Fostering water, sanitation and hygiene (WaSH) marketing exchanges using participatory processes:

A guide for working with residents of informal settlements in the Pacific

Participating organisations

Citation

About this guidebook

The research was managed by International WaterCentre and conducted by International WaterCentre, Monash University, Water Institute at the University of North Carolina, University of the South Pacific, Divine Word University and Live & Learn Environmental Education (LLEE). It has been conducted in partnership with local, provincial and national government departments, civil society organisations, water utilities, multilateral organisations, private sector actors and informal settlements in Fiji, Papua New Guinea, Solomon Islands and Vanuatu.

We worked with two informal settlements in Fiji, Vanuatu, Solomon Islands, and one in PNG. Residents of the informal settlements identified a desire to improve their WaSH situation. We used a participatory action research process, where target populations and enabling actors became co-researchers alongside our team. We explored already occurring WaSH marketing exchanges, as well as target population motivations underpinning current use of, and future aspirations for, WaSH products and services. We also investigated how the access and use of WaSH products and services influences individual and community wellbeing. Together with the target populations and enabling actors we supported conditions under which sustained, self-determined WaSH marketing exchange systems operate in these settings.

Through working with community members of informal settlements and a range of enabling actors, from communities, government businesses, civil society organisations, we were able to describe the features of a WaSH marketing exchange system that supports sustainable and inclusive wash. This guide provides practical information about how such a marketing exchange system can be fostered.

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Ethics statement

We received ethical approval and all relevant research permits or exemptions from the Monash University Human Research Ethics Committee (approval, project CF13/2672 – 2013001430), University of North Carolina Office of Human Research Ethics (exemption, project 13-3694), The University of the South Pacific Human Ethics Committee (approval by email, no number provided), Fijian Ministry of Education (physical project approval letter, no number provided), Fijian Ministry of Immigration (individual permits held by each foreign researcher conducting fieldwork in Fiji), Solomon Islands Ministry of Education and Human Resources (physical permit, no number provided) and Vanuatu Cultural Centre Council (exemption, no number provided).

Citation

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Glossary

Community: A socially-networked group of people

CSO: Civil Society Organisation

Enabling actors: People in civil society, external support agencies, community governance structures, utilities, national and local government, the private sector, and academia who design and implement WaSH policies and programs

Formal rule: Formal rules are usually written, and are created, communicated and enforced through officially sanctioned channels.

Function: An action or activity of a person or institution

Informal rule: Informal rules are socially shared rules, usually unwritten, that are created, communicated and enforced outside officially sanctioned channels.

Informal settlement: A geographic space representing an area of human habitation. Informal settlements generally have illegal nor insecure land tenure, are unplanned, and lack basic infrastructure

Resident: A person who lives within certain geographic boundaries

Social capital: The benefits gained from forming networks or relationships amongst people

Target population: The people you have chosen to work with

WaSH marketing exchange: The ways by which everyone fulfils their WaSH needs by interacting with one another and with enabling actors

WaSH marketing exchange system: The network of people and organisations within and beyond the target population involved in WaSH marketing exchanges, the WaSH products, services, and ideas that people exchange, and the processes and tools that people use to work together

WaSH Marketing exchange system asset: A features that needs to exist for the marketing system to operate, and is the result of functions

WaSH marketing exchange systems in informal settlements: what are they and why foster them?

The purpose of the participatory development approach described in this guidebook is to enable WaSH practitioners to foster WaSH marketing exchange systems. It is therefore important to understand what WaSH marketing exchanges are, how they operate and what support they need, as well as understanding who to involve in fostering these exchanges.

What are "informal settlements"?

Urban migration for employment and education has substantially increased urban and peri-urban populations in Melanesian countries. The low affordability of urban housing, combined with the complex and often conflict-prone land tenure system in the region, has led to an increase in informal settlements[1].

Informal settlements in Melanesia are often on urban fringes, are not planned by government, are on private, government or custom-owned land so that residents have insecure land tenure, and lack basic infrastructure[1]. Residents generally earn little or no income. Some settlements are on the boundaries of city council and provincial administrations, and so, fall between urban and rural policies. Their rapid growth has exacerbated the challenge for WaSH service provision[1]. Most settlements lack connections to mains water and sewerage lines, due to the land tenure, and cannot access council solid waste collection programs. Water-related diseases are common, leading to compromised health and wellbeing[1].

Appendix 1 provides more information on engaging with informal settlements

What are WaSH marketing exchanges?

Marketing exchanges describe the ways in which people gain access to water, sanitation and hygiene products and services. They involve a transfer of value among individuals and groups. Sometimes, this is interpreted narrowly as the transfer of 'money', but WaSH marketing exchanges can go beyond that. For example, sometimes they are based on the social capital that people have built using their relationships. Within any one community or settlement, people will use different types of marketing exchanges to gain access, even to the same WaSH product or service.

- **Market-based exchange**: A buyer and a seller transact in products and services on the basis of a pricing mechanism established by competitive markets or negotiation.
- **Command-based exchange**: A regulated institutional authority makes available products and designs prices and services by a provision motive.
- **Culturally-determined exchange**: A provider and recipient exchange value in ways sanctioned by local traditions and social norms.
- **Non-market-based exchange**: a supplier donates products or services to help in some circumstance of disadvantage and receives no explicit payment, e.g. charitable or philanthropic exchanges. Command-based and Culturally-determined exchanges are also non-market-based exchanges; for the purposes of this communication 'non-market' refers to other types of non-market exchanges, such as donations and charitable exchanges.

WaSH marketing exchanges can involve a network of people and organisations within and beyond the target population, including enabling actors. It is unlikely that a single form of WaSH marketing exchange will be able to provide all of the WaSH needs of a target population. So it is useful to investigate what types of marketing exchanges already occur within target populations and whether these could be fostered, or applied to other WaSH products and services, to improve the WaSH situation.

