

EVALUATION REPORT 1/2018

# THE GLOBAL WATER OPERATORS' PARTNERSHIPS ALLIANCE (GWOPA) STRATEGY 2013-2017

September 2018





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# Abbreviations and Acronyms

ACCD	Catalonian Agency for Development
ACP	African, Caribbean and Pacific countries
ADB	Asian Development Bank
ADWEA	Abu Dhabi Water and Electricity Company
AECID	Spanish Ministry of Foreign Affairs and Cooperation
AFD	The French Development Agency
AfDB	African Development Bank
AfWA	African Water Association
ALOAS	Latin American Association of Water and Sanitation Operators
APE	Aqua Publica Europea
AquaFed	International Federation of Private Water Operators
BCC	Barcelona City Council
BEWOP	Boost Effectiveness of WOPs
BWS	Belize Water Services
CAP-NET	Capacity Network
CAWASA	The Caribbean Water and Sewerage Association
CCWD	Contra Costa Water District
CDB	The Caribbean Development Bank
COPASA	Companhia de Saneamento de Minas Gerais, Brazil
CWWA	Caribbean Water and Wastewater Association
DAC	Development Assistance Committee (OECD)
DGIS	Dutch Ministry of Foreign Affairs, Directorate-General for International Development
EC	European Commission
ED	Executive Director
EMSAPUNO	Empresa Municipal de Saneamiento Básico de Puno, Peru
ERG	Evaluation Reference Group
EUR	European EURO
EurEau	Association of European Water Associations
EQs	Evaluation Questions
GLASS	Global Analysis and Assessment of Sanitation and Drinking-Water
GWA	Global Water Partnership
GWOPA	Global Water Operators' Partnership
HAP	Hashimoto Action Plan
HLPW	High Level Panel on Water
HQ	Headquarters
ICLEI	International Council for Local Environmental Initiatives
IDB	Inter-American Development Bank
IFI	International Finance Institutions
IHE	Delft Institute for Water Education
ISC	International Steering Committee (GWOPA)
IsDB	Islamic Development Bank
IWA	International Water Association



IWRM	Integrated Water Resources Management
KM	Knowledge Management
MDGs	Millennium Development Goals
MTR	Mid-Term Review
MTSIP	UN-Habitat's Medium-Term Strategic and Institutional Plan, 2008-2013
NGOs	Non-Government Organisations
NRW	Non Revenue Water
NWSC	National Water & Sewerage Corporation
OECD	Organisation for Economic Cooperation and Development
ODA	Overseas Development Assistance
OFID	OPEC Fund for International Development
OIC	Officer in charge
O&M	Operation and Maintenance
ONEE	National Electricity and Water Company, Morocco
OPEC	Organization of the Oil Exporting Countries
PERPAMSI	The Indonesian Water Association
PIPs	Performance Improvement Plans (GWOPA)
PWWA	Pacific Water and Wastes Association
QCPR	Quadrennial Comprehensive Policy Review
SDGs	Sustainable Development Goals
SIAAP	Greater Paris Sanitation Authority
Sida	Swedish International Development Cooperation Agency
ToC	Theory of Change
ToR	Terms of Reference
UCLG	United Cities and Local Governments
UNDP	United Nations Development Programme
UNECE	United Nations Economic Commission for Europe
UNEG	United Nations Evaluation Group
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UN-Habitat	United Nations Human Settlements Programme
UNON	UN Office Nairobi
UNOPS	United Nations Office for Project Services
UNSGAB	United Nations Secretary-General's Advisory Board on Water and Sanitation
UNWC	United Nations Watercourse Convention
USAID	US Agency for International Development
USD	American Dollars
UWM	Urban Water Management
WAPP	World Water Assessment Programme
WASH	Water Sanitation and Hygiene
WF	Water Facility
WOPs	Water Operators' Partnerships
WWC	World Water Council

# Executive Summary

## Background

---

This report presents an evaluation of the Global Water Operators' Partnerships Alliance (GWOPA) Strategy for the period 2013-2017. Water Operators' Partnerships (WOPs) are peer-support exchanges between two or more water operators on a non-for-profit basis aimed at strengthening capacity and enhancing performance, thereby enabling water operators to provide better services to more people, with emphasis on the poor. The evaluation has performance, learning and accountability purposes and covers the strategy and the operational level. Lessons learnt as well as conclusions and recommendations of this evaluation will inform preparation of the 2018-2022 strategy.

The Global Water Operators' Partnerships Alliance (GWOPA) was founded by UN-Habitat in 2009 with a global governance structure to guide its operations as an alliance of water operators, water associations, UN Agencies, development partners, labour and civil society bodies, international financial institutions, and the private sector. The evaluation focuses on the entire five-year period of the strategy implementation, 2013-2017.

Three sources of information with relevance for this evaluation are the Mid Term Review (MTR) of the GWOPA Strategy 2013-2017; Project Evaluation of 9 African WOPs; and 12 case studies resulting from the five-year research programme "Boosting the Effectiveness of Water Operators' Partnerships (BEWOP). The above two subsets (9+12) of the portfolio have been subject to more in-depth studies and have thus more detailed performance data and constitute the main source for the evaluation. Assessment of the 21 WOPs was complemented with interviews of key stakeholders. Except for visits to the GWOPA Secretariat and UN-Habitat the evaluation assignment did not include visits to WOP partners or other stakeholders, posing limitations to acquisition of adequate evidence on outcomes and impact; nor did it include visits to non-WOP supported facilities to judge the counterfactual.

### **Origin of the GWOPA concept**

The GWOPA concept derives from the United Nations Secretary-General's Advisory Board (UNSGAB) on Water and Sanitation in Hashimoto Action Plan I (HAP 2006-2009) and II (2010-2012). With expiry of Millennium Development Goals (MDGs) the Hashimoto Action Plan III (2013-2015) endeavoured to define water and sanitation objectives for the post-2015 world. One of its commitments was promotion of the UN Watercourse Convention (UNWC) and the call for a dedicated water goal in the post-2015 development agenda. UNSGAB also advocated inclusion of water-efficiency targets in other post-2015 goals, and for water-related disasters to be addressed in the post-2015 agenda. UNSGAB held its final meeting in New York on the 20 November 2015 as the Board's mandate to support the MDGs had come to an end. A High-Level Panel on Water (HLPW) established in April 2016 has met four times, most recently in New York on 21 September 2017. The HLPW Action Plan mentions WOPs as a possible priority action.

GWOPA was part of UN-Habitat's Medium-Term Strategic and Institutional Plan (MTSIP) 2008-2013; UN-Habitat's Strategic Plan 2014-2019; the Biennial Strategic Framework; and the Biennial Work Programmes and Budgets up to 2019, for which GWOPA is assigned the delivery of a set of outputs. GWOPA is anchored in the Urban Basic Services Branch of UN-Habitat.

## **Implementation framework for GWOPA 2009-2017**

**GWOPA Strategy Period 2009-2012:** UN-Habitat established a global governance structure to guide its operations. A Steering Committee representing the full range of stakeholders in WOPs was elected from amongst the membership of the Alliance. The Alliance adopted a set of principles and a code-of-conduct, creating an Integrity Sub-committee to help ensure compliance. UN-Habitat also set up a stable GWOPA Secretariat team of international staff members at its Headquarters in Nairobi, Kenya. The first Strategic Phase 2009-2012 was funded through the UN-Habitat Water and Sanitation Trust Fund in the order of USD 7.15 million with UN-Habitat providing core staff and covering office expenses all estimated at USD 1.8 million. It was envisaged that Alliance partners would contribute to substantive activities of the Secretariat for the remaining USD 5.35 million. Additional funding was provided by Abu Dhabi Water and Electricity Authority, the Catalan Development Cooperation Agency, and the French Development Agency. The total amount allocated was USD 4,399,956 out of which USD 3,005,952 was spent up to December 2012, and USD 1,399,956 rolled over to 2013.

Lessons learned from implementation of GWOPA activities between 2009-2012 fed into the GWOPA Strategy for 2013-2017. Key among them were the following:

- As a UN initiative GWOPA has strong convening power, a global reach, can draw on a diverse array of actors, and can work with different levels of government.
- Formalizing collaboration with some of the stronger relevant global players, including more financial institutions, knowledge centres and water utility networks, would enhance GWOPA's influence.
- Access to follow-up financing is a key requirement for realizing the full benefits of a WOP. Stakeholders encourage GWOPA to diversify its funding sources, increase its role in leveraging finance for WOPs from development banks and donors, and gain buy-in from the biggest investors in water utilities.

**GWOPA Strategy Period 2013-2017:** Seeking to mobilize sustainable funding for GWOPA UN-Habitat launched a *Call for Expressions of Interest* to host the GWOPA Secretariat in January 2012. Following review of competitive bids received from the Netherlands, Spain and Turkey, the city of Barcelona was invited to host the Secretariat for the next five years. The Secretariat was relocated to Barcelona where UN-Habitat provided accommodation at its offices, while core funding was provided by the Government of Spain whose offer to host GWOPA in Barcelona included commitment of EUR 1.1 million annually for a period of five years.

The UN-Habitat Executive Director has oversight responsibility for GWOPA and appoints a representative to chair the GWOPA International Steering Committee (ISC) as stipulated in the GWOPA Charter. The GWOPA Charter is not very clear about mandates, roles and responsibilities of the parties involved. In early 2017, the relationship between UN-Habitat management and the GWOPA ISC deteriorated as changing UN-Habitat priorities de-emphasised the scope of GWOPA's activities. The controversy between UN-Habitat and the ISC resulted in sourcing of new funding being halted during 2017, which in turn reduced the extent to which new WOPs could be supported and strategic activities implemented. Furthermore, future hosting of the GWOPA Secretariat has yet to be decided. The 4<sup>th</sup> biennial GWOPA Congress and General Assembly scheduled to take place 4-5 December 2017 was postponed allowing time for evaluation of the GWOPA strategy, development of a new strategy for 2018-2022, and revision of the GWOPA Charter. UN-Habitat has expressed commitment to strengthen GWOPA and appointed a facilitator to prepare an action plan going forward. Nonetheless, as at the end of 2017 GWOPA was at a critical stage of its development.

## **The emerging conceptual framework for a new GWOPA strategy**

**The 2030 Agenda:** The UN Secretary General submitted his report on *Repositioning the UN development system to deliver on the 2030 Agenda – Ensuring a Better Future for All* on 30 June 2017<sup>1</sup>. A set of landmark agreements reached in the 2015-2030 Agenda for Sustainable Development, the Paris Agreement on Climate Change and the Addis Ababa Action Agenda on Financing for Development offers a pathway to a better future. With focus on universal coverage,

the 2030 Agenda raises the bar high. It applies to all countries and commits to *leave no one behind*. Transformative and integrative in design, it requires implementation on a dramatically different scale from its precursor framework, the *Millennium Development Goals*. It is the defining agenda of our time. Achieving the SDGs will provide a better life for all, prevent crises both natural and man-made, and build a firm foundation for human rights, stability, prosperity and peace in all societies. Expectations are high for the UN development system to align effectively with the 2030 Agenda and meet demands Member States have expressed through the Quadrennial Comprehensive Policy Review (QCPR) process. Analysis indicates that the system is both willing and ready but is not fully equipped, nor designed to live up to the ambition of the 2030 Agenda. There is urgent need for the UN development system to move beyond coherence and coordination towards greater leadership, integration and accountability for results on the ground.

The primary goal for water and sanitation is SDG 6 *Ensure availability and sustainable management of water and sanitation for all*. All the 17 SDGs are interrelated as water and sanitation services relate to poverty, food production and security, health, gender equality, energy and economic growth. The SDG 6 targets 6.1-6.4, 6.a and 6.b are of greatest direct relevance to water and wastewater operators. Achievement of targets 6.5 and 6.6 is the responsibility of other entities, but achievement of these two targets is of paramount importance for performance of water and wastewater operators.

**The New Urban Agenda:** The terminology *urban waters* is used to highlight the many forms of water in cities, and to elevate common understanding of water beyond water as a basic service. Urban waters refer to all types of water flowing through and residing in cities – all water sources, piped water, waste water, storm water, reused water and recreational water. Urban waters management relates to a range of interrelated services, and central among them are water resources protection, abstraction, transportation and distribution, collection, treatment and discharge, recycling and reuse, recharge and recovery, and storm water management. Taking a holistic approach to waters in cities is critical for safeguarding public health, minimizing disaster risks, guaranteeing water security and upholding human rights in the urban space.

### **GWOPA Strategy 2013-2017 and Charter**

GWOPA's *vision* is that water and sanitation operators help each other to achieve universal access to sustainable water and sanitation services through not-for-profit peer support partnerships. These partnerships help equip public operators with strong technical, financial and management capacity, enabling them to provide sustainable, high-quality services to all. GWOPA's *mission* is to promote the effective use of not-for-profit partnerships between water and sanitation operators to realize its vision. GWOPA will be the global leader in WOPs promotion, facilitation and coordination and the principle source for WOPs knowledge and guidance so that effective WOPs contribute to meeting national and global water and sanitation objectives including those relating to the Millennium Development Goals, Sustainable Development Goals and the Human Right to Water. The GWOPA Strategy has two key objectives, namely, guiding global growth of WOPs, and providing strategic operational support to WOPs. Each objective focuses on key strategic areas with specified outcomes. A monitoring framework with outcome indicators and means of verification has been applied in monitoring implementation of the strategy.

## GWOPA - Strategic Objectives, Strategic Areas and Outcomes

Strategic Objective/ Strategic Areas	Outcomes
<b>Overall</b>	1. Increased number of quality WOPs implemented resulting in the improvement of utilities performance.
<b>Strategic objective 1: Guiding Global Growths of WOPs</b>	
GWOPA's 2013-2017 strategy is to move to large-scale adoption of WOPs	
Knowledge Management	2. Increased number of quality knowledge products being produced and used to guide WOPs practice.
Branding of WOPs and GWOPA	3. The WOPs brand becomes clearly distinguishable and associated with successful models of WOPs that lead to comprehensive, long-term partnerships and substantive performance improvement.
Communications and Advocacy	4. Enhanced awareness of the WOPs approach, endorsed and actively supported by the water and sanitation sector, governments and the civil society
Alliance Strengthening	5. Engaged efforts of Partners within GWOPA contributing to the achievement of a more synergetic and coordinated impact of WOPs worldwide.
<b>Strategic objective 2: Strategic Operational Support to WOPs</b>	
To provide operational support to WOP implementation in the field	
Strengthening of Regional WOP Platforms	6. Strengthened regional WOP platforms providing high-performing coordination and support.
Mobilizing Finance and Support to WOPs	7. Increased number of WOPs worldwide adequately financed and leading to follow-up investment in water utilities.
Direct Operational Support	8. Increased number of WOPs carried out under the auspices of regional platforms that benefit from GWOPA's facilitation and direct support, and that apply its principles, models and tools.

Membership of the Alliance is open to all interested water and sanitation stakeholder organizations. Membership is obtained by accepting to abide by GWOPA's principles in the implementation of partnership activities as stated in the GWOPA Charter. Membership puts members within GWOPA's communication network and allows participation in GWOPA's biennial General Assemblies. The GWOPA Charter sets out a regulatory framework for governance and operations.

## The WOPs portfolio

At the end of December 2017 the GWOPA WOPs portfolio comprised 221 WOPs in the database. An additional 24 WOPs are in the pipeline pending validation and shortlisting before they can be registered. The 221 WOPs include 71 WOPs directly supported by the GWOPA Secretariat: 38 where GWOPA played an active role during the WOP as broker, facilitator and financier, and 33 where GWOPA played an active role in supporting the regional platforms, as broker, facilitator or financier. At the end of 2017, 14 WOPs had benefited from direct support from the Secretariat. Regional distribution is shown in the table below.

### Regional location of Mentees

Region	No. of WOPs	% of WOPs
Africa	82	37
Middle East	4	2
Asia and the Pacific	62	28
Latin America and Caribbean	54	24
Europe	11	5
North America	8	4

**Source:** GWOPA database, January 2018

**Note:** Based on 221 WOPs

Following the launch of GWOPA 2013-2017 Strategy, there was an increase in the number of WOPs recorded in the database in 2013 and 2014 but although the rate declined from 2015 to 2017, this does not necessarily relate to a decrease in the number of WOPs practice globally. Priority areas were water supply, operation and maintenance, governance, institutional issues, sanitation, non-revenue water, WASH promotion, billing and collection, asset management and services to the poor.



Aerial view of the town of San Pedro in Ambergris Caye, Belize. © Wollertz / Shutterstock

## Evaluation findings

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Key findings on the governance set-up:

**UN-Habitat:** 1) The special mechanism for cooperating with an alliance should be appreciated by the parties involved; 2) The UN-Secretariat's bureaucracy reduces administrative effectiveness; and 3) The clauses of the GWOPA Charter do not provide adequate guidance for resolving major disputes.

**The GWOPA Secretariat:** Findings: The Strategy's budget evolution did not materialize as anticipated, which limited the scope of the Secretariat's activities – including the number of WOPs that could be directly supported and monitoring of the performance of the strategic areas. The funding situation worsened further due to the dispute between the UN-Habitat management and the ISC. Nonetheless, the Secretariat adapted to the situation during the last strategy period and has performed satisfactorily considering the resource constraints.

**Regional and National WOP platforms:** Findings: It would be pertinent to make a draft final version of the Memorandum of Understanding to enable the regional and national WOP platforms to give their consent on future modalities for interaction with the GWOPA Secretariat. Roles and responsibilities of regional and national WOPs should be included in a possible new version of the GWOPA Charter.

**The International Steering Committee:** The way the Charter is formulated, it is assumed that there generally is consensus between the ISC and UN-Habitat management. In principle the ISC could provide strategic directions and advice, which may not have the consent of UN-Habitat management and therefore may be neglected. *Vice versa*, UN-Habitat may introduce strategic directions to which the ISC is opposed. An overall strategic and conceptual framework that guides GWOPA activities may reduce the level of future disputes.

**GWOPA Assembly and Congress:** Following the GWOPA Assembly and Congress in 2013 there was an increase in GWOPA supported WOPs during 2014 but a similar increase did not occur after the 2015 Assembly and Congress; 2) the number of active GWOPA members may be difficult to determine, as there are apparently no procedures for withdrawing membership; and 3) conducting Assemblies and Congresses with up to 400 delegates seems expensive and may not be the most cost-effective way of creating synergies and visibility.

Key findings on the GWOPA Strategy's performance:

**Overall performance:** The increase in the number of WOPs during the Strategy period has been moderate. The WOP utilities' performance has generally been improved, mainly in relation to 'traditional' themes (e.g. NRW, O&M, billing and revenue collection). Although large scale adoption of WOPs in terms of numbers has not been achieved, the foundation for moving to large scale adoption has gradually been improved.

**Knowledge management:** The BEWOP research study and the Evaluation of 9 African WOPs have contributed substantially to expanding GWOPA's normative framework. The thrust of the KM Study is capacity development (especially on the organisational and individual levels). The KM Study findings could be significant for the next five-year GWOPA strategy.

**Branding of WOPs:** A simpler way of branding could be benchmarking that promotes good practices, which could be an optional activity as warranted, and in connection with the WOP process which is well defined in the Performance Improvement Plan. A certification system may be beyond the original concept of WOPs and certification systems already exist that could be applied. At any rate, creation of a specific GWOPA certification system would divert attention away from the primary focus and would require resources that the Secretariat is not likely to have in the medium-term.

**Communication and advocacy:** The GWOPA Secretariat has been very active in communication and advocacy activities and succeeded in placing WOPs on the 2015 WWF agenda, promoted WOPs in the 2016 HLPW Action Plan, and linked up with the 2016 UN Water Development Report on Water and Jobs by drawing attention to WOPs as a means of improving water and sanitation workers working environment. Besides these three advocacy activities, the GWOPA Secretariat has promoted WOPs in some 78 advocacy events. An overview of the impact of advocacy events will require a more detailed assessment.

**Alliance strengthening:** The GWOPA Secretariat has been able to participate in many strategically important events and to maintain contacts with a large network of members and partners. The member and partner base has not grown as expected despite the active engagement of GWOPA Secretariat, and for reasons that are not well explained or fully understood. The increase in the number of donors and IFIs as partners or their active involvement in WOPs financing is essential for future existence and expansion of GWOPA. Similarly, a well-qualified mentor base is important for further expansion of GWOPA activities.

**Strengthening of regional platforms:** Being a lean Secretariat, there would be a limit to how intensely it could be involved in direct implementation of WOPs activities at the regional and national platforms. The option may be that the Secretariat supports development of regional and national platforms' implementation capacity as the main mechanism for upscaling WOPs. Accordingly, the framework of cooperation should consider the GWOPA Secretariat, regional, and national platforms as equal partners.

**Mobilising finance and support for WOPs:** The GWOPA Secretariat would ideally be comparable to a research and development entity that gathers information on WOPs worldwide, conducts reviews and evaluations, mobilises funding for WOPs, and drives further development of the WOP concept. The GWOPA Secretariat is unlikely to generate adequate revenues in the intermediate term to fund Secretariat staff and office costs and will remain dependent on external core funding for these expenditures.

**Direct operational support:** While the GWOPA Secretariat should assume a facilitation role especially about mobilising financing, the regional and national platforms should, preferably, assume the main role in implementation, even when funding is routed through the Secretariat. The short-term WOPs should ideally be of about 12 months' duration, resulting in medium-term or long-term PIP (or similar arrangements) with high probability of attracting external funding.

**Cross-cutting issues:** Although the thrust of GWOPA's activities is WOPs, the operation of water and sanitation utilities is a multi-faceted activity that interfaces with socio-economic, natural resources, environment and climate change issues that must be addressed to ensure appropriate service delivery. Access to water and sanitation is recognized by the UN as a human right and should be well integrated in strategies and action plans. Linking WOPs to the SDGs would be both a contribution to overall development and a way to make WOP and PIPs action plans more attractive to external funding.

**Monitoring:** The GWOPA monitoring framework was based on WOP survey(s) as a major means of verification, which only happened to some extent, primarily due to resource constraints. The monitoring has been challenging and would have required more staff resources if the Strategy's ambition were to be fulfilled. Only the Strategy's overall outcome relates to capacity and performance changes in the WOP mentee utility. Documenting results on the ground would be critical in leveraging funds from donors and IFIs and upscaling WOPs.

**Risk management:** Inadequate funding for facilitation of WOPs and monitoring of the Strategy's performance is a critical problem as upscaling of GWOPA supported WOPs will not take place. Certification of WOPs is not seen as a critical issue and could be addressed at a later stage depending on availability of resources required to set up and manage a certification system.



## Overall conclusions and recommendations

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GWOPA has succeeded in developing a normative framework that enables water and sanitation operators to improve service delivery with relatively limited funding through a bottom-up process. WOPs can be 'stand-alone' interventions implemented mainly by water operators themselves, with the thrust being capacity development for improved operation and maintenance.

Given the ever-increasing demand for water and sanitation services in most urban centres in low and middle-income countries, combined with the need for rehabilitation and expansion of the existing systems, there is also a need for substantial capital investment.

Following short-term WOPs, the WOP process, if continued, leads to medium-term and long-term action plans and Performance Improvement Plans many of which have attracted third party funding from multilateral and bilateral donors. Some of the third-party funding has been channelled through GWOPA mostly for facilitation and brokering, documenting achievements and for providing evidence. The Strategy's objective was to move to large scale adoption of WOPs. However, inadequate mobilisation of financing made this ambition unachievable, and the member and partner base did not grow as anticipated. Demonstration of development effects of improved service delivery and coverage from WOP interventions is crucial for convincing utility operators, regulatory authorities, governments and donors of the benefits the WOP concept can offer. Monitoring, collecting and analysing data and their dissemination to interested audiences is essential in promoting WOPs and guiding global growth.

For those WOPs that have been implemented with support from the GWOPA the WOP mechanism has proved its effectiveness through tangible improvements in the utilities' performance in terms of coverage and service quality. GWOPA has contributed to mobilization of WOPs either directly or indirectly through its leveraging power. Opportunities to disseminate the WOP concept further remains substantial, which in turn will have significant positive effects on water and sanitation (and sewerage) service provision. The WOP concept contributes to achieving SDGs and adds value by mobilising local human resources and raising awareness on critical water and sanitation issues. The GWOPA Secretariat therefore continues to play a critical role in addressing water and sanitation challenges globally.

Initial soundings on the funding agreement have been made with the Government of Spain (AECID) although the latter has not yet formally clarified its stance on the extension. If AECID decides not to extend the funding agreement, there will be two scenarios for GWOPA's future: 1) donor host funding for a new five-year period will be secured within the immediate-term; and 2) host-funding for the GWOPA Secretariat will not materialize for a new five-year strategy period. As the need for improved water and sanitation services is immense in most developing economies, the preference would be scenario 1. In this case, GWOPA's functions would need to be revitalised to achieve greater impact globally. A revitalisation process would not only require host funding, but also funding for capital investments in WOPs sourced from donors, national and local governments in recipient countries, and improved commercial operations by utilities.

To ensure GWOPA's and the Secretariat's continued services, the report recommends the following actions should be undertaken during 2018:

- UN-Habitat management confirms its continued commitment to GWOPA and support to elaboration of a strategic framework for GWOPA as outlined below and to be concluded by end of 2018.
- An ISC meeting is called to make status of the current situation and advise on the way forward.
- Clarification with the Government of Spain on the prospect for its future support to GWOPA.
- Consideration of options for a hosting and funding agreement and subsequent call as decided when outlines of the Strategy and Charter are in place.
- Calls for support to regional platforms including the potential platform for Arab countries.
- A new Charter is drafted with involvement of UN-Habitat management, the GWOPA Steering Committee, and GWOPA Secretariat. The new Charter should clearly delineate mandates, roles and responsibilities for all parties involved, including regional and national platforms.
- The GWOPA Strategy for 2018-2022 should be drafted in consultation with Alliance members and partners. The Strategy should emphasise increased cooperation with regional and national WOP platforms, interface with other interventions by the UN in the water and sanitation sector, and inclusion of a monitoring framework that adequately documents socio-economic and physical impacts.
- Negotiation with donors that have indicated support for WOPs should be conducted to define the potential level of engagement for GWOPA and consultations with donors that have strong focus on water and sanitation, e.g. Japan, Germany and Switzerland.
- A GWOPA Congress and Assembly should take place when outlines of the GWOPA Strategy 2018-2022 are reasonably consolidated and when prospects for donor support are somewhat clarified.
- An Exit Strategy should be prepared in case host funding for the Secretariat is not forthcoming.
- Following the outcomes of consultations on and clarifications of relevant issues during 2018 for GWOPA's future, a review of the prospects for GWOPA should be conducted. The GWOPA Charter and 2018-2022 Strategy should subsequently be finalised based on inputs from the delegates at the GWOPA Assembly and Congress.

# 1. Introduction

This is an evaluation of the Global Water Operators' Partnerships Alliance (GWOPA) Strategy for the period 2013-2017. Water Operators' Partnerships (WOPs) are peer-support exchanges between two or more water operators on a non-for-profit basis with the objective of strengthening capacity and enhancing performance, thereby enabling water operators to provide better services to more people, with emphasis on the poor.<sup>2</sup> The former UN Secretary General Mr. Kofi Annan requested UN-Habitat to lead the establishment of a mechanism to scale-up WOPs, and host its international secretariat. UN-Habitat founded the Global Water Operators' Partnerships Alliance (GWOPA) in 2009 and established a global governance structure to guide its operations comprising of water operators, UN Agencies, water associations, development partners, labour and civil society bodies, International Financial Institutions and the private sector.

## 1.1 Purpose, objective and scope of the evaluation

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The final Terms of Reference (ToR) were issued on 2 November 2017 and is attached as Annex 1. The evaluation has performance, learning and accountability purposes. The findings, lessons learned, conclusions and recommendations from this evaluation will inform decision-making and strategic directions for the new strategy, 2018-2022. The evaluation will also document results and impact of the strategy and reveal the extent to which the strategic objectives were achieved, challenges experienced and identify missed opportunities. The objectives are:

- a. Assess progress made toward achievement of results at the outcome and impact levels;
- b. Assess performance in terms of the relevance of results, efficiency and effectiveness, impact outlook as well as sustainability of the approach;
- c. Assess adequacy of partnerships and twinning arrangements supported by GWOPA and how these arrangements have benefited water operators and contributed to development impacts such as increased access to water supply and sanitation;
- d. Assess what has changed and what elements should continue in the new Strategy; and bring forward challenges and opportunities for WOPs<sup>3</sup> among the GWOPA members as well as in resource mobilization;
- e. Identify lessons learnt and make appropriate recommendations to inform development of the new GWOPA strategy.

The evaluation focuses on the entire five-year period of the strategy implementation – 2013 to 2017 and covers both the strategy and the operational level with a view to drawing lessons to inform development and implementation of the new strategy. In terms of strategy, the evaluation reviews the coherence and clarity of the strategic framework and its usefulness in guiding GWOPA efforts. At operational level, modalities and implementation performance of partners was assessed and the results analyzed and documented. Key audiences targeted by this evaluation are UN-Habitat Management, GWOPA Secretariat, GWOPA International Steering Committee, GWOPA implementing partners and donors.

## 1.2 Management and conduct of the evaluation

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The evaluation was mandated by UN-Habitat Management. The independent Evaluation Unit of UN-Habitat managed the evaluation process. The GWOPA Secretariat, the Urban Services Branch and Programme Division were responsible for providing information and documentation required; and for coordination with relevant evaluation stakeholders. An Evaluation Reference Group (ERG) was established to oversee the evaluation process with membership from the GWOPA International Steering Committee (ISC) and Secretariat, GWOPA partners, the donor community, and UN-Habitat Management (Programme Division, Management and Operations Division and the Urban Basic Services Branch).

The evaluation consultant<sup>4</sup> was appointed and commenced the assignment on 13 November 2017. The Kick-off meeting took place on 14 November with members of the ERG and staff of UN-Habitat Evaluation Unit, and was chaired by Chief of the UN-Habitat Evaluation Unit. Preliminary discussions during the Inception Phase were held with UN-Habitat Management and the OIC of the GWOPA Secretariat. Following submission of the draft Inception Report the evaluator visited the GWOPA Secretariat from 27 November to 1 December 2017. An ERG session was held on 13 December to comment on the draft Inception. Written comments to the draft Inception Report received from the ERG on 15 December 2017 were incorporated and the final Inception Report submitted on 20 December. A visit to UN-Habitat was undertaken from 15-19 January 2018. While in Nairobi a visit was paid to the Nairobi City Water and Sewerage Corporation. Skype interviews have been conducted with several persons who were substantively involved with GWOPA. The *List of Persons Consulted* is attached as Annex 2.

Besides the ToRs preparation of the Evaluation Report is based on review of the following selected documents: *The Mid-Term Review of the GWOPA Strategy 2013-2017* - dated January 2017; the *GWOPA's Project Evaluation of 9 African Operators' Partnerships (WOPs) to develop Performance Improvement Plans (PIPs)* - dated December 2016; and the *Boosting Effectiveness of WOPs (BEWOP) study "Knowledge Management of WOPing Water Operators – dated June 2017"*, which was conducted within the framework of the Boosting Effectiveness in Water Operators' Partnerships (BEWOP) project, a collaboration between UNESCO-IHE Institute for Water Education, UN-Habitat and GWOPA. The *List of Documents Consulted* is attached as Annex 3.

Chapter 2 presents the approach and methodology applied in the GWOPA Evaluation. Chapter 3 outlines the past, present and future contexts of WOPs, forming the basis for evaluation of the GWOPA Strategy 2013-2017. Chapter 4 presents the GWOPA Strategy, the GWOPA Charter, the WOP portfolio, and potential opportunities for WOPs beyond 2017. In Chapter 5 an assessment is made of GWOPA's management framework and issues to address. Chapter 6 assesses performance in relation to the GWOPA Strategy's objectives and outcomes. In Chapter 7 the evaluation questions are answered. The conclusion, recommendations and lessons learned are presented in Chapters 8, 9 and 10 respectively.

