

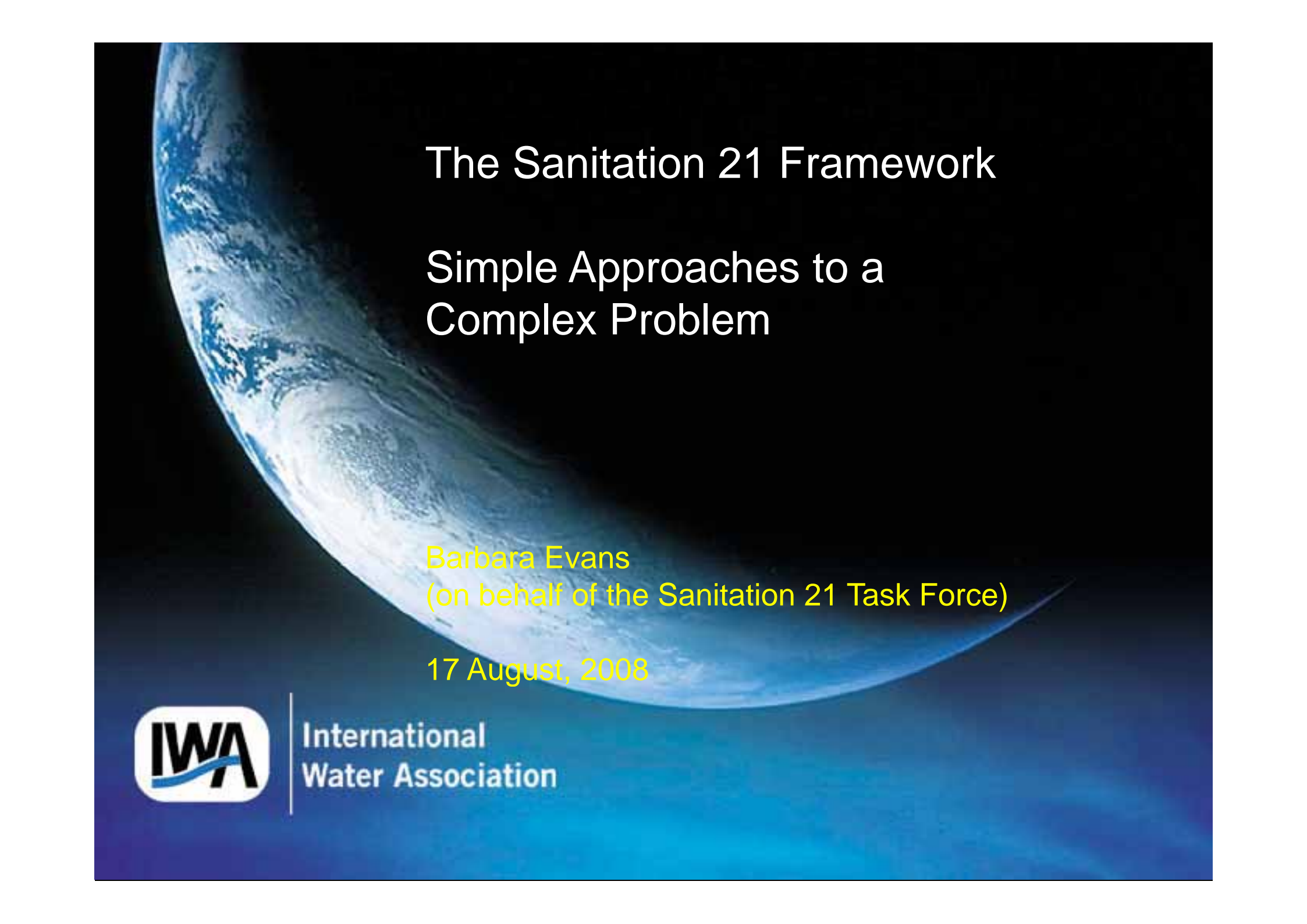


**WORLD**  
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**WATER**  
**WEEK**

# Presentation

Presentation from the 2008 World Water Week in Stockholm

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# The Sanitation 21 Framework