Appendix 2 provides more information on WaSH marketing exchanges.

Figure 1: A small canteen in Fiji that sells an assortment of WaSH products through market-based exchange.

Figure 2: A rainwater tank in Vanuatu that has been donated by a foreign government through non-market exchange.

A note on sanitation marketing

When discussing sanitation marketing in the WaSH sector, sanitation marketing is often referred to as a set of activities to develop a system whereby local entrepreneurs sell toilet products and associated labour through a price mechanism, often based upon the guidance provided *in Sanitation Marketing for Managers: Guidance Tools for Program Development*[2]. This would be an example of a *market-based exchange*.

When we speak more broadly about WaSH marketing exchanges, we are referring to marketing exchanges that can be any of the four types listed above.

What positive impacts can be achieved by fostering water, sanitation and hygiene marketing exchanges?

In the past, many WaSH programmers and practitioners have focused their efforts on achieving access to improved water and sanitation, as defined by the World Health Organization (WHO)/UNICEF Joint Monitoring Programme. However, given the adoption of the Sustainable Development Goals (SDGs), WaSH programmers and practitioners will have to go beyond the provision of services and products such as pipes and toilets and also work toward enhanced "physical, mental and social wellbeing"[3]. Measures will need to move beyond the number of people with access to improved water and sanitation, and include the potential impacts of WaSH interventions on individuals, and how these impacts may enhance or reduce wellbeing.

Generally speaking, WaSH products and services represent things that people 'have' or don't have. If human development is viewed as improving people's overall wellbeing, then 'having' WaSH commodities is by itself insufficient to judge success. It needs to be supplemented with indicators of the extent to which people subsequently pursue the avenues and opportunities of life that they value, as a result of such improved access (e.g. sending kids to school regularly bathed, being able to work longer hours because a person is in better health).

In other words, WaSH-based development is not only about ensuring that people 'have' commodities, but also enhancing their opportunities to 'do' the activities that they would want to engage in and more generally 'be' whom they want to be. Through fostering WaSH marketing exchanges, the target population is likely to take greater ownership of the process, and thus be more likely to effectively use and sustain new WaSH solutions.

Gaining access to WaSH services or products is only one part of the process needed to achieve wellbeing from WaSH, and should not be confused with wellbeing itself. For example, in one settlement, householders used one of three different ways of accessing water and not all of these ways resulted in wellbeing (Figure 3). Access to a WaSH product or service does not automatically lead to a greater quality of life or the achievement of wellbeing.

For more information on wellbeing impacts of WaSH marketing exchanges, please refer to Appendix 3.

Figure 3: Within one community, there are at least three different situations people access and use water, resulting in different have-do-be benefits

What is the WaSH marketing exchange system?

WaSH marketing exchanges are part of a larger system – the way that these exchanges happen is affected by the support from other people and organisations, such as government, private sector, community leaders etc. And, people use WaSH exchanges because they want to achieve some benefits, such as improved health or wellbeing.

The following framework provides a description of the different parts of WaSH marketing exchange systems (Figure 4), which are the:

- **WaSH marketing exchanges** – the WaSH products and services that are exchanged between people living in informal settlements, and those providing the WaSH product or service.

- **Impacts** of WaSH marketing exchanges – there are many benefits from ongoing use of WaSH products and services, including health and wellbeing benefits

- **Enabling environment** – these are the actions (or functions) of people and organisations (not involved directly in the exchange itself) that influence the way the actions happen; their influence might be helpful in that it enables WaSH marketing exchanges to happen in ways that are inclusive and sustainable, or unhelpful in that they disable sustainable and inclusive WaSH marketing exchanges. Within the enabling environment are enabling actors (the people or organisations), enabling environment functions (the actions taken by the actors), and enabling environment assets – the features or characteristics that are created by the actors and their functions.

Policies, programs and efforts that focus on specific parts of the system without understanding how they interact with other parts, can mean the WaSH and wellbeing impacts intended are not achieved. WaSH policy-makers, programmers and practitioners can use this framework of WaSH marketing exchange systems to guide their design of policies and programs that improve WaSH health and wellbeing impacts by understanding and recognising all of the parts of a WASH marketing exchange system, their interactions and how they are formed and supported.