The evaluator would like to express his thanks to everyone met during the assignment for allocating valuable time and sharing their knowledge and experience. The Evaluation Report presents the findings, conclusions and recommendations of the evaluator and presents views which may not necessarily be shared by UN-Habitat, GWOPA Secretariat and the GWOPA International Steering Committee.

## 2. Approach and methodology

### 2.1 Approach

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The United Nations Evaluation Group's (UNEG) Norms and Standards for Evaluation<sup>5</sup> apply and the evaluation relates to the five UNEG evaluation criteria: relevance, efficiency, effectiveness, impact and sustainability (which are compatible with the OECD/DAC criteria<sup>6</sup>). Three other criteria were considered: a) Coherence to consider consistency of GWOPA interventions with the emerging enabling environment due to donor, government and local government supported water and sanitation services; b) Coverage to assess the extent to which the target populations are reached; and c) Value Added to assess the WOPs' contribution to improved water and sanitation services. The contributions from the GWOPA Strategy interventions were held up against target and goals set out in the 2030 Agenda for Sustainable Development<sup>7</sup>, as were the recommendations for the formulation of GWOPA Strategy 2018-2022.

The evaluation were conducted in four consecutive phases: 1) the inception phase; 2) the desk and field visit phase; 3) the analysis and synthesis phase – which includes the resulting analysis, findings, conclusions, recommendations and overall lessons learned; and 4) the dissemination phase. The desk phase included visits to: 1) GWOPA Secretariat in Barcelona for consultations with Secretariat staff; and 2) UN-Habitat for consultations with UN-Habitat Management and to meet with the Evaluation Unit staff.

### 2.2 Evaluation questions

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Overall evaluation questions to be answered were structured under the basic five UNEG evaluation criteria: relevance, efficiency, effectiveness, impact and sustainability. The sequence of criteria reflects the *Theory of Change* (ToC) approach - output, outcome and impact. The sequence of the evaluation questions (EQs) was modified slightly - see Table 2.1. Two new EQs were added (1 and 15). The EQs as stated in the ToRs were all maintained but were modified during the evaluation. The comment column in the table attempts to link EQs and ToR objectives (ref. p. 1).

**Table 2.1: Evaluation Questions**

<b>Evaluation Questions</b>		<b>Comment</b>
<b>Relevance</b>		
1.	How relevant was the Strategy to water and sanitation utilities and their target populations at the time of formulation?	New Objective b.
2.	How relevant was the Strategy to UN-Habitat and GWOPA members given the changing context and roles of UN-Habitat, specifically with adoption of SGDs and New Urban Agenda?	Objective b.
3.	How relevant and effective has GWOPA's engagement been in the international policy dialogue on water and sanitation issues?	
<b>Efficiency/ Outputs</b>		
4.	Was the formulation of the strategy appropriately based on sound understanding of partnership alliance, were risks identified, assessed and strategies developed for monitoring and reporting?	
5.	Were resources mobilized and services designed to effectively respond to the objectives and priorities of the strategy?	Objective b.
6.	To what extent have GWOPA activities been implemented in a cost-effective manner?	
7.	Has the GWOPA Secretariat and UN-Habitat and Steering Committee arrangements delivered as expected?	Objective a
<b>Effectiveness/ Outcomes</b>		
8.	To what extent have the two objectives and eight expected accomplishments of the Strategy been achieved?	Objective a.
9.	How do expected and planned outcomes compare against results delivered?	Objective b.
10.	How effectively has GWOPA Secretariat delivered and achieved GWOPA strategy priorities and contributed to promoting the implementation of, and better coordination between, WOPs?	Objective d.
11.	Has the work of the GWOPA Secretariat resulted in unintended and/or indirect changes in line with the objectives of the Strategy for 2013-2017?	Objective d.
12.	Has the implementation of the Strategy prioritized gender sensitive and human rights approaches as well as considered climate and youth which are cross-cutting issues of UN- Habitat?	
13.	What lessons can be drawn from relying on twinning partnerships as the key implementing modality?	Objective c.
<b>Impact and impact outlook</b>		

14.	To what extent has the GWOPA strategy attained or not (or is expected to attain) development results in improved water supply and sanitation in the short, medium and long-term of the targeted beneficiaries and GWOPA partners?	Objective a.
<b>Sustainability and sustainability of approach</b>		
15.	To what extent is the direct support provided to WOPs sustainable concerning performance improvements of the utilities?	New Objective b and e.
16.	To what extent has the GWOPA strategy through implementation of activities engaged the participation of beneficiaries in design, implementation, monitoring and reporting?	Objective b and e.
17.	To what extent has/ will the GWOPA strategic approach be replicated or scaled up at national or local levels?	Objective b and e.
18.	To what extent has/ will the GWOPA strategic approach and implementation of activities fostered new innovative partnerships?	Objective b and e.

The ToRs state (ref. Section 5) *“It is acknowledged that causal links at the Strategy’s impact level may be difficult to establish and expecting impacts from a Strategy that has no baseline data.<sup>8</sup> The evaluation should take these factors into account, but should nevertheless document outcomes / effects and the wider impact of the Strategy”*. The List of Evaluation Questions will be transformed into an Evaluation Matrix with indicators and means of verification for each of the EQs.

## 2.3 Methodology

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The methodology was composed of tasks that would facilitate validation of findings through a triangulation process. Based on findings from the document review, the triangulation comprised findings from interviews with: a) UN-Habitat Management, GWOPA Secretariat, regional platforms and the ISC; b) GWOPA members and partners; and c) WOP partners. The main features of these tasks were:

- Desk review of relevant GWOPA documents;
- Semi structured interviews with UN-Habitat Management and GWOPA stakeholders. The interviews were concerned with implementation of the current Strategy, achieved results, and considerations about the next Strategy;
- Group meetings were undertaken with UN-Habitat staff and GWOPA Secretariat staff to validate the evaluator’s findings and to assess the degree of consensus on policy and strategic issues;
- Discussions were undertaken with the Evaluation Reference Group in conjunction with presentations on findings, conclusions, recommendations and lessons learned, to ensure the relevance of these for the preparation of the 2018-2022 GWOPA Strategy.

Three sources of information were of particular relevance for the evaluation of the GWOPA Strategy: 1) Mid Term Review (MTR) of the GWOPA Strategy 2013-2017<sup>9</sup>; 2) Project Evaluation of 9 African WOPs<sup>10</sup>; and 12 case studies being the result of the five-year research programme *“Boosting the Effectiveness of Water Operators’ Partnerships” (BEWOP)*.<sup>11</sup> The MTR and the Project Evaluation

were commissioned by the GWOPA Secretariat and conducted without the involvement of UN-Habitat's Evaluation Unit. Whereas the perspective of the MTR is global in nature, the Project Evaluation and Case Studies focus on specific performance of the selected WOPs.

The purpose of the MTR was to “assess GWOPA's performance in terms of achieving its stated goals and the appropriateness, effectiveness and efficiency of efforts made to achieve these goals, and will offer recommendations to GWOPA aimed at increasing the effectiveness of its efforts in the remaining two years (2016/2017) of the strategy implementation period” as stated in the ToRs. The MTR commenced in November 2015 and concluded with the final Review Report in January 2017.

In 2014-2015 the OPEC Fund for International Development (OFID) funded nine short-term WOPs between African utilities facilitated by UN-Habitat GWOPA, see Table 2.2. The main purpose of the short-term WOPs (10 months' duration) was to set in motion conditions for subsequent, longer-term and more intensive utility-led improvement processes. The purpose of the evaluation was threefold, i.e. to assess: 1) the relevance of developing Performance Improvement Plans (PIPs) for mentee utilities through WOPs; 2) the extent to which the overall support and technical assistance provided by GWOPA to mentees and mentors have been relevant, efficient, effective and sustainable; and 3) the relevance of the mentees' needs and achieved outcomes. The evaluation was a 12-week assignment and concluded with the final Evaluation Report in December 2016.

**Table 2.2: Evaluation of nine African WOPs**

No.	Mentor	Mentee
1	eThekweni Water Services (EWS) South Africa	Lilongwe Water Board (LWB) Malawi
2	National Water and Sewerage Company (NWSC) Uganda	Nairobi City Water and Sewerage Company (NCWSC), Kenya
3	National Water and Sewerage Company (NWSC) Uganda	Ghana Water Company Ltd. (GWCL), Ghana
4	National Water and Sewerage Company (NWSC) Uganda	Harar Water Supply and Sewerage Authority (HWSSA)
5	Swaziland Water Services Corporation (SWSC) Swaziland	Kigoma Urban Water and Sewerage Authority (KUWASA), Tanzania
6	Swaziland Water Services Corporation (SWSC) Swaziland	Nkana Water and Sewerage Company (NWSC), Zambia
7	Rand Water, South Africa	Namibia Water Corporation (NamWater) Namibia
8	Office National de l'Eau et de l'Assainissement (ONEA), Burkina Faso	Société Tchadienne des Eaux (STE), Chad
9	Office National de l'Eau et de l'Assainissement (ONEA), Burkina Faso	Société Togolaise des Eaux (TdE), Togo



In connection with the BEWOP research project 12 case studies were conducted and corresponding factsheets prepared. The WOPs are presented in Table 2.3.

**Table 2.3: Overview of WOP case studies / fact sheets**

No.	Mentor	Mentee
<b>Latin American Mentees</b>		
1.	Companhia de Saneamento de Minas Gerais (COPASA MG), Suriname Semi-public Regional Water and Sanitation Utility	Empresa Municipal Saneamiento Básico de Puno Sociedad Anónima (EMSAPUNO S.A) Peru Public Municipal Water and Sanitation Utility 2012-2015
2	Contra Costa Water District (CCWD), Public urban water district in central and eastern Contra Costa County in Northern California	Belize Water Services Ltd (BWS), National Water and Sanitation Utility of Belize 2010-2015
3	Companhia de Saneamento Ambiental do Distrito Federal (CAESB) Brazil Water and sanitation utility owned by the Brasília Federal District	Compañía Salteña de Agua y Saneamiento S.A., (Aguas del Norte), Argentina Water and sanitation utility in Argentina's Salta Province, 2009-2014
4	World Waternet and Waterschap Rijn en IJssel (WWN and WRIJ), Water Utility (WWN) and Waterboard (WRIJ) The Netherlands	Overliggend Waterschap Multi-purpose Corantijn Project (OWMCP), Suriname Waterboard, 2005-2014
<b>Asian Mentees</b>		
5	PDAM Tirta Raharja (Kabupaten Bandung) Bandung Area, Indonesia Public District Water Utility	PDAM Tirta Kepri (Tanjung Pinang), Kepulauan Riau Province, Indonesia 2012-2014
6	Empresa Metropolitano de Abastecimiento y Saneamiento de Aguas de Sevilla (EMASESA), Spain, Public Water and Sanitation Utility	PDAM Tirta Raharja (Kabupaten Bandung) Bandung Area, Indonesia Public District Water Utility 2010-2012
<b>The Pacific Mentees</b>		
7	Hunter Water Australia (HWA) Technical and operational consulting company of Hunter Water Corporation	Water Authority of Fiji (WAF) National water and sanitation utility of the Republic of Fiji 2012-2014

<b>African Mentees</b>		
8	Dunea (Dune & Water) N.V. Netherlands Drinking water utility jointly owned by 19 municipalities	Mwanza Urban Water and Sewerage Authority (MWAUWASA) Tanzania 2011-2014
9	Vitens Evides International (VE), The Netherlands International joint venture of Vitens and Evides	Fundo de Investimento e Património do Abastecimento de Água (FIPAG), Mozambique Management of water supply services and investments 2002-2014
10	eThekweni Water and Sanitation (EWS) South Africa Public water and wastewater utility servicing the eThekweni municipality including the city of Durban	Bulawayo City Council (BCC) Zimbabwe BCC's Engineering Services Department provides water supply and sanitation services in the City 2002-2012
11	Syndicat Interdépartemental pour l'Assainissement de l'Agglomération Parisienne (SIAAP), France Sanitation utility of greater Paris	Office Nationale de l'Eau Potable et de l'Électricité (ONEE), Morocco National water, sanitation and electricity public utility 2002-2014
12	Office de l'Électricité et de l'Eau Potable (ONEE), Morocco National water, sanitation and electricity public utility	Office National de l'Eau et de l'Assainissement (ONEA), Burkina Faso 2000-2015

By December 2017 there were 221 WOPs recorded in the GWOPA database of which 160 were implemented during the Strategy period 2013-2017. Out of the 221 WOPs, 71 have been directly supported by the GWOPA Secretariat and 48 were implemented during the Strategy period. The above two subsets of the portfolio have been subject to more in-depth studies: 1) GWOPA's Project Evaluation of 9 African Operators' Partnerships (ref. Table 2.2); and 2) 12 WOP case studies covering Latin America, Asia, the Pacific and Africa (ref. Table 2.3). These 21 WOPs have more detailed performance data and constitute a main source for the evaluation. The assessment of the 21 WOPs has been complemented with interviews of key stakeholders and limited questionnaire surveys for mentors and mentees (regrettably, only one mentor responded). The *mentor and mentee questionnaires* are attached in Annex 4.

Target groups for discussions and interviews were:

- UN-Habitat HQ Management
- Evaluation Reference Group
- GWOPA International Steering Committee
- GWOPA Secretariat
- WOP mentors and mentees
- Regional WOP Platforms
- GWOPA members and partners
- Donors
- Civil Society
- Other major actors in the water and sanitation sector.

## 2.4 Limitations

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Except for visits to the GWOPA Secretariat and UN-Habitat, the evaluation assignment did not include visits to WOP partners or other stakeholder, posing a limitation to acquisition of adequate evidence on outcomes and impact, nor did it include visits to non-WOP supported facilities to judge the counterfactual. Except for the group meeting with the ERG, UN-Habitat and the GWOPA Secretariat, no other group meetings were held, which limited the validation of findings. A comprehensive questionnaire survey may have captured a broader audience, broadened perspectives on implementation of WOPs.

Lack of opportunity due to time and travel constraints<sup>12</sup> were compensated for by interviews on Skype and by phone, supported by information from desk review of key documents, and thus generated circumstantial evidence.



WOP between BWS, Belize & CCWD, California - BWS employees at work, repairing a leak on the main to Belize City.

© Vincent Merme / GWOPA - UN-Habitat

## 3. Background and context

### 3.1 Conceptual and implementation framework for GWOPA 2006-2017

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The GWOPA concept arose from recommendations of the United Nations Secretary-General's Advisory Board (UNSGAB) on Water and Sanitation in Hashimoto Action Plan I (HAP 2006-2009) and II (2010-2012) (see Box 3.1).<sup>13</sup> With expiry of Millennium Development Goals (MDGs) the Hashimoto Action Plan III (2013-2015) endeavoured to define water and sanitation objectives for the post-2015 world. One of its commitments was promotion of the UN Watercourse Convention (UNWC) and the call for a dedicated water goal in the post-2015 development agenda. UNSGAB also advocated inclusion of water-efficiency targets in other post-2015 goals, and for water-related disasters to be addressed in the post-2015 agenda.<sup>14</sup>

#### **Box 3.1: The origin of GWOPA**

To manage and sustain the positive outcomes of the ongoing sector reforms, more focus is required in the improvement of the performance of water utilities in terms of service delivery, cost recovery, operation and maintenance, with special emphasis on improvement of access by the poor. Fostering collaboration between Water Supply and Sanitation Utilities is a vital element in ensuring exchange of experiences between performing and non-performing utilities. The need for creating a mechanism for the collaboration of water utilities is highlighted in the "Hashimoto Action Plan" which was announced by the United Nations Secretary General's Advisory Board on Water and Sanitation (UNSGAB) during the 4<sup>th</sup> World Water Forum in Mexico 2006.

One of the recommendations of the Action Plan is for the establishment of a mechanism to promote water operators' partnerships (WOPs). The rationale behind the WOPs mechanism is that most of the capacity for improving water and sanitation services lies with the operators themselves. It also builds on the fact that about 90% of all utilities are publicly managed, and that even modest improvements in these utilities will go a long way in contributing to meeting the internationally agreed development goals and targets for water and sanitation. Thus, the WOPs are to be based on mechanisms to enable operators to systematically communicate amongst themselves and to share their experiences and learn from each other's practices for the benefit of all.

Following on the recommendations of the Hashimoto Action Plan, the United Nations Secretary General mandated UN-Habitat to promote and coordinate activities related to WOPs at the international level and to host the GWOPA Secretariat. UN-Habitat has taken up this challenge, and has devoted human and financial resources to initiate a process for the establishment of a Global WOPs Alliance Centre within the organization. This "Framework for the Global Water Operators Partnerships Alliance" is a culmination of the initial activities that have been undertaken in response to the UN-Secretary General's mandate to UN-Habitat, including: initiating donor consultations; support to at least four regional WOP meetings; initiating staff recruitments for the Global WOPs Alliance Centre; and the formulation of this framework document.

**Source:** UN-Habitat. 2007. Framework for Global Water Operators Partnerships Alliance

Water is indispensable for survival, economic development and environmental sustainability. It is also an integral part of human dignity. Millions of women and children are still forced to work long hours just to secure water. Despite reaching the Millennium Development Goal (MDG) target to halve the proportion of people lacking access to improved sources of water and even more are not enjoying their human right to safe drinking water. The sanitation MDG target to halve the proportion lacking access to improved sanitation is among the most off-track of all MDGs. A staggering 2.5 billion live without this most basic service. The lack of sanitation is deadly—too many people continue to die from contaminated water and water-related diseases. Efficient water use, improved wastewater management and water reuse are increasingly critical to provide food, safe drinking water and adequate sanitation without sacrificing economic development and environmental sustainability.

The Board calls for a global post-2015 goal on water that includes targets on at least three essential objectives:

1. Achieve universal access to sustainable safe drinking water and basic sanitation.
2. Improve wastewater management and pollution prevention.
3. Improve integrated water resources management and water-use efficiency.

Since the inception of GWOPA, UNSGAB has recognised the important role played by UN-Habitat in establishing and administering it. In its final report *The UNSGAB Journey* UNSGAB highlighted GWOPA's achievements thus: *“Early on, we focused on urging UN action on the challenges posed by the many thousands of under-performing public, mainly municipal, water and sanitation utilities, as one precondition for meeting the MDG targets for drinking water and sanitation. Our recommendation was eagerly taken up by Secretary-General Kofi Annan, who mandated UN-Habitat to set up the Global Water Operators’ Partnerships Alliance (GWOPA). GWOPA has helped establish dozens of utility partnerships and created regional platforms to stimulate alliances, supported also by development partners.”*

UNSGAB also advocated for inclusion of water-efficiency targets in other post-2015 goals and for water-related disasters to be incorporated in the post-2015 agenda. It held its final meeting in New York on the 20th of November 2015 as the Board's mandate to support the MDGs had come to an end.<sup>15</sup> A High- Level Panel on Water (HLPW) was established in April 2016 (see Box 3.2).

### **Box 3.2: Launching of High Level Panel on Water**

UN Secretary-General and President of the World Bank Group convened a High-Level Panel on Water (HLPW), consisting of 11 sitting Heads of State and Government and one Special Adviser, to provide the leadership required to champion a comprehensive, inclusive and collaborative way of developing and managing water resources, and improving water and sanitation related services. The core focus of the Panel is the commitment to ensure availability and sustainable management of water and sanitation for all, Sustainable Development Goal (SDG) 6, as well as to contribute to the achievement of the other SDGs that rely on the development and management of water resources. On 21 September 2016 the HLPW called for a fundamental shift in the way the world looks at water. The Panel issued an Action Plan for a new approach to water management that will help the world to achieve the 2030 agenda, including the 17 Sustainable Development Goals. The HLPW commits itself to take action on water, and calls upon Heads of State and Government, and all people, to do the same. The Panel was announced by the co-conveners at the World Economic Forum in Davos in January 2016, and officially launched in April 2016 in New York. The Panel is a time-bound initiative, established for an initial period of two years.

The HLPW has met four times most recently in New York on 21 September 2017. The Action Plan of the HLPW mentions WOPs as a possible priority action. GWOPA has contributed to development of UN-Habitat's Medium-Term Strategic and Institutional Plan (MTSIP) 2008-2013 and it is part of UN-Habitat's Strategic Plan 2014-2019; the Biennial Strategic Framework; and the Biennial Work Programmes and Budgets up to 2019, for which GWOPA is assigned the delivery of a set of outputs. GWOPA is anchored in the Urban Basic Services Branch of UN-Habitat.

The **Sustainable Development Goals (SDGs)** are a set of 17 Global Goals measured by progress against 169 targets. The SDGs cover a broad range of social issues such as poverty, hunger, health, education, climate change, gender equality and social justice. Themed “*Transforming our World: the 2030 Agenda for Sustainable Development*” SDGs were developed to replace the MDGs. However, unlike the MDGs the SDG framework does not distinguish between ‘developed’ and ‘developing’ nations. Instead, it articulates goals that apply to all countries. Paragraph 54 UN Resolution of 25 September 2015 contains the goals and targets. The UN-led process involved its 193 Member States and global civil society. The resolution is a broad intergovernmental agreement that acts as the Post-2015 Development Agenda.

The 17 Sustainable Development Goals (SDGs) are interrelated. SDG 6 *Ensure availability and sustainable management of water and sanitation for all* is interrelated to SDG 1 *End poverty in all its forms everywhere*; SDG 2 *End hunger, achieve food security and improved nutrition and promote sustainable agriculture*; SDG 3 *Ensure healthy lives and promote well-being for all at all ages*; SDG 5 *Achieve gender equality and empower all women and girls*; SDG 7 *Ensure access to affordable, reliable, sustainable and modern energy for all*; SDG 8 *Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all*; SDG 9 *Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation*; SDG 11 *Make cities and human settlements inclusive, safe, resilient and sustainable*; SDG 12 *Ensure sustainable consumption and production patterns*; and SDG 15 *Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss*. The SDG 6 targets are shown in Box 3.3.

**Box 3.3: SDG 6 targets**

No.	Target
6.1	By 2030, achieve universal and equitable access to safe and affordable drinking water for all
6.2	By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations
6.3	By 2030, improve water quality by reducing pollution, eliminating dumping and minimising release of hazardous chemicals and materials, halving the proportion of untreated wastewater and substantially increase recycling and safe use globally
6.4	By 2030, substantially increase water-use efficiency across all sectors and ensure sustainable withdrawals and supply of freshwater to address water scarcity and substantially reduce the number of people suffering from water scarcity
6.5	By 2030, implement integrated water resources management at all levels, including through transboundary cooperation as appropriate
6.6	By 2020, protect and restore water-related ecosystems, including mountains, forests, wetlands, rivers, aquifers and lakes
6.a	By 2030, expand international cooperation and capacity-building support to developing countries in water and sanitation related activities and programmes, including water harvesting, desalination, water efficiency, wastewater treatment, recycling and reuse technologies
6.b	Support and strengthen the participation of local communities in improving water and sanitation management

The SDG 6 targets 6.1-6.4, 6.a and 6.b are of greatest direct relevance to water and wastewater operators. While other entities are responsible for achievement of targets 6.5 and 6.6, achievement of these two targets is as critical for water and wastewater operators’ performance as are SDG 11, SDG 15 and SDG 17.

## 3.2 GWOPA during 2009-2012

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UN-Habitat founded the Global Water Operators' Partnerships Alliance (GWOPA) in 2009 and established a global governance structure to guide its operations. A Steering Committee representing the full range of stakeholders in WOPs was elected from amongst the membership of the Alliance. The Alliance adopted a set of principles and a code-of-conduct and created an Integrity Subcommittee to help ensure compliance. UN-Habitat established a dedicated GWOPA Secretariat team of international staff members at its Headquarters in Nairobi, Kenya. The first Strategic Phase 2009-2012 was funded by the UN-Habitat Water and Sanitation Trust Fund in the order of USD 7.15 million. From this amount, UN-Habitat funded core staff and office expenses at an estimated USD 1.8 million. It was envisaged that Alliance partners would contribute to substantive activities of the Secretariat for the remaining USD 5.35 million.<sup>16</sup>

The first GWOPA meeting held in January 2009 established and expanded its network with partners at both regional and global levels to develop knowledge tools, deliver training, facilitate brokering and identify financing options. GWOPA is supported by a global network of partners and members including water and sanitation operators, regulators, financial institutions, research facilities, civil society and NGOs.<sup>17</sup> Additional funding was provided by: i) **Abu Dhabi Water and Electricity Authority** – (USD 3,514,075 from March 2010 to December 2012); ii) **Catalan Development Cooperation Agency (ACCD)** - (USD 134,810 from November 2011 to December 2012); and iii) **French Development Agency (AFD)** - (USD 751,071 from January 2011 to December 2014). Total amount allocated was USD 4,399,956 out of which USD 3,005,952 was spent up to December 2012 and USD 1,399,956 rolled over to 2013. The 2012 Annual Report of the Urban Basic Services Portfolio reported activities as shown in Box 3.4.



1st GWOPA 2011 International Congress, Opening. © GWOPA - UN-Habitat

### **Box 3.4: GWOPA activities during 2012**

- The GWOPA documented the following three Asian case studies on Water Operators' Partnerships, launched them during the sixth World Water Forum in Marseille (March 2012) and have now posted them online: i) Metro Cebu Water District (The Philippines) and City West Waters (Melbourne, Australia); ii) Indah Water Consortium (Kuala Lumpur, Malaysia) and PDAM Tirtanadi (Medan, Indonesia); and iii) Vitens-Evides International (The Netherlands) and the Water Supply and Sewerage Authority (Ulaanbaatar, Mongolia). GWOPA initiated the process of compiling four more case studies in Africa using the same methodology.
- Good practices were shared with water operators and other UN-Habitat partners at various international events;
- The WOPs' profiles database was launched – referencing more than 70 past and ongoing initiatives;
- The profiles of nine water operators from Pakistan were uploaded on the GWOPA website;
- In the Pacific, the Alliance has initiated the process for implementing one pilot Water Operators' Partnership on climate change adaptation between a WatSan operator from Fiji and an Australian utility in cooperation with the WaterLinks and Cities for Climate Change Initiative of UN-Habitat.
- In Central Asia, the Alliance and UNECE agreed on facilitating one to two pilot Water Operators' Partnership to help utilities adhere to the Water and Health Protocol that UNECE is implementing in the region.
- A benchmarking exercise between Serbian water operators was launched under the umbrella of WOP-SEE, the (Regional Water Owners' Partnership platform in South Eastern Europe) in collaboration with International Benchmarking Network of Water and Sanitation Utilities (IBNet) and the World Bank.
- A Water Operators' Partnership was established jointly by Mwanza Urban Water and Sewerage Authority (Tanzania) and DUNEA - the Dune Water Company (The Netherlands).
- As part of the development of management toolkits for water operators, the Alliance designed a manual for low-cost remote urban analysis, including classification of neighbourhoods according to socio- economic status. This was piloted in Nairobi, Kenya, during 2012.
- A regional training course in Morocco for Arab operators on Developing a Water Safety Plan (WSP) was implemented in January where 39 staff of utilities were trained for leading the process of developing and applying a Water Safety Plan in their home institutions;
- In Africa, GWOPA started the implementation of the following ten Water Operators' Partnerships supported by African Water Facility.

**Source:** 2012 Annual Report, Urban Basic Services Portfolio, Section 3.1.3.

Lessons learned from implementing GWOPA activities between 2009-2012 were fed into the GWOPA Strategy for 2013-2017 which presents lessons from the first five years (ref, Chapter 2 p. 15), some of which may remain valid for the 2018-2022 GWOPA Strategy. Key lessons are presented below:

1. As an UN initiative GWOPA has strong convening power and global reach, can draw on a diverse array of actors, and can work with different levels of government;
2. Formalizing collaboration with some of the stronger relevant global players including more financial institutions, knowledge centres and water utility networks would enhance GWOPA's influence;
3. Communications and advocacy are critical to GWOPA's efforts and need to be conducted strategically to address key targets with differentiated messages. Increased focus should be on investment finance institutions and national governments whose endorsement can be vital for policy support and loan guarantees.
4. GWOPA should define success factors clearly and use branding incentives to encourage good practices by WOPs. The WOPs image is wdown-graded when the it is applied to visits, meetings and exchanges with little lasting impact.
5. High quality analysis of WOPs and utilities is essential to increasing the evidence base on what makes for success. Global and regional monitoring information on WOPs and utilities is needed to track global progress and trends;



6. Promotion of good practices by utilities is necessary to encourage efficiency and reform. Areas highlighted for additional guidance to operators include wastewater, climate change adaptation, energy efficiency, labour-management cooperation, and the Right to Water;
7. GWOPA has considerable experience in establishing and supporting regional platforms. Regions have widely differing requirements and weaker regions need increased support;
8. Access to follow-up financing is a key prerequisite to realizing the full benefits of a WOP. Stakeholders encourage GWOPA to diversify its funding sources, increase its role in leveraging finance for WOPs from development banks and donors, and gain buy-in from the biggest investors in water utilities.

While GWOPA should be instrumental in leveraging funds for the benefits of WOPs, it is correspondingly essential that adequate funding is secured for all operations of the GWOPA Secretariat, preferably through five-year hosting agreements.

### 3.3 The GWOPA Strategy period 2013-2017

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Seeking to mobilize sustainable funds for GWOPA, UN-Habitat launched a *Call for Expressions of Interest* to host the GWOPA Secretariat in January 2012. Following review of competitive bids received from the Netherlands, Spain, and Turkey the offer by the City of Barcelona was accepted as host for the Secretariat for the next five years. The Secretariat was relocated to Barcelona where it was hosted in a UN-Habitat office and backed with core funding from the Spanish Government. The offer by the Government of Spain to host GWOPA in Barcelona included commitment of EUR 1.1 million annually for a period of five years which was backed by a one-time contribution of EUR 500,000 from the Barcelona City Council and a consortium of major private sector actors in the city. This agreement with the Spanish Government was the financial pillar of the GWOPA Secretariat for the strategy period. The GWOPA Secretariat was expected to raise its annual budget from USD 3 million to USD 5 million but the increase did not materialise. This increment of the budget was included in the five-year GWOPA Strategy as an expectation and ambition but it was not set as a target.

As at the end of 2017 GWOPA was at a critical stage of its development. The UN-Habitat Executive Director has oversight functions for GWOPA and appoints a representative to chair the GWOPA ISC as stipulated in the GWOPA Charter (see definition in Box 3.5 in which UN-Habitat should be the ‘granter’). The GWOPA Charter is not very clear about mandates, roles and responsibilities of the parties involved.<sup>18</sup> In early 2017 the relationship between UN-Habitat management and GWOPA ISC deteriorated with changing UN-Habitat prioritisation which de-emphasised the scope of GWOPA’s activities. This triggered two events related to governance and structure: 1) during the last quarter of 2016 the Executive Director of UN-Habitat was replaced as the chair of the GWOPA ISC and an interim chair was appointed; and 2) at the February 2017 ISC meeting it was proposed to change the hosting from UN-Habitat to UNOPS. Neither of the two events had the consent of UN-Habitat Management.<sup>19</sup> Any attempt to remove GWOPA from UN-Habitat’s Work Programme and Budget would have to be approved by Member States at its Governing Council.<sup>20</sup>

#### Box 3.5: Charter definition

A **charter** is the grant of power (authority) to an organization or an institution, defining the functions, rights, obligations or privileges. It is implicit that the granter retains sovereignty, and that the recipient admits a limited status within the relationship.