## Simple Approaches to a Complex Problem

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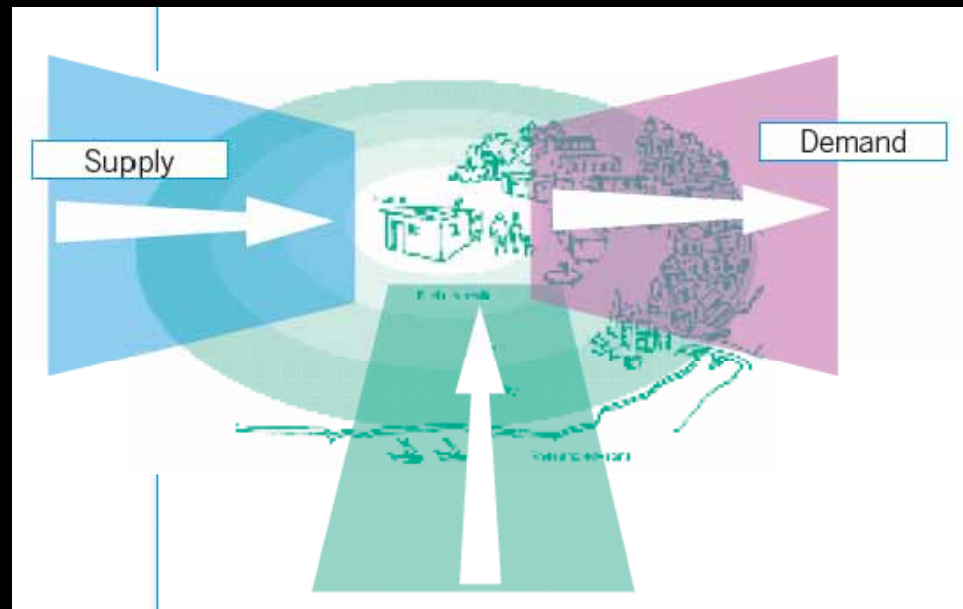
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# Why another framework?

- Conventional approaches to planning seem to fail because:
  - objectives are distorted by special interests (lack of balance across the domains of the city)
  - plans lack flexibility
  - there is a lack of accounting for short-run inertia
  - plans are based on unrealistic assessments of management capacities

*'...a mismatch between technical proposals and institutional realities...'*

# You wanted this....



...but what you got was this.



# Two-step process

- **Phase One**
  - Articulation of a planning framework
  - Building support within the IWA membership
- **Phase Two**
  - Wider consultation – linking the IWA community of practice to the sanitation community
  - A Sanitation Charter



# Phase One – the framework



# What's in the Sanitation 21 Framework?

- A simple conception of what is a complex process:
  - Understanding the context (institutional realities across all domains of the city)
  - Understanding how a sanitation system relates to the context across all domains of the city (technical options)
  - Checking whether the system meets objectives and can work across all domains of the city.