> When WaSH marketing exchange systems are fostered, target populations can work effectively among themselves, as well as with enabling actors, toward the goal of meeting the target population's WaSH needs in ways that maximise the benefits and wellbeing impacts.
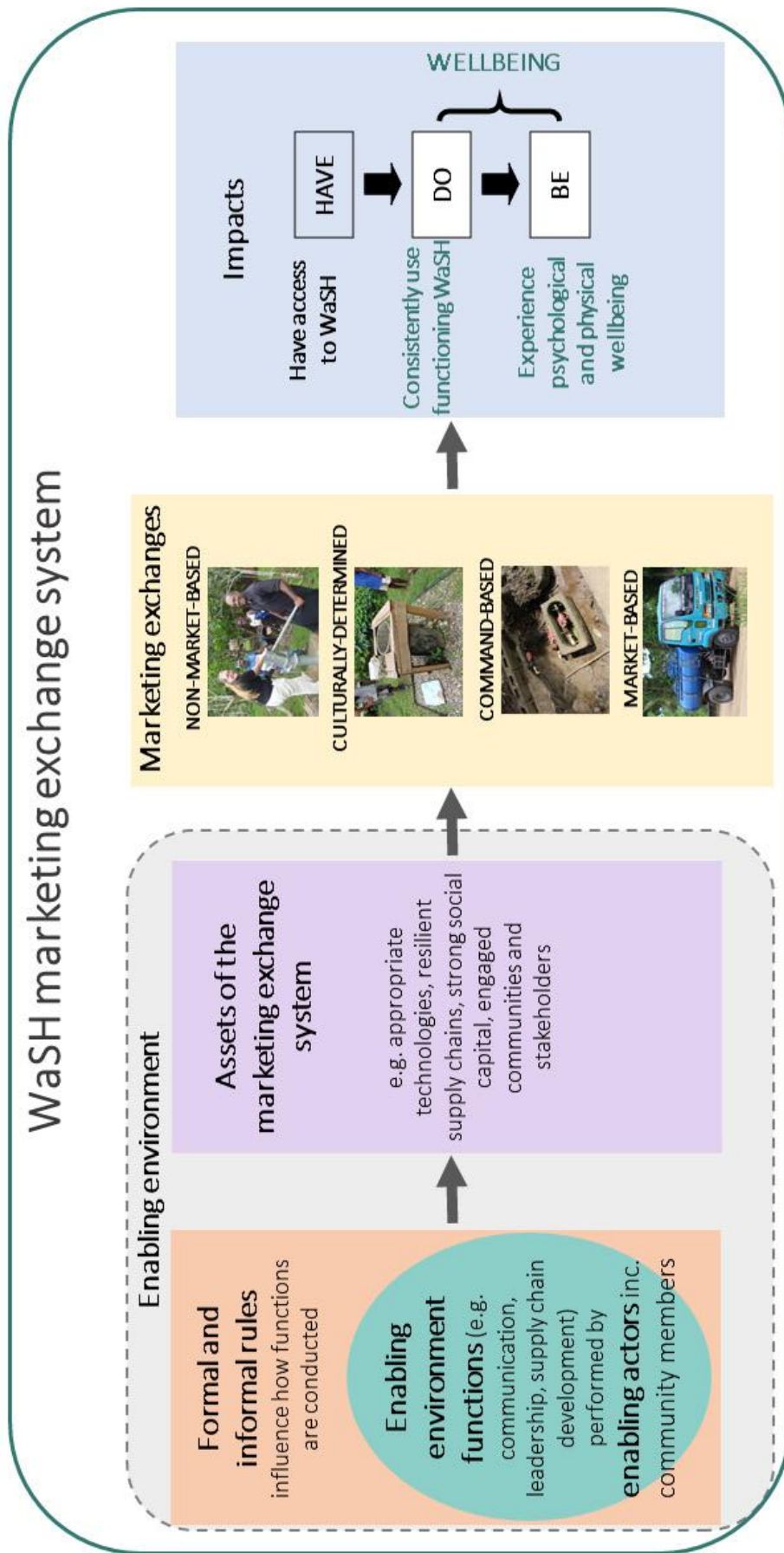
Figure 4: WaSH marketing exchange systems

The enabling environment

As defined above, the enabling environment is comprised of enabling actors, functions they perform, rules they that guide them, and the assets they create and sustain.

The enabling environment operates at many different scales, from households and families, communities, settlements, local/provincial government, national and global scales.

The influence of the enabling environment might be to enable WaSH marketing exchanges to happen in ways that are inclusive and sustainable, or disable sustainable and inclusive WaSH marketing exchanges.

Assets of the enabling environment

The exchange of WaSH services and products is maximised when the marketing exchange system has specific desirable *assets*.

Appropriate technologies
Evidence-based decision making
Appropriate consumer financing options
Engaged communities and stakeholders
Strong social capital
Socially inclusive products and services
Consumer empowerment
Competent and sufficient workforce
Efficient budgeting and disbursement
Resilient supply chains
Transparent decisions and activities
Investment in innovation
Accountable organisations and individuals

Assets can be either tangible, such as appropriate technologies and a competent and sufficient workforce) or intangible, such as strong social capital and consumer empowerment. These assets allow members of the target population to be most responsive to engaging in WaSH marketing exchanges.

Thirteen assets were identified (Figure 5) that foster sustainable and inclusive marketing exchanges in informal settlements.

While all assets support all four types of exchanges, certain assets are more important for certain types of exchanges. A well-functioning enabling environment generates all of these assets.

The assets of the marketing exchange system are created and sustained when enabling actors perform specific functions.

Figure 5: Desirable assets of the enabling environment

Functions of enabling actors

To produce and support the above assets, enabling actors need to perform particular functions. A function is an action or activity of a person or institution. There are 22 functions that produce and support the desired marketing exchange system assets.
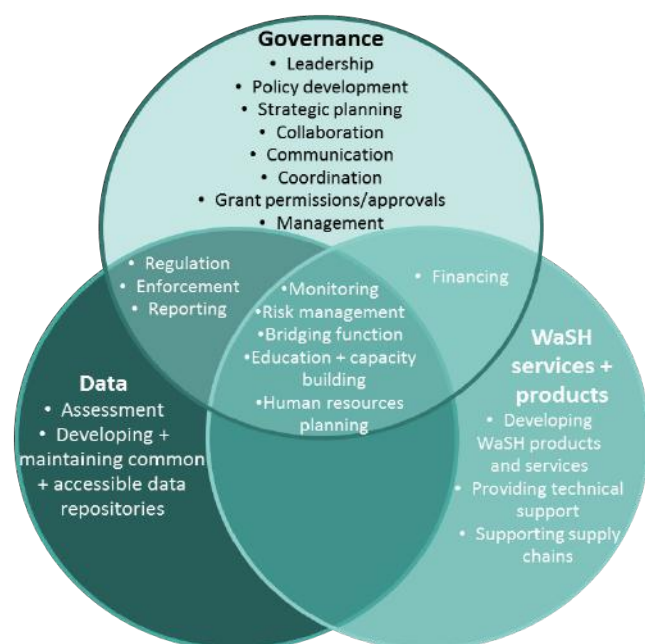
Figure 6: Functions performed by enabling actors, that create and support the desirable assets of the WaSH marketing exchange system

These functions can be categorised into Governance, WaSH services and products, and Data (Figure 6), and cover a range of actions or activities that support various aspects of WaSH marketing exchanges. Some support them directly - in the category *WaSH services and products* – such as supporting the development of supply chains, or development of appropriate technologies and services. Others support exchanges indirectly by supporting consumers (WaSH users) such as through education about consumer rights or water san sanitation options, regulation, monitoring and enforcement of services, and coordinating and communicating with service providers, offering financing to consumers. Other functions support governance arrangements overseeing WaSH marketing exchanges as well as within settlements – effective governance is particularly important when problems need to be resolved or improvements made.