**Source:** YourDictionary

The controversy between UN-Habitat and the ISC culminated in an ‘Open Letter’ dated 18 September 2017 from some members and organisations supporting GWOPA proposing certain actions. The dispute resulted in sourcing of new funding being halted during 2017, which in turn reduced the extent to which new WOPs could be supported and strategic activities implemented. Furthermore, future hosting of the GWOPA Secretariat has not yet been decided. The 4<sup>th</sup> biennial GWOPA Congress and General Assembly scheduled to take place 4-5 December 2017 was postponed allowing time for evaluation of the GWOPA Strategy, development of a new strategy for 2018-2022, and revision of the GWOPA Charter. UN-Habitat has expressed its commitment to strengthen GWOPA and has appointed a facilitator to prepare an action plan for GWOPA’s way forward.<sup>21</sup>

### 3.4 The emerging conceptual framework for a new GWOPA strategy

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The GWOPA Strategy 2018-2022 will be informed by the 2030 Agenda for Sustainable Development and the New Urban Agenda.

#### **The 2030 Agenda**

The UN Secretary-General submitted his report on *Repositioning the UN development system to deliver on the 2030 Agenda – Ensuring a Better Future for All* on 30 June 2017<sup>22</sup>. A set of landmark agreements reached in 2015 - the 2030 Agenda for Sustainable Development, the Paris Agreement on Climate Change and the Addis Ababa Action Agenda on financing for development - offers a pathway to a better future. These efforts have been complemented by “sustaining peace” resolutions adopted by the General Assembly and Security Council along with the *New Ways of Working* in humanitarian settings where protracted emergencies and deep-rooted development challenges coexist. These comprehensive and interlinked agendas, cutting across the peace, development and human rights pillars of the United Nations provide a clear roadmap for Member States and the UN System alike. The 2030 Agenda raises the bar high. Universal in its coverage, it applies to all countries and commits to *leave no one behind*. Transformative and integrative in its design, it requires implementation on a dramatically different scale from its precursor framework, the *Millennium Development Goals*. It is the defining agenda of our time. Achieving the SDGs will provide a better life for all, prevent crises both natural and man-made, and build a firm foundation for human rights, stability, prosperity and peace in all societies.

The UN development system must effectively respond to demands of the new development landscape and the new development agenda. Expectations are high for the UN development system to align effectively with the 2030 Agenda and meet demands Member States have expressed through the Quadrennial Comprehensive Policy Review (QCPR) process.<sup>23</sup> Analysis indicates that the system is both willing and ready but is neither fully equipped, nor designed at this time to live up to the ambition of the 2030 Agenda. There is an urgent need for the UN development system to move beyond coherence and coordination towards greater leadership, integration and accountability for results on the ground.

#### **The New Urban Agenda**

The Heads of State and Government, Ministers and High Representative gathered at the United Nations Conference on Housing and Sustainable Urban Development (Habitat III) in October 2016 in Quito, Ecuador with the participation of sub-national and local governments, parliamentarians, civil society, indigenous peoples and local communities, the private sector, professionals and practitioners, the scientific and academic community and other relevant stakeholders, to adopt the New Urban Agenda.<sup>24</sup>

On the initiative of GWOPA, an Expert Group Meeting was convened in Barcelona on 1 February 2016 to provide inputs on the role of waters in the New Urban Agenda. To drive this progressive urban agenda, it is critical that water and sanitation services be universally accessible and affordable particularly for vulnerable populations. Use of the terminology *urban waters* highlights the many forms of water in cities and seeks to elevate understanding of water beyond being a basic service. Urban waters refer to all types of water flowing through and residing in cities including natural water sources, piped water, waste water, storm water, reused water and recreational water. Urban waters management relates to a range of interrelated services among which water resources protection, abstraction, transportation and distribution, collection, treatment and discharge, recycling and reuse, recharge and recovery, and storm water management are central. Taking a holistic approach to waters in cities is critical for safeguarding public health, minimizing disaster risks, guaranteeing water security and upholding human rights in the urban space.

The themes included in the *Strategic Recommendations for Water* are:

1. Recognize the influence of water in the urban forum.
2. Foster rural-urban linkages for mutual benefits.
3. Make the best use of water with a holistic water cycle approach.
4. Empower the public sector at all levels.
5. Plan adaptive water systems for improved security in an uncertain future.
6. Equip water utilities for the cities of the future.
7. Strengthen the enabling environment for water and sanitation utilities.
8. End the neglect of sanitation to assure public health.
9. Operationalize equity principles in urban water services.

The New Urban Agenda Resolution A/RES/71/256 calls for *Equipping public water and sanitation utilities with the capacity to: implement sustainable water management systems, maintain urban infrastructure services, and promote the universal and equitable access to safe and affordable drinking water, and adequate and equitable sanitation and hygiene for all.*

The *GLASS 2017 report*<sup>25</sup> focuses on the key role of financing in the water, sanitation and hygiene (WASH) sector. It is designed to provide a global perspective as the world embark on achieving the SDGs, particularly SDG 6 relating to clean water and sanitation which is essential to good health and well-being. Extending water, sanitation and hygiene (WASH) services to vulnerable groups is a policy priority, but implementation is lagging. Five key findings emerged from the *GLASS 2016/2017* results:

1. National WASH budgets are increasing as countries prepare to take on board the SDGs yet there remains a discrepancy between global aspirations and national realities;
2. The SDGs require greater ambition for WASH but there remains a lack of financial sustainability for reaching the unserved and maintaining services;
3. More and better data are available for informed decision-making;
4. Official development assistance (ODA) disbursement for water and sanitation are increasing but future investments are uncertain.

## 3.5 The international actors supporting WOPs

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### UN and international organisations

There are numerous multilateral organisations including UN organisations whose mandate are related to water and water resources management. Moreover, there are international platforms and networks dealing with identical challenges. A number of these are presented in Box 3.6.

#### Box 3.6: UN and international entities engaged in water and water resources management

**UN-Water** coordinates the efforts of UN entities and international organizations working on water and sanitation issues. There is no single UN entity dedicated exclusively to water issues. Over 30 UN organizations carry out water and sanitation programmes, reflecting the fact that water issues run through all the UN's focus areas. UN-Water's role is to coordinate so that the UN family *'delivers as one'* in response to water related challenges.

**UNESCO, World Water Assessment Programme (WWAP)** seeks to influence leaders in government, civil society and private sector, so that their policies and decision-making that affect water promote sustainable social and economic development at local, national, regional and global scales. UNESCO produces a large variety of publications and documents on water.

**Cap-Net UNDP** is an international network for capacity development in sustainable water management. It is made up of a partnership of autonomous international, regional and national institutions and networks committed to capacity development in the water sector. CAP-NET UNDP was launched in 2002 by the United Nations Development Programme (UNDP) and the UNESCO-IHE Institute for Water Education with funding from the Dutch Government. Since then, Cap-Net UNDP has grown into a global hub for capacity development and networking in sustainable water management with additional funding from the Swedish and Norwegian Governments, and the European Union.

The **UNEP-DHI (Danish Hydraulic Institute) Partnership** is a United Nations Environment Programme (UNEP) centre of expertise dedicated to improving the management, development and use of freshwater resources from the local to the global level.

The **World Water Council (WWC)** is an international multi-stakeholder platform organization whose mission is to mobilize action on critical water issues at all levels, including the highest decision-making level, by engaging people in debate and challenging conventional thinking. The Council focuses on the political dimensions of water security, adaptation and sustainability. The WWC is run by the French MNC Veolia, and was founded with support from the World Bank, with a priority to advance market-based solutions in the sector.

The **Global Water Partnership (GWP)** is an international network created to foster an integrated approach to water resources management. GWP offers practical advice for sustainably managing water resources. It operates as a network, open to all organisations, including government institutions, agencies of the UN bi- and multi-lateral development banks, professional associations, research institutions, non-governmental organisations, and the private sector.

## **Water associations**

International, regional, and national water, sewerage and sanitation associations have facilitated WOP and continue to have potential to do so.<sup>26</sup> Utility members of these associations could either act as mentees or mentors in North-South or South-South partnerships. No association or set of associations cover all the potential water operators. Ultimately, the growth of WOPs depends on the initiative of individual water operators. WOPs should therefore not be restricted to members of particular associations.

**The International Water Association (IWA)** is a self-governing non-profit organization with headquarters in London and The Hague which aims to cover all facets of the water cycle. Membership is open to individuals, corporates and universities. IWA's mission is to serve as a worldwide network for water professionals and to advance standards and best practices. IWA works across a wide range of issue covering the full water cycle with three programmes: Basins of the Future; Cities of the Future; and Water and Sanitation Services. IWA works towards achieving the SDGs and addressing the threat to sustainable water supplies posed by climate change. It has a knowledge management function and hosts numerous conferences throughout the year. WOPs fit within the general purpose of IWA but are not its central focus. It has worked on WOPs with The African Water Association (AFWA) in the past and has many water operators among its members who could potentially be reached through IWA communication channels.

**The International Federation of Private Water Operators (AquaFed)** is registered as a NGO and is an accredited Partner of UN-Water. Membership is open to all private companies that are active in public water and, or waste water service management. AquaFed's objectives are to: a) contribute to creating a better world by sharing private operators' expertise with international organisations, public authorities and civil society; b) be the channel between private water and waste water service providers and international stakeholders; and c) promote the option of private sector participation in water and waste water management as a solution that public authorities can choose. WOPs fit into the purpose of the association.

**Aqua Publica Europea (APE)** is the European Association of Public Water Operators. It has a membership of 55 public water operators together with their national and regional associations. APE facilitates best practices exchange and technological cooperation among members with the aim of: a) enhancing industrial performance; b) bringing the voice of public water operators into EU policy-making; c) promoting their interests and perspective through effective advocacy action; and d) fostering transparency and accountability in the water sector in dialogue with civil society. APE is highly relevant as its purpose fits with the objectives of WOPs. Its focus on public ownership and non-profit making is especially relevant as it fits well with the GWOPA concept and the grant making modality of the EU.

**EurEau** is an association of water operator associations. In most cases each country of the EU is represented by one national association. Membership includes 32 associations across Europe encompassing all EU states and covering both private and public utilities. The combined membership provides water for 400 million people. The objectives of EurEau are to: a) promote the common interests of the European water service sector to the EU institutions and stakeholders; b) enable members to adequately deal with opportunities and threats arising from EU policies and their national implementation; and c) support members' networking activities. WOPs are potentially relevant for the purposes of EurEau as its membership base encompasses virtually all European water operators (accounting for 80% of the water supply in Europe). The link to water operators is through national associations. The comprehensive membership of the association means that it can engage with and indirectly reach out to most EU water operators.

**The African Water Association (AFWA)** was founded in 1980 and has regular and affiliate members. Regular membership is for water utilities (subscription dependent on water sales) and affiliated membership is for organisations related to water supply. AFWA, which has a membership of over 100 water operators from over 40 African countries aims to: a) coordinate the search for knowledge and latest development in the technical, legal, administrative and economic fields for drinking water production, supply and of sanitation; b) promote the exchange of information on methods, processes and procedures of drinking water production and supply and sanitation; and c) initiate, encourage and promote cooperation and exchange in professional training. WOPs are core to the mandate and purpose of AFWA which hosts the WOP Africa Secretariat and represents many potential South-South mentors and mentees for WOPs.

**The Caribbean Water & Sewerage Association (CAWASA)** is a regional organization of water utilities founded in 2001. CAWASA has a membership of 13 water operators representing 13 countries and is established to: a) provide for the sustainable growth and development of Caribbean Water Utilities; and b) promote water and water related issues through the delivery of quality training and utilizing collective resources and experience. WOPS are highly relevant to CAWASA as it is a purely water operators' association. It hosts the Secretariat and platform in the Caribbean jointly with the Caribbean Water and Wastewater Association (CWWA).

**The Caribbean Water and Wastewater Association (CWWA)** is an NGO established in 1991 to bring together water, wastewater and solid waste professionals. CWWA has individual, corporate and water operator membership. There are 15 water operator members representing 15 countries (7 of which overlap with CAWASA). The total membership across all categories of membership is over 400. The purpose of CWWA is to bring together the water and sanitation community in the Caribbean to protect public health and promote sustainable development. Through collective leadership CWWA positively influences advancements in technology, education, science, management, and country and regional policies in the water and sanitation field. WOPs are highly relevant to the mandate of CWWA. However, unlike CAWASA it has a mix of tasks that go beyond water those of operators. It hosts the GWOPA Secretariat and platform in the Caribbean jointly with CAWASA.

**The Latin American Association of Water and Sanitation Operators (ALOAS)** is a not-for-profit organization of operators and providers of water and sanitation services in Latin America. The founding assembly took place in Mexico City in 2009. Formation of ALOAS was based on a Symposium held in Buenos Aires where the need to create the association was reiterated and agreement reached on it's the process. ALOAS is driven by the spirit of thousands of Latin American sanitation professionals who work with professionalism and dedication to provide services for the well-being of the community and are associated with provision of proper water and sanitation services. ALOAS is the host of the Secretariat of the Regional WOPs platforms in Latin America and the Caribbean (WOP-LAC) currently based in AySA in Buenos Aires, Argentina.

**WaterLinks** was established in 2008 as an independent non-profit organisation with support from ADB, USAID and IWA to facilitate WOPs. It has been involved in 46 partnerships lasting between 12-24 months and involving 23 countries. WaterLinks' purpose is to facilitate WOPs in the Asia-Pacific region and catalyse efficiency improvements to enhance and expand access to urban water and sanitation services. WaterLinks roles are to: promote WOPs, knowledge management, third party facilitator, and multi-WOP manager. Its long track record and core support means that it is well placed to implement projects and manage grants aimed at promoting WOPs. WaterLinks and the Pacific Water and Wastes Association (PWWA) are part of the GWOPA platform in the Asia-Pacific region.

**The Pacific Water and Wastes Association (PWWA)** is a not-for-profit membership organisation established in 1995 to support the Pacific region in meeting water challenges. PWWA is a regional association of organisations operating in the water and waste water sectors. Membership comprises Pacific Island water and waste water utilities as well as international water authorities, private sector equipment and services supply companies, contractors and consultants. In total some 29 water operators from 23 different countries. PWWA aims to develop expertise for sustainable management of water and waste water services in the Pacific, WOPs are relevant to the mandate of PWWA which hosts the GWOPA Secretariat and platform in the Pacific.

The Indonesian Water Association (PERPAMSI) was established in 1972 and after attending a WaterLinks forum in 2010 decided to implement a national twinning programme. The programme is funded by PERPAMSI (for initial travel related expenses) and mobilises resources of both the mentor and mentee utilities to continue and expand the cooperation. PERPAMSI acts as a third-party facilitator and so far over 40 WOPs have been established under this programme. At the end of 2014 it was reported that 12 of the utilities involved had succeeded in upgrading their performance ratings to the well-performing/healthy category under the Indonesian benchmarking system.

National WOPs. Many WOPs are self-funded by the mentees and mentors usually (but not always) on a national level. National and self-funded WOPs are taking place in Mexico, Honduras, Bolivia, Columbia, Nigeria, Greece and United States. Associations such as the Dutch Water Operators and the German Water Partnership have created special sub-associations to undertake WOPs.

### **The EU Water Facility Experience**

The ACP-EU Water Facility (WF) was set up in 2004 with the principal objective of providing water and basic sanitation to the poor and improving water management and governance in African, Caribbean and Pacific (ACP) countries. The WF was set up to co-fund water resources management, and drinking water and sanitation infrastructure based on the three key principles of enhancing good governance, ownership, and innovation and flexibility.

An evaluation of the WF conducted in 2016-2017 covered the European Commission's interventions in the water, sanitation and integrated water resources management sectors during the 9<sup>th</sup> EDF (2004-2009) and the 10<sup>th</sup> EDF (2008-2013).<sup>27</sup> The evaluation covered not only activities funded through calls for proposals, but also those that received direct contributions (e.g. contributions to the African Water Facility and to the Nile Basin Initiative). The geographical scope of the evaluation covered all ACP countries eligible for support under the framework of the Cotonou Agreement.

Under the 10th EDF ACP-EU WF some EUR 40 million was allocated to a 2<sup>nd</sup> call for proposals for *Partnership for capacity development in the ACP water and sanitation sector* announced in February 2010 (EuropeAid/129510/C/ACT/Multi). The call was aimed at providing funding for partnership projects (North-South and South-South) to improve water governance and management of water resources, and to promote sustainable development and maintenance of water infrastructure by transferring expertise and knowledge from water and sanitation utilities, local authorities and other water sector actors to ACP counterparts. In 2011 the ACP-EU water facility awarded grants totalling EUR 23 million to 32 projects. Of these projects 23 were considered as Water Operator Partnerships (WOPs) between mentor and mentee water operators. As a complementary effort to the evaluation of the WF a rapid appraisal was conducted to provide a basis for developing a strategy to strengthen WOPs. The appraisal also draws on wider findings from other evaluations on water operator partnerships.

**Relevance:** Although focus was on improving provision of water services for urban populations the call also involved many partnerships that focussed on increasing access to low-income, unserved populations, including some rural populations, as well as addressing basic services in fragile and post conflict situations. In some cases, the systems of the water operator were in need of emergency works and required a complete rehabilitation, which made the timing of interventions by Water Operators Partnerships (WOP) less relevant.

**Effectiveness:** Results achieved are of both direct operational performance and capacity development nature and can be grouped into four areas: i) direct operational improvements in non-revenue water, network performance and extension of services; ii) direct financial improvements in terms of sales increase, financial operating ratio, customer billing and collection; iii) capacity development in asset management and planning and customer service; and iv) wider networking and knowledge management at the sectoral level.

**Efficiency:** The 2<sup>nd</sup> call for proposals on WOPs involved partnership implementation modalities that were highly appropriate and well adapted to the need for improving operational performance of water and sanitation utilities. Level of Non-Revenue Water (NRW) is an important indicator of efficiency for operators of water supply networks. The 2<sup>nd</sup> call for proposal grants contributed towards implementation of sectoral water and sanitation policies which led to an increase in access to water and sanitation services and promoted partnerships between European and ACP utilities. Demand for co-financing from the applicant was problematic for some of the European water utilities especially the publicly owned ones that did not have the mandate to subsidise external operations.

**Impact:** Capacity development results are at the core of the WOPs and the main contributor towards longer term impacts and sustainability. Most of the WOP projects targeted improvements in underlying systems such as network mapping, Geographic Information Systems, installation of water meters, separation of pressure management zones, billing and collection systems, and infrastructure planning. Improvement in these systems and the capacity of staff to use them were found necessary before any sustainable improvements could be expected in direct operational and financial performance such as Non-Revenue Water. These improvements take years rather than months to achieve and consolidate. To some extent, they explain the uneven progress in meeting direct operational and financial targets. Financial stability of service providers (water supply and sanitation operators) was a key factor in ensuring long-term impacts of the support. When implemented, water sector reforms and decentralisation processes tackled shortcomings in financial, technical and monitoring capacities of local operators.

**Sustainability:** None of the WF supported WOPs could continue with improvements at the same scale without external funding (the average investment in the 23 WF supported WOPs was EUR 1 million). Some WOPs continued beyond the EU engagement with support from the involved mentors, e.g. the Dutch Vitens-Evides and the German Hamburg Wasser. Where enhanced capacity has been achieved and an enabling sector environment exists, there are prospects for improved sustainability. External factors required to enhance sustainability include credible sector reforms and a strong regulatory environment; managerial and financial autonomy; good governance and competent management at the water operator level; existence of wider supportive water and sewerage networks; and enhanced national funding sources e.g. water and sanitation trust funds. Internal factors that enhance sustainability and are within the control of WOP partners include introduction of standard operating procedures; use of billing and other software; and structured capacity development that involves trainees passing on skills to other staff in the utility. Although there have been significant improvements further consolidation and support is needed. The relative success of projects launched in an earlier phase is testimony to the benefits of continuity and seeking solutions beyond the short-term project approach.



**Cross-cutting issues:** Gender mainstreaming was considered in proposal documents but was often explicitly implemented or monitored. Although improvements to living conditions for vulnerable groups in intervention areas were documented, quantitative evidence was not available. This confirms the need to strengthen the monitoring and evaluation framework and tools. The WF grants enhanced participation of the public and private utilities in good governance initiatives. The levels of accountability and productivity of management and staff were enhanced. Improving water services was the main thrust, although some projects also focussed on water quality and to a lesser degree, sanitation. However, there were no sanitation specific operator partnerships.

An earlier evaluation conducted in 2012 by the Public Services International Research Unit (PSIRU), Business School at the University of Greenwich<sup>28</sup> found as follows: 1) on the one hand, the ACP-EU Water Partnerships initiative had significant developmental potential due to the considerable financial resources made available for selected projects; and 2) on the other hand, due to the scale of need it seemed unlikely that financial resources made available to ACP-EU Water Partnerships would be sufficient to achieve a critical mass of capacity. The evaluation concluded that *“international programmes supporting not-for-profit partnerships for capacity development should be designed as open and continued opportunities for learning on developing capacity for sustainable water development”*.

Interestingly, the rapid assessment of the outcome of the ACP-EU Water Partnerships projects finds that considering the concrete results achieved by the projects *“the relative success of projects which had had an earlier phase is testimony to the benefits of continuity and finding solutions beyond a short-term project approach”*. The upshot is that results of the preliminary evaluation made by PSIRU in 2012 and the ex-post rapid assessment made in 2017 for the European Commission appear to be mutually reinforcing and to point towards the benefits of strengthening GWOPA both financially, and by designing WOPs so that they better contribute to achievement of critical mass of capacity within the global water and sanitation sector.



GWOPA 2015 International Congress, Closing plenary. © Carlos Larrondo / GWOPA - UN-Habitat

# 4. GWOPA Strategy 2013-2017 and the WOPs portfolio

## 4.1 GWOPA Strategy and Charter

The GWOPA Vision and Mission are presented in Box 4.1. Strategic objectives, focus areas and corresponding outcomes and indicators are presented in Table 4.1.

### Box 4.1: GWOPA Strategy 2013-2017 Vision and Mission

<p><b>Vision</b> GWOPA's vision is that water and sanitation operators help each other to achieve universal access to sustainable water and sanitation services through not-for-profit peer support partnerships. These partnerships result in public operators, the target of support, with strong technical, financial and management capacity, able to provide sustainable, high-quality services to all.</p> <p><b>Mission</b> GWOPA's mission is to promote the effective use of not-for-profit partnerships between water and sanitation operators to realize its vision. GWOPA will be the global leader in WOPs promotion, facilitation and coordination, and the principle source for WOPs knowledge and guidance so that effective WOPs contribute to meeting national and global water and sanitation objectives including those relating to the Millennium Development Goals, Sustainable Development Goals and the Human Right to Water.</p>
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Source: GWOPA Strategy 2013-2017

**Table 4.1: GWOPA Strategy 2013 - 2017 objectives and outcomes**

Strategic Objective	Outcomes	Outcome Indicators
<b>Overall</b>	1. Increased number of quality WOPs implemented resulting in the improvement of utilities performance	No. of WOPs implemented; Capacity and performance changes in WOPs
<b>Strategic objective 1: Guiding Global Growths of WOPs</b> GWOPA's 2013-2017 strategy is to move to large-scale adoption of WOPs		
<i>Knowledge Management</i> GWOPA will: develop and promote disaggregated models of how WOPs should function; enter into partnerships with renowned universities and learning institutions; and seek to become the authority in the WOPS arena.	2. Increased number of quality knowledge products being produced and used to guide WOPs practice	No. of publications, resources materials, analytical tools and case studies produced and disseminated; No. of WOPs having made use of least on knowledge product; No. of water utilities and individuals using at least one knowledge product
<i>Branding of WOPS and GWOPA</i> GWOPA will: develop WOPs as a quality brand with models leading up to comprehensive, long-term partnerships; and develop a certification process for WOPs.	3. The WOPs brand becomes clearly distinguishable and associated with successful models of WOPs that lead to comprehensive, long-term partnerships and substantive performance improvement	Establishment of clearly defined WOPs typologies and brand standards; No. of WOPs seeking branding; No. of WOPs granted label.

<p><i>Communications and Advocacy</i> GWOPA will: lead a strong advocacy and networking component to promote utilities and WOPs; convene and actively participate in global dialogue and international meetings; and continue to mobilize political and financial support to WOPs.</p>	<p>4. Enhanced awareness of the WOPs approach, endorsed and actively supported by the water and sanitation sector, governments and the civil society</p>	<p>No. of communication products (website, newsletters, brochures, briefs) prepared and disseminated; No. of stakeholders involved in GWOPA activities; Stakeholders' perception of WOPs.</p>
<p><i>Alliance Strengthening</i> GWOPA will: increase the size and strength of the Alliance at various levels; and formalize cooperation with Alliance partners who can contribute substantially or financially to WOPs.</p>	<p>5. Engaged efforts of Partners within GWOPA contributing to the achievement of a more synergetic and coordinated impact of WOPs worldwide</p>	<p>Stakeholder perception of GWOPA; Number and types of new partners joining and contributing to the Alliance.</p>
<p><b>Strategic objective 2: Strategic Operational Support to WOPs</b> To provide operational support to WOP implementation in the field</p>		
<p><i>Strengthening of Regional WOP Platforms</i> GWOPA will continue to support the development of regional, and, where demand exists, national platforms to support WOPs; and continue to assist regional platforms to develop and monitor delivery of regional strategies and work plans.</p>	<p>6. Strengthened regional WOP platforms providing high-performing coordination and support</p>	<p>No. of WOPS coordinated by regions per year; Regional platforms have annual work plans in place and monitor progress; No. and types of regional water operators and stakeholders that are members of the platforms.</p>
<p><i>Mobilizing Finance and Support to WOPs</i> GWOPA will intensify the mobilization of financial resources both to support transactions as well as helping to catalyze financial support for follow-up investment to enable WOP partners source funds for long-term WOPS.</p>	<p>7. Increased number of WOPs worldwide adequately financed and leading to follow-up investment in water utilities</p>	<p>Level of financial allocations to WOPs; No. of operators receiving investments for PIPs or other types of plans prepared and implemented through WOPs; Value of contributions to WOPs by mentors and mentees per year.</p>
<p><i>Direct Operational Support</i> GWOPA will offer match-making, brokering and facilitation services to partnerships. Direct support will be carried out under the auspices of the regional platforms</p>	<p>8. Increased number of WOPs carried out under the auspices of regional platforms that benefit from GWOPA's facilitation and direct support, and that apply its principles, models and tools.</p>	<p>No. of WOPs carried out with GWOPA support and applying its methodologies.</p>

**Source:** Source: GWOPA Strategy 2013-2017

**Note:** The text for the seven strategic focus areas draws on the Strategy's Section 3.3

Membership of the Alliance is open to all interested water and sanitation stakeholder organizations. Membership is obtained by accepting to abide by GWOPA's principles in the implementation of partnership activities as stated in the GWOPA Charter. Members have access to GWOPA's communication network and can participate in GWOPA's biennial General Assemblies. The regulatory framework for GWOPA governance and operations is set out in the GWOPA Charter, but the mandates, roles and responsibilities could be more clearly elaborated. The Charter presents Guiding Principles, the titles of which are: inclusiveness; non-profit based partnerships; mutuality of benefits; transparency; learning from the past and others; supporting the WOPs processes worldwide; fostering sustainable change; and building a culture of solidarity.

## 4.2 The WOPs portfolio

Cooperation between water and sanitation utilities and operators on a peer-to-peer basis has been practised for decades. It was experience gained in pioneering practices that prompted UNSGAB to recommend that the WOP concept be streamlined and scaled up. Operators in the Netherlands and France were early practitioners mainly driven by legal provisions in these two countries that enabled operators to utilise 1% of their turnover for international cooperation. The first WOP profile in the GWOPA database is from 1987. A few more were added prior to 2004 and it was only from 2004 that there was a notable increase of WOPs in the database. By 2011 the accumulated number of WOPs in the database was 32.

By end of December 2017 the GWOPA WOPs portfolio comprised 221 WOPs in the database out of which 204 are online, with the other 17 to come online shortly. There are an additional 24 WOPs in the pipeline awaiting validation and shortlisting before they can be registered. The 221 WOPs include 71 WOPs directly supported by the GWOPA Secretariat as follows: a) 38 directly supported where GWOPA played an active role during the WOP as broker, facilitator and financier; and b) 33 directly supported where GWOPA played an active role in supporting the regional platforms, as broker, facilitator or financier. By end of December 2017 there were 14 WOPs for which the Secretariat has provided direct support. Following launch of the GWOPA 2013-2017 Strategy there the number of WOPs recorded in the database in 2013 and 2014 increased. The figure declined in 2015 -2017 (see Table 4.2). A decrease in the number of new WOPs does not necessarily relate to a decrease of the WOPs practice globally.

**Table 4.2: Number of WOP profiles logged onto the GWOPA database 2011 to 2017**

	2011	2012	2013	2014	2015	2016	2017
Number of WOP profiles	32	29	48	58	16	16	22
Accumulated number of WOP profiles	32	61	109	167	183	199	221

**Source:** GWOPA database, January 2018

**Note:** The statistics indicate new WOPs registered in the specific year, but not those that are ongoing from the previous year(s).

The *operator profile database* consists of utilities that have been involved in a WOP as a mentor or mentee, as well as those that have indicated an interest in participating. The total number of operator profiles in the database is 488, out of which 248 have been involved in WOPs. The process of uploading *WOP profiles* onto the GWOPA database has largely been taken up by the GWOPA Secretariat. An offline form is provided for operators to complete and return it to the GWOPA Secretariat for uploading onto the database. The profiles are first added to the offline Excel sheet as shortlisted profiles and then loaded online in batches at the end of each month. In 2017 the Technical University of Darmstadt assisted the GWOPA Secretariat in cleaning, analysing and improving the WOP database.<sup>29</sup>

Besides WOPs in the GWOPA database it is highly probable that there are many WOPs or WOP-like partnerships not registered but which may well qualify to be incorporated into the database. The initiative for registration of non-GWOPA supported WOPs rests with cooperating utility partners. The

WOPs are established on a voluntary basis by mentees and mentors and may attract support from donors, international associations and civil society organisations where there are shared objectives of improving water and sanitation services. GWOPA encourages its network members to contribute to the database with their WOP-like activities. Except for GWOPA facilitated WOPs it would be a complicated exercise to have a complete overview of WOPs worldwide and their respective scope and achievements. However, it is apparent that with contributions from key stakeholders GWOPA has leveraged the increase of WOPs and a substantial amount of funds for WOP practice and is referred to as the global leader for WOPs by some stakeholders.

WOPs can be established on short-term, medium-term or long-term basis. A WOP could also evolve in stages from a short-term to a medium-term and possibly to a long-term WOP. Generally, a WOP which develops in continuous and coherent stages is recorded as one WOP. A WOP will be recorded as two (or possibly more) if there are distinct time intervals between the WOP stages, and variations in content. The duration of WOPs in the GWOPA database is shown in Table 4.3.

**Table 4.3: Duration of WOPs on the GWOPA database**

Duration of WOPs	No. of WOPs	% of WOPs
Short-term: Less than 12 months	43	25
Medium-term: 12-36 months	88	52
Long-term: More than 36 months	38	22

**Source:** GWOPA database, January 2018

**Note:** Based on 169 WOPs with start and completion dates

At about 60%, the majority of mentors are from the global South, as are majority of mentees at about 90% reflecting emphasis placed in providing support to countries where challenges are the greatest - see Table 4.4. In the regional distribution shown in Table 4.4, Africa, Latin America and the Caribbean (LAC), and Asia and the Pacific record the highest number of WOPs - see Table 4.5.