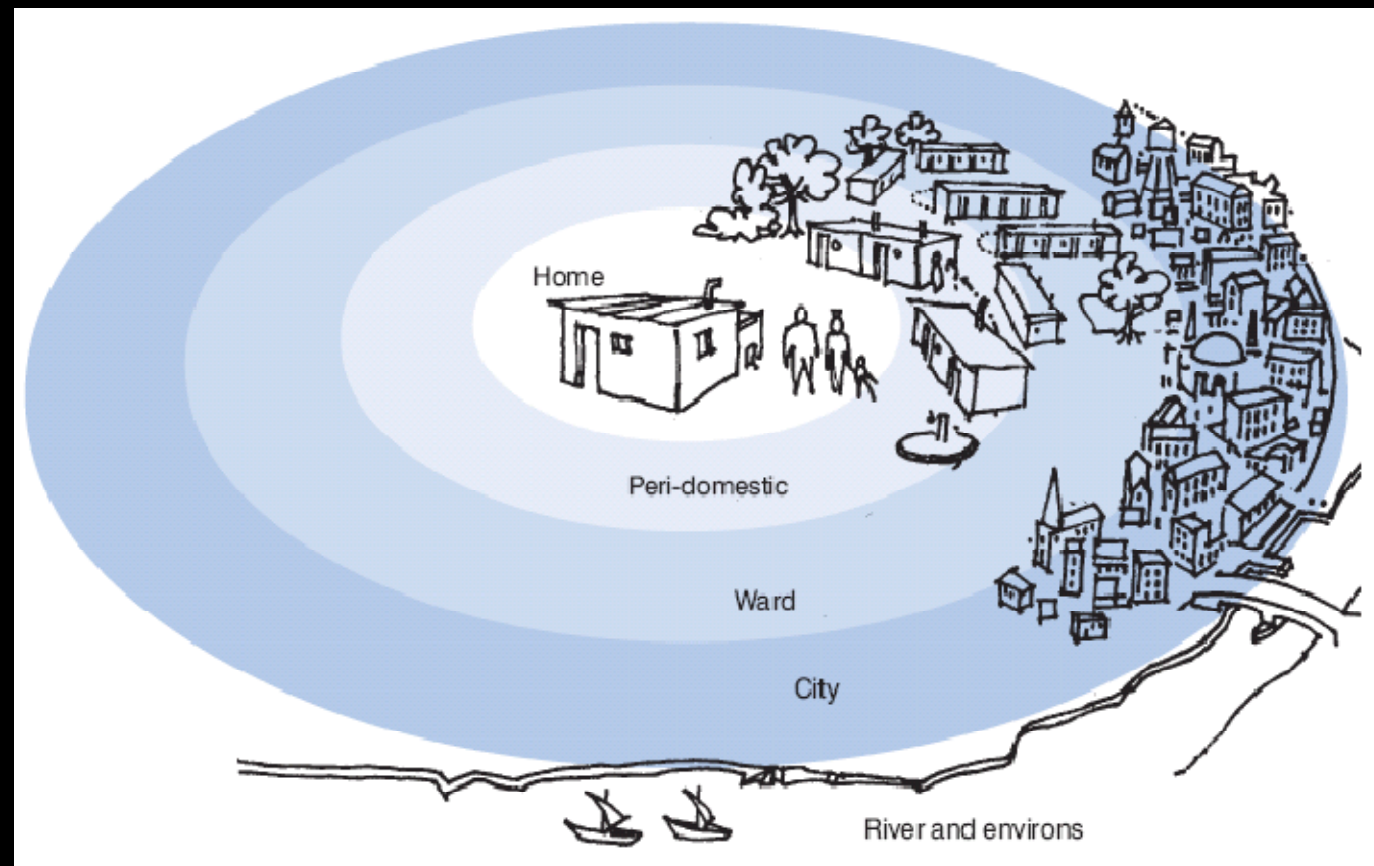
# Part One: The Context

## Key elements of the context

- Decision making domains
- Objectives
- External factors
- Capacity

*Understanding the context allows technical proposals to be assessed against institutional realities*

# Context (1): domains



## Context (2): Objectives, external interests, capacities

- **Objectives:** what do stakeholders in each domain want from the sanitation system?
- **External influencing factors:** 'outside' factors which influence decision making
- **Capacities:** Actors, mandates, manpower, budgets

# Part Two: Technical Options

- Components mapped across domains:
  - A toilet
  - Collection mechanism
  - Transportation mechanism
  - Treatment process
  - Disposal/ re-use mechanism/ process
- Management Requirements
  - The system as a whole
  - Management requirements across all domains

# Part 3: Fit for Purpose?

- Ask the following crucial questions across all domains of the city
  - Does it meet the objectives?
  - Do the management requirements match in every domain?
  - Does it/ will it work?