Most stakeholders assumed that these three sets of functions operate independently and therefore enabling actors could perform these functions in isolation from other enabling actors (in silos). However, it is evident from Figure 6 that some of these functions can occur in an integrated way to support governance, services and products, and data processes. Many of the 22 functions

also support multiple outcomes. For example, education and capacity building supports consumer empowerment and a competent and sufficient workforce directly, as well as several other outcomes indirectly.

Formal and informal rules influence *how* functions are performed

The way functions are performed by enabling actors is influenced by rules, which can be formal (e.g. policies, regulations, community by-laws) or informal (e.g. customs or religious beliefs, organised corruption) (Figure 7). Informal rules are socially shared rules, usually unwritten, that are created, communicated and enforced outside officially sanctioned channels. Informal rules may be particularly important in informal settlements, where there are fewer formal rules, formal rules are not implemented or both, supporting needs such as land security and access to basic services. Many rules, both formal and informal, are specific to a particular community or situation. Formal rules are within officially sanctioned channels, while informal rules are enforced outside off these channels.

For example, enabling actors in Fiji were divided on whether the function of *coordination* with informal settlements was most effective when carried out formally or informally. One enabling actor in Fiji argued that coordination should not be formalised because *"once you formalise things, there's a lot of obstacles you need to go through. I think the current state in which we are operating is good enough. I think what the main ingredient there is commitment. If you feel that something that you're doing is important, it doesn't have to be formalised."* On the other side, a Fijian enabling actor stated that: *"They [coordination processes] will need to formalise. In order to sustain it. And also to ensure the commitment from our stakeholders we need that formalisation. That's the way forward."*

Formal and Informal Rules

- In informal settlements activities often happen through informal rules (e.g. customs or religious beliefs, organised corruption)
- In the enabling environment there is a tendency to use only formal rules (e.g. policies, standards)
- There is a need to leverage informal rules in addition to formal rules

Figure 7: formal and informal rules

Enabling actors

Enabling actors are those people that directly or indirectly support WaSH marketing exchanges. They include people from government (local, provincial or national), civil society organisations, external support agencies (e.g. donors, development banks, NGOs and multilaterals), utilities, academia, private sector and local businesses. But, importantly, there are also enabling actors within settlements; these are community members that directly support WaSH marketing exchanges, such as by coordinating and communicating with other enabling actors, community members and businesses, but they also indirectly support WaSH marketing exchanges, for example by building social capital and cohesion within settlements.

A diverse group of WaSH enabling actors is best able to perform all 22 functions that support WaSH marketing exchanges.

Some functions operate within settlements, some outside settlements, and many span both settlements and external environments. Consequently, many actors are required to ensure all functions are performed well.

Some functions will require several actors working together, and in some cases different actors may perform the same functions using different rules to support different marketing exchanges, or because of the local context.

For example, in Papua New Guinea, the Independent Consumer and Competition Commission regulates the tariff that the water utility can charge to a household for providing piped water. When a householder in an informal settlement provides water to their neighbours, the price is then informally regulated by the community through social norms.

Appendix 4 provides more information about the enabling environment.

Figure 8 Enabling actors

How to use this Guidebook

Purpose of the guidebook

So as to foster WaSH marketing exchange systems, this Guidebook is designed to assist users to achieve the following outcomes:

① The target population and enabling actors understand the WaSH marketing exchange systems;

② The target population and enabling actors feel empowered to improve WaSH conditions;

③ The target population and enabling actors generate plans and priorities for improving WaSH by collaboration and negotiation;

④ Marketing exchanges occur that improve the WaSH situations of the target population;

⑤ WaSH programs are monitored, including using participatory approaches, and the results of this monitoring are used to guide improvements.

Participatory processes

A participatory approach to development entails a collaborative and democratic process by which local knowledge and preferences are kept central, local ownership is valued, and target populations are empowered to enhance their wellbeing through self-reflection and action[4]. Many governments, funding agencies, and civil society actors acknowledge participatory approaches as important in achieving the SDGs.

Sustainable Development Goals Target 6b: "Support and strengthen the participation of local communities in improving water and sanitation management"[5]

A participatory development initiative may begin either with a community approaching a CSO for help or with the CSO approaching several communities to engage and discuss WaSH issues and consequences (in the latter case, taking care to include marginalised and vulnerable communities who nevertheless have a substantial stake in any potential WaSH solution). In the first avenue, it is useful to consider that the target population may not yet have a well-defined 'problem', but rather an emerging challenge which they have identified as a potential risk. It would be valuable to collaboratively determine how this may be dealt with through fostering WaSH marketing exchanges. Guidebook users will often take on a bridging role in such work, making linkages between and within target populations and enabling actors.

When carrying out participatory activities to foster WaSH marketing exchanges it can be useful to:

- Ensure that WaSH knowledge and subsequent action respond to the expressed and latent needs of the entire target population, and do not unduly favour the loudest voices;
- Understand power structures and social dynamics within the target population so that the program can tap perspectives from different levels of power and influence;
- Be patient and overcome frustration that 'things are not moving quickly'. Participatory processes require time for target populations to reflect on and make their own plans. However, leaving excessive time between activities may cause some participants to feel 'abandoned', so it is useful to ensure that at the end of each activity there is a discussion of the next activity of the program, including when it is expected to take place;
- Ensure that members of the target population are able to contact you even when there is no activity scheduled. This is in case they have any questions. It is also useful to check in with them regularly;
- Allow time for your team, members of the target population and enabling actors to develop new WaSH understandings and actions over time, rather than expecting a single solution to be surfaced in the first activity.