**Table 4.4: Regional distribution of WOPs: Mentor-Mentee**

Region: Mentor-Mentee	No. of WOPs	% of WOPs
North-South	73	33
North-North	19	9
South-South	126	57
Multi-regional*	3	1

**Source:** GWOPA database, January 2018

**Note:** Based on 221 WOPs

**Table 4.5: Regional location of Mentees**

Region	No. of WOPs	% of WOPs
Africa	82	37
Middle East	4	2
Asia and the Pacific	62	28
Latin America and Caribbean	54	24
Europe	11	5
North America	8	4

**Source:** GWOPA database, January 2018

**Note:** Based on 221 WOPs

Although the cost of WOPs should ideally be recorded, only 92 WOPs in the database provide information on costs. If it is assumed that all WOPs directly supported by GWOPA have cost information, this means that only 21 of the WOPs not directly supported have provided information. This could partly be because information on costs is an optional field in the WOP profiles and some utilities may not wish to share this information. Main cost segments range between USD 25,000 and USD 100,000 (40 WOPs) and above USD 1 million (27 WOPs) - see table 4.6.

**Table 4.6: Cost of WOPs**

Cost range USD	No. of WOPs	% of WOPs
Less than 10,000	2	1
10,000 – 25,000	6	3
25,000 – 50,000	17	8
50,000 – 100,000	23	10
100,000 – 500,000	10	5
500,000 – 1,000,000	7	3
More than 1,000,000	27	12
No data	129	58

**Source:** GWOPA database, January 2018

**Note:** Based on 221 WOPs

WOPs incorporate one or more themes depending on the specific needs of mentees as conceived by the partners. Operations and maintenance, Non-Revenue Water, and Water Loss are the most frequent themes while climate change adaptation, wastewater treatment, drainage and storm-water management appear not to have been given much attention, probably because there are other entities dealing with such themes, or because of inadequate funding for major undertakings besides water supply - see Table 4.7. Priority thematic areas in WOPs were water supply, operation and maintenance, governance and institutional issues, sanitation, Non-Revenue Water, WASH promotion, billing and collection, asset management and provision of services to the poor.

**Table 4.7: Frequency of themes**

Theme	Frequency
Operation & Maintenance	93
Non-Revenue Water and Water Loss	84
Asset Management	54
Low-Income Households/ Service to the Poor	42
Billing and Collection	39
Customer Relations and Communication	35
Improved Sanitation	38
Improved Water Supply	27
Capacity Building	25
Energy Efficiency	22
WASH Promotion	18
Water Quality Management	18
Business Planning and Financial Management	13
Human Resources Management	12
Information Systems	10
Integrated Urban Water Resources Management	8
Catchment Management	8
Metering	8
Water Safety Plan	8
Water Integrity & Ethics	7
Wastewater Collection and Treatment	7
Disaster Preparedness and Climate Change Adaptation	7
Institutional Issues and Governance	5
Water Demand Management	5
Benchmarking	3
Public Awareness	2
Drainage and Storm-water Management	0
Stakeholder Participation	0
Other	16
No data	6

**Source:** GWOPA database, January 2018

**Note:** Based on 211 WOPs

## 4.3 GWOPA cooperation opportunities

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At the end of the strategy period GWOPA could be engaged in a number of initiatives, contingent upon its medium-term existence being secured. These include:

*European Parliament and European Commission:* The European Parliament adopted a resolution on the right to water and sanitation in September 2015 which includes a clause stating that EU development projects in water and sanitation should make use of solidarity-based partnerships. The text made specific reference to GWOPA. GWOPA is working with partners to advocate for the European Commission to renew the Water Facility, and for the reinstatement of a partnership window to support WOP activities. In this regard, GWOPA was invited to participate in presentation of findings of the Evaluation of EU's 9<sup>th</sup> and 10<sup>th</sup> Africa-Caribbean-Pacific Water Facility Fund.

*Swedish International Development Cooperation Agency (Sida):*

A proposal was submitted to the Swedish International Development Agency in 2017 entitled *Strengthening Arab Water Operators' Sustainability through Water Operators' Partnerships*. It would implement nine WOPs and establish a regional WOPs platform to coordinate, build upon and advance WOPs activity in the region over a five-year period.<sup>30</sup>

*OPEC Fund for International Development (OFID):*

Building on the first collaboration with OFID to support nine WOPs in Africa, the proposed second collaboration would enable another nine two-year long water operators' partnerships between developing and least developed countries. The WOPs would seek to strengthen utilities' capacity and prepare them to implement longer term sustainable improvement plans. An updated proposal was submitted to OFID in March 2018 and is under review by the Fund.

*Dutch Ministry of Foreign Affairs:*

GWOPA will lead knowledge management efforts in a multi-year WOP initiative recently approved for funding by the Ministry. The overall initiative called WaterWorX will support several long-term WOPs to achieve water-related SDGs at local level with 10 million people gaining sustainable access to clean drinking water between 2017 to 2030. GWOPA and Dutch water operators among others, will jointly implement the programme; the GWOPA Secretariat would lead the Knowledge Management for Impact (KMI) component. Knowledge Management, Visibility and Advocacy for the WATERWORX Programme (2018-2021). Contribution of GWOPA and IHE (ref. draft proposal 16 November 2016)

*World Bank:*

GWOPA is working with the Global Water Practice of the World Bank Group to identify target cities and countries with links to prior WOPs for water utility investments. An updated list of envisioned investment programs is being finalized and will allow GWOPA to select utilities for WOPs strategically.

*Islamic Development Bank (IsDB):*

The Bank has expressed interest in funding implementation of Performance Improvement Plans developed through WOPs for Togo and Chad, in using WOPs to develop PIPs in some IsDB member states in Central Asia, and in developing a pipeline of utilities for one of the Bank's financing windows. In addition, GWOPA was invited by the Bank to develop a proposal for a water sector capacity mapping exercise of IsDB member states in the Arab region. IsDB has confirmed its interest in potential collaboration as proposed by GWOPA and an updated proposal was submitted in March 2018.





WOP between Mulonga Water and Sewerage Company Limited, Zambia & NWSC, Uganda. Water Kiosk in Mulonga.  
© GWOPA - UN-Habitat

*The Caribbean Development Bank (CDB):* In September 2017 GWOPA presented a draft concept note in for *Enhancing the capacity of Caribbean Water Utilities through the Caribbean Water Operators' Partnerships (Cari-WOP)*.

*WaterAid (A UK-based non-profit organization established by the UK water industry):* GWOPA is piloting a pro-poor WOP initiative in Zambia with funding from WaterAid. WaterAid, GWOPA and the relevant regional WOP platforms will jointly submit a proposal to DFID for scaling up the pro-poor WOP approach in Africa and Asia with involvement of British operators as mentors. A concept note was submitted to WaterAid in March 2018 and is under review by the partners.

**UNICEF:** Two WOPs commenced in Angola early 2018 with funding from UNICEF Angola under the guidance and coordination of GWOPA. They involve mentors from the North (Holland and Portugal) and from the South (Mozambique). Upon completion in 2019, GWOPA and UNICEF will explore the possibility of replicating the WOP approach either with other operators in Angola or in other African countries.

# 5. GWOPA governance and management framework

## 5.1 UN-Habitat

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UN-Habitat was delegated the mandate to establish GWOPA as a follow-up to the “Hashimoto Action Plan” announced by UNSGAB during the 4<sup>th</sup> World Water Forum in Mexico in 2006. GWOPA was established in 2009 as an ‘extra-budgetary programme’ implying that it would not receive core funding from the UN-Habitat budget. The Secretariat would thus be entirely dependent on external and earmarked donor funding to facilitate and monitor WOPs. Actual WOP implementation is funded by mentors and mentees themselves, with possible third party contributions.

Implementation of the GWOPA Strategy is not a controlled process as the initiative for establishing and implementing WOPs is taken by the mentees and mentors at their own discretion, and provision of third party funding for WOPs is generally difficult to predict. Implementation of the GWOPA strategy is therefore quite different from that of ‘traditional’ programmes which are time bound and have defined human and financial resource inputs and programme progress is under the control of a dedicated project manager or management team. Implementation of the GWOPA Strategy requires the full support and participation of Alliance members without which there would be no WOPs. Full support from UN-Habitat management in setting up the management framework, driving the normative framework, and providing legitimacy for GWOPA in its interaction with development partners is equally important.

UN-Habitat HQ provides administrative support and undertakes financial management of behalf of the GWOPA Secretariat with overhead costs in the range of 9-10% of funds channelled to GWOPA. The administrative support is bureaucratic, costly and time consuming.<sup>31</sup> The GWOPA Charter is silent on the role of UN-Habitat except for the Executive Director’s (ED) representative chairing the International Steering Committee (ex-officio) and being the immediate recipient of advice from the ISC. The ED’s representative has in the recent years been the Branch Coordinator for Urban Basic Services. As mentioned in Section 3.3 the GWOPA Charter is not clear on mandates, roles and responsibilities, a view which has also been reiterated by UN-Habitat in a position paper on GWOPA (Position Paper, Section 3.4, October 2017)

**Findings: 1) The special mechanism of cooperating with an alliance should be appreciated by the involved parties; 2) The UN-Secretariat’s bureaucracy reduces administrative effectiveness; and 3) The clauses of GWOPA Charter have not been adequate for providing guidance for resolving major disputes.**

## 5.2 GWOPA Secretariat

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The GWOPA Secretariat is UN-Habitat's extended arm for implementation of the Strategy. It is currently located in Barcelona as part of a hosting agreement with Spanish Government that comprises: a) five-year funding support covering the Secretariat's operational costs; and b) a long-term arrangement for occupancy and use of office facilities at any UN-Habitat office. In principle the Secretariat could be in any major city provided that effective communication infrastructure is in place. According to the GWOPA Charter, *"the GWOPA Secretariat implements the Alliance's work plan and coordinate all its activities in various working areas, including supporting regional WOP platforms, WOPs' direct brokering and funding, financial guidance, development and management of WOP knowhow, training and capacity building, alliance partnership strengthening, as well as advocacy and communication activities"*. The Secretariat prepares the annual work plan and reports to the ISC and the biennial sessions of the GWOPA Assembly and Congress.

A Mid-Term Review concluded that the WOP concept will continue to be an important instrument for capacity development and performance improvements of both mentors and mentees. Most supporters view the GWOPA Secretariat as focal point for promotion of WOPs, sourcing of funds, and an invaluable international platform given its affiliation with the UN. The MTR views on efficiency and effectiveness are presented in Box 5.1.

### Box 5.1: Excerpts from the Mid-Term Review of the GWOPA Strategy

**Efficiency and effectiveness:** The GWOPA Secretariat staff assess that GWOPA has been relatively more effective in the areas of communications and awareness, and direct operational support to WOPs; and relatively less effective in Alliance strengthening and mobilising finance for WOPs. The review found that GWOPA's broad interpretation of its mandate by taking up a variety of issues and activities directs attention away from the core activities and spread limited resources too thinly. In the UN system alone, there are more than 30 organisations and programmes that are active in the water sector, which implies that GWOPA should define its niche and comparative advantage.

GWOPA's efficiency is constrained by many factors: 1) limited autonomy and the associated need for consultations with UN-Habitat and UNON; 2) the organisational set-up of the GWOPA secretariat in two groups corresponding to the strategic objectives results in sub-optimal flexibility and cooperation; and 3) the GWOPA Secretariat staff originates from North America and Europe and has limited experience of working with water operators in developing countries.

**Source:** Final Report 20 January 2017

The criticism raised of the broad interpretation of GWOPA's mandate in the Mid-Term Review relates to a discussion on additional objectives, such as human rights to water and sanitation; provision of services to the disadvantaged; broadening of stakeholder participation in WOPs; broadening of WOPs with the thematic areas of IWRM and UWM. These issues relate closely to SDG 6 and should not be ignored. Additional objectives mentioned are: funding for follow-up WOPs; opening for large WOP's with IFIs and donors; establishment of a legal framework allowing water utilities in developed countries to use 1% of their financial turnover for international solidarity. Pursuance of these issues would be important for scaling up of WOPs.

Project Evaluation of nine African WOPs summarised GWOPA's role as shown in Box 5.2.

### Box 5.2: GWOPA's role in project implementation of nine African WOPs

- GWOPA's decisions and actions have been fully relevant in pursuing GWOPA's and the project's objectives;
- Efficiency has been rated as very good, but may have been even better if all WOPs had lasted for the agreed duration of 10 months;
- Effectiveness has been very satisfactory on the side of GWOPA thanks to the achievement of all the objectives set in the cooperation agreements (CAs) agreements signed with the mentors;
- Impact on capacity of mentees to handle self-improvement processes has been very good thanks to the multiple exchanges developed with mentors. Overall impact of the project may be improved through possible consideration of recommendations made in the report's section 3;
- Sustainability of the actions and improvements initiated during the WOPs is secured through the strong relationships developed between partners, which is still ongoing for some of them. The engagement of mentees on 2 to 3 years' duration PIPs has also greatly contributed to the sustainability of actions initiated during the WOP. Stronger and tailored support from GWOPA may be envisaged for needy operators to assist in consolidating and sustaining the improvements achieved during the WOP.

The achievement of WOP outcomes was rated satisfactory. The achievement could have been better if all WOPs could have had a duration of 10 months, but the duration was cut short for some WOPs due to factors beyond the control of the GWOPA Secretariat.

**Source:** Final Report, December 2016

The GWOPA Secretariat received funding from several donors and partners between 2010 and 2017. Contributions for 2013 to 2017 are shown in Table 5.1. Some funds were spent prior to 2013. According to the portfolio overview there is a balance of USD 923,272 that could be spent in 2018 (ADWEA USD 541,412; AECID USD 284,057; and DGIS USD 97,803).

**Table 5.1: Actual GWOPA funding contributions 2013-2017 (USD)**

Donor	Amount	Period	2013	2014	2015	2016	2017	Total
ADWEA <sup>1</sup>	3,514,075	2010-2017	19,728	(357)	67,533	(25,499)	(15,135)	46,270
ACCD <sup>2</sup>	134,810	2012-2015	26,510	(26115)	26,115	-	-	25,510
AFD <sup>3</sup>	653,258	2012-2017	214,040	194,260	139,022	4,133	537	551,992
AECID <sup>4</sup>	6,558,647	2013-2018	1,364,004	1,350,981	1,048,966	1,281,073	1,229,565	6,274,589
BCC <sup>5</sup>	894,896	2013-2017	459,619	136,423	115,601	32,100	23,530	767,273
OFID <sup>6</sup>	1,000,000	2014-2016	-	634,345	356,293	(45,288)	-	945,350
DGIS <sup>7</sup>	1,305,702	2014-2018	-	392,231	164,991	30,345	161,754	749,321
<b>Total</b>	<b>14,061,388</b>		<b>2,119,902</b>	<b>2,681,768</b>	<b>1,918,522</b>	<b>1,276,864</b>	<b>1,400,251</b>	<b>9,397,307</b>

**Source:** UN-Habitat Nairobi, Division of Management and Operations

**Notes:**

1. Abu Dhabi Water and Electricity Authority. The funds were allocated and some spent before 2013.
2. Catalanian Agency for Development.

3. French Development Agency: Water operators in Africa, Middle East and Caribbean. Support to GWOPA Secretariat through funding of a dedicated staff position to implement WOPs with French stakeholders.
4. Spanish Government through AECID: Water operators worldwide. Funding GWOPA Secretariat to support, facilitate and advocate for WOPs at the global level.
5. Barcelona City Council: Water operators worldwide. Support to GWOPA activities (including the Global WOPs Congress) and WOPs in the regions.
6. OPEC Fund for International Development (OFID): Water operators in Africa. Funding WOPs as preparation for long-term IFIs investments through development of PIPs.
7. Dutch Government through DGIS: Water operators worldwide. Support to GWOPA activities (including the Global WOPs Congress) and WOPs in the regions.

Corresponding expenditures for 2013-2017 are shown in Table 5.2. Staff costs have been by far the largest expenditure item (63% of programme costs). Having peaked 2014, they decreased by about USD 500,000 in 2017. Travel and conference costs which are the second highest expenditure item (20% of programme costs) declined substantially in 2016-2017. The decrease in expenditure over the Strategy period can be explained in part by declining staff and travel costs and by the fact that sourcing for funds was halted in 2017 owing to the dispute between UN-Habitat management and the ISC.

**Table 5.2: GWOPA expenditures 2013-2017 (USD)**

<b>Programme expenditure</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>Total</b>
Staff including consultants	1,196,473	1,379,996	952,907	959,861	871,255	5,360,493
Supplies commodities and materials	-	-	-	-	-	-
Equipment, vehicles and furniture	42,795	59,147	(5,142)	9,463	2,704	108,967
Contractual services	-	-	50,120	67,195	103,862	221,177
Travel/mission cost, conferences, etc.	573,686	436,137	380,061	158,412	115,186	1,663,482
Grants out to implementing partners	24,291	(12,471)	75,362	-	41,100	128,282
Transfers and grants to counterparts	65,219	450,933	161,525	(58,316)	79,006	698,376
General operating and other direct costs	19,752	102,378	117,325	24,094	61,963	325,512
<b>Total Programme costs</b>	<b>1,922,216</b>	<b>2,416,120</b>	<b>1,732,158</b>	<b>1,160,709</b>	<b>1,275,076</b>	<b>8,506,280</b>
<b>Indirect Support costs</b>	<b>197,685</b>	<b>265,648</b>	<b>186,363</b>	<b>116,155</b>	<b>125,175</b>	<b>891,027</b>
<b>Total</b>	<b>2,119,902</b>	<b>2,681,768</b>	<b>1,918,522</b>	<b>1,276,864</b>	<b>1,400,251</b>	<b>9,397,307</b>

**Source:** UN-Habitat Nairobi, Division of Management and Operations.

**Note:** The UN-Habitat accounting system for GWOPA is not structured in accordance with the Strategy's two strategic objectives and the eight outcomes.

Expenditures fall short of expected budget evolution, which should have reached USD 5 million in 2017

(ref. Section 6.2, p.25 in the GWOPA Strategy). The budget did not evolve as anticipated, affecting up-scaling of WOPs supported by the Secretariat. There is limited information on application of WOPs elsewhere. The deteriorating relationship between UN-Habitat management and the GWOPA ISC Secretariat in 2016-2017 was unfortunate and had an overwhelming effect on the Secretariat's proactive planning and consultations with donors.

Current staff size is four programme officers, one of whom is the Officer in Charge, one administrative assistant, and one consultant, all employed by UN-Habitat. The Secretariat shall, besides preparation of ISC meetings, assemblies and congresses, attend to all matters related to the GWOPA Strategy - see Chapter 6.

**Findings: The Strategy's budget evolution did not materialize as anticipated, which limited the scope of the Secretariat's activities – including the number of WOPs that could be directly supported and monitoring of the performance of the strategic areas. The funding situation worsened further due to the dispute between the UN-Habitat management and the ISC. Nonetheless, the Secretariat adapted to the situation during the last strategy period and has performed satisfactorily considering the resource constraints.**

## 5.3 Regional and National WOPs platforms

GWOPA has helped establish regional platforms for WOPs in Africa, Asia, the Pacific, and Latin America and the Caribbean - see Table 5.3. It assists regional WOP platforms to develop business plans, helps them to raise money to support WOPs, and provides guidance on WOPs implementation. In Africa GWOPA funded the coordinator position for the regional platform for two years and assisted with preparation of the business plan including proposals to two donors. There is no regional platform for the Arab countries even though a relatively high number of mentors have been involved with only a few mentees.

**Table 5.3: Regional WOP Platforms**

Regional WOP Platforms	Establishment facilitated by	
	Donor	Water Association/NGO
Asia and the Pacific	ADB, USAID	International Water Association (IWA) WaterLink
Africa	AfDB, USAID	African Water Association (AfWA)
Latin America	IDB	Latin American Association of Water Operators (ALOAS)
Caribbean	IDB, CDB, AECID	Caribbean Water and Sewerage Association (CAWASA) Caribbean Water and Wastewater Association (CAWAWA)

The following three national WOP platforms are active under the GWOPA umbrella. hosted by

national water associations, these platforms organize WOPs and other capacity development activities between utilities at country level:

- Argentina's National Platform (WOP Argentina) - is coordinated by the Federal Council of Sanitation Service Entities (COFES) and was created in 2014;
- National WOP Platform in Honduras (WOP-Honduras) hosted by the Honduran Association of Water and Sanitation Providers (AHPAS);
- National WOP Platform in Mexico (WOP-Mexico) hosted by the Mexican National Association of Water and Sanitation Businesses (ANEAS).

In 2016 the GWOPA Secretariat initiated cooperation with one international and three national platforms<sup>32</sup>:

- International Association of Water Supply Companies in the Danube Catchment Area (IAWD) - South East Europe;
- National Association of Utilities for Water Supply and Sewerage of Bolivia (ANESAPA);
- Pacific Water and Waste Association (PWWA);
- P-WON, Pakistan. GWOPA funded the coordinator position for two years and supported P-WON's outreach to regional donors.

The challenge with regional and national platforms is structuring a global network that allows each platform to contribute to mutual sharing of experiences and achievements. Membership of the GWOPA network is voluntary in principal but interested and committed members should have certain obligations. This should also relate to situation where the GWOPA Secretariat provides direct support to WOPs to ensure that regional national platforms are adequately involved. National platforms should be affiliated to their respective regions to create stronger communication networks. A Memorandum of Understanding (MoU) outlining roles and obligations has been underway for some time. There is no mention of regional and national platforms in the GWOPA Charter. On governance the draft MoU states:

- A WOP platform shall have a governance structure including a Steering Committee and a Secretariat;
- Majority of actors involved in the platform should be water and sanitation operators;
- The platform should be inclusive and should reach out Civil Society Organisations, Financial Institutions, Labour Unions, Non-Government Organisations, Private Sector, etc;
- GWOPA should have observer status on the Steering Committees of regional and national WOP platforms;
- Utility representatives on GWOPA's Steering Committee should be on the Steering Committees of WOP platforms in their regions.

**Findings: It would be pertinent to make a draft final version of the MoU to enable the regional and national WOP platforms to give their consent on future modalities for interaction with the GWOPA Secretariat. Roles and responsibilities of regional and national WOPs should be included in a possible new version of the GWOPA Charter.**

## 5.4 GWOPA International Steering Committee

The GWOPA Charter states: “GWOPA activities are implemented under the overall strategic direction of an International Steering Committee (ISC) comprised of water operators, operator associations, and WOP platforms from regions around the world, in addition to private water operators, non-governmental and civil society organizations, labour union representatives, as well as Alliance partners and donors. Membership of the SC, which is chaired by a representative of UN-Habitat Executive Director, is guided by the following principles:

- *The majority of ISC members shall be representatives of public water utilities and utility associations;*
- *Geographic and stakeholder representation shall be even and fair; and*
- *ISC membership shall belong to organisations, not individuals. Organisations shall appoint their respective representatives to serve on the Steering Committee”.*

The Committee comprises 27 representatives from 7 constituencies that are elected by constituents present at the biennial General Assembly (that coincides with the Congress) as stated in the GWOPA Charter - see Table 5.4.

**Table 5.4: Composition of the International Steering Committee**

Constituency	No. of representatives
Public operators	12
Private operators	2
Civil Society Organisations	2
Labour Unions	2
Donors	3
Regional Platforms*	4
UN-Habitat ED representative, ISC Chair*	1
GWOPA Secretariat representative*	1
<b>Total</b>	<b>29</b>

\*Ex-officio

According to the GWOPA Charter the ISC shall provide overall strategic direction for GWOPA. The ISC shall be considered as an advisory body to the Executive Director of UN-Habitat on all issues related to the Alliance. The Steering Committee shall reach its recommendations by consensus whenever possible, and where not, such recommendations shall be voted by simple majority of voting members. The ISC shall meet annually on the back of other major international water events. The annual ISC meetings have been conducted as shown in Table 5.5



**Table 5.5: Conduct of ISC sessions 2013-2017**

No.	Place	Date	Chairperson
Discussion with the SC	Brussels, Belgium	25 October 2017	Mr Andre Dzikus
9 <sup>th</sup> Annual SC	Barcelona, Spain	1-2 February 2017	Mr Neil Macleod
8 <sup>th</sup> Annual SC	Barcelona, Spain	28-29 January 2016	Mr Faraj El-Awar
7 <sup>th</sup> Annual SC	Barcelona, Spain	19-20 February 2015	Mr Bert Diphooorn
6 <sup>th</sup> Annual SC	Marrakech, Morocco	31 March -1 April 2014	Mr Bert Diphooorn
5 <sup>th</sup> Annual SC	Paris, France	28 February - 1 March 2013	Mr Bert Diphooorn

From 2013 to 2015 Mr Bert Diphooorn was assigned as representative of the UN-Habitat Executive Director. He held the position of Director of Donor Relations and Resource Mobilisation Service in UN-Habitat and was closely connected to the Executive Director professionally. It is not clear why the UN-Habitat ED did not assign a representative for the 8<sup>th</sup> and 9<sup>th</sup> ISC meetings. This left the ISC to find a solution for chairmanship and threw GWOPA's future existence into jeopardy - ref. the 9<sup>th</sup> ISC minutes and Section 3.3 of this report.

A mission of UN-Habitat HQ staff was dispatched to the GWOPA Secretariat in Barcelona from 22 to 24 February 2017 on a fact-finding mission as the basis of management review of the GWOPA programme. Further discussions took place with ISC members in 2017 through video conferences (25 April and 19 July 2019). Discussions were also conducted with the GWOPA Steering Committee on in Brussels on 25 October 2017, the main agenda being the way forward for GWOPA and review of scenarios for extending appointments of the Secretariat staff. Coordinator of UN-Habitat Urban Basic Services Branch, Mr Andre Dzikus introduced Mr Diphooorn as a senior expert appointed by UN-Habitat's ED to prepare an action plan and serve as facilitator in outlining the way forward. The fact that UN-Habitat HQ is involved in finding solutions to the current situation signals a more positive attitude towards continued support for GWOPA.

**Finding: The way the Charter is formulated, it is assumed that there generally is consensus between the ISC and UN-Habitat management. In principle the ISC could provide strategic directions and advice, which may not have the consent of UN-Habitat management and therefore may be neglected. Vice versa, UN-Habitat may introduce strategic directions to which the ISC is opposed. An overall strategic and conceptual framework that guides the GWOPA activities may reduce the level of disputes.**

## 5.5 GWOPA Assembly and Congress

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The General Assembly (GA) is an inclusive platform for all stakeholders who are part of the Alliance. It meets biennially in parallel with the biennial Global WOPs Congress. The biennial GA meeting discusses the Alliance work plans and progress reports and makes recommendations to the Alliance Steering Committee. It also elects half of the Steering Committee's voting members. The Global WOPs Congress is the only event dedicated to WOPs and is a valued opportunity for members and partners to share experiences and raise visibility of global WOPs practice. Eligibility criteria for GWOPA members and partners are shown in Box 5.3.

### **Box 5.3: Eligibility criteria for Alliance members and partners**

With the aim of being as inclusive as possible, membership in GWOPA is open to all stakeholders in the water and sanitation sector. All water and sanitation utilities, national, and international development organizations, regional development banks, non-governmental and civil society organizations, national, regional, and international donor organizations, as well as any other stakeholders who are interested in the Alliance and willing to participate in its activities shall be eligible to join GWOPA and be members of its General Assembly.

Members are expected to sign the Alliance Guiding Principles, promote the Alliance in their respective fora, and work towards its objectives. Members shall not be charged any membership fee and shall not – in turn – charge the Alliance, or any other members and/or partners, for their activities within the Alliance.

Alliance partners are those organisations (academic and research institutions, international and expert organizations, etc.) that engage in partnership with GWOPA and contribute substantive support to help meet the Alliance mission and objectives. Partnerships with such organizations may help support twinning arrangements; produce capacity building tools and knowledge products; establish funding mechanisms to facilitate WOPs; etc.

**Source:** GWOPA Charter, October 2013

The 2<sup>nd</sup> Global Water Operators' Partnership Congress was held in Barcelona, Spain 27-29 November 2013 and was attended by 275 delegates from 80 countries.

The following six thematic themes were discussed: 1) WOPs and Finance; 2) WOPs Results; 3) Learning Approaches in WOPs; 4) Capacity Development for Non-Revenue Water Management; 5) Water Workers and WOPs; and 6) Reducing Risks: Water and Sanitation Operators helping each other.

The following regional sessions were held: 1) WOPs in Asia and the Pacific; 2) WOPs in Latin America and the Caribbean; and 3) WOPs in Africa.

The 3<sup>rd</sup> Global WOPs Congress and GWOPA General Assembly was held in Barcelona 16-18 September 2015 on the theme "Water Operators and the Sustainable Development Goals" and was attended by 400 delegates from more than 80 countries. Various sessions from the WOP Congress are presented in Box 5.4. It is interesting to note that some wider aspects of WOPs like the SDGs, water resources protection and resilience, and integrated urban water management are included in the thematic sessions as these represent a more comprehensive approach to WOPs than has hitherto been the case.

### **Box 5.4: Sessions at the 3<sup>rd</sup> Global WOPs Congress - September 2015**

**Plenary Sessions:** Operators and the SDGs; Operators in an Urban Era; and Sustainable Finances for Sustainable Operators.

**Regional Sessions:** Africa Regional WOPs; Latin America and the Caribbean Regional WOPs; and Asia and the Pacific Regional WOPs.

**Thematic Sessions:**

- Sanitation, Wastewater Services and SWOPs (sanitation focussed WOPs)
- The Ingredients in Effective WOPs: Lessons Learned for the BEWOP Project
- Cutting Losses: Energy Efficiency and Water Loss Reduction
- Finance and WOPs
- Water Resources Protection and Resilience
- Local Authorities, Operators and WOPs
- Operators' Integrity and Governance
- Measuring Performance in Utilities and WOPs
- Beyond Drinking Water: How WOPs can help utilities contribute to Integrated Urban Water Management

As earlier mentioned (ref. Section 3.3) the 4<sup>th</sup> Global WOPs Congress and GWOPA General Assembly was scheduled to take place 4-5 December 2017 but was postponed for lack of funds and to allow time for development of a new strategy and business model for 2018-2022.

**Findings: 1) Following the GWOPA Assembly and Congress in 2013 there was an increase in GWOPA supported WOPs during 2014, but a similar increase did not occur after the 2015 Assembly and Congress; 2) the number of active GWOPA members may be difficult to determine, as there apparently is no procedures for withdrawing the membership; and 3) the costs of conducting Assemblies and Congresses with up to 400 delegates seem to be expensive – and may not be the most cost-effective way of creating synergies and visibility.**



GWOPA 2015 International Congress, Coffee breaks. © Carlos Larrondo / GWOPA - UN-Habitat

# 6. Findings on performance and achievements

## 6.1 Overall Performance

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Overall performance of the GWOPA 2013-2017 Strategy is guided by two strategic objectives: 1) GWOPA's 2013-2017 Strategy is to move to large scale adoption of WOPs; and 2) To provide operational support to WOPs. The overall outcome is: *“Increased number of quality WOPs implemented resulting in the improvement of utilities’ performance”*. The associated indicators are: Number of WOPs implemented; and Capacity and performance changes in WOPs. No target has been set for the number of WOPs to be supported and the performance criteria have not been specified. A total of 160 new WOPs were recorded in the GWOPA database during 2013-2017 of which 48 were directly supported by the GWOPA Secretariat (ref. Section 4.2). As mentioned in Section 4.2 it is likely that many WOPs may have been implemented but the number is unknown. The increase of WOPs during 2017 could have been larger but was hampered by the deadlock between UN-Habitat management and the GWOPA ISC (ref. Section 2.3). Achievements of the Strategy's outcomes for the two strategic objectives are elaborated in Section 6.2 and Section 6.3 respectively.

