRY SYSTEMS**

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<tr>
<th>INDICATORS</th>
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<th>DEVELOPMENT PARTNERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1a</td>
<td>Proportion of water and sanitation ODA to support strengthening sector systems/capacity</td>
<td>35%</td>
</tr>
<tr>
<td>2.2a</td>
<td>Development partners are sharing information and results publicly</td>
<td>Insufficient data</td>
</tr>
<tr>
<td>2.2b</td>
<td>Development partners adhere to country planning processes and policies</td>
<td>data not available</td>
</tr>
<tr>
<td>2.2c</td>
<td>Proportion of ODA where participatory development and good governance (PDGG) is a significant objective</td>
<td>Data not available</td>
</tr>
<tr>
<td>2.2d</td>
<td>Percentage of ODA spending using country procurement system (%): * b. WaterAid</td>
<td>19%</td>
</tr>
<tr>
<td>2.2e</td>
<td>Insufficient data</td>
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<td>2.3a</td>
<td>Development partners adhere to country planning processes and policies</td>
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</table>

**BEHAVIOUR 3**

**USE ONE INFORMATION AND MUTUAL ACCOUNTABILITY PLATFORM BUILT AROUND A MULTI-STAKEHOLDER, GOVERNMENT-LED CYCLE OF PLANNING, MONITORING, AND LEARNING**

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<thead>
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<th>INDICATORS</th>
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<th>DEVELOPMENT PARTNERS</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1a</td>
<td>A formal government-led multi-stakeholder review mechanism exists</td>
<td>a. WaterAid</td>
</tr>
<tr>
<td>3.1b</td>
<td>ODA allocated to strengthening/supporting or developing (in the absence of) multi-stakeholder review mechanisms</td>
<td>Significant</td>
</tr>
<tr>
<td>3.2a</td>
<td>Data collected through partner programs feed into country monitoring systems</td>
<td>Data not available</td>
</tr>
<tr>
<td>3.2b</td>
<td>Data collected through partner programs feed into country monitoring systems</td>
<td>Data not available</td>
</tr>
<tr>
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</tbody>
</table>

**NOTE:** The text in bold indicates the key results for the country. The key results are based on the available data and are subject to change as new information becomes available.
Enhance government leadership of sector planning processes

Government partners

1. A formal government-led multi-stakeholder coordination mechanism exists for sector planning and review

Development partners

1. A government-led formal coordination mechanism exists to coordinate a variety of development organizations with responsibilities for WASH (health, education, environment, public works, etc.)

2. Multi-sector coordination processes have an agreed national plan

3. Multi-sector coordination mechanisms and inter-agency agreements that are guided by evidence-based decision making

4. Mechanisms to ensure that coordination contributes to WASH inpractice

5. Mechanisms to encourage inter-agency collaboration

6. Coordination processes are documented and publicly available

7. Development partners that are active and engage appropriately at intersectoral coordination platforms

Government partners

1. Implementation of a government financial management and procurement systems that adheres to broadly accepted good practices

2. Development partners that adhere to country planning processes and policies

3. Percentage of ODA spending using country procurement systems (%)

4. Development partners using country public financial management systems

5. Proportion of water and sanitation ODA where participatory development and good governance (PDGG) is evidenced

6. Development partners adhering to country water and sanitation policies

7. Development partners adhering to country laws

Government partners

1. WASH ODA allocated to strengthening country systems compared to WASH infrastructure projects

2. WASH ODA allocated to strengthening country systems compared to WASH infrastructure projects

3. Proportion of water and sanitation ODA where participatory development and good governance (PDGG) is evidenced

4. redevelopment of the aid and water sector

5. Development partners adhering to country laws

6. Development partners that are active and engage appropriately at intersectoral coordination platforms

Government partners

1. Sanitation

2. Drinking water

3. Health promotion

4. Institutional support (e.g. schools and health care facilities)

5. Water and sanitation results on specific National Sanitation Strategy

6. Water and sanitation results on specific National Health Strategy

Government partners

1. Data not available

2. Data not available

3. Data not available

4. Data not available

5. Data not available

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Based on publicly available data, the country profiles provide an overview of how both the government and development partners are applying the Behaviours. Information regarding the government and development partners is presented side-by-side to highlight areas of strength and weakness.

In this profile, the Government of Japan is assessed on the following Behaviours and indicators:

**Type of Behaviours:**
- **Government:***
- **Development Partners:**

**Indicators:**

1. *Dimension 1: Conceptual Framework and Policy Environment*
2. *Dimension 2: Finance Plan existence and Definition of Financial Obligations*
3. *Dimension 3: Implementation and Monitoring*
4. *Dimension 4: Evaluation and Review*

**Analysis:**

The Government of Japan is assessed on the following Behaviours and indicators:

**Analysis:**

The Government of Japan is assessed on the following Behaviours and indicators:
WASH budgets are available from government ministries and institutions. Data not available.

Drinking-water
Sanitation
Australia

In the GLAAS 2016/2017 ESA survey, the World Bank provided information on how it works in all countries as a significant water financier. Data for this indicator are not currently collected at the global level.

Rural sanitation

GLAAS 2016/2017 country survey short form does not include a question on complaint mechanisms. Results are from GLAAS 2013/14 country survey.

Asian Development Bank (ADB) Special Funds

All WB loans are signed. Access for vulnerable groups: specific measures exist for “poor populations” (GLAAS 2016/2017 country survey).

Dimensions 1-4 are PEFA (Public Expenditure and Financial Accountability) scores, based on an A to D scale (Progress for Results funding.

Japan

Insufficient data

Pooled funds aim to reduce the transaction costs of aid for recipients by channeling finance from multiple donors through one instrument (e.g. pooled or basket fund).

ADB, AFD, BMGF, BMZ,

Access for vulnerable groups: specific measures exist for “poor populations” (GLAAS 2016/2017 country survey).

Data not available

Country response indicated that 15 partners were active and participated in national coordination platform (Nepal GLAAS 2016/2017 country survey).

Data not available

Source: GLAAS 2016/2017 ESA survey question on if monitoring and evaluation is a priority for the ESA WASH strategy and/or activities in the WASH sector.

The public sector management and institutions cluster includes property rights and rule-based governance, quality of budgetary and financial management, efficiency of revenue mobilization, quality of public sector operations, and public management reforms. Data for this indicator are not country specific.

Source: GLAAS 2016/2017 ESA survey.

Inequalities are assessed for “poor populations” (for water, sanitation and hygiene promotion) (GLAAS 2016/2017 country survey).

Data not available

Country response indicated that 15 partners were active and participated in national coordination platform (Nepal GLAAS 2016/2017 country survey).

Data not available

Source:

Dimensions 1-4 are PEFA (Public Expenditure and Financial Accountability) scores, based on an A to D scale (Progress for Results funding.

Japan

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Japan

Insufficient data

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Insufficient data

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ADB, AFD, BMGF, BMZ,