> *"You don't so much "solve" a wicked problem as you help stakeholders negotiate shared understanding and shared meaning about the problem and its possible solutions. The objective of the work is coherent action, not final solution"*[6]

Figure 9: A group of men in Vanuatu participating in a workshop.

Recommended phased approach

We recommend that the activities to achieve these outcomes occur in the sequence detailed in Figure 10. Phase 6 should be ongoing throughout the program so that adaptations can be made to achieve the best possible outcomes for the target population.

It is not always necessary to conduct activities on separate occasions – many lend themselves to being combined within a workshop setting.
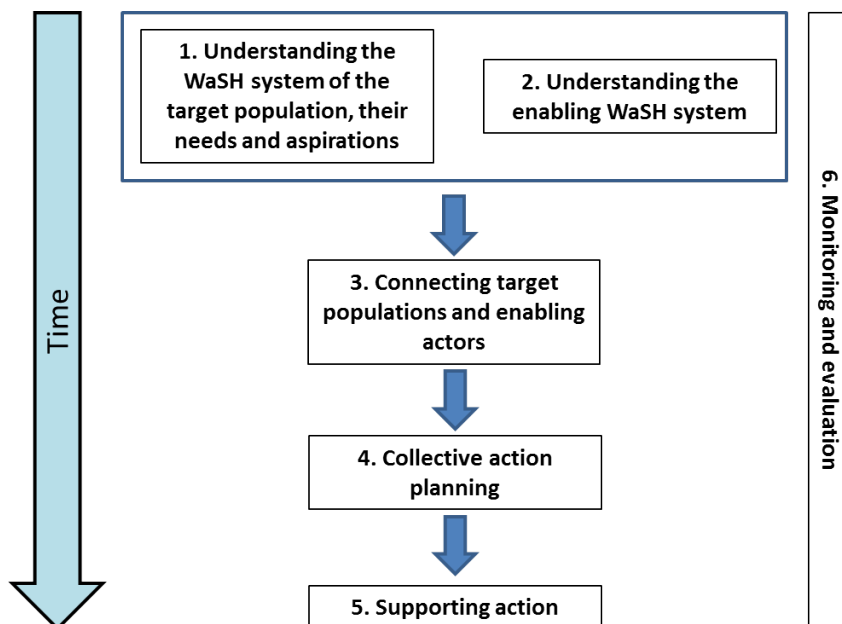
Figure 10: Phases of fostering WaSH marketing exchanges.

PHASE 1: Understanding the WaSH system of the target population, their needs and aspirations

Objective: For enabling actors to gain an understanding of the current WaSH situation of the target population, target populations to reflect on their current WaSH priorities and ambitions for the future, building rapport between your

team and the target population and building the interest of the target population for working with the enabling actors to plan and facilitate WaSH action.

Outcomes: ①

PHASE 2: Understanding the enabling WaSH system

Objective: For enabling actors and the target population to gain an understanding of the WaSH marketing exchange system, enabling actors to identify issues and bottlenecks within the enabling WaSH system and building relationships between enabling actors.

Outcomes: ①

PHASE 3: Connecting target populations and enabling actors

Objective: For bringing the target population/s together with enabling actors so that each better understands the WaSH marketing exchange system; reducing the effects of power imbalances between the target population and enabling actors, and building social capital between and amongst the target population and enabling actors.

Outcomes: ①③

PHASE 4: Collective action planning

Objective: Plan WaSH actions which will meet the aspirations of the target population and enabling actors.

Outcomes: ①②③

PHASE 5: Supporting action

Objective: Enable the target population and enabling actors to achieve their WaSH aspirations.

Outcomes: ①②③④

PHASE 6: Monitoring, evaluation and adaptation

Objective: Monitoring and evaluate data so as to continuously adapt the program and report outcomes to various agencies.

Outcomes: ⑤

You may not find it necessary to complete all of the optional activities listed in this Guidebook to achieve the five desired outcomes. In fact, participatory development is dynamic, and your team would benefit from constructing its own participatory activities not listed in this Guidebook but based on its observations on the ground, internal abilities and constraints, and your program's overarching needs.

Some notes on practice

- People living in poverty may be accustomed to development programs that provide them with WaSH products and services (for example, water tanks, toilets, connections to water mains). Thus it may prove important to continually emphasise the participatory nature of the program, and that the program will collaborate with the target population and enabling actors to foster WaSH marketing exchanges, not provide free WaSH products and services;
- An 'open-ended informal conversational method' is mentioned in several of the activities. It is about allowing the participant to feel at ease and share in an informal manner, like someone might do with their friends and family. It can be useful to hold such interviews in relaxed surroundings, such as under a tree or in the participant/s' house;
- Allow participants to speak and write in whichever language they choose – this will make them more engaged and comfortable throughout the program.
- In this Guidebook we often suggest 'prompting questions'– these refer to topics that you may want to broach to keep the conversation flowing if there is a lull.

Working ethically

WaSH programmers and practitioners have a duty of care to the target populations and enabling actors they work with, to not infringe on human rights or cross other ethical boundaries. Whilst some programs will be bound by formal institutional or state/federal level ethics requirements, others may not be. Whilst fostering WaSH marketing exchanges we urge that all Guidebook users act ethically, regardless of whether they are formally required to.

PHASE 1: Understanding the WaSH system of the target population, their needs and aspirations

Objective: For enabling actors to gain an understanding of the current WaSH situation of the target population, target populations to reflect on their current WaSH priorities and ambitions for the future, building rapport between your team and the target population and building the interest of the target population for working with the enabling actors to plan and facilitate WaSH action.

Outcomes:

① The target population and enabling actors understand the WaSH marketing exchange system

ESSENTIAL ACTIVITIES

Rapport building

This must be the first activity conducted with all target populations

If it becomes clear through this activity that the target population is not interested in working together with your team, then you should discontinue the program. Participatory development will not be successful without interest and action from target populations.