**Finding: The increase in the number of WOPs during the Strategy period has been moderate. The WOP utilities’ performance has generally been improved – mainly related to the ‘traditional’ themes (e.g. NRW, O&M, billing and revenue collection). A large-scale adoption of WOPs in terms of numbers has not been achieved, but nonetheless the foundation for moving to large scale adoption has gradually been improved.**

## 6.2 Strategic Objective 1: Guiding Global Growth of WOPs

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### Knowledge Management

Knowledge on WOPs has largely been generated through technical assistance provided by: 1) Directorate-General for International Development<sup>33</sup> (DGIS) of the Dutch Ministry of Foreign Affairs through the BEWOP five-year research project (2013-2017) including development of the Performance Improvement Plan Manual (2014); and 2) The OPEC Fund for International Development<sup>34</sup> (OFID) through funding and evaluation of nine selected African WOPs to develop Performance Improvement Plans (2016). Technical cooperation has been channeled through the GWOPA Secretariat which has guided development of Knowledge Management (KM).

BEWOP is a five-year research and outreach initiative aimed at boosting the effectiveness of Water Operators Partnerships (WOPs) around the world. Launched in September 2013 it is a collaboration between the world's foremost water sector capacity development institute IHE Delft and UN-Habitat's Global Water Operators' Partnership Alliance, the organization leading global WOPs movement. Water operators are uniquely placed to share experiences and exchange

technical expertise with their peers, yet they often lack the didactical capacity to effectively transfer their knowledge and the expertise to manage the partnership process. The goal of BEWOP is to strengthen knowledge transfer and change processes in WOPs to maximize potential for operational improvements by water operators. To this end GWOPA and IHE have combined their respective expertise and are working together in the development, dissemination and application of appropriate and relevant resources for more effective WOPs.

A significant amount of GWOPA guidance material on WOPs is being finalised. They were delayed as BEWOP was on hold throughout 2015 because of an institutional matter between IHE and DGIS that was resolved in April 2016, and then in 2017 GWOPA faced its own institutional challenges in which the programme lost the support of its consultants. GWOPA is already applying unpublished versions in the WOPs GWOPA coordinates. The material which will emerge over the coming year will better position WOPs for future dissemination of the concept. The guidance material includes:

- Flyers with descriptions of the operational and process related tools;
- Communicating WOPs: A starter guide;
- How-to Manual: A practical guide to the implement of WOPs;
- WOP Planning, Monitoring and Results User Guidance.

Development and testing of new capacity development products and services (guidelines, training modules and materials) for WOPs has a double focus; on content redevelopment and new thematic capacity development products and services; and on processes, pedagogical resources to support effective knowledge transfer through WOPs. By developing, disseminating and applying these resources BEWOP will support Water and Sanitation Operators to:

- Design and implement WOPs in accordance with identified success factors and avoiding common pitfalls;
- Mobilize the individuals, goodwill and financial resources needed to implement WOPs effectively;
- Better assess capacity needs and formulate effective responses that are adapted to WOPs;
- Develop a learning culture so that Water Operators can better receive, create, manage and in turn share their knowledge;
- Identify and access knowledge resources needed to support effective WOPs;
- Monitor, evaluate and effectively communicate outcomes of WOPs.

### **Case studies and fact sheets**

The BEWOP project supported 12 case studies and preparation of WOP factsheets. The main features of these are summarised in Table 6.1. Reference is made to Table 2.3 in Section 2.3 which provides full names of mentees and mentors. GWOPA improving the WOPs results framework and a new PMR tool is being developed. The results framework has been applied to BEWOP case studies as presented in Annex 5.

**Table 6.1: Summary of BEWOP factsheets**

<b>WOP partners Mentee/Mentor</b>	<b>Themes<sup>1</sup></b>	<b>Mentee water connections/ pop served</b>	<b>GWOPA support</b>	<b>Phase 1 Partner costs</b>	<b>Phase 2 Partner costs</b>	<b>Third party Funding<sup>2</sup></b>
EMSAPUNO Peru /COPASA MG Brazil	1 & 17	36,600 connections	Yes	2012-2015 \$ 19,000	-	CAP-NET \$ 5,000
BWS, Belize/ CCWD USA	5, 9 & 17	44,000 pop served	Yes	2010-2013 \$ 47,800	2013-2015 \$ 46,900	IDB: part of Phase 1 & 2
Aguas del Norte, Argentina/ CAESB, Brazil	7, 11, 15 & 19	1,000,000 pop served	Yes	2009-2014 \$ 15,000	-	IDB \$ 32,195
OWMCP, Suriname/ WWN & WRIJ, Netherlands	2, 6, 9, 10 & 16	-	No	2007-2012	2012-2016 € 215,000	NWB & EU € 819,000
Tanjung Pinang, Indonesia/ Kabupaten Bandung, Indonesia	8 & 11	15,129 connections	No	2012-2014	-	-
Kabupaten Bandung, Indonesia/ EMASESA, Spain	7 & 8	570,000 pop served	No	2010-2012	-	ADB \$ 50,000
WAF, Fiji/ HWA Australia	4, 8, 15 & 19	144,000 connections	No	2012-2014	-	ADB \$ 50,000
MWAUWASA, Tanzania/ Dunea N.V., Netherlands	1, 7, 8 & 17	774,000 pop served	Yes	2011-2014 € 413,000	-	EU € 964,000
FIPAG, Mozambique/ VEI, Netherlands	2, 4, 6, 7 & 8	58,805 connections	No	2003-2008 € 1,663,000	2008-2012 € 1,300,000 <sup>3</sup>	DGIS € 5,040,000
BCC, Zimbabwe/ EWS South Africa	5, 6, 12, 13, & 15	No data	Yes	2002-2012 No data	-	World Vision AUSAID \$ 8,330,000
ONEE, Morocco/ SIAP, FRANCE	13, 15 & 17	3,300,000 customers	No	2002-2009 cost sharing	2009-2014 cost sharing	-
ONEA, Burkina Faso/ ONEE, Morocco	16 & 17	233,965 connections	No	2000-2015 \$ 300,000	-	IsDB/MICA \$ 639,000

**Notes:**

1. The improvement themes refer to those applied in the GWOPA Performance Improvement Plan Manual. The PIP improvement themes are largely a subset of the GWOPA database themes. Reference is made to Table 6.2 below.
2. The full names of the third-party funding agencies are shown in Table 6.3.

3. No details were provided in the factsheet on how the phase 2 costs were split between the WOP partners and DGIS. The total funding was stated as € 5.3 million, which in the Table has been split in € 1.3 million – corresponding to the level for phase 1 – as the partners' contribution and €4.0 million as DGIS' contribution.

**Table 6.2: Frequency of improvement themes in the case studies**

No.	Acronym	Improvement themes	Sample
1	HR	Human Resources Development	2
2	IS	Institutional Strengthening	2
3	PL	Policy and Legal Support	-
4	BP	Master Planning and Business Planning	2
5	FM	Financial Management	2
6	CR	Communication & Customer Relations	3
7	BC	Billing and Revenue Collection	4
8	NRW	Non-Revenue Water Management	4
9	OM	Operation and Maintenance	2
10	AM	Asset Management	1
11	IT	Information and Communication Technology	2
12	WS	Extension of Water Supply Services	1
13	SS	Extension of Sanitation and Hygiene Services	2
14	PH	Expansion of Services to Households	-
15	WT	Wastewater Treatment and Reuse	4
16	WM	Sustainable Water Resources and IWRM	2
17	WQ	Water Quality Management and Water Safety	5
18	DM	Water Demand Management	-
19	EE	Energy Efficiency	1
20	CC	Climate Change Resilience	-

**Table 6.3: Third party agencies funding the case studies**

CAP-NET	Cap-Net UNDP is an international network for capacity development in sustainable water management.
IDB	Inter-American Development Bank
NWB	Netherlands Waterschapsbank
EU	European Union
DGIS	Dutch DG for International Development
ADB	Asian Development Bank
World Vision	Humanitarian aid, development and advocacy organisation
AUSAID	Australian Agency for International Development
IsDB	Islamic Development Bank
MICA	Moroccan International Cooperation Agency

The main improvement themes were: billing and revenue collection, NRW, wastewater treatment; and water quality and safety. Four of the case studies proceeded to a second phase. The total amount of third party funding was approx. USD 17 million for 10 of the case studies with considerable variation in the amounts allocated from USD 5,000 to USD 8,330,000. Five of the 12 case studies received direct support from the GWOPA Secretariat.

### **The Knowledge Management Study**

The study was conducted within the framework BEWOP, a collaborative project between UNESCO-IHE Institute for Water Education and UN-Habitat's GWOPA aimed at Boosting Effectiveness in Water Operators' Partnerships. As the global mechanism for promoting and supporting the use of WOPs GWOPA has made significant advances in mobilizing involvement in and support for the WOPs practice globally. However, the ongoing need to have more guidance on effective WOPs practice, expressed by operators and funders alike, remains unmet. The BEWOP project was launched when GWOPA had been operational for about four years and provided a welcome opportunity to collaborate in building on the work that had so far been done by GWOPA (especially in advocacy and expanding the volume of WOPs practice) and to address some of the challenges that stand in the way of further expansion and effective use of the WOPs approach.

Many water operators in developing countries face serious knowledge and capacity-related challenges that lead to poor service delivery. Water Operator Partnerships (WOPs) are a mechanism to strengthen capacity of water operators for improved performance by transferring new knowledge from mentoring water operators to mentee water operators. Knowledge transfer is a joint learning process for WOP partners and its success relies on careful management of knowledge at either end. Knowledge Management (KM) among water operators requires urgent attention to ensure that knowledge transferred to water operators in the context of WOPs is integrated, applied and managed well to help improve performance. The main objective of this study is to investigate KM processes of water operators and the factors influencing these processes. A secondary objective is to explore the extent to which water operators implement KM processes depending on their role in WOPs (i.e., mentor, mentee or both) and their degree of readiness to do so.

The study uses a qualitative case study approach, analysing 12 water operators involved in WOPs. In addition to being in different geographical locations, the 12 cases comprise public and private water utilities and vary in size and age. Furthermore, selected operators play and have played different roles in WOPs (i.e., as mentor, mentee, or both). This variety of characteristics provided the opportunity to examine the reality of KM among water operators in different contexts. Results from the cases confirm that organisational features have a significant influence on KM processes. Key observations made in the KM Study are presented in Box 6.1.



## Box 6.1: The BEWOP Knowledge Management Study - key observations

**First**, in many utilities the alignment between KM and organisational goals is still weak (or non-existent). Although water operators implement a variety of KM activities, these are not necessarily directly connected to the vision and mission of the utilities, and the relationship between KM and performance is not always clearly outlined. This has negative consequences on effective implementation of KM: particularly, it becomes difficult for many staff members to understand why they should support the proposed KM initiatives.

**Second**, KM appeared to be influenced by the utilities' personnel (and related policies). The studied mentee operators generally have an increasingly growing pool of capable staff; while mentor utilities already have sufficient numbers of competent people. The staff of water operators from industrialized countries seem to be more sensitized about the importance for KM than their counterparts in developing countries. Since KM is not yet an established practice in these countries, water operators must make efforts to motivate their people so that they can positively engage in knowledge activities. It was indeed observed in this study that where utilities create conditions (e.g., incentives and rewards) for staff to learn, KM initiatives run smoothly with positive impacts on performance. Unfortunately, the public nature of many of the studied water utilities in developing countries (e.g., they are less competitive and autonomous) seems to impede the establishment of sound and equitable KM incentive structures.

**Third**, the organisation structures of water utilities appear to be important factors influencing KM. In utilities that have adopted decentralised and/or flat organisational structures, KM initiatives seem to work more appropriately than in utilities with centralized and bureaucratic structures. This study has identified many other structural initiatives across the cases which enhance KM. These include the following: knowledge and training structures and/facilities, monitoring and evaluation departments, introduction of open space offices, and creation of KM units. The study results seem to suggest that KM works better when it is assigned to a specialised department or unit which assists the utility management to shape its KM vision and strategy and to oversee their implementation at corporate level.

**Fourth**, the study found that organisational systems significantly influence a water utility's KM efforts. In particular, ICTs proved to play an important role in support of KM processes in the studied utilities. As indicated earlier, all nine cases have embraced ICT systems as a KM enabler. In some cases, these systems appeared to be better integrated and well-coordinated than in others, thus boosting KM. The results suggest that ICTs ought to be implemented along with other non-technological KM initiatives (e.g., team development, incentive structures, decentralized structure, etc.) if they are to serve KM purposes effectively. Other important systems implemented in the cases that foster KM processes include benchmarking systems (internal and external), performance improvement systems, and monitoring and evaluation systems.

**Fifth**, the study shows that corporate culture is an important factor influencing KM in water utilities. Notably, reluctance to (versus acceptance of) change was identified as an important aspect of corporate culture affecting KM in some of the investigated cases. Notwithstanding, change and innovation are positive and unavoidable in other utilities. Some utilities were found to be characterized by a lack of a 'systems thinking culture' and low levels of trust among employees; these features obstruct knowledge sharing and application in several regards. However, where managers and their staff members trust each other, KM activities generally proved to run smoothly.

**Finally**, the management style practiced by leaders proved to be one of the key drivers of KM in the cases. Where knowledge and people-oriented management (putting people at the centre, thus effectively involving them in all processes, notably by giving them autonomy) was adopted, KM processes seem to run well, which positively affects performance. In such environments, management (at all levels) is open to employees and keen on empowering them, notably by supporting them to obtain the knowledge they need to perform their responsibilities. In contrast, where management systems are still centralized and non-democratic, KM initiatives face difficulties.

The study **concludes** that the successful implementation of KM in water utilities is a complex task, requiring a multi-dimensional approach. Notably, KM efforts need to focus simultaneously on individual and organisational aspects of knowledge and consider the use of both technological and non-technological mechanisms. Effective implementation of KM also necessitates coordinating mechanisms at organisational level and sufficient time for KM initiatives to be appreciated (and supported) by beneficiaries and to affect performance. Given the established role of organisational variables in making KM work, water operators should make efforts to increase their readiness to accommodate KM interventions. Notably, they should strive to implement structural, cultural and attitudinal changes that are deemed necessary for staff to engage in knowledge/learning activities. In addition, since water operators that play the role of mentor in WOPs are also still struggling with KM to some extent, efforts that aim at promoting KM in the drinking water industry should target them too.

**Source:** BEWOP, Knowledge Management of WOPping Water Operators

## Performance Improvement Plan Manual

As part of the BEWOP research project a GWOPA Performance Improvement (PIP) Manual<sup>35</sup> was developed to create a harmonised framework for WOP interventions and facilitate diagnostic reviews of subsequent implementation plans (short-term, mid-term and long-term) - see Box 6.2.

### Box 6.2. GWOPA Performance Improvement Plan Manual

The Performance Improvement Plan Manual version is a working document that will be field-tested in a set of 9 WOPs in Africa that are implemented by GWOPA and funded by the OPEC Fund for International Development (OFID). The manual will be reviewed and finalized based on the lessons learned during this process. This work is funded in part by the Dutch government-supported BEWOP project, a collaboration between GWOPA and UNESCO-IHE to “Boost the Effectiveness of WOPs”.

GWOPA has carried out several studies on WOPs to assess how the partnerships are conducted, analyze success factors, identify gaps, document best practices, and develop guidance material to improve ongoing and future partnerships. These studies showed that the WOPs carried out so far vary greatly in their objectives, approach, and outcomes and that WOPs in general would benefit from a harmonized framework for the selection of WOPs activities and the development of a Performance Improvement Plan (PIP) for the WOP beneficiary utility via a systematic and participatory process. There is also a need to ensure that short-term WOPs set in motion the right conditions for a subsequent, longer-term and comprehensive utility improvement process. This Guide addresses the above-mentioned needs by providing a comprehensive and systematic process for Performance Improvement Plan development at the short-term (or within the initial short-term WOP phase), as well as at the medium-term.

**Source:** UN-Habitat/GWOPA Version 1, Working Manual, June 2014

Further details of the GWOPA project Evaluation are provided in the Section below ‘Direct Operational Support’.

### Other tools

**Communicating about your WOP:** The tool helps WOP practitioners and GWOPA members to communicate about WOPs to various stakeholder groups. It helps staff members to gain the support of their directors to get involved in WOPs, utilities to share their WOP experiences with customers, and GWOPA Alliance members serve as WOP ambassadors.

*Utility Simulation Game:* The game enables players to experience the challenge of managing a water utility in a safe environment and helps them to set priorities in challenges concerning coverage, water quality, affordability of service provision they face in real life.

**GIS to EPANET:** IHE is developing EPANET, a software tool that models drinking water distribution piping system and performs extended period simulation of water movement and quality behaviour within pressurised pipe networks.

**Findings: The BEWOP research study and the Evaluation of Nine African WOPs have contributed substantially to expanding GWOPA’s normative framework. The thrust of the KM Study is on capacity development (focusing especially on the organisational and individual levels). The KM Study findings could be of importance for the next five-year GWOPA strategy.**

## Branding of WOPs

The intent was to establish a clearly defined WOPs typology and brand standards. The purpose of the branding exercise was to develop WOPs as a quality brand and establish WOPs models and a branding strategy aimed at creating incentives for effective WOPs. In 2015, GWOPA started developing the standards with the aim of defining an accreditation system and engaged with ISEAL<sup>36</sup> to develop the terms of reference for the labelling process. Two workshops were held and a presentation was made at the ISC meeting in January 2016.

The Mid-Term Review notes *“The presentation aimed to set out the contours of an approach for arriving at a standards system for GWOPA”* that would *“create a clear and meaningful WOPs brand, establishing a global framework for benchmarking and certification of WOPs and establish clear practices to which water operators can aspire in implementing WOPs.* Unfortunately, many of the ISC meeting participants found the standards setting concept as presented confusing and poorly aligned with their expectations of the exercise as intended in the Strategy, creating, rather than appealing, concern about how the process would be adapted. Another argument for wanting to define WOPs more clearly and exclusively was that at present some activities are labelled WOPs that in fact are only a workshop, a training or a single exchange visit with at most the perspective of a future partnership.

**Findings: A simpler way of branding could be benchmarking that promotes good practices, which could be an optional activity as warranted in conjunction with the WOP process – the Performance Improvement Plan Manual defines the WOP concept well. A certification system may be beyond the original concept of WOPs – certification systems already exist that could be applied. At any rate, the creation of a specific GWOPA certification system would divert attention from the primary focus, and would require resources that the Secretariat is not likely to have in the medium-term.**

## Communication and Advocacy

Communication activities focus on GWOPA members, partners and other parties interested in WOP practices. All indicators, especially website hits, show a positive trend (see figure 6.4).

**Table 6.4: Communication indicators 2013-2017**

Indicators	Baseline	2013	2014	2015	2016	2017
No. of communication product	23	12	14	28	24	-
Total website hits and downloads	32,337	50,517	70,906	77,386	70,035	-
Registered web users	394	593	691	752	840	-
Likes on Facebook	89	200	284	501	733	-
Followers on Twitter	80	246	458	730	863	-
Followers on LinkedIn	-	-	427	829	1081	-
No. of subscribers to the newsletter	2300	2750	2575	2909	2923	-

**Source:** GWOPA Secretariat

**Note:** Indicators for 2017 are not yet available.

A redesign of the GWOPA *website* (gwopa.org) was started in 2014 with support from the BEWOP project. Consultations were held with users and BEWOP's Water Operators' Consultative Group identified features that should be added or enhanced to support WOP facilitation and implementation, such as better access to thematic and guidance materials and interactivity to facilitate direct online interaction between professionals in peers WOPs. GWOPA's *WOPs database* was created as the ultimate source for tracking Water Operators' Partnerships activities and trends globally. A campaign to collect more WOPs profiles began in the lead up to the 2<sup>nd</sup> Global WOPs Congress and continued throughout 2014. Bolstering the quality and completeness of existing profiles in the database, many of which were self-reported and lacked information on financial and human resources inputs, continues to be a key priority for the Secretariat. A critical review of the database was undertaken within the BEWOP project. GWOPA's *operator profile database* provides: a) information on water operators who are interested in engaging in WOPs and being part of the global network; and b) a space to share information about their services, performance and practices.<sup>37</sup>

The GWOPA Secretariat has been involved advocacy activities as recorded in the GWOPA Annual Reports (13 in 2013, 19 in 2014, 25 in 2015, and 21 2016). Advocacy activities vary from promotion of WOPs to strengthening the Alliance and highlighting operational and training activities. Three advocacy actions are highlighted in the Annual Reports: 1) The 7<sup>th</sup> World Water Forum (WWF); 2) The High-Level Panel on Water (HLPW); and 3) UN Water and Jobs.<sup>38</sup>

In 2014 GWOPA was actively involved in preparation of the 7<sup>th</sup> World Water Forum held in Korea in April 2015 and organised by the World Water Council (WWC). GWOPA coordinated one of the 16 themes in the Thematic Process of the 7th WWF "Water and Cities", working with partners to plan seven sessions, one of which focussed on capacity building of water and sanitation utilities and WOPs. GWOPA's main contribution was in the Local and Regional Authorities Conference which it led jointly with the International Council for Local Environmental Initiatives (ICLEI), United Cities and Local Governments (UCLG), the World Water Council (WWC) and the Daegu-Gyeongbuk Development Institute<sup>39</sup>. The conference culminated in endorsement of the Daegu-Gyeongbuk Water Action for Sustainable Cities and Regions. A diverse sample of WOPs were presented by WOP mentors, and donors shared views on where peer support was working in the transfer and adaptation of local solutions to other locations. GWOPA was involved in the same process for the 8<sup>th</sup> World Water Forum held in Brasilia on 19-23 March 2018.

The *High-Level Panel on Water* (ref. Section 3.1) launched an Action Plan outlining major global water and sanitation challenges it would address and highlighting possible priority actions to overcome them. WOPs were singled out in the Plan as a priority action area. Informal endorsement of WOPs by the HLPW was subsequently followed up by a proposal from GWOPA *Catalyzing Change through Water Operators' Partnerships*, presented as a way of realising the HLPW Action Plan in relation to universal access to safe water and sanitation, climate change, and the sustainability of investments in water infrastructure. It calls on the HLPW to: 1) Advocate for WOPs and the Global WOPs Alliance at high level by officially endorsing WOPs as an approach for exchange of good practices and GWOPA as the international body leading the propagation of WOPs practice; 2) Appeal for WOPs financing at all levels and urge International Finance Institutions and bilateral and multilateral donors to come together to support the WOPs practice through a WOPs Trust Fund to be established to help scale-up the practice; and 3) Call on Governments to establish enabling frameworks for WOPs by encouraging countries to create enabling legal frameworks and provide financial support for their water and sanitation utilities to engage in WOPs. The proposal received strong initial support from several Panel members.

The UN Water Development Report 2016 has Water and Jobs as its main theme (see Box 6.3). In 2016 GWOPA launched a campaign themed Water, Work and WOPs to highlight the link between WOPs and water jobs. WOPs contribute to better staff performance but they can also contribute to better, safer and more rewarding jobs for workers. This campaign challenges workers in the water sector to reflect on their work and gathers testimonies of how WOPs have helped them in their daily work. The campaign will continue up to the 4th Global WOPs Congress where the testimonies will be on display.

### **Box 6.3: The UN Water Development Report 2016 - Water and Jobs**

#### **Excerpts from Section 4.1: Jobs in the Water Sector**

Overall, jobs in water sectors fall under one of three functional categories: a) water resources management, including IWRM and ecosystem restoration and remediation; b) building and managing water infrastructure; and c) the provision of water-related services, including water supply, sewerage, waste management and remediation activities (UN DESA, 2008).

Water-related services for the provision of domestic water supply, wastewater management, sanitation and hygiene on one hand, and for economic uses on the other, such as in the energy, agriculture and industrial sectors, require jobs in many disciplines. These include legal, policy, institutional and regulatory frameworks, and functions addressing technical and financial planning, operation and maintenance, the construction of facilities, community mobilization, health promotion, and monitoring and evaluation.

Since water must be of sufficient quality to serve as an input for economic and non-economic activities and of adequate quality when it is returned to the environment, jobs related to the operation and maintenance of water and wastewater treatment plants are essential. Water supply and wastewater facilities operators employ about 80% of the workers in the water industry (UNESCO-UNEVOC, 2012). Although industry-wide numbers are not available on the global scale, the database of the International Benchmarking Network for Water and Sanitation Utilities (IBNET), an authoritative source for utility performance indicators worldwide and containing information from more than 4,000 utilities in 135 countries, estimates that the total professional staff in these utilities number about 623,000 (Danilenko et al., 2014).

Jobs in the water sectors serve as the building blocks for a wide array of water-dependent job opportunities linked to agriculture, energy, and the processing sector such as industrial and fuel production. These require substantial amounts of water, and in some instances, they may also require water of a high quality (e.g. food transformation and production of pharmaceuticals).

**Findings: The GWOPA Secretariat has been very active with communication and advocacy activities and succeeded in placing WOPs on the 2015 WWF agenda, promoted WOPs in the 2016 HLPW Action Plan; and linked up with the 2016 UN Water Development Report on Water and Jobs by drawing attention to WOPs as a means of improving water and sanitation workers working environment. Besides these three advocacy activities, the GWOPA Secretariat has promoted WOPs in some 78 advocacy events. To get an overview of the effect of the advocacy events will require a more detailed assessment.**

## Alliance Strengthening

Alliance strengthening aims at complementing WOP networks with partners with capacity to leverage GWOPA's actions through ad-hoc or formalised cooperation.<sup>40</sup> These types of partners include:

**Utility and local authority associations:** National, regional and international networks of utility operators and local authorities. Efforts were made to engage high performing public utilities in USA and Canada as mentors. Many utility operators became members during 2016;

**Operational partnerships:** Specialist organisations that apply WOPs to advance specific aspects of utility operations, for example, WaterAid, Cap-Net, the Cities and Climate Change Initiative of UN-Habitat, and collaboration with the UNICEF office in Angola;

**Multilateral networks:** The GWOPA Secretariat cooperates with water networks and task forces, for example, UN-Water, the OECD Water Governance Initiative, UNECE task force on Human Right to Water, the recently the Urban Waters Hub (established during the Habitat III in Quito, 2016 to promote approaches as laid out in the New Urban Agenda for achieving the SDGs), and became member of the multi-stakeholder platform Sanitation and Water for All (SWA) in 2016;

**Recurrent international water events:** The GWOPA Secretariat takes part in many recurrent events: The Stockholm Water Week (together with Stockholm International Water Institute (SIWI), Global Water Partnership (GWP), the International Water Management Institute (IWMI)) and World Water Forum (together with the International Council for Local Environmental Initiatives (ICLEI), United Cities and Local Governments (UCLG) and World Water Council (WWC)). In addition to international events GWOPA is actively involved in many recurrent regional and national water events such as AfWA Congress (Africa), ALOAS Meeting (LAC), WaterLinks Congress (Asia), PWWA Annual Conference (The Pacific), CWWA Congress and Exhibition (The Caribbean) and P-WON Annual Steering Committee meeting (Pakistan);

**Civil Society:** GWOPA has among its members a network of civil society organisations that promote the Human Right to Water, many of which are supportive of the European Citizens' Initiative for Water as Human Rights to water and sanitation were adopted by the European Parliament in 2015 – and as promoted by the United Nations;

**Research collaborations:** In addition to UNESCO-IHE, the GWOPA Secretariat has cooperated with Queens University, McGill University, the French Institute for Research in Africa (IFRA), and the Overseas Development Institute;

**Donors and International Finance Institutions (IFIs):** Donors who have channelled funding through the GWOPA Secretariat are listed in Table 5.1, and donors who have supported regional WOP platforms are listed in Table 5.3 p.28-29.

Based on stakeholder interviews, the MTR noted that: a) donors and IFIs were underrepresented in the Alliance and in the ISC and were not very visible at the WOP Congress in 2015; and b) the number of mentors needs to expand to support upscaling of WOPs. Mobilizing mentors from North America and Asia should be given high priority. Alliance indicators from 2013-2017 show a slight increase from 2014 to 2015 and minimal increase from 2015 to 2016 (see Table 6.5). A part of the explanation for not increasing the number of Alliance partners was that the GWOPA Secretariat was requested by the UN-Habitat management not to source new funding, a consequence of the breakdown in the relationship between UN-Habitat management and the ISC/GWOPA Secretariat.

**Table 6.5: Alliance indicators 2013-2017**

Indicators	Baseline	2013	2014	2015	2016	2017
Public utilities	95	159	180	190	192	-
Private utilities	4	13	13	13	13	-
Civil society organisations (CSOs)	15	31	31	31	32	-
Labour Unions (LU)	4	5	5	5	5	-
Alliance partners	36	88	104	112	112	-
<b>Total member/partners</b>	<b>154</b>	<b>296</b>	<b>333</b>	<b>351</b>	<b>354</b>	<b>-</b>
<b>No. of utilities that signed the Charter</b>	<b>60</b>	<b>75</b>	<b>111</b>	<b>122</b>	<b>125</b>	
Donor co-operations	4	3	4	4	3	-
Cooperation agreements	7	5	14	-	-	-
Co-organisers	57	50	33	129	45	-

**Source:** GWOPA Secretariat

**Note:** Indicators for 2017 are not yet available, and the figures for 2016 may not be fully updated.

**Findings:** The GWOPA Secretariat has been able to participate in many strategically important events and maintain contacts to a large network of members and partners. The member and partner base has not grown as warranted despite the active engagement of GWOPA Secretariat – and for reasons that are not well explained or fully understood. The increase of donors and IFIs as partners or their active involvement in WOPs financing is essential for the future existence and expansion of GWOPA. Similarly, a well-qualified mentor base is important for the further expansion of the GWOPA activities.

## 6.3 Objective 2: Strategic Operational Support to WOPs

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### Strengthening of Regional Platforms

The GWOPA Secretariat provides strategic support to regional and national platforms. Cooperation between the Secretariat and regional platforms includes support for preparation of regional strategies and work plans, advocacy, mobilization of funding for WOPs from donors and IFIs, facilitation of interregional exchange of knowledge and experience, and participation in strategic meetings advocating for utilities to engage in WOPs. The regional location of WOPs in the database by mentee is shown in Table 4.5 p.23, and an overview of regional and national platforms is presented in Table 5.3 p.29.

Although receiving strategic support from the GWOPA Secretariat, the regional platforms also operate quite independently by supporting new WOPs, negotiating with donors and IFIs, supporting national platforms, and being guided by their respective steering committees. The regional platforms have demonstrated a degree of autonomy in relation to GWOPA.

Regional platforms generally appreciate the support they receive from the Secretariat but also wish to be meaningfully involved. Information on the WOPs which the platforms undertake on their own are shared with the GWOPA Secretariat.

The January 2016 ISC meeting resolved to formalize the collaboration with regional platforms through MoUs with host institutions. A draft “Framework of Cooperation between GWOPA and the regional/national WOP platforms” has been prepared. Objective and main areas of collaboration as stated in the draft proposal are shown in Box 6.4. The purpose of the agreements is to establish a common understanding of roles and responsibilities of platforms at the regional and national levels, and of GWOPA at the global level.

#### **Box 6.4: Draft proposal for Framework of Cooperation between GWOPA and platforms**

Objective: To strengthen the capacity of water and sanitation utilities to help them achieve the SDGs and/or global targets in the water and sanitation sector through WOPs; and by enhancing the collaboration between GWOPA and the regional and national platforms.

Main areas of collaboration will be:

1. Joint intervention, but not limited to providing guidance in the implementation of WOPs by conducting joint diagnosis, benchmarking, planning and problem solving, training workshops, consultation and site visits to improve the capacity of the water and sanitation utilities of (name of region) to achieve the SDGs;
2. WOP documentation and WOPs best practice identification, including development of case studies and WOP profiles;
3. Organisation and/or contribution to relevant events at any geographical level.