Table 7a

Using the Framework – describing the CONTEXT

Step	CONTEXT			SANITATION SYSTEM/ OPTIONS		FIT FOR PURPOSE?		
	Interests/ objectives	External Factors	Capacity	Sanitation Elements	Management	Does it meet Objectives?	Do Management requirements match?	Will it/ does it work?
Household								
Neighbourhood								
Ward/ District								
City								
Beyond the city								

**Step One**

Identify who are the key actors in each domain of the city. Assess carefully the range of interest groups and ensure that all the key actors are identified (for example at household level, consider decision making within the home and variations between different communities)

**Step Two**

Identify the interests of the key groups identified in step one (what do they want from a sanitation system?), Use this analysis to generalise groups if their interests converge

**Step Three**

Understand what external factors drive decisions at this level (ranging from poverty/land tenure for households to institutional realities, regulation and technical norms at the city level). Consider who many of these could or should be addressed/ changed and how many are fixed

**Step Four**

Identify the capacities which exist in each domain for implementation and long term management of any system. Capacities include interests, but also skills, numbers of people, resources (especially money) and time



Table 7b

## Using the Framework – describing SANITATION SYSTEM/ OPTIONS

Step	CONTEXT			SANITATION SYSTEM/ OPTIONS		FIT FOR PURPOSE?		
	Interests/ objectives	External Factors	Capacity	Sanitation Elements	Management	Does it meet Objectives?	Do Management requirements match?	Will it/ does it work?
Household								
Neighbourhood								
Ward/ District								
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**Step Five**

(a) Analysis of existing systems  
Where there is an existing system, 'map' this against the domains identified. Disaggregate the system so it is clear what elements exist and/or function in each domain. In this way for example the existence of a wastewater treatment plant can be separated from the households, and the existence of pit latrines can be separated from the downstream areas.

(b) New systems/ development of systems over time  
Where new systems are being proposed, the various options can be mapped in turn against the domains identified.

**Step Six (existing and new systems)**  
Identify IN DETAIL the management requirements for the systems disaggregated across each domain. These requirements include skills, manpower, time, money, tools, etc.

Table 7a

Using the Framework – is the existing/ proposed system FIT FOR PURPOSE?

Step	CONTEXT			SANITATION SYSTEM/ OPTIONS		FIT FOR PURPOSE?		
	Interests/ objectives	External Factors	Capacity	Sanitation Elements	Management	Does it meet Objectives?	Do Management requirements match?	Will it/ does it work?
Household	<p><b>Step Seven</b>                      Assess whether the proposed/ existing system meets the objectives in each domain. Does it provide the sort of service and outcomes that households expect? Will it address environmental concerns at the city level? Once this question has been asked across each domain it may be necessary to consider some pay-offs between interests at each level (typically in a resource-scarce world pay-offs between different interest groups are inevitable). The advantage here is that the payoffs can be assessed explicitly – with a clear weight being placed on interests right across all domains of the city.</p>							
Neighbourhood								
Ward/ District								
City	<p><b>Step Eight</b>                      Equally importantly assess whether the system can be managed in the way it needs to be managed in each domain. If not are there alternative arrangements or minor adjustments in the system (either institutionally or technically) which would make it more likely that management can be carried out in the long term?</p>							
Beyond the city	<p><b>Step Nine</b>                      Finally ask the question 'will it (or does it) work? Taking all the previous steps and technical considerations into account. If a number of workable options are thus identified these (and only these) may be suitable for an economic and financial assessment to identify the least-cost solution.</p>							



# In summary

- The framework is a simplified representation of a complex planning process
- It is meant to guide planners/ designers and help to build bridges between institutional analysis and technical planning
- It is not new – but clearly new mindsets are needed !

# Phase Two

- Wider consultation
- The Charter

# A few ideas for the charter

- Charter has the potential to be a workable tool which could be used by city managers and their advisors
- Modelled on the Bonn Charter
- Includes
  - Articulation of planning principles
  - A certification process for 'advisors'
  - A 'sanitation index' for cities

# Next Steps

- Adoption of Sanitation 21 by IWA members (ongoing)
- Consultation at the IWA Congress in Vienna (September 2008)
- Wider consultation on the charter during the last quarter of 2008



# Thankyou



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