Participants:

Participants should be a representative assortment of members of the target population (for example, WaSH or development committee members, community leaders, community representatives, entrepreneurs, business persons, vulnerable people, representatives of different ethnic and religious groups).

> **Note from the field**
>
> We initially defined our target population as all residents in an informal settlement, and asked a local contact to recruit a cross-section of residents to a rapport building session. This method did not yield a representative sample, and participation was generally skewed towards a particular Church group, ethnicity or geographic area.
>
> It is ideal if all interested members of the target population are able to participate in the program. Although it can be helpful to engage local leaders to recruit participants, also consider whether this may bias your participants to those who wield greater power, enjoy proximity to leaders, or who belong to specific ethnic/religious communities. If this is the case, consider incorporating other ways of recruiting participants, for example, by going door to door yourself to explain the program.

Rationale:

Participatory development requires trust and rapport to be built between and within target populations and your team. Developing relationships and understanding social dynamics within target populations takes time and this activity begins that process.

Step-by-step:
1. Introduce your team and allow the target population to introduce themselves.
2. Explain the purpose of the visit and the purpose of fostering WaSH marketing exchanges. Be clear that your program will not be donating WaSH infrastructure or services.
3. Allow the participants themselves to share any information that they think may be of value to the program.
4. Do not take photographs or record audio or video.
5. After the meeting, thank the participants, provide them with your contact details, address any questions they have about any future involvement in the program, and ask if they have any questions or any concerns.

WaSH transect walks

Participants:

Participants should be a representative assortment of members of the target population (for example, WaSH or development committee members, community leaders, community representatives, entrepreneurs, business persons, vulnerable people, representatives of different ethnic and religious groups).

Rationale:

It is useful to investigate the current WaSH situation by providing the target population the opportunity to physically identify WaSH-related issues and problems that are most relevant to them.

Step-by-step:

1. Ask participants to form groups of 3-6. Each group must be accompanied by a member of your team.
2. Ask groups to take your team on a walk to show you examples of WaSH issues of concern that they have identified at points-of-interest within the settlement. Some common points of interest might include:

   - Water tanks, dams, rivers, springs;
   - Toilets;
   - Areas where open defecation is practiced;
   - Drains for household and/or agricultural wastewater;
   - Rubbish pits.

3. Stop at points-of-interest identified by members of the target population, as well as those you identify yourself. At each, take part in an informal conversation to learn more about the 'lived' experiences of the participants. Some prompting questions might include:

   - *"What are some WaSH successes or failures that have occurred here?"*
   - *"What happened here the last time there was a flood/cyclone?"*
   - *"How do you get this (septic tank, rubbish bin) emptied? Does it cost you money?"*

4. Take photographs yourself, and encourage participants to as well, to prompt reflection and discussion in later activities.

Figure 11: Members of a target population in Solomon Islands explaining that this river is used for drinking, cooking, washing, bathing and defecating.

Identifying target population WaSH priorities

Participants:

Participants should be a representative assortment of members of the target population (for example, WaSH or development committee members, community leaders, community representatives, entrepreneurs, business persons, vulnerable people, representatives of different ethnic and religious groups).

Rationale:

Participatory development entails a focus on the practical problems faced by a local community. Hence an important step is to involve and get the target population to themselves identify WaSH issues, immediate concerns, and priorities. This activity will help with this objective.

Step-by-step:

1. Ask participants to form groups of 3-6. Each group must be accompanied by a member of your team.
2. Ask groups to share amongst themselves their thoughts on what they perceive to be the most important WaSH-related problems in their settlement (some of these may have been identified in 'WaSH transect walks' activity). Encourage participants to think beyond their own household issues and problems, to also share what they perceive to be relevant WaSH-related issues and problems facing the settlement. For example, such issues might include:

   - Lack of, or quality of, water supply for drinking or other uses;
   - Open defecation within the settlement;
   - Overflowing septic tanks;
   - Lack of handwashing;
   - Frequent flooding;
   - Lack of hygienic menstrual hygiene management;
   - Improper solid waste management.

3. Ask each group to write or draw each issue or problem on a separate piece of paper and then rank them in order of importance.
4. Ask each group to present their perceived WaSH problems to the other participants.
5. Facilitate a discussion between all participants to determine which WaSH issues are the highest priority for the target population. Ensure that the voices of all participants are heard. Come to an agreement over which priorities the target population would like to focus on to begin with (depending on power dynamics, this decision might be made via secret/pocket voting to ensure everyone's voice is heard. Priorities must not be based on those favoured by the loudest participants).
6. This Target Population WaSH Priorities List can be referred to in other activities. Explain to participants that it will be used in future activities, and that they should amend it over time as their priorities change.
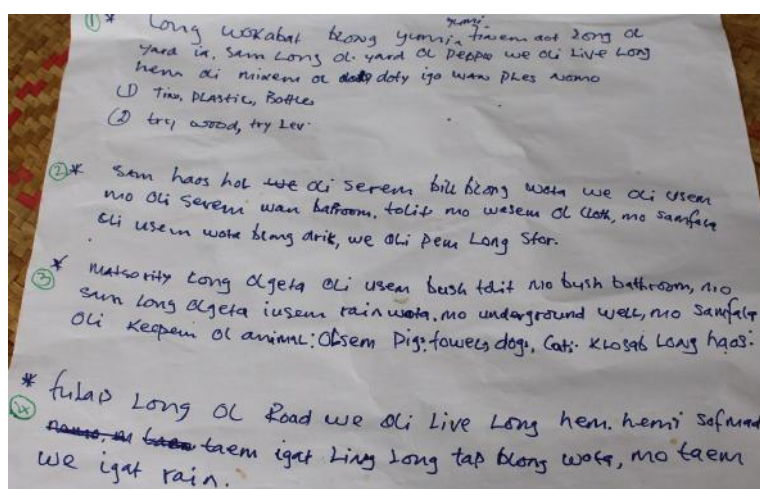

Figure 12: Example Target Population WaSH Priorities List from Vanuatu.