**Source:** GWOPA



The first main area of collaboration suggests that the GWOPA Secretariat is heavily involved in the implementation of WOPs in the regions. While the Secretariat may be intensely involved in pilot and research projects, it would be important to recognize the independent and autonomous role of the regional and national platforms.

**Findings: Being a lean Secretariat there would be a limit to how intensely it could be involved in the direct implementation of WOPs undertaken the regional and national platforms. The option may rather be that the Secretariat supports the development of the regional and national platforms' implementation capacity – as the main mechanism for upscaling of WOPs. The framework of cooperation should accordingly consider the GWOPA Secretariat and the regional and national platforms as equal partners.**

## **Mobilising Finance and Support for WOPs**

### **Funding for GWOPA**

Funding for a new five-year Strategy has not yet been secured and negotiations with a potential host for GWOPA have not yet commenced. Initial soundings with Government of Spain (AECID) on the funding agreement have been made. However, AECID has not yet formally clarified its stance on the extension for a further five-year period. Consequently, there are two scenarios for GWOPA's future: 1) host funding for the GWOPA Secretariat for a five-year period will be secured within the immediate-term; and 2) host funding for the GWOPA Secretariat will not materialize.

Unspent donor allocations to the GWOPA Secretariat for the 2013-2017 period might be adequate to sustain the Secretariat for a few months into 2018, and possibly all of 2018.

As earlier mentioned GWOPA was established as an extra-budgetary programme and as such does not receive core funding from UN-Habitat (ref. Section 5.1). When the GWOPA Secretariat is directly involved in donor funded projects, it is reimbursed operational costs as part of the project budget. A major part of the overhead from donor funded projects goes to the UN-Habitat administration in Nairobi to pay for its management and administrative support to GWOPA (ref. Section 5.2). Staff and administrative costs amount to approximately USD 5.6 million for the five-year Strategy period, representing about 60% of total donor allocations (ref. tables 5.1 and 5.2 in Section 5.2). It is unlikely that the Secretariat will be able to generate sufficient funding to maintain current staffing through participation in project activities. Generally, external funding would be forthcoming only when it has been demonstrated that effective results have been or can be achieved. The GWOPA Secretariat would therefore remain dependent on external core funding in future as it does not receive core support from UN-Habitat to cover staff costs.

### **Funding for WOPs**

From the foregoing it is evident that to change the scope and quality of water and sanitation services significantly, investment in WOP improvements is critical. Based on cost entries for WOPs in the database, removing the outliers and doing a reasonable extrapolation, the Secretariat estimates that about USD 320 million has been spent on the WOPs in the database without including in-kind contributions by WOP partners. It can be stated that GWOPA's leverage is greatly underestimated, and although GWOPA cannot take credit for all these WOPs, it has played at least a catalytic role.

A draft WOP Finance Brief was prepared to facilitate discussion on this theme at the 3<sup>rd</sup> Global WOP Congress. The Brief describes common features of WOP financing and the challenges and opportunities associated with scaling it up. It draws primarily on research carried out under the BEWOP initiative and in particular, a project led by the Overseas Development Institute (ODI) entitled "Understanding the role of finance in WOPs" and WOP case studies led by UNESCO-IHE and GWOPA. The intent was to update the draft following discussions at the 3<sup>rd</sup> Congress but regrettably, the update did not take place. The last section of the Brief presents "Lessons from practice" which appear to have continued relevance (see Box 6.5).

## Box 6.5: How to finance effective WOPs – Lessons from practice

**Start small:** A small amount of financial support for a short-term, focused WOP – or for a WOP ‘matchmaking’ event among potential partners – carries little risk and enables the partners to build mutual trust and respect. It is a way to identify high-priority needs within the mentee to work further upon and to stimulate the basis for a longer-term WOP. A focus on a few quick results can raise the motivation of partners to continue the cooperation and to begin investing their own funds in the partnership.

**Encourage ownership of the WOP:** For a WOP to succeed, both partners need to commit to it fully. Encouraging both partners to commit their own finances to the WOP is an important way of building this ownership. This does not always have to include direct finance; a strong in-kind commitment can also demonstrate ownership, e.g. by committing a large amount of senior management time toward the partnership activities. Partners may not be ready to make this type of commitment at the beginning of a WOP relationship but should be encouraged to do so as their relationship develops. WOPs that are fully funded by a third-party donor may encourage a passive attitude in the partners and can be counterproductive. Change must emerge from the mentee operator itself and cannot be forced upon them by the mentor or funder.

**Align the WOP:** WOPs that align their activities with the political-economic context of the mentee operator have a better chance of generating a transformational impact and follow-on investment than those that do not. For example, aligning WOP activities with policy reforms that may be ongoing in the recipient country’s water sector (and other sectors as relevant – e.g. energy, transport, social services) can enhance the mentee’s relationship with its government and regulatory authorities and may enable new funding opportunities or investments. Encouraging the mentee to engage with its regulators and national counterparts may also help them to benefit from the mentee’s learning, where the mentee may become a national example of good practice that its neighbouring operators can learn from.

**Link the WOP to larger investments:** For both the funder and the partners, it can be easier to justify their WOP investment if it is linked clearly to a larger, planned investment in the mentee. WOPs work well when framed around the specific operational challenges that a new investment may present, and can precede, accompany or follow these larger investments to ensure their success. Most traditional donors and infrastructure financing organisations maintain some sort of requirement for capacity development activities alongside their investments. More should consider using WOPs for this requirement. WOPs can often provide better value for money for these investments in the long-term than alternatives like consultants or one-off training courses can.

**Consider different financing models:** Most WOPs have been funded as simple grants from the budgets of traditional donors, but other models of finance and funders exist that could complement this. Scaling up finance for WOPs will require both better ways of leveraging existing funds/funders and new commitments from new funders. Decentralised solidarity mechanisms are a promising approach to lobby for, to enable operators in richer countries to commit some of their profits toward WOP-related activities in lower-income countries. National governments in middle-income countries need to be engaged more heavily too. As these countries develop, they can take on an increasing share of the investment needed to continue their development. This includes investing in their water operators, with WOPs as an effective and low-cost way of doing so.

**Maintain the Hashimoto principles:** WOPs benefit from their ideal as non-profit activities undertaken based on solidarity and trust. In some cases, however, partners have deviated from this ideal, with WOPs that are not fully non-profit or demand-led. This undermines the trust and reputation that sector stakeholders have for WOPs, and risks funding cuts by concerned donors. The non-profit and demand-led nature of WOPs – as envisioned in the 2006 Hashimoto Action Plan – is what makes them unique from other forms of consultant-led, for profit capacity development. A renewed focus on, and adherence to, these principles, to ensure that WOPs retain their reputation as a safe and honest approach for peer-to-peer learning is recommended. This does not mean that private sector partners cannot engage in WOPs, but their commitment must be based on these ideals.

**Reconsider results frameworks:** Many traditional donors and other WOP funders want to see more evidence on WOP ‘results’. However, traditional performance measurement frameworks often overlook the range of benefits that WOPs bring about. The BEWOP initiative is working to develop better results frameworks that can help capture improvements both above and below those captured by key performance indicators. More research studies and data on WOPs in action are helping to build the evidence base for their success as capacity development exercises and for their eventual impact on service delivery. GWOPA is currently collecting more data on individual WOPs could add a lot of value on certain topics (like financing) and would allow for more comparability between them.

**Source:** GWOPA/UN-Habitat, BEWOP/ODI. 2015 WOP Finance Brief for water operators, donors and decision-makers.

GWOPA has held consultations with representatives from the European Commission to advocate for renewal of the Water Facility (ref. Section 3.5 on the experience of the EU Water Facility during the 9<sup>th</sup> and 10<sup>th</sup> ACP). A decision on continuation of EU Water Facility and a partnership window to support WOPs is pending.

The 1% solidarity fund for water is an innovative funding mechanism for providing access to water for all.<sup>41</sup> The Solidarité Eau Europe coordinates the 1% European platform on solidarity in the field of water. Together, the International Secretariat for Water (ISW) and Solidarity Water Europe (SWE) bring together 300 individuals and organisations committed to supporting the cause of water in the world. The initiative links to national initiatives in France, Italy, Switzerland, Belgium, Spain, the Netherlands and the UK. The two initiatives that are most advanced are: 1) France - the Oudin-Santini Law (2005) enables local authorities and water agencies to voluntarily dedicate up to 1% of their water and sanitation budget to cooperation actions (in 2010 this law mobilised Euro 19 million with scope for reaching Euro 120 million); and 2) The Netherlands – by law Dutch water operators can contribute up to 1% of their turnover to international cooperation (in 2011 about 0.5% was spent). Vitens-Evides has set up a water for life foundation to finance pro-poor investment programmes.

One other opportunity for innovative funding is Development Impact Bonds (DIBs) which is a new platform for development cooperation. DIBs have the potential to bring together the private sector, CSOs, INGOs, governments and donors in a way that captures and complements the best contributions of each player to achieve social outcomes. In a DIB public, private and non-profit actors come together and agree on what they want to achieve and a method for measuring success. The actors include investors who provide funding to roll out or scale up services; service providers who deliver outcomes; and outcome funders, primarily public-sector agencies from developing or donor countries who pay for the results achieved. Outcome payments are used to pay investors back with a premium so that where interventions achieve successful outcomes the returns are social as well as financial.<sup>42</sup> This would also introduce the discipline of ensuring that investment outcomes are well documented.

Funding challenges encountered by GWOPA do not mean that WOPs fail to attract support. Several donors provide funding to WOPs without routing these through GWOPA (ref. Table 5.3). The main point being that donors find it attractive to support WOPs through whatever channels they find most feasible – the GWOPA Secretariat, regional and national platforms, or other mechanisms. The challenge for the GWOPA Secretariat is capturing the diverse initiatives and remaining the global WOP mechanism that disseminates good WOP experience and practices, continues to refine the WOP concept, and facilitates sourcing of funding.

**Findings: Ideally, the GWOPA Secretariat should be compared to a research and development entity that gathers all relevant information on WOPs worldwide, conduct reviews and evaluations, mobilises funding resources, and drives the further development of the WOP concept. It is not realistic that the GWOPA Secretariat can generate adequate revenues in the intermediate term to fund Secretariat staff and office costs and will accordingly remain dependent on external core funding for these expenditures.**

## Direct Operational Support

The WOP portfolio is dealt with in Section 4.2. 71 out of 221 WOPs have received either direct support to the WOPs or direct support to regional platforms from the GWOPA Secretariat (see Table 6.6). An important issue is how to balance the direct support to WOPs and direct support to regional platforms. Some concerns have been raised about the possibility of the Secretariat competing with regional platforms in implementing WOPs rather than facilitating the process.

**Table 6.6: The GWOPA Secretariat's direct support to WOPs**

Type of support	Baseline	2013	2014	2015	2016	2017	Total
Direct support to WOPs	10	8	9	4	3	4	38
Direct support to regional platforms	13	1	12	-	6	1	33
<b>Total</b>	<b>23</b>	<b>9</b>	<b>21</b>	<b>4</b>	<b>9</b>	<b>5</b>	<b>71</b>

**Source:** GWOPA Secretariat, January 2018

### Recent direct operational support to WOPs

In recent years the Secretariat has provided support<sup>43</sup> to WOP initiatives as follows:

- International WOPs with UNICEF in Angola;
- WOP to introduce pro-poor units in Africa with funding from DFID and WaterAid;
- Danube region WOPs. A first pilot WOP was initiated with a Serbian mentee and Hungarian mentor with funding support from the GWOPA Secretariat;
- Barcelona's expertise supports Bethlehem – with a Palestine mentee and a Spanish mentor;
- Multi-partner WOP in Haiti with Haitian mentee and Caribbean mentors;
- WOPs between small operators from Peru and Spain;
- EU funded WOP between Belgian and Lebanese operators;
- A first WOP for P-WON Pakistan as mentor with an Indonesian operator;
- Catalan and Pakistani operators cooperate, which among others include training on non-revenue water to six Pakistani operators.
- Training of operators by operators. The Istanbul Water and Sewerage Administration (ISKI) in cooperation with P-WON and WSP Pakistan provided training to Pakistani operators on water and wastewater management – with a view to establishing WOPs;
- Water Safety Planning for Tunisia – and identification of a WOP mentor.

### GWOPA's Project Evaluation of 9 African WOPs to develop PIPs

The GWOPA Secretariat provided direct support to nine African operators (ref. Table 2.2, p.5) to pilot use of Performance Improvement Plans (ref. Box 6.2, p.37). Main findings of the evaluation are presented in Box 6.6.

### **Box 6.6: Main findings of the Project Evaluation of 9 African WOPs**

All actors involved in the WOPs and stakeholders agree on the relevance and great interest for operators to get into WOPs such as the ones implemented through this project. The support provided by GWOPA (PIP Manual, guidance, missions, consultants' interventions) has allowed all WOPs to quickly mobilise from the first diagnostic mission and to adequately select the themes on which performance improvements were expected. Some operators have decided to concentrate their efforts on very few thematic areas, while others have chosen to take the WOP as an opportunity to address more than 10 of the 20 main subjects suggested by GWOPA.

All WOPs and operators involved have been very active and have greatly benefited from these WOPs in terms of capacity building, knowledge sharing and exchanges on the selected themes. The development of short-term and mid-term action plans from the first mission has allowed partners to commonly mobilise, concentrate, make progress and achieve results in the very early stages of the WOPs. This created very interesting dynamics in terms of ownership of actions and engagement of the personnel from both mentees and mentors.

Each WOP and operator being a specific case and subject, the selection of actions and objectives included in the short and mid-term action plans prepared by the partners can be subject to lengthy discussions and debates on whether it fully addresses the priorities of the stakeholders and it sufficiently engages mentees' personnel into virtuous improvement circles. Considering the scale at which some of the mentees are working (countrywide and populations of a few millions served), the very short 10-months duration of the WOPs is obviously not sufficient to consolidate sustainable improvements on the main KPIs even if substantial progress has been achieved on most of the actions taken forward by the operators.

The main conclusion of the evaluation carried out on the nine WOPs project implemented by GWOPA is that this has been an incredibly motivating and engaging experience for all the 14 operators involved who have been able to achieve most of the objectives set by GWOPA or through the various PIPs that have been produced and are being implemented.

**Source:** The main findings are drawn from the Project Evaluation Report's Executive Summary.



WOP between SIAAP, the Greater Paris Sanitation Authority, France & ONEE, Morocco. © Vincent Merme / GWOPA - UN-Habitat

The PIP relates to 20 improvement themes which also shows the number of themes as selected by the nine WOPs for the short-term and long-term PIPs respectively (see Table 6.7). The WOPs' most frequently selected themes are: Non-Revenue Water Management (no. 8); Operation and Maintenance (no.9); Water Quality Management (no. 17); Human Resources Development (no. 1); and Asset Management (no. 10). The least selected themes are: Institutional Strengthening (no. 2); Policy and Institutional support (no. 3); Extension of Water Supply Services (no. 12); Extension of Sanitation and Hygiene Services (no. 13); Wastewater Treatment and Re-use (no. 15); Water Demand Management (no. 18); and Climate Change Resilience (no. 20).

**Table 6.7: PIP framework for WOP interventions**

No.	Acronym	Improvement themes	Thematic Area Selection	
			Short-term	Long-term
1	HR	Human Resources Development	6	6
2	IS	Institutional Strengthening	3	3
3	PL	Policy and Legal Support	-	2
4	BP	Master Planning and Business Planning	3	5
5	FM	Financial Management	1	4
6	CR	Communication & Customer Relations	4	5
7	BC	Billing and Revenue Collection	4	5
8	NRW	Non-Revenue Water Management	7	8
9	OM	Operation and Maintenance	4	8
10	AM	Asset Management	5	6
11	IT	Information and Communication Technology	1	4
12	WS	Extension of Water Supply Services	-	3
13	SS	Extension of Sanitation and Hygiene Services	-	2
14	PH	Expansion of Services to Households	1	5
15	WT	Wastewater Treatment and Reuse	-	-
16	WM	Sustainable Water Resources and IWRM	-	2
17	WQ	Water Quality Management and Water Safety	6	7
18	DM	Water Demand Management	-	1
19	EE	Energy Efficiency	2	5
20	CC	Climate Change Resilience	-	-

As can be seen from Table 6.8, NWSC is mentor for three mentees; and SWSC Swaziland and ONEA Burkina Faso for two each. Three WOPs maintained the same number of thematic areas in the short-term and long-term PIPs, whereas six WOPs increased the number significantly in the long-term PIP. A visit was made to the Nairobi City Water & Sewerage Company (NCWSC) on 17 January 2018 (see Annex 6).

**Table 6.8: Operators engaged in the 9 African WOPs and number of themes**

No.	WOPs Mentee/Mentor	Number of thematic areas	
		Short-term	Long-term
1.	Lilongwe LWB / EWS (Durban)	11	11
2.	Nairobi NCWSC / NWSC (Uganda)	3	7
3.	Ghana GWCL / NWSC (Uganda)	4	4
4.	Harar HWSSA / NWSC (Uganda)	4	9
5.	Kigoma KUWASA / SWSC (Swaziland)	8	11
6.	Nkana NWSC / SWSC (Swaziland)	4	10
7.	NamWater / Rand Water (South Africa)	4	4
8.	Chad STE / ONEA (Burkina Faso)	6	14
9.	Togo TDE / ONEA (Burkina Faso)	6	14

*Findings: While the GWOPA Secretariat should assume a facilitation role – especially about mobilising financing – the regional and national platforms should preferably assume a main role in the implementation even when funding is routed through the Secretariat. The short-term WOPs should ideally have a duration of about 12 months, which result in a medium-term or long-term PIP (or similar), which have a good probability of attracting external funding.*



WOP between EThekwin Water & Sanitation Service & Lilongwe Water board. © GWOPA - UN-Habitat

## 6.4 Cross-cutting issues

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**Social efficiency of WOPs:** The output of work initiated in 2014, this thematic paper examines how notions of utility effectiveness embraced and propagated through benchmarking, are being applied in WOPs and asks how appropriate they are in efforts to improve public utilities. Drawing on WOP cases and various WOPs literature sources, the paper argues that much of the priority setting in these knowledge-sharing agreements has been driven by benchmarking criteria at times to the detriment of social and environmental goals. The research was carried out with the overall aim of understanding how WOPs can better contribute to international development frameworks like the MDGs, SDGs and Human Right to Water.<sup>44</sup>

**Climate Change:** A GWOPA-supported WOP between Sri Lanka's National Water Supply and Drainage Board and Yarra Valley Water of Australia has developed an approach to help operators confront the realities of climate change.<sup>45</sup> With support of the UN-Habitat Cities and Climate Change Initiative, GWOPA and WaterLinks released "A tool for coastal and small island state water utilities to assess and manage climate change risk" in 2015. The tool supports utilities to understand and anticipate changes to their water supply sources that are expected to be brought about by climate change. It offers utilities two complementary approaches to understanding potential impacts: a 'top-down' approach that draws on hydrological records, and a 'bottom-up' approach which is recommended and where data is lacking. By supporting utilities to understand the nature and scale of climate-related challenges, various adaptation options, most of which can be addressed through support in WOPs, become apparent. The Manual is already in wide circulation and is being used by WaterLinks in climate change-themed WOPs in the Philippines and in the Pacific.<sup>46</sup>

**Human Right to Water:** The European Citizens' Initiative for Human Right to Water and Sanitation was adopted by the European Parliament in 2015 (ref. Section 6.2 on Alliance Strengthening). The text, approved on the 8<sup>th</sup> September 2015, makes specific mention of GWOPA and WOPs, stating that "EU development projects should integrate universal access to water and sanitation via the promotion of public-public and public-private partnerships based on solidarity" - paragraph 77. Although there is limited mention of gender in various GWOPA documents, it may not be a critical issue where adequate water and sanitation services are adequately provided. However, in poor and underserved peri-urban areas gender may be an important aspect.<sup>47</sup>

During MTR consultations it was debated whether GWOPA should broaden its mandate by including 'additional objectives' including promotion of human right to water and sanitation; provision of services to the disadvantaged; broadening of stakeholder participation in WOPs; broadening of WOPs with IWRM and UWM; funding for follow-up WOPs; opportunities for implementation of 'large' WOPs with IFIs and donors; and establishment of a legal frameworks that allow water utilities in developed countries to support utilities abroad (ex. 1% of the turnover as applied in The Netherlands and France). Opinions of interviewees were diversified with some inclined towards less bureaucracy while others wanted additional objectives included. The general sentiment is that GWOPA should focus on its objectives and realign its activities to the resources available.

*Findings: Although the thrust of GWOPA's activities is on WOPs, the operation of water and sanitation utilities is a multi-faceted activity that relates socio-economic, natural resources, environment and climate change aspects – issues that are essential for appropriate service delivery. Access to water and sanitation are recognized by the United Nations as human rights and should generally be well integrated in strategies and action plans. The linking of WOPs to the SDGs would both be a contribution to overall development effects and make WOP PIPs/action plans more attractive for external funding.*



## 6.5 Monitoring

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The GWOPA Strategy monitoring framework comprises one overall outcome and seven thematic outcomes with 20 outcome indicators and corresponding means of verification (ref. Table 4.1, p.20). The indicators can be divided into two main groups, the first group relates to performance of the GWOPA Secretariat and the second relates to number of WOPs and performance improvements realized in consequence of the WOP.

The number of 'WOPs implemented' is a key indicator. The 'WOPs profiles in the database' has been used eight times as a means of verification. This underlines the importance of the WOP database for providing correct and updated information. However, a short-term WOP with only facilitation funding is very different from a long-term WOP with external investment funding, and yet they each counts as one when used as an indicator. WOP surveys are also mentioned as a means of verification, but not many have been conducted. The 12 BEWOP case resumes and the evaluation of the 9 African WOPs have provide essential information on specific WOPs but a comprehensive global evaluation or survey of WOPs' performance has not been conducted except for the analysis of WOPs in the database (ref. Section 4.2). The total portfolio of WOPs in the WOP database during the five-year Strategy period is 160 of which 48 were directly supported by GWOPA (ref. Table 4.2 and Table 6.6). Generally, final completion reports on achievements are prepared for GWOPA supported WOPs and are an important source of information.

The MTR noted that while making satisfactory progress on some of the strategic outcomes progress related to tools, branding and number of supported WOPs is lagging. Some criticism concerns monitoring of planned outcomes, especially regarding: i) use of proxies that do not reflect the indicators well; and ii) lack of baseline data which hinders assessment of outcomes. Targets are not set for individual outcomes. The Secretariat explained that this was a conscious choice as it wanted to adapt its targets to fluctuating resources at its disposal and to avoid so-called strategic behaviour (going for numbers only).

Most of the quantitative indicators have baselines (ref. tables 6.4, 6.5 and 6.6) but not targets. One overall target, nonetheless, was the expected budget evolution from USD 3 million in 2013 to USD 5 million in 2017 (ref. Section 5.2, p.29). Such an increase would have translated into increase in WOPs supported by GWOPA and other outcome indicators. Conducting WOP surveys would have required financial resources which evidently were not available.

*Findings: The GWOPA monitoring framework was based on WOP survey(s) as a major means of verification, which only happened to some extent, primarily due to resource constraints. The monitoring has been challenging and would have required more staff resources if the Strategy's ambition were to be fulfilled. Only the Strategy's overall outcome relates to capacity and performance changes in the WOP mentee utility – information that document results on the ground will be of critical importance for leveraging of funds from donors/IFIs and upscaling of WOPs.*

## 6.6 Risk management

**Risk management:** Five potential risks were identified regarding preparation of the GWOPA Strategy 2013-2017 (ref. Chapter 7, Table 2, p. 26). The MTR assessed actual occurrence as recorded as shown in Table 6.9. The impact level of risk no. 1 as stated in the Strategy on GWOPA operations was deemed to be high.

**Table 6.9: Effectiveness of risk mitigation**

Risk	Actual occurrence	Mitigation measure	Effectiveness of Mitigation
Financial situation constrains GWOPA fund-raising	Yes	Seek alternative financing sources for WOPs	Slight to moderate
Hosts of regional platforms fail to deliver	No	-	-
Partnerships fail to materialise with key global players	Yes <sup>1</sup>	Support from Steering Committee and GWOPA members	Moderate
WOP Certification proves more complex/costly than anticipated	Yes <sup>2</sup>	Commission feasibility study; Identify interim solutions	Yet to be implemented
Political interference limits GWOPA operations	No	-	-

**Note 1.** The occurrence relates specifically to the challenges in developing productive partnerships with financiers; many other partnerships were successfully developed.

**Note 2.** The occurrence refers to the Steering Committee's perception that the presented standard setting concept was confusing and not in line with the expectations; and to the Secretariat's corrective efforts.

**Source:** GWOPA Strategy, Section 7, p. 26 and MTR, Section 4.5, p. 35

*Finding: The occurrence of not acquiring adequate funding for facilitation of WOPs and monitoring of the Strategy's performance is a critical problem as the upscaling of GWOPA supported WOPs will not take place. The certification of WOPs is not seen as a critical issue, which could be addressed at a later stage if found justified in terms of the required resources to set up and manage a certification system.*

## 7. Answering the evaluation questions

The answers to the evaluation questions are based on observations and findings as elaborated in chapters 5 and 6. Table 7.1 presents question and answers.

**Table 7.1: Answers to the Evaluation Questions**

Relevance	
1.	<p>How relevant was the Strategy to water and sanitation utilities and their target populations at the time of formulation?</p> <p><i>Answers: The Strategy was very relevant, especially about the support to WOPs. The Strategy was less relevant on outcome 3 concerning branding due to the issues of certification. Branding of good performing WOPs remains an important aspect.</i></p>
2.	<p>How relevant was the Strategy to UN-Habitat and GWOPA members given the changing context and roles of UN-Habitat, specifically with adoption of SDGs and New Urban Agenda?</p> <p><i>Answers: The SDGs and the New Urban Agenda were not known at the time of conceptualising the GWOPA Strategy 2013-2017. GWOPA has flexibly accommodated the SDGs and the New Urban Agenda although the details of this may not be fully comprehended by all WOP partners. The Strategy remained relevant to UN-Habitat and the GWOPA members as the changing context provides essential policy and strategic directions for water and sanitation utilities and the related regulatory authorities.</i></p>
3.	<p>How relevant and effective has GWOPA's engagement been in the international policy dialogue on water and sanitation issues?</p> <p><i>Answer: GWOPA's engagement in the international policy dialogue on water and sanitation issues has been very relevant although the effect on donors' support could have been better, especially in terms of mobilising financing.</i></p>
Efficiency/ Outputs	
4.	<p>Was the formulation of the strategy appropriately based on sound understanding of partnership alliance, were risks identified, assessed and strategies developed for monitoring and reporting?</p> <p><i>Answers: The Strategy was based on a sound understanding of the partnership alliance. Risks were appropriately identified, but three out of five risks occurred that seriously hampered the upscaling of WOPs as envisaged. The monitoring suffered from not being adequately resourced – apparently due to resource constraints, which consequently affected the substance of the reporting. The reporting generally presented a valid situation assessment of the evolving context for GWOPA.</i></p>
5.	<p>Were resources mobilized and services designed to effectively respond to the objectives and priorities of the strategy?</p> <p><i>Answers: At the outset human resources of the Secretariat and platforms for provision of services were appropriately allocated and could be varied flexibly to match the level of activity as it materialised. Although no detailed targets were set, the financial resources were not mobilised to correspond to the Strategy's ambition of upscaling of the WOP activities.</i></p>

6.	<p>To what extent have GWOPA activities been implemented in a cost-effective manner?</p> <p><i>Answers: Due to the nature of WOPs, they are in principle cost-effective as the partnership cooperation is not for profit. Cost-effectiveness of investment capital relates to performance improvements of the mentee utilities (e.g. reduction of NRW, coverage and quality of services in relation to the target population within the service area(s), etc.). As the capital investments are based on diagnostic analysis and qualified project design, it is generally assumed that the achieved results are cost-effective – although the evidence to support this assumption is lacking. The high level of participation of the GWOPA assemblies and congresses may not necessarily be cost-effective – even though they provide a good opportunity for sharing of experience and forward looking.</i></p>
7.	<p>Has the GWOPA Secretariat and UN-Habitat and Steering Committee arrangements delivered as expected?</p> <p><i>Answer: During the first three years the governance arrangement delivered appropriately. A senior Nairobi-based UN-Habitat officer was assigned as chairperson for the ISC by the Executive Director. The chairperson took great interest in GWOPA and maintained a good contact between UN-Habitat HQ, the ISC and the Secretariat. The chairperson was not replaced when he retired, resulting in a vacuum in the communication during the last two years, which led to the regrettable dispute between UN-Habitat management and the ISC/ Secretariat – greatly reducing the effectiveness of the Secretariat. Only late in 2017, the UBSB Coordinator was assigned as contact/chairperson and charged with restoring of the Secretariat's operational capacity. The former chairperson was assigned by the ED as a facilitator to assist with the transition to a new five-year strategy phase.</i></p>
<b>Effectiveness/ Outcomes</b>	
8.	<p>To what extent have the two objectives and eight expected accomplishments of the Strategy been achieved?</p> <p><i>Answer: The strategic objectives and outcomes were achieved moderately. The knowledge management outcome was achieved satisfactorily because of the various studies, whereas the branding outcome did not succeed well due to the certification issue. Considering the limited availability of external funding, the achievements of the remaining six outcomes have been worthwhile.</i></p>
9.	<p>How do expected and planned outcomes compare against results delivered?</p> <p><i>Answer: No targets were set for the outcomes and a direct comparison of planned and achieved results is not possible. However, the overall ambition of outcome achievements was significantly higher than the actual results.</i></p>
10.	<p>How effectively has GWOPA Secretariat delivered and achieved GWOPA strategy priorities and contributed to promoting the implementation of, and better coordination between, WOPs?</p> <p><i>Answer: GWOPA has not succeeded to large-scale adoption of WOPs. The GWOPA Secretariat was effective in providing operational support to WOP implementation in the field – although to a smaller number of WOPs than anticipated.</i></p>
11.	<p>Has the work of the GWOPA Secretariat resulted in unintended and/or indirect changes in line with the objectives of the Strategy for 2013-2017?</p> <p><i>Answer: The division of responsibilities between the GWOPA Secretariat and the regional platforms was not very clear from the outset, leading to some cases where the regional platforms felt that they were competing with the Secretariat. The Secretariat may have been better positioned to implement WOPs in the regions when funds were routed through the Secretariat.</i></p>
12.	<p>Has the implementation of the Strategy prioritized gender sensitive and human rights approaches as well as considered climate and youth which are cross-cutting issues of UN-Habitat?</p> <p><i>Answer: Climate change is addressed in the Strategy, but gender equality, human rights and youth are not addressed. GWOPA has advocated for Human Rights to Water, and been engaged in developing a guideline for coastal and small island state water utilities.</i></p>

13.	<p>What lessons can be drawn from relying on twinning partnerships as the key implementing modality?</p> <p><i>Answer: The lessons are that water operator partnerships remain an essential, low-cost implementation modality, provided that the matchmaking between mentee and mentor is optimal, when the partnership has a long duration (at least 12 months, but preferably longer), and when external funding for capital investments is provided.</i></p>
<b>Impact and impact outlook</b>	
14.	<p>To what extent has the GWOPA strategy attained or not (or is expected to attain) development results in improved water supply and sanitation in the short, medium and long-term of the targeted beneficiaries and GWOPA partners?</p> <p><i>Answers: Short-term WOPs of 10-12 months' duration can achieve capacity improvements and technical 'quick wins'. Obviously, medium-term and long-term WOPs of a duration 2-3 years provided with external funding can achieve much more substantive results. Due to lack of comprehensive WOP surveys, there is no evidence to confirm the longer-term results.</i></p>
<b>Sustainability and sustainability of approach</b>	
15.	<p>To what extent is the direct support provided to WOPs sustainable concerning performance improvements of the utilities?</p> <p><i>Answer: The sustainability of the support to WOPs is dependent of trained staff remains at the utility and that maintenance of technical installation is undertaken. Due to lack of comprehensive WOP surveys, the evidence is absent to confirm the degree of sustainability.</i></p>
16.	<p>To what extent has the GWOPA strategy through implementation of activities engaged the participation of beneficiaries in design, implementation, monitoring and reporting?</p> <p><i>Answer: The WOP concept is entirely dependent on the WOP partners' active engagement in design, implementation, monitoring and reporting.</i></p>
17.	<p>To what extent has/ will the GWOPA strategic approach be replicated or scaled up at national or local levels?</p> <p><i>Answer: The GWOPA strategic approach has been replicated by the regional and national platforms. The WOP concept is also applied by non-GWOPA partners and thus replicated by other entities.</i></p>
18.	<p>To what extent has/ will the GWOPA strategic approach and implementation of activities fostered new innovative partnerships?</p> <p><i>Answer: A trend towards more innovative partnerships has commenced that includes water and sanitation services that comply with the SDG6 targets, climate change adaptation, and to poor unserved areas. Some WOPs focus entirely on sanitation services to reduce the substantial service gap in this sub-sector. An increased emphasis on and compliance with the SDG6 targets are foreseen to reinforce the trend of innovative partnerships and deliver more comprehensive results.</i></p>

# 8. Conclusions and recommendations

## 8.1 GWOPA 2013-2017 Achievements

GWOPA has succeeded in developing a normative framework that enables water and sanitation operators to improve service delivery with relatively limited funding by applying a bottom-up process. The Netherlands has supported the Water Operator Partnership (WOP) concept in cooperation with GWOPA through the “Boost Effectiveness of WOPs” (BEWOP) project. WOP can be a ‘stand-alone’ intervention that is implemented mainly by water operators themselves, and where the thrust would be capacity development for improved operation and maintenance. Given the ever-increasing demand for water and sanitation services in most urban centres in low- and middle- income countries, combined with the need for rehabilitation and expansion of existing infrastructure, there is also need for substantial capital investment.

Following short-term WOPs, the process if continued, leads to medium-term and long-term action plans and Performance Improvement Plans (PIPs as introduced in 2014) many of which have attracted third-party funding from multilateral and bilateral donors. Some third-party funding has been channelled through GWOPA mostly for facilitation and brokering, documentation of achievements and provision of evidence. Over the five-year Strategy period GWOPA received approx. USD 10.6 million in funding support. Evolution of WOPs during the Strategy period is shown in Table 8.1. A total of 160 WOPs was recorded in the GWOPA database of which 48 were supported by GWOPA. The remaining 112 WOPs, 2.3 times more than those supported by GWOPA, are supported by other entities.

**Table 8.1: Evolution of WOPs 2013-2017**

Type of support	Baseline	2013	2014	2015	2016	2017	Total 2013-17
Direct support to WOPs	10	8	9	4	3	4	28
Direct support to regional platforms	13	1	12	-	6	1	20
<b>GWOPA directly supported WOPs</b>	<b>23</b>	<b>9</b>	<b>21</b>	<b>4</b>	<b>9</b>	<b>5</b>	<b>48</b>
Non GWOPA WOPs in the database	38	39	37	12	7	17	112
<b>Total</b>	<b>61</b>	<b>48</b>	<b>58</b>	<b>16</b>	<b>16</b>	<b>22</b>	<b>160</b>

**Source:** GWOPA Secretariat, January 2018

The objective of the Strategy was to move to large scale adoption of WOPs. However, mobilisation of finance was not adequate to achieve this ambition and the member and partner base did not grow as anticipated. The dispute between UN-Habitat management the ISC in 2016-2017 arising from UN-Habitat’s de-emphasis of GWOPA’s activities worsened the situation as the Secretariat was instructed not to source new funding. Efforts are underway to resolve the situation which has caused some concern among GWOPA’s current and potential donors. Efforts to strengthening the Alliance may also have been affected as the number of members and partners did not increase significantly, although there may be other causes. Three out of five potential risks identified in the GWOPA strategy did materialise, an indication that GWOPA is up against challenges.

The GWOPA Charter is not adequately clear on mandates, roles and responsibilities between the main stakeholders, namely, UN-Habitat management, the ISC, the Secretariat, and regional and national platforms. The Charter should have been adequately clear on the relationship between UN-Habitat management, the ISC and the Secretariat and should contain clauses on dispute resolution. The relationship between the Secretariat and regional platforms has also not been adequately defined, especially regarding the role of regional platforms in implementing WOPs in their respective regions; Memorandum of Understanding or agreement has been considered for some time.

UN-Habitat HQ provides administrative support and undertakes financial management on behalf of the GWOPA Secretariat, and is subject to the UN Secretariat's cumbersome bureaucracy with limited autonomy. The GWOPA Secretariat basically functions as a research and development entity with some implementation responsibilities. The Secretariat's prospects for income generation are limited by the specific nature of GWOPA. Self-financing is not a realistic option in the intermediate future and thus the operation of the Secretariat will remain dependent on donor core funding, whatever the scope of the Secretariat.

The ISC has 29 members out of whom six are ex-officio or observers and it meets annually with representatives of regional platforms attending as observers, an arrangement which may not be optimal considering the important role they play in promoting and implementing WOPs. Composition, number of members, as well as the frequency and form of meetings could be reconsidered. While annual face-to-face meetings are useful, in-between video conferencing and online sessions would complement the annual meetings. The biennial Congress and Assembly sessions held in September 2015 had 400 delegates in attendance. Notwithstanding the importance of the Congress and Assembly sessions, a more cost-effective solution could be considered.

Demonstration of developmental effects of improved service delivery and coverage from WOP interventions is crucial in convincing utility operators, regulatory authorities, governments and donors of the benefits to be derived from the WOP concept. Monitoring, assembling of actual results, dissemination to interested audiences would be essential for promoting WOPs and guiding global growth. Information on achieved results would be essential inputs to branding of WOPs, communication and advocacy, as well as strengthening of the Alliance. GWOPA's certification of water and sanitation utilities would duplicate what other organisations could offer (e.g. ISO) and would detract the Secretariat's attention from its core focus. Besides, results that can be derived directly from individual WOP implementation, WOP surveys and evaluations can provide additional information on outcomes, impact and sustainability for some time after their completion, and validate the effectiveness of WOPs. The GWOPA Strategy's monitoring framework was based on WOP surveys being conducted, which only happened to a limited extent due to inadequate funding for such activities. WOP surveys could have provided more information on results on the ground.

GWOPA's strategic operational support has been a main source of knowledge on what is required to conceive and implement successful WOPs; it is also a key source for preparation of Knowledge Management products. Direct operational support has been also a means of strengthening regional WOP platforms. The number of GWOPA supported WOPs have declined in the recent years, derailing efforts to strengthen regional platforms, while simultaneously, regional platforms have struggled to attract donor funding for WOPs implemented independently of, but in close coordination with the Secretariat. Regional WOP platforms express a desire for the Secretariat to play a greater role facilitation role, especially in mobilisation of funding. Despite many Arab utilities being involved in WOPs mainly as mentors, there is no regional platform for the Arab countries. Although the main emphasis in WOPs has been on traditional themes, provision of services to low-income and poor households recorded high frequency, thereby indirectly addressing the human right to water. A few WOPs have been conceived with climate change as the main objective. Gender equality and empowerment of women are hardly mentioned. The list of themes in the GWOPA database and in the PIP Manual differs and should be harmonised.

For participating water and sanitation utilities, the WOP mechanism has proved its effectiveness through tangible improvements to performance, especially in terms of coverage and service quality. GWOPA has contributed to mobilizing WOPs either directly or indirectly through its leveraging effects. Opportunities for disseminating the WOP concept further remains substantial with potential for significant positive effects on water and sanitation (and sewerage) service provision. The WOP concept contributes to achieving the SDGs and adds value by mobilising local human resources and raising awareness on critical water and sanitation issues. Continuation of the services offered by the GWOPA Secretariat remains important in addressing global water and sanitation challenges.

## 8.2 Potential scenarios GWOPA 2022

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As mentioned earlier indications from the Government of Spain (AECID) are that a five-year extension is not forthcoming, although AECID is yet to formally declare its position. If it decides not to extend the funding agreement there will be two scenarios for GWOPA's future: 1) donor host funding for a new five-year period will be secured within the immediate-term; and 2) host-funding for the GWOPA Secretariat will not materialize for a new five-year strategy period.

*Scenario 1* would imply that the set-up of GWOPA could continue along similar lines as the 2013-2017 Strategy but location of the Secretariat will depend on the conditions set by the host donor who may want to locate the Secretariat in its country to derive technical cooperation benefits, as was the case with location of the Secretariat in Barcelona, Spain. The host donor may also come up with location criteria that would be advantageous for the Secretariat's operations, for example Nairobi (proximity to UN HQ in Africa) or another major city in a low or middle-income country. Ideally, the Secretariat should be in a city with a knowledge and educational centre that could interact with GWOPA.

*Scenario 2* would imply a much smaller set-up with one or two staff members only, subject to availability of funding. Location of the Secretariat could then be at UN-Habitat HQ in Nairobi, one of the regional platforms, or a major water and sanitation association.

Given the immense need for improved water and sanitation services in most developing economies, the preference would be scenario 1, in which case GWOPA's functions would need to be revitalised to achieve greater impact globally. A revitalisation process would not only require host funding, but also funding for capital investments in WOPs sourced from donors, national and local governments in recipient countries, and utilities' improved commercial operations.

## 8.3 GWOPA Strategy 2018-2022

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It is assumed that GWOPA will maintain its focus on water, sanitation, and wastewater operators. Rather than replicating what other multilateral agencies and global water and sanitation organisations are engaged in, GWOPA should harmonise its activities with such organisations at the global, national and local levels as relevant. Furthermore, it is assumed that the GWOPA Secretariat will remain a lean entity, and that expansion of WOPs will be driven mainly by regional and national platforms, with the Secretariat playing a facilitation and brokering role. Calls for a hosting agreement for the Secretariat could be accompanied with calls for support to regional platforms.

A preliminary outline of the Results Framework for the GWOPA Strategy 2018-2022 is attached as Annex 7. The Results Framework was developed from discussions held with staff of the GWOPA Secretariat during the evaluator's visit to Barcelona (27 November to 1 December 2017) as the forward-looking aspects were of concern to the Secretariat, given the current circumstances. The



Results Framework is intended to guide formulation of the GWOPA 2018-2022 Strategy.

Subjects and themes identified for the GWOPA Strategy 2018-2022 are:

- Consistency with the 2030 Agenda and the New Urban Agenda;
- Interface with other donors' interventions targeting an enabling environment for water and sanitation sector at national and local levels<sup>48</sup>;
- Increased attention to public authorities with jurisdiction and regulatory authority over water and sanitation services, which in many cases are local governments or national entities, for enhancement of the local enabling environment;
- Strategy for sourcing traditional and innovative donor funding for capital investments in water, sanitation and sewerage utilities;
- Strategy for sourcing national and local government funding for rehabilitation and maintenance of water and sanitation utilities;
- Water operators' increased self-reliance through improved financial management and tariff setting;
- Expansion of the monitoring framework to include outputs and outcomes of WOP improvements in terms of access (including marginalised groups) and coverage; and to provide evidence of performance improvements;
- Balance of GWOPA resources between "Guiding of global growth of WOPs" and "Strategic operational support to WOPs" with a view to promoting service delivery;
- Increased attention to, and emphasis on capacity of regional and national platforms to implement WOPs;
- Enhancement of synergy opportunities with UN-Habitat HQ, UN Country and Regional Offices.
- Amendment of the GWOPA Charter.

## 8.4 Recommendations for GWOPA 2018-2022

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To ensure the continued services of GWOPA and the Secretariat it is recommended that the following actions be undertaken during 2018:

1. UN-Habitat management confirms its continued commitment to GWOPA and support for elaboration of a strategic framework for GWOPA as outlined below to be concluded by end of 2018.
2. An ISC meeting is called to take stock of the current situation and advise on the way forward.
3. Clarification with the Government of Spain on prospects for future support to GWOPA.
4. Consideration of options for a hosting and funding agreement and subsequent call as decided once outlines of the Strategy and Charter are in place.
5. Calls for support to regional platforms including a potential platform for Arab countries.
6. A new Charter is drafted with involvement of UN-Habitat management, the GWOPA Steering Committee, and GWOPA Secretariat. The new Charter should delineate mandates, roles and responsibilities clearly for all parties involved, including regional and national platforms.
7. The GWOPA Strategy for 2018-2022 should be drafted in consultation with Alliance members and partners. The Strategy should emphasise increased cooperation with regional and national WOP platforms and interface with other UN's interventions in the water and sanitation sector. It should also include a monitoring framework that adequately documents socio-economic and physical results. The strategy should be consistent with SDGs and the New Urban Agenda.

8. Negotiation with donors who have indicated support for WOPs should be conducted to define potential level of engagement for GWOPA in consultations with donors that have strong focus on water and sanitation, e.g. the governments of Japan, Germany and Switzerland.
9. A GWOPA Congress and Assembly should be convened when outlines of the GWOPA Strategy 2018-2022 have been reasonably consolidated and prospects for donor support are better clarified.
10. An Exit Strategy should be prepared in the event host funding for the Secretariat is not forthcoming.
11. Following the outcome of consultations in 2018 on GWOPA's future a review of its prospects should be conducted. The GWOPA Charter and the 2018-2022 Strategy should subsequently be finalised based on inputs from delegates at the GWOPA Assembly and Congress.

A tentative time schedule for recommended actions listed above is presented in Table 8.2.

**Table 8.2: Tentative time schedule for actions for clarification of GWOPA's future**

<b>Actions 2018</b>	<b>April</b>	<b>June</b>	<b>July</b>	<b>Aug.</b>	<b>Sep.</b>	<b>Oct.</b>	<b>Nov.</b>	<b>Dec.</b>
1. UN-Habitat commitment to GWOPA								
2. Conduct of ISC meeting								
3. Clarification of Spain's continued support								
4. Call for new hosting agreement				.....				
5. Calls for support to regional platforms								
6. Drafting of a new GWOPA Charter								
7. Drafting of the 2018-22 GWOPA Strategy								
8. Negotiations with donors					.....	.....		
9. Conduct of the GWOPA Congress								
10. Exit strategy								
11. Review of GWOPA's prospects								

## 9. Lessons learned

Lessons learned on UN-Habitat management framework:

- Maintaining proper communication links between UN-Habitat HQ and detached entities such as the GWOPA Secretariat is paramount for upholding UN-Habitat's mandate and leadership.
- Recognition of the special characteristics of member-based alliances such as GWOPA and GLTN<sup>49</sup> with wide-reaching networks that include international civil society organizations, international finance institutions, international research and training institutions, donors, and professional bodies is important for guiding policy, strategy and management directions.
- Knowledge and awareness of GWOPA's existence and functions in the UN system, and especially within UN-Habitat, is essential for exploiting synergies in countries and regions.

Lessons learned on WOPs presented below draw on a Strategic Proposal for Strengthening of Partnerships:<sup>50</sup>

**Top management commitment** –the WOP projects work better where they are strongly championed by top management and operational improvements are integrated into corporate planning.

**WOPs involve institutional and not just technical change** – successful WOPs have paid due attention to institutional as well as technical improvements. In some cases, relatively small but continuous inputs have been sufficient to improve performance.

**Measurement and benchmarking** - measurement of operational improvements is often very difficult where the network is not well-mapped and data is unreliable. Over reliance on hard operational indicators in these situations can be counterproductive. Capacity and benchmarking is more relevant over time for the same operator than attempting cross benchmarking.

**Steep learning curve for new mentors** – mentor operators not familiar with WOPs have a very steep learning curve in terms of the nature of the institutional and financial challenges and especially given the absence of data. There is a case here for mentor WOPs to learn from each other's experiences with GWOPA as a knowledge hub.

**Match making** – proper match making between mentees and mentors is essential for optimal WOPs' performance, not only in technical terms, but also in relation to personal relations.

**Project design and pre-feasibility** – the success of projects is heavily dependent on having a good level of prior information on the state of the water infrastructure and operations, especially if the projects are not designed with a high degree of flexibility. Many pre-checks could be introduced to assess situations that are most suitable for WOPs. A two-phased planning approach is promoted by GWOPA.

**Involvement of civil society** – consultations with civil society (including women and youth groups) on various options for service delivery and coverage at the planning phase can enhance socio-economic benefits, making investments more effective.

**A longer-term and continuing rather than a case by case approach** – whereas there is merit in "one-off" catalytic inputs, the need is for longer term continuing support guided by a clear and incentivised exit strategy. Longer-term engagement is often needed to consolidate change.<sup>51</sup>

**WOPs cannot substitute investment** – where the system is heavily degraded WOPs are not necessarily appropriate. Where the system is basically in place there are also better prospects of quick wins, e.g. introducing billing systems. In some cases, advances can be made by using pressure zones to introduce small scale improvements. Although WOPs are not a substitute for investment they can pave the way for capital efficient investment and create a culture of infrastructure planning that is performance and operation centred. In this way they can change sector investment from being infrastructure focussed to being service delivery focussed.

**Sector enabling environment** – WOPs benefit from and can contribute to an improving sector environment.

**Replication** – where there are central sector organisations (such as NWASCO in Zambia or NWSC in Uganda or FIPAG in Mozambique) there are good prospects for involving them and enhancing replication. This is also possible through peer networks such those created in Kenya.

**Access to O&M funds** – if mentees do not have access to low level O&M funding (e.g. water meters and repair equipment) it will be very difficult to make improvements or sustain them in the longer term (even if the mentor has within the budget the possibility to temporarily make up the shortfall).

**Rigorous capacity development works** – training and capacity development works well when it is provided at both individual and institutional level and where it is linked to continuing professional development and observations made on whether it is being applied in practice.



WOP between EMSAPUNO S.A. & COPASA MG-Algal bloom in Puno's Port. © Françoise Bichai / GWOPA\_UN-Habitat

# Annex 1.

## Terms of Reference

### Evaluation of the Global Water Operators' Partnerships Alliance (GWOPA) Strategy, 2013-2017

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#### 1. Introduction

The evaluation of the GWOPA strategy 2013-2017 has been mandated by the UN-Habitat Management. It will assess the achievements and lessons learned and recommendations will feed into the formulation and implementation of the new strategy 2018-2022. The five-year GWOPA Strategy was launched in 2013. It sets out the vision, mission, strategic objectives and expected outcomes. It also outlines key organization and governance structures, funding framework, potential risks and mitigation measures as well as the monitoring and evaluation framework to follow up on inputs, processes, outputs and outcomes specified in the strategy.

These Terms of Reference (TOR) outline the evaluation background and context, purpose and objectives, scope and focus, evaluation questions, stakeholder involvement, evaluation approach and methodology, accountability and responsibilities, qualifications of the consultant to conduct the evaluation, provisional time schedule, as well as expected deliverables and resources.

#### 2. Background and Context

UN-Habitat is the United Nations programme working towards a better urban future. Its mission is to promote socially and environmentally sustainable human settlements development and the achievement of adequate shelter for all.

The Global Water Operators' Partnerships Alliance (GWOPA) is a programme of UN-Habitat and contributes to the agency's work. In 2006, the Former UN Secretary General, Kofi Annan, requested UN-Habitat to lead the development, and host the secretariat of the Global Water Operators Partnerships. The SG's decision was a follow-up to the drafting of the Hashimoto Action Plan by the United Nations Secretary-General's Advisory Board on Water and Sanitation (UNSGAB). The main UNSGAB's Hashimoto Action Plan I objective was to strengthen local water services through Water Operators Partnerships (WOPs) while ensuring that WOPs are recognized as an important means of achieving internationally agreed targets on water and sanitation. This objective was adopted by UN-Habitat as its own and the agency agreed to build the Global WOPs Alliance. GWOPA itself is a network of partners committed to helping water operators help one another to improve their collective capacity to provide access to water and sanitation services for all.

The 2013-2017 GWOPA Strategy was developed, in 2013, through a participatory process, integrating the diverse views and lessons of the many Water Operators' Partnerships that had joined the network since 2009. GWOPA's **vision** is that water and sanitation operators help each other to achieve universal access to sustainable water and sanitation services through not-for-profit peer support partnerships. These partnerships result in public operators – the target of support – with strong technical, financial and management capacity, able to provide a sustainable, high-quality service to all. GWOPA's **mission** is to promote the effective use of not-for-profit partnerships between water operators to realize its vision. GWOPA is supposed to be the global leader in Water Operator Partnerships (WOPs) promotion, facilitation and coordination, and the principle source for

WOPs knowledge and guidance so that effective WOPs contribute to meeting national and global water and sanitation objectives including those relating to Sustainable Development Goals and the Human Right to Water.

## 2.1 Strategic Objectives and Activity Areas

GWOPA's strategy has two objectives:

### **Strategic objective 1: Guiding Global Growth of WOPs.**

To achieve this objective, GWOPA planned to undertake activities in four strategic areas:

**Knowledge Management:** developing guidance material for WOPs, global trend analysis on WOPs and utilities, case studies on WOPs and documentation of best practices and lessons learnt.

**Branding of WOPs:** creating a clear and meaningful WOPs brand, establishing a global framework for benchmarking and certification of WOPs and establishing clear practices to which water operators can aspire in implementing WOPs.

**Communications:** through communications, networking, sharing information and disseminating knowledge products, GWOPA will promote WOPs and utilities. It will lead global coordination and advocacy for WOPs and mobilize greater political prioritization of WOPs.

**Alliance Strengthening:** growing the WOPs alliance by partnering with institutions that can influence WOPs and with agencies that will add value to partners' actions.

### **Strategic objective 2: Strategic Operational Support.**

This second objective was to be achieved through operational support to WOPs implementation in the field. The work focused on three strategic activity areas:

**Strengthening Regional WOP platforms:** providing strategic support to regional platforms, moving to more performance-related regional support, assisting regional platforms to develop and monitor delivery of regional strategies and, where appropriate, facilitating inter-regional WOPs and transfer of experience.

**Mobilizing Finance** for WOPs and helping to leverage significant follow-up investment from financial institutions for operators.

**Direct operational support:** providing strategic support to select partnerships, especially in geographical or thematic areas requiring attention.

Despite their frequent lack of capacity, water operators are the key actors in the management of urban water and sewerage services. Mentor water operators with relevant skills and experience, and mentee water operators that express a demand for assistance to improve their operations, have complementary motivations for taking part in non-commercial partnerships.

## 2.2 Organization and Governance

The GWOPA Secretariat coordinates the work of the Alliance and develops and implements the Alliance's annual work plans. The Secretariat is in Barcelona, Spain, where it is hosted by the Government of Spain. The Secretariat anchored with the Urban Basic Services Branch (UBSB) of UN-Habitat, and it is under the supervision of the UBSB Branch Coordinator.

GWOPA's International Steering Committee provides strategic direction to the Alliance and its Secretariat and approves the annual work plans presented by the Secretariat at the Steering Committee annual meetings. The Steering Committee membership is drawn from Alliance constituencies within GWOPA's broader Alliance Membership. Elections for the Steering Committee occur during GWOPA's General Assemblies.

Alliance Members elect GWOPA's Steering Committee during the biannual General Assemblies from among the Alliance's main constituencies: public water operators and their associations from the various regions, as well as representatives from labour unions, civil society, private operators, donors and expert organizations. The composition of the Steering Committee reflects the geographical and institutional diversity of the Alliance as established in GWOPA's charter.

The current membership of GWOPA Steering Committee is composed as follows:

- 14 representatives from Public Utilities and Associations
- 2 representatives from Private Operators
- 2 representatives from Civil Society Organizations
- 2 representatives from Labour Unions
- 9 representatives from Alliance Partners
  - 4 representatives from Donors
  - 4 representatives of Regional Platforms
  - 1 representative from a National Platform
  - 2 Permanent Members from the GWOPA Secretariat and UN-Habitat

The Integrity Sub-Committee (ISC) is an important organ of the Steering Committee, established to support GWOPA in its ongoing efforts to ensure the application of its guiding principles. The ISC reviews partnerships carried out under the WOPs banner and recommends action to ensure coherence with WOPs principles.

### **2.3 Funding and Budget**

The staff and operational costs of the UN-Habitat GWOPA were funded in 2009-2010 mainly through the UN-Habitat Water and Sanitation Trust Fund (WSTF). Contributions came from the Government of Spain and Norway. In 2010, funding of US\$3.5 million was provided by the Abu Dhabi Water and Electricity Authority for a three-year period (2010-2013). Other funders include the French Development Agency (AFD), and the Catalan Development Agency, which have also contributed to GWOPA operations.

During the implementation of the strategy, 2013-2017, the GWOPA Secretariat was hosted in Barcelona and supported by an annual grant from the Government of Spain of 1.1M Euros (1.4M USD) for a period of five years and a one-time contribution of 500,000 Euros from the Barcelona City Council and a consortium of major private sector actors in the city. In addition, GWOPA Secretariat expanded its engagement with utilities of the North and encouraged the use of innovative funding for WOPs, such as decentralized solidarity mechanisms.

### **2.4 Previous Evaluations of the Strategy and GWOPA**

The Strategy specifies that an external evaluation should be commissioned at mid-term of the five-year period. The mid-term review was conducted in 2016/2017 to assess GWOPA's performance in terms of achieving its stated goals, appropriateness, effectiveness and to offer recommendations aimed at increasing the effectiveness of the new strategy (Refer to the Mid-Term Review of GWOPA Strategy 2013-2017)

### **3. Purpose and Objectives of the Evaluation**

The evaluation has performance, learning and accountability purposes. The findings, lessons learned and recommendations from this evaluation will inform decision-making and strategic direction for the new strategy, 2018-2022. The evaluation will also document results and impact of the strategy and reveal the extent to which the strategic objectives were achieved, challenges experienced and identify missed opportunities.

#### **3.1 Evaluation Objectives**

- a) Assess what progress was made toward achievement of results at the outcome and impact levels;
- b) Assess the performance in terms of the relevance of results, efficiency and effectiveness, impact outlook as well as sustainability of the approach.
- c) Assess the adequacy of partnerships and twinning arrangements supported by GWOPA and how these arrangements have benefited the water operators and contributed to development results such as increased access to water supply and sanitation;
- d) Assess what has changed and what elements should continue in the next new Strategy; and bring forward challenges and opportunities for long-term partnerships among the GWOPA members as well as resource mobilization.
- e) Identify lessons and provide recommendations to inform the development of the new GWOPA strategy.

The key audiences for this evaluation are the UN-Habitat Management, the GWOPA Secretariat, The GWOPA International Steering Committee, GWOPA Alliance Implementing partners and donors.

### **4. Scope and Focus**

The evaluation will focus on the entire five-year period of the strategy implementation, 2013-2017. It will cover both the strategy and the operational level with a view to drawing lessons to inform the development and implementation of the new strategy: In terms of strategy, the evaluation will review the coherence and clarity of the strategic framework and its usefulness in guiding GWOPA efforts as well as allocation and implementation decisions. At operational level, modalities and implementation performance of partners will be assessed, results analyzed and documented.

### **5. Evaluation Questions and Criteria**

The overall evaluation questions to be answered by this evaluation will be structured under the basic five evaluation criteria as follows:

#### **Relevance**

1. How relevant was the strategy to UN-Habitat and GWOPA members given the changing context and roles of UN-Habitat, specifically with adoption of SGDs and New Urban Agenda?
2. How relevant and effective has GWOPA's engagement been in the international policy dialogue on water and sanitation issues?



### **Effectiveness**

1. To what extent have the two objectives and eight expected accomplishments of the Strategy been achieved?
2. How effectively has GWOPA Secretariat delivered and achieved GWOPA strategy priorities and contributed to promoting the implementation of, and better coordination between, WOPs?
3. Has the work of the GWOPA Secretariat resulted in unintended and/or indirect changes in line with the objectives of the Strategy for 2013-2017?
4. Has the implementation of the Strategy prioritized gender sensitive and human rights approaches as well as considered climate and youth which are cross-cutting issues of UN-Habitat?
5. How do expected and planned results compare against results delivered?
6. What lessons can be drawn from relying on twinning partnerships as the key implementing modality?

### **Efficiency**

1. Was the formulation of the strategy appropriated based on sound understanding of partnership alliance, were risks identified, assessed and strategies developed for monitoring and reporting?
2. Were resources mobilized and services designed to effectively respond to the objectives and priorities of the strategy?
3. Has the GWOPA Secretariat and UN-Habitat and Steering Committee arrangements delivered as expected?
4. To what extent have delays and other changes during implementation affected cost-effectiveness?

### **Impact Outlook**

To what extent has the GWOPA strategy attained or not (or is expected to attain) development results as in improved water supply and sanitation in the short, medium and long-term of the targeted beneficiaries and GWOPA partners?

### **Sustainability of Approach**

1. To what extent has the GWOPA strategy through implementation of activities engaged the participation of beneficiaries in design, implementation, monitoring and reporting?
2. To what extent has/ will the GWOPA strategic approach be replicated or scaled up at national or local levels?
3. To what extent has/ will the GWOPA strategic approach and implementation of activities fostered new innovative partnerships?

It is acknowledged that causal links at the Strategy's impact level may be difficult to establish and expecting impacts from a strategy that has no baseline data. The evaluation should take these factors into account, but should nevertheless document outcomes / effects and the wider impact of the Strategy.

## **6. Stakeholders Involvement**

As the evaluation will be forward-looking and feeding into the formulation of new strategy, stakeholder involvement is an essential part of the evaluation. However, the involvement will not compromise the independence of the evaluation. It is expected that this evaluation will be participatory, involving both internal and external key stakeholders. It will involve GWOPA members, GWOPA Knowledge centres, donors, other relevant UN-Habitat partners, and beneficiaries of GWOPA activities.

## **7. Evaluation Approach and Methodology**

The evaluation will be conducted in four consecutive phases: an inception phase; data collection and field visit phase; an analysis and drafting phase; and evaluation findings presentation and dissemination phase.

A variety of methods will be applied:

- Desk review of relevant strategy documents, including but not limited to the GWOPA Strategy 2013-2017; progress reports and GWOPA Mid Term Review, 2017;
- Interviews with various stakeholders, including relevant UN-Habitat staff, GWOPA Steering Committee Members, GWOPA Members, donors, and other relevant key UN-Habitat partners;
- Surveys to beneficiaries, mentee utilities;
- Group meetings for consultations and validation of findings;
- Analysis and synthesis of information should be presented logically to give an overall assessment of progress and impacts in the implementation of the GWOPA Strategy 2013-2017.

## **8. Accountability and Responsibilities**

The independent Evaluation Unit of UN-Habitat will supervise and manage the evaluation process, including planning, providing technical support, follow up and dissemination of evaluation products. GWOPA Secretariat, Urban Basic Services Branch (UBSB) and Programme Division will be responsible for providing information and documentation required, and coordination with the relevant evaluation stakeholders.

An Evaluation Reference Group (ERG) will be established to oversee the evaluation process. Members of the ERG are proposed to include representatives from the Office of the Executive Director (OED), Programme Division, Management and Operations Division, UBSB, GWOPA Secretariat and GWOPA Steering Committee. The Reference Group will be responsible for reviewing and endorsing TOR and the main evaluation deliverables, including the inception report, drafts and final evaluation report with the intent of ensuring quality, credibility and utility of the evaluation.

The Evaluation consultant will be responsible for conducting the evaluation based on these TORS and applying UNEG norms and Standards. He/she will prepare main evaluation deliverables (inception report, draft reports and final evaluation report).