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Community insights to WaSH

Participants:

Participants who share some characteristic (for example, gender, age, religion, ethnicity).

Rationale:

If you have noticed through earlier activities, discussions, or observations that there are segments of the target population who may not feel that they can be completely honest in front of certain other segments (for example, gender, age, religion, ethnicity), invite these segments to conduct separate group interviews. The interviews can follow an open-ended informal conversational method to allow the participants to express everything they would like to, and not give answers they think your team might "want" to hear. Information gathered in this way can give insights into how best to foster WaSH marketing exchanges.

Step-by-step:

Ask the group to share their collective 'lived' experiences in terms of WaSH. For example, you might begin by saying "I want to understand your WaSH experiences. I want to understand your world, from your point of view. Will you share some of your WaSH experiences with us?"[7]

1. Allow the participants to guide the interview process through engaging in an informal conversation. Ask questions that are specific to the participants' comments. Participants should be given the freedom to use their own terms when answering questions. Useful sentence starters include *"How have your experiences as a woman/Christian/young person….?"*, and *"What happened next…?"* Follow-up questions can occur at any stage during the interview.
2. Have some questions related to WaSH on hand in case there is a lull in conversation. Some prompting questions might include:

   - *"What is your understanding of the WaSH situation in your settlement at the moment?"*
   - *"How would you describe your gender's/ethnicity's skills in WaSH?"*
   - *"How are members of the WaSH committee selected? What does the WaSH committee do?"*
   - *"Do people of your gender/ethnicity get involved in any WaSH activities? Can you tell me a bit more about what you do?"*
   - *"Did your elders tell you any stories about WaSH when you were growing up?"*
   - *"Do you think that everyone in this settlement has equal access to WaSH? Can you please tell me why you think that?"*
   - *"What roles and responsibilities do women, men and children have in WaSH?"*
   - *"Are there people specialised in WaSH in your settlement? What do these people do?"*
   - *"What is the main source of water for your settlement? What would you say about its water quality? How can you tell whether it is clean water?"*
   - *"How do you access water?"*
   - *"Do you have sufficient water to meet you daily needs?"*
   - *"Tell us about what toilet facilities you have at the schools/community institutions/your homes"*
   - *"Can you tell me about any WaSH initiatives that are taking place, or have taken place, in your settlement? How happy is your denomination/ethnicity with this/these WaSH intervention/s? Were you involved in deciding: Whether or not to go ahead with the program? The technology choice? How the service is to be provided, and maintenance and repair? Whether it is affordable? How conflicts will be resolved?"*
   - *"What sort of toilet facilities do you think would be most practical for your settlement?"*
   - *"What materials do women use in managing their menstrual cycle? Do they purchase these? Are there other materials you think they would prefer to use, and if so, why don't they use them at the moment?"*
   - *"What is the level of trust in this settlement? Compared to other settlements, how do people in this settlement trust each other?"*
   - *"Are people here more interested in the welfare of their own family than that of the settlement?"*
   - *"What are some of the most pressing issues (not necessarily WaSH related) facing your settlement at the moment?"*

3. Be sure to discuss with the group how they think their WaSH experience may be different for other genders/ethnicities/denominations. Is the situation really different, or is it just the perception that differs?
4. Towards the end of the discussion, allow the participants the opportunity to reflect on any new insights, ideas or solutions that may have become evident during the interview; and to explore how these revelations inform action.
5. Ask the participants if 'anything else comes to mind', summarise or ask a participant to summarise the conversation, state that "*I don't have any more questions to ask. Do you have anything more you would like to share?*" and thank the participants.

Interviewer: *"What are the main responsibilities that men play in water, sanitation and hygiene?..."*

Female interviewee: *"The men, they'll be around to dig the well for us to use, for washing. Well is the main thing for us. If men are not digging the well there will be nothing for us. We will not have water, will go and ask to use the other house's well."*

Female community discussion, Solomon Islands

"Like us men we just use water to bathe and drink... Most of the water is used by the mothers. So if we don't want the bills to be high we have to control the water used by mothers (laughing)"

Male member of target population, Male community discussion, Vanuatu

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Household WaSH systems mapping

Participants:

Members of individual households (i.e., the social unit within which individuals live).

Rationale:

It is useful for members of the target population to gain a holistic understanding of the WaSH marketing exchange systems within their households, within the settlement, and beyond. Systems mapping is a useful participatory method for your team and members of the target population to explore WaSH marketing exchange, and the role of individual households within marketing exchange systems. It can also assist in identifying inequities and/or bottlenecks within the systems. The objective of the activity is to bring together information and knowledge about WaSH marketing exchange systems, which can be shared with enabling actors and inform action planning.

Step-by-step:

1. Following an open-ended informal conversational technique, broadly inquire about the participant/s' background and life experiences before narrowing the focus to the household's WaSH situation.
2. After the initial inquiry, ask the participant/s to choose a particular water-related device (for example, tap, shower, toilet, pipe, washing machine, toothbrush) in their home.
3. Once identified, ask the participant/s why they selected the device, and then ask them to write or depict it on a large piece of paper. If the participant/s does not want to draw or write, someone from your team can roughly depict the device on the paper.
4. Ask the participant/s to separately identify and list any inputs (for example, money) and outputs (for example, wastewater) to the device, and to draw these on the paper (or linking together devices/mechanisms). This will become their Household WaSH Marketing Exchange System Map (for example, Figure 13). Encourage participant/s to think about how some of the outputs may be inputs into other parts of the system (for example, water, paper, soap). Listen carefully to the discussions and intra-household decision-making processes as these may be important to consider during action planning. Encourage participant/s to not only list physical or service components, but also other less obvious social, cultural, economic, environmental, or even psychological components (for example, when a household discharges wastewater to the mangroves, part of the marketing exchange is damage to the environment). Encourage all household members present to participate.
5. Once the participant/s indicate that the Household WaSH Marketing Exchange System Map is finished, ask if they are satisfied that the map is complete or whether they would like to make any changes.
6. Ask the participants to explain their Household WaSH Marketing Exchange System Map, and encourage them to discuss and reflect on the findings. Some prompting questions might include:

   - *"Why was this particular device or mechanism chosen?"*
   - *"How does the system work/not work?"*
   - *"What are the rules, norm, standards?"*
   - *"Who are the actors involved in the system?"*
   - *"Are there bottlenecks/problems/opportunities in the system?"*
   - *"Are there ways to solve the issues/problems within the system?"*
   - *"Who will do it?"*
   - *"What role will your household/settlement play?"*

7. Allow the participants the opportunity to reflect on any new insights, ideas or solutions that may have become evident during the activity; and to explore how these revelations inform action.
8. Explain to the participants that this represents the WaSH marketing exchange system at their household. Use Figure 4 to explain that their household is part of the target population WaSH system and that they are a part of the greater WaSH marketing exchange system.
9. Summarise or ask a participant to summarise the conversation, state that "*I don't have any more questions to ask. Do you have anything more you would like to share?*" and thank the participant/s.
10. Take a photograph of the Household WaSH Marketing Exchange System Map - the map itself <u>must</u> be left with the household.
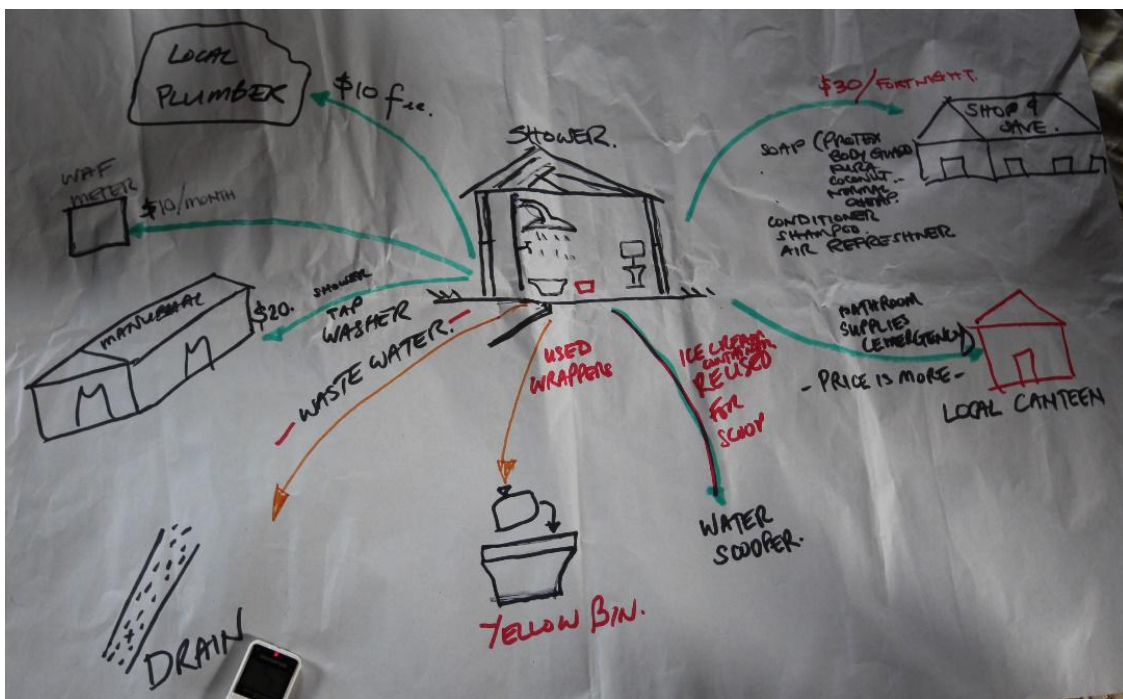
Figure 13: Example of a Fijian Household WaSH Marketing Exchange System Map.

Target population WaSH systems mapping

Participants:

Participants should be a representative assortment of members of the target population (for example, WaSH or development committee members, community leaders, community representatives, entrepreneurs, business persons, vulnerable people, representatives of different ethnic and religious groups).

Rationale:

It is useful for members of the target population to gain a holistic understanding of the WaSH marketing exchange systems within their households, within the settlement, and beyond. Systems mapping is a useful participatory method for your team and members of the target population to explore WaSH marketing exchange, and the role of individual households within marketing exchange systems. It can also assist in identifying inequities and/or bottlenecks within the systems. The objective of the activity is to bring together information and knowledge about household WaSH marketing exchange systems to compile a Target Population WaSH System Map, which can be shared with enabling actors and inform action planning.

Step-by-step:

1. Produce copies of the Household WaSH Marketing Exchange System Maps with identifying or sensitive information removed.
2. Share the individual household maps, and ask the participants to construct an overall Target Population WaSH System Map. Indicate the main inputs and outputs from houses and how different houses access WaSH products and services in different ways. Highlight any linkages to the enabling WaSH system (for example connection to water mains, purchase of soap from a store).
3. Give participants an opportunity to discuss the maps amongst themselves, and to make any amendments or changes. If useful, digitize the map (for example, Figure 4).
4. Throughout all phases of the WaSH program, repeatedly produce the Target Population WaSH System Map and ask participants to amend as necessary, as new clarifying information may become available, or aspects of the target population WaSH system may change over time.

Figure 14: Example Target Population WaSH System Map[8]

Developing a Ladder of Life

Participants:

There should be 15-30 participants in total (to be conducted in groups of 5-8, with men's and women's groups run separately but concurrently). Each group should represent diversity: young and old, different wealth levels