Other key stakeholders may be consulted at strategic points in time of the evaluation either through mail correspondence or through participation in meeting(s).

## **9. Qualifications of the Evaluation Consultant**

The evaluation will be conducted by one independent external evaluation consultant and building on the mid-term evaluation of GWOPA Strategy that was recently conducted. The consultant must have proven and extensive experience in evaluating policy and strategies at international level. He/she should have proven capacity and strong methodological and analytical skills and solid knowledge of water and sanitation, partnerships and global networks.

In addition, the consultant should have:

- a) Extensive evaluation experience with ability to present credible findings derived from evidence and putting conclusions and recommendations supported by findings.
- b) Specific knowledge and understanding of UN-Habitat and its mandate.
- c) 10-15 years of programme management experience in results-based management working with development project/ programmes.
- d) Advanced academic degree in political sciences, social economy, governance, planning, similar relevant fields.
- e) Experience in water and sanitation in developing countries desirable.
- f) Fluent in English.

## 10. Provisional Time Schedule

The evaluation will be conducted during the period of November 2017 to January 2018. The table below indicates timelines and expected deliverables for the evaluation process.

Item	Description	Timeframe
1	Development and approval of TOR	August-October, 2017
3	Recruitment of the evaluation consultant	October, 2017
4	Inception phase, including formal document review, development of inception report	November, 2017
5	Data collection phase: Collection of data through interviews, projects analysis, surveys, etc.	November-December 2017
6	Report writing, review and submission	December 2017-January 2018

## 11. Key Deliverables

The three primary deliverables for this mid-term evaluation are:

1. **Inception Report** with evaluation work plan. Once approved, it will become the key management document for the evaluation, guiding the evaluation delivery in accordance with UN-Habitat's expectations.
2. **Draft Evaluation Report.** The consultant will prepare an evaluation report draft to be reviewed and endorsed by the Evaluation Unit, and the Evaluation Reference Group. The draft should follow UN-Habitat's standard format for evaluation reports (to be provided).
3. **Final Evaluation Report** should not exceed 40 pages (excluding Executive Summary and appendices). In general, the report should be technically easy to comprehend for non-specialists, containing detailed lessons learned and recommendations.

## 12. Resources and Payment

The consultant fees and DSA will be paid based on UN terms and conditions for consultants, considering experience and qualifications. The consultant will be paid professional fee; and DSA will be only paid when working outside his/her duty station. Travel costs of the consultant (airplane ticket economy class), will be covered by UN-Habitat.

# Annex 2.

## List of Persons Consulted

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### **UN-Habitat**

Dr Martin Barugahare, Chief, Evaluation Unit  
Ms Susanne Bech, Evaluation Officer, Evaluation Unit  
Ms Lucy Waikwa, Officer, Evaluation Unit  
Mr Raf Tuts, Director, Programme Division\*  
Mr Andrew Cox, Director, Management and Operations Division\*  
Mr Andre Dzikus, Branch Coordinator, Urban Basic Services Branch\*  
Mr Pireh Otieno, Human Settlements Officer, Urban Basic Services Branch  
Ms Kazumi Ogawa, Chief, Office of the Executive Director  
Mr Saidou Ndow, Chief Legal Officer, Legal Office, Management and Operations Division  
Ms Lucia Kiwala, Chief, Partner Relations Unit  
Dr Shipra Narang Suri, Coordinator, Urban Planning and Design Branch  
Mr Joshua Mulandi Maviti, Associate Human Settlement Officer, Housing and Slum Upgrading Branch  
Ms Rosemary Kiragu, Programme Management Officer, Urban Basic Services Branch  
Dr Naison Mutizwa-Mangiza, Director, Regional Office for Africa  
Ms Fernanda Lonardoni, Housing Policy Adviser, Housing and Slum Upgrading Branch  
Ms Angela Mwai, Project Officer Gender Coordination and Support Unit  
Mr Dyfed Aubrey, Inter-Regional Advisor, Programme Division  
Mr David Evans, Settlements Recovery Unit Leader & Emergency Director, Risk Reduction and Rehabilitation Branch  
Dr Eduardo López Moreno, Head, Research and Capacity Development  
Mr Marco Kamiya, Coordinator, Urban Economy and Finance Branch  
Mr Oumar Sylla, Unit Leader Land and Global Tool Network, Urban Legislation and Governance Branch  
Mr Gianluca Crispi, Human Settlements Officer, Urban legislation Unit, Urban Legislation and Governance Branch  
Mr Han Zhang, Legal Consultant, Urban Legislation Unit, Urban Legislation and Governance Branch  
Ms Lisette Albrechtsen, Project Adviser Urban Basic Services Branch  
Mr Faraj El-Awar, Adviser, Urban Basic Services Branch, Former Head of GWOPA  
Ms Katja Schaefer, Programme Management Officer, Regional Office for Arab States  
Mr Bernhard Barth, Programme Management Officer, Human Settlements, Regional Office for Asia and the Pacific  
Ms Carmen Sanchez Miranda, UN-Habitat Office Madrid, Spain

### **GWOPA Secretariat**

Mr Jose Luis Martin Bordes, OIC, GWOPA Secretariat\*

Ms Julie Perkins, Programme Officer

Ms Anne Bousquet, Programme Officer

Ms Maria Pascual, Programme Officer

Ms Julissa Kiyenje, Consultant

### **GWOPA Partners**

Mr David Boys, Deputy General Secretary, Public Services International\*

Mr Ignatius Jean, Executive Director, Caribbean Water and Sewerage Association Inc.\*

Ms Corinne Trommsdorf, Prog. Manager Cities of the Future, International Water Association\*

Mr Sylvain Usher, Executive Director, African Water Association\*

Ms Ulrikke Kelm, Director of Communications, AquaFed

Mr Neil Dhot, Executive Director, AquaFed

Mr Simeon Kenfack, Programme Director, African Water Association/ Africa WOP Platform

Ms Valeria Suarez, Coordinator WOP-LAC

Ms Mai Flor, Executive Director, WaterLinks, Asia and the Pacific WOP Platform

### **Donors**

Mr Javier Sota, Head of Sectoral Department, Spanish AECID Development

Ms Inmaculada Paniagua Brieva, Water and Sanitation Specialist, Spanish AECID

Mr Pim van der Male, Senior Policy Officer, Ministry of Foreign Affairs, The Netherlands

### **Utility operators**

Mr Mbaruku Vyakweli, Corporate Affairs Manager, Nairobi City Water and Sewerage Company

Mr John K Otieno, Water Project Manager, Nairobi City Water and Sewerage Company

### **Others**

Mr Bert Diphooorn, Adviser external relations, Akvo – currently Facilitator for GWOPA

\*Member of the Evaluation Reference Group: ERG Kick-off meeting 14 November 2017, ERG meeting 13 December 2017 concerning the Inception Report, and ERG meeting on 28 March concerning the draft Evaluation Report.

# Annex 3.

## List of Document Consulted

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### **UN-Habitat. October 2017. UN-Habitat Position on GWOPA.**

GWOPA. 2017. Draft How-To Manual: A practical guide to the implementation of Water Operators' Partnership.

GWOPA. 2017. Draft WOP PMR Tool: Planning Monitoring and Results User Guidance.

GWOPA. 2017. Communicating on WOPs: A starter guide

David Boys et al. September 2017. Open Letter.

UN Economic and Social Council. June 2017. Repositioning the UN development system to deliver on the 2030 Agenda – Ensuring a Better Future for All: Report from the Secretary General.

EC. June 2017. Elaboration of a strategy proposal for strengthening partnership for capacity development in the ACP Water and Sanitation Sector.

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# Annex 4.

## Mentee and Mentor Questionnaires

The questionnaires were sent to three mentees and three mentors. Regrettably only one mentor responded.

### GWOPA Mentee Questionnaire

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Name of mentee utility: .....

Location of mentee utility: .....

Name of **mentor** utility:  
Location of mentor utility:  
Name of contact person:

1. What stage is your WOP in? Short-term (LT), Medium-Term (MT); Long-Term (LT); or already completed

**Please specify:**

2. What themes were included in the WOP for the LT, MT and LT respectively?

**Please specify in the attached table for the three stages as applicable.**

3. Is/was the matchmaking with the mentor utility successful?

**Please specify:**



4. Besides the facilitation funding provided by GWOPA, has your utility could attract additional funding for identified improvements? If so, which organisation provided the additional funding and was it on a grant or loan basis?

**Please specify:**

5. Will your utility pursue a new WOP either as mentee or mentor with GWOPA or without GWOPA?

**Please specify:**

6. If you enter into a new WOP without GWOPA, will you in any case be willing to provide information to the GWOPA data information system?

**Please specify:**

7. Has the WOP overall contributed to substantial improvements in terms of: a) improved performance by reducing the gap between demand and supply within the existing service area; b) increased quality of the services provided; c) increased number of customers; and d) increased coverage by including non-previously served areas?

**Please specify:**

Thank you very much for your assistance.

# GWOPA Mentor Questionnaire

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Name of mentor utility:.....

Location of mentor utility:.....

Name of **mentee** utility:  
Location of mentee utility:  
Name of contact person:

1. What stage is your WOP in? Short-term (LT), Medium-Term (MT), Long-Term (LT), or already completed.

**Please specify:**

2. What themes were included in the WOP for the LT, MT and LT respectively?

**Please specify in the attached table for the three stages as applicable.**

3. Is/was the matchmaking with the mentee utility successful?

**Please specify:**

4. Besides the facilitation funding provided by GWOPA, was the mentee utility able to attract additional funding for identified improvements? If so, which organisation provided the additional funding and was it on a grant or loan basis?

**Please specify:**

5. Will your utility pursue a new WOP as mentor with or without GWOPA?

**Please specify:**

6. If you enter into a new WOP without GWOPA, will you in any case be willing to provide information to the GWOPA data information system?

**Please specify:**

7. Has the WOP overall contributed to substantial improvements of the mentee utility in terms of:  
a) improved performance by reducing the gap between demand and supply within the existing service area; b) increased quality of the services provided; c) increased number of customers; and d) increased coverage by including non-previously served areas?

**Please specify:**

Thank you very much for your assistance.

**Performance Improvement Plan (PIP) framework for WOP interventions**

Acronym	Improvement themes	ST	MT	LT
HR	Human Resources Development			
IS	Institutional Strengthening			
PL	Policy and Institutional Support			
BP	Master Planning and Business Planning			

FM	Financial Management			
CR	Communication & Customer Relations			
BC	Billing and Revenue Collection			
NRW	Non-Revenue Water Management			
OM	Operation and Maintenance			
AM	Asset Management			
IT	Information and Communication Technology			
WS	Extension of Water Supply Services			
SS	Extension of Sanitation and Hygiene Services			
PH	Expansion of Services to Households			
WT	Wastewater Treatment and Reuse			
WM	Sustainable water resources and integrated water resources management			
WQ	Water Quality Management and Water Safety			
DM	Water Demand Management			
EE	Energy Efficiency			
CC	Climate Change Resilience			
Others				

# Annex 5:

## Results from WOP case studies

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Whereas Key Performance Indicators (KPIs) have typically been used to gauge results in WOPs, GWOPA has developed an evolved WOPs results framework, based on capacity development theory and WOP practice, to overcome the following shortcomings with KPI- focused monitoring:

- On a smaller scale: sustainable capacity development initiatives rarely lead directly or quickly to KPI changes, yet even in the short term they are creating important interim improvements at individual and institutional levels that can be measured;
- On a greater scale: The contribution of WOPs to localizing international development frameworks can be significant but are rarely captured.

The WOP Results Framework notes changes in KPIs (see “utility performance improved” below), but also considers WOP results that precede changes in KPIs (“capacity built” and “new working routines embedded”), as well as those greater results to which improved performance contributes (SDGs and the New Urban Agenda).

Result type	Time frame	Attribution to WOPs	Level of Impact
Impact	Long	Low	Institutional
Impact	Medium -Long	Medium-Low	Organizational
Outcome	Short-Medium	High- Medium	Organizational
Outcome	Short	High	Individual

The results reported in WOPs Case studies, analysed through the BEWOP initiative, have been retrospectively categorized according to this new Wop results framework and are presented below. In several cases, KPI changes are highly likely but were insufficiently documented (or attributed to WOPs. As expected, with longer and more intensive WOPs, results move from the individual to institutional level and combine to contribute to higher level impacts. At the same time, the wider the result, the more additional factors come into play and the less the WOP may be directly attributed with its achievement.

# Annex 6:

## Nairobi City Water and Sewerage Company

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Water service provision in Kenya is governed by the Water Act 2002. The Act reformed the water sector aiming at facilitating access to clean water and sewerage services. Regional Water Services Boards were established to oversee water operations in the respective areas of jurisdiction, which in turn are regulated by the Water Services Regulatory Board – a non-commercial State Corporation. The 2002 Water Act separates policy formulation, regulation and services provision. The 2010 Constitution the water sector is regulated the National Government through the Ministry of Ministry of Water and Environment, which delegates authority to devolved units of the County Governments. Nairobi City Water and Sewerage Company (NCWSC) is a utility company that is fully owned by Nairobi City County. NCWSC enters into five-year agreements with the Athi Water Services Board (AWSB) and annual performance contracts with the Nairobi City County. NCWSC provides water and sewerage services to the residents of Nairobi, whereas the AWSB provides infrastructure development and asset renewals. The City of Nairobi has about 3.5 million residents. The Nairobi City County/ metro area is estimated to have about 6.5 million residents.

NCWSC's area of jurisdiction is divided into six administrative regions, which are further divided into 25 zones. The water demand of Nairobi City was about 720,000 m<sup>3</sup> per day in 2015, whereas the daily water production was about 540,000 m<sup>3</sup> per day. In 2015, 80% of the City's households had access to piped water, whereas sewer coverage was about 44%. The rest of the residents obtain water from kiosks, vendors and illegal connections. In a bid to increase coverage to poor households, NCWSC constructed 24 water kiosks and an 18-km long water pipeline to serve a population of 200,000. A pro-poor tariff is applied for the poorer segments of the residents. To manage the supply gap, NCWSC introduced rotational water supply, however, this resulted in poor pressure management leading to increased leakages.

The NCWSC received support through the OFID 9 African WOPs Programme as a mentee and was matched with the Ugandan National Water and Sewerage Company (NWSC) as a mentor, which happened at an introductory meeting in Barcelona for potential WOP partners. NWSC is operating in 97 urban centres spread across Uganda. Besides being mentor for NCWSC, NWSC was mentor for two other mentees in the OFID supported project. The WOP commenced effectively in September 2014 to May 2015. There was a total of seven visits, three of them of the mentee to the mentor. The diagnostic visit in Nairobi took place in September 2014 by a team of experts from NWSC. Three themes were selected for the Short-Term PIP to be implemented during the 9 months' period; five for the Medium-Term PIP: and 12 for the Long-Term PIP, see the table below. The OFID funding was only provided for the exchange visits. Additional external funding for implementing the Medium-Term and Long-Term PIP. NCSWC has since received funding for knowledge management from the Dutch Embassy.

A four-day participatory assessment workshop was conducted, which entailed field visits to the service areas, discussions with management, plenary sessions and focus group discussions. During the process the themes were prioritised and dedicated to short, medium and long-term implementation. Improvements were achieved in all prioritised area, although all targets were not met. The targets met were water production, customer perception level, conduct of a stakeholders' forum, formulation of an asset management policy (but not yet approved by AWSB), as well as the establishment of an active leakage detection team.

## Selection of themes

No.	Acronym	Improvement themes	ST	MT	LT
1	HR	Human Resources Development		X	
2	IS	Institutional Strengthening			X
3	PL	Policy and Legal Support			X
4	BP	Master Planning and Business Planning			X
5	FM	Financial Management		X	
6	CR	Communication & Customer Relations			X
7	BC	Billing and Revenue Collection			X
8	NRW	Non-Revenue Water Management	X		
9	OM	Operation and Maintenance		X	
10	AM	Asset Management	X		
11	IT	Information and Communication Technology			X
12	WS	Extension of Water Supply Services			X
13	SS	Extension of Sanitation and Hygiene Services			X
14	PH	Expansion of Services to Households		X	
15	WT	Wastewater Treatment and Reuse			X
16	WM	Sustainable Water Resources and IWRM			X
17	WQ	Water Quality Management and Water Safety			X
18 <sup>a</sup>	DM	Water Demand Management			
19	EE	Energy Efficiency		X	
20	CC	Climate Change Resilience			X
21 <sup>b</sup>	CM	Change Management	X		

### Notes:

- a. Not included in the NCWSC/NWSC WOP Final Report;
- b. Not included in the Performance Improvement Manual.

Improvements were achieved in all prioritised area, although all targets were not met. The targets met were water production, customer perception level, conduct of a stakeholders' forum, formulation of an asset management policy (but not yet approved by AWSB), as well as the establishment of an active leakage detection team.

## NCSWC's targets and performance for the short-term PIP

Indicator	Unit	Baseline performance	Performance target Sep 14 – April 15	Average actual performance Sep 14- April 15	Percent of target achieved	Percent of performance improvement
Water produced	m <sup>3</sup> mn	16.5	16.5	16.6	101%	1%
Water sold	m <sup>3</sup> mn	10.0	10.9	10.3	95%	3%
Non-revenue water	%	39%	30%	38%	79%	3%
Meter reading efficiency	%	68%	90%	70%	78%	3%
Customer perception level	%	59%	64%	73%	114%	24%
Stakeholders forum	No.	0	1	1	100%	100%
Draft bill	No.	0	1	0	0%	0%
Asset management policy	No.	0	1	1	100%	100%
Active leakage detection team	No.	0	1	1	100%	100%

**Source:** NCWSC WOP Final Report

Considering that the short-term PIP only had a duration of 9 months, the achievements were a major step forward paving the way for implementing the medium and long-term PIPs – the implementation which for a major part of the themes will be subject to the availability of investment funding. The outcomes generated from the short-term PIP will over time lead to measurable impact. The further process of implementing the medium and long-term PIPs would evidently lead to more substantial impacts. Such impacts materialise over time and would need to be accompanied with complementary actions to ensure their realisation and sustainability.<sup>52</sup>

NCWSC appreciated the structured process of setting priorities for investments as elaborated in the PIP Manual and enjoyed the dynamic the peer-to-peer cooperation. It was recognised by the two partners that they were equally competent in most themes, but the concentrated focus was of great value. The next challenge is to have access to investment capital, in principle that should be the responsibility of the AWSB according to the division of work. Nairobi is one of the fastest growing cities in Africa at growth rate of approx. 4.1%. Since there is already an existing supply gap, the need for capital investment for the current and underserved areas is a continuing issue. An NCWSC investment plan should be closely linked to the Nairobi City County/ metro area development master plan.

NCWSC exchanges its experience with other Kenyan water and sanitation utilities through the national W&S club. Most Kenyan utilities are member of the African Water Association. With the experience gained, NCWSC has been requested to act as a mentor for other African water and sanitation facilities – without the involvement of GWOPA. NCWSC considers GWOPA has a continued relevance, particularly more so if options for acquisition of investment capital could be provided.



# Annex 7:

## Outline of a Results Framework for the GWOPA Strategy 2018-2022

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**Development objective:** The GWOPA WOP mechanism contributes to increased access to appropriate water and sanitation services benefitting urban and peri-urban residents at large.

**Immediate objectives:**

- a. The GWOPA governance and management framework<sup>53</sup> is well established to guide the implementation and advancement of the WOP mechanism; and
- b. The inclusive nature of the GWOPA WOP mechanism promotes multi-actor engagement leading to increased recurrent and development funding, which in turn results in increased capacity for provision of appropriate water and sanitation services and thus improved access.

Intervention periods from 1 to 5 years			Post intervention period – moving towards 2030	
Interventions	Outputs/ efficiency	Short-term outcomes/ effectiveness	Long-term outcomes/ effectiveness	Impact
<p>GWOPA Secretariat is adequately supported to sustain its global role.</p> <p>Enhancement of the normative framework for WOPs in cooperation with knowledge centres, e.g. SDGs and the New Urban Agenda.</p> <p>Pilot projects, research, reviews and evaluations conducted by the GWOPA Secretariat of WOP performance.</p> <p>Advocacy and communications guidelines for promotion of WOPs.</p> <p>Capacity development guidelines and good practices for WOPs.</p> <p>Alliance strengthening and governance at global, regional and national levels.</p> <p>Strengthening of regional and national platforms for upscaling of WOPs.</p> <p>Conduct of GWOPA biennial congresses and assemblies at global and regional levels.</p> <p>Finance resource mobilisation for capacity development and leveraging of investment.</p> <p>Interface and coordination with other donor and government supported water and sanitation initiatives.</p>	<p>The division of functions between the GWOPA Secretariat and regional platforms is clearly defined and harmonised.</p> <p>Functional and expanding regional and national platforms for monitoring current WOPs and launching of new ones.</p> <p>Increased numbers of: Short-term WOPs Medium-term WOPs Long-term WOPs.</p> <p>Improved GWOPA Secretariat monitoring framework; and database with inputs from WOP utilities – generating performance evidence at global and regional levels of directly and indirectly supported WOPs.</p> <p>Improved donor coordination and harmonisation of technical support and financial resource mobilisation.</p> <p>Multiple finance sources mobilised for capacity development and investment for rehabilitation and expansion of services.</p> <p>Improved technical and financial management capacity developed for operating water and sanitation services.</p>	<p>The Alliance's results motivate governments, donors and water operators to apply the WOP concept.</p> <p>Regulators enhance the enabling frameworks for water and sanitation utilities – including challenges related climate change, IWRM, UWM and solid waste.</p> <p>Mainstreaming of human rights to water, gender and environmental issues.</p> <p>WOP mentee strategies developed for sustainable use and protection of water sources.</p> <p>WOP mentee strategies developed for improved sanitation services.</p> <p>Enhanced organisational capacity &amp; reforms and self-financing of O&amp;M activities of WOPs.</p> <p>WOP mentee short and long-term investment plans prepared for improvement and expansion of water and sanitation services.</p> <p>Increased access to investment financing from government and donors for rehabilitation and expansion.</p> <p>WOP utilities move forward to achieving financial sustainability for recurrent costs (tariffs) and investment (servicing of loans).</p> <p>Immediate and low-cost improvements of water and sanitation services.</p>	<p>The WOP mentees become increasingly self-reliant, but continue to consult their mentors.</p> <p>Some mentees transform into mentors as they have attained adequate capacity from their own experience – and generate new WOPs.</p> <p>Pro-poor strategies are conceived based on consultative and participatory approaches and integrated into investment plans to expand coverage area and access for all citizens.</p> <p>Investment financing is obtained through government and donor funding sources – but increasingly through innovative funding mechanisms.</p> <p>The water supply services become increasingly reliable and cost-effective by being more energy efficient and less dependent on chemicals for maintaining water quality standards.</p> <p>The sanitation and wastewater treatment services (and solid waste management) increase in coverage and become increasingly effective through decrease of pollution of recipient water sources.</p> <p>Recycling and reuse of wastewater are increasingly being applied.</p>	<p>Equitable access to safe and affordable drinking water for a majority of the target population.</p> <p>Access to adequate and equitable sanitation and hygiene for an increasing part of the target population.</p> <p>Improved water quality by reducing pollution; and reduction of untreated wastewater.</p> <p>Increased water-use efficiency across all sectors and sustainable withdrawals and supply of fresh water to reduce the number of people suffering from water scarcity.</p> <p>Improved health and well-being, e.g. reduction of water related diseases, improved nutritional quality and family diet.</p> <p>Improved conditions for socio-economic development.</p>

# Endnotes

- <sup>1</sup> UN Economic and Social Council: Advance Unedited Version, 30 June 2017.
- <sup>2</sup> GWOPA Strategy, p.10.
- <sup>3</sup> WOPs can be short, medium or long-term partnerships. WOPs are generally launched as short-term and may evolve into medium or long-term WOPs in succeeding phases.
- <sup>4</sup> Per Kirkemann, Nordic Consulting Group, Denmark
- <sup>5</sup> UNEG. June 2016. Norms and Standards for Evaluation
- <sup>6</sup> The OECD/DAC criteria have specific definitions for each criterion.
- <sup>7</sup> The SDGs were adopted by the Member States of UN at the Summit of Sustainable Development in September 2015, replacing the MDGs.
- <sup>8</sup> The GWOPA Secretariat established baseline data based on the GWOPA Strategy's Monitoring Framework, ref. Chapter 5.
- <sup>9</sup> GWOPA/Blokland Advisory Services. January 2017. Final Report, GWOPA Mid Term Review of the GWOPA Strategy 2017.
- <sup>10</sup> GWOPA. December 2016. Final Evaluation Report: GWOPA's Project Evaluation of 9 African Operators Partnerships (WOPs) to develop Performance Improvement Plans (PIPs).
- <sup>11</sup> BEWOP was launched in 2013 and is a collaboration UNESCO-IHE and GWOPA.
- <sup>12</sup> The evaluation has been allocated 30 workdays for one evaluator.
- <sup>13</sup> The UNSGAB Hashimoto Action Plans articulates a time-bound vision, targeted actions and clear outcomes aiming to ensure a future where each child, woman and man enjoys clean water and safe sanitation.
- <sup>14</sup> Through the UNWC Global initiative research was conducted into the role and relevance of the UNWC within particular regions. The research seeks to examine key regional challenges in transboundary water management; trace the evolution and normative content of existing international law relating to international watercourses; and assess the similarities and differences between the existing regional treaty law and provision of the UNWX from a regional and basin perspective.
- <sup>15</sup> In the final conclusions of UNSGAB, GWOPA was referred to as one of its most successful initiatives.
- <sup>16</sup> UN-Habitat. 2008. The UN-Habitat Water and Sanitation Trust Fund Strategic Plan 2008-2012, Annex 5.
- <sup>17</sup> UN-Habitat. September 2013. 2012 Annual Report, Urban Basic Services Portfolio.
- <sup>18</sup> GWOPA Charter, Version 2 as of October 2013
- <sup>19</sup> 9th Annual GWOPA Steering Committee Meeting, (Day 2, p. 9) February 2017
- <sup>20</sup> UN-Habitat position on GWOPA, Section 2, second bullet, October 2017
- <sup>21</sup> Summary notes: Discussions with GWOPA Steering Committee, 25 October 2017, Brussels. The Position Paper highlight the importance of GWOPA in relation to the New Urban Agenda, October 2017.
- <sup>22</sup> UN Economic and Social Council: Advance Unedited Version, 30 June 2017.
- <sup>23</sup> The QCPR resolution prohibits the use of core resources in projects for any UN agency.
- <sup>24</sup> Habitat III, New Urban Agenda, Outcome Document, September 2016 to be adopted at the Habitat III Conference that took place in Quito, Ecuador in October 2016.
- <sup>25</sup> UN Water/ WHO 2017. Financing Universal Water, Sanitation and Hygiene under the Sustainable Development Goals: UN Water Global Analysis and Assessment of Sanitation and Drinking-Water.
- <sup>26</sup> The presentation of water operators draws on the "EC. June 2017. Elaboration of a Strategy Proposal for Strengthening Partnerships for Capacity Development in the ACP Water and Sanitation Sector".
- <sup>27</sup> The presentation is based on excerpts from the "EC. April 2017. Evaluation of the 9<sup>th</sup> and 10<sup>th</sup> EDF ACP EU Water Facility".
- <sup>28</sup> Lobina, E. and Hall, D. 2012. ACP-EU Water Facility – Partnerships Initiative. Report for the European Commission, Service contract 2010/236-444 (2010-2012), August 2012 (<http://www.psiu.org/sites/default/files/2012-08-W-ACPEUPUPs.docx>).
- <sup>29</sup> Technical University of Darmstadt. November 2017. WOPs Documentation and Analysis Project.
- <sup>30</sup> Sida has in a recent communication with the GWOPA Secretariat informed that - due to GWOPA's current situation - Sida is not in position to accept the proposal for the time being.
- <sup>31</sup> UN-Habitat operates within the UN Secretariat's Rules and Regulations and GWOPA is therefore managed in accordance with these.
- <sup>32</sup> GWOPA Annual Report 2016.
- <sup>33</sup> DGIS is responsible for development cooperation policy and for its coordination, implementation and funding.
- <sup>34</sup> The OPEC Fund for International Development (OFID) is the development finance institution established by the Member States of OPEC in 1976 as a channel of aid to the developing countries. OFID works in cooperation with developing country partners and the international donor community to stimulate economic growth and alleviate poverty in all disadvantaged regions of the world.
- <sup>35</sup> GWOPA. June 2014. Performance Improvement Manual: Working Document, Version 1.
- <sup>36</sup> ISEAL represents the global movement of sustainability standards. Sustainability standards address many of the world's biggest environmental and social challenges, and they have real impact. Together with our members, we're working to share best practice, deliver real and lasting change, and improve lives.
- <sup>37</sup> Source: GWOPA Annual Report 2014
- <sup>38</sup> Source: GWOPA Annual Reports 2014 and 2015.
- <sup>39</sup> Daegu Gyeongbuk Institute of Science and Technology (DGIST) is a public science and engineering university located in Daegu Metropolitan City, Republic of Korea.
- <sup>40</sup> This Section draws on information from the MTR and the GWOPA Annual Report 2016.

- <sup>41</sup> Source <http://www.water-1percent.org>
- <sup>42</sup> DIBs may also be termed Social Impact Bonds (SIBs). SIBs are gaining in popularity because they allow governments and development organisations to secure upfront funding for specific initiatives, while sharing risks. SIBs enable governments to execute projects without increasing short-term public expenditure and taking on new debt. So far SIBs have been unfolding in the UK, US, and more recently in Australia. But now intermediaries are bringing SIB structures to Africa, Asia and Latin America.
- <sup>43</sup> Reference is made to GWOPA's Annual Report 2016, p.31-35
- <sup>44</sup> Source: GWOPA Annual Report 2015.
- <sup>45</sup> The GWOPA funds came from UN-Habitat Cities and Climate Change Initiative.
- <sup>46</sup> Source: GWOPA Annual Report 2015.
- <sup>47</sup> UN-Habitat has issued a "Policy and Plan for Gender Equality and the Empowerment of Women in Urban Development and human Settlements" and a "Gender Equality Action Plan" – both documents relate to the 2014-2019 period. User guides to Gender Equality Markers and Human Rights Marker (revised June 2016) have been issued.
- <sup>48</sup> Enabling environment is the term used dealing with policy, legal and regulatory mechanisms, financial provisions, etc. at the national and local levels that constitute the framework in which public institutions operate.
- <sup>49</sup> The Global Land Tool Network (GLTN) is an alliance of global, regional, and national partners contributing to poverty alleviation through land reform, improved land management, and security of tenure, particularly through the development and dissemination of pro-poor and gender-sensitive land tools.
- <sup>50</sup> European Commission: June 2017. Elaboration of a strategy proposal for strengthening partnership for capacity development in the ACP Water and Sanitation Sector – Section 1.2.
- <sup>51</sup> GWOPA notes: A key factor determining the order of outcomes achievable is the time in which the impact is measured. Generally, in the short term (0-1 year), WOPs tend to achieve organizational changes related to improvements in staff knowledge, skills, awareness and attitude, in addition to a deeper understanding of the organization's needs and strategies on how to address them. In the medium term (1-3 years), WOP contributions become visible in operational improvements stemming from more efficient organizational routines, improved management practices, more effective organizational structures or management information systems that with time (beyond 3 years) translate into operational, financial and service-related performance improvements.
- <sup>52</sup> Evaluator's note
- <sup>53</sup> The GWOPA Charter provides the mandate and elaborates roles and responsibilities of UN-Habitat; the GWOPA Steering Committee, Congress and Assembly; and GWOPA Secretariat and Regional GWOPA Platforms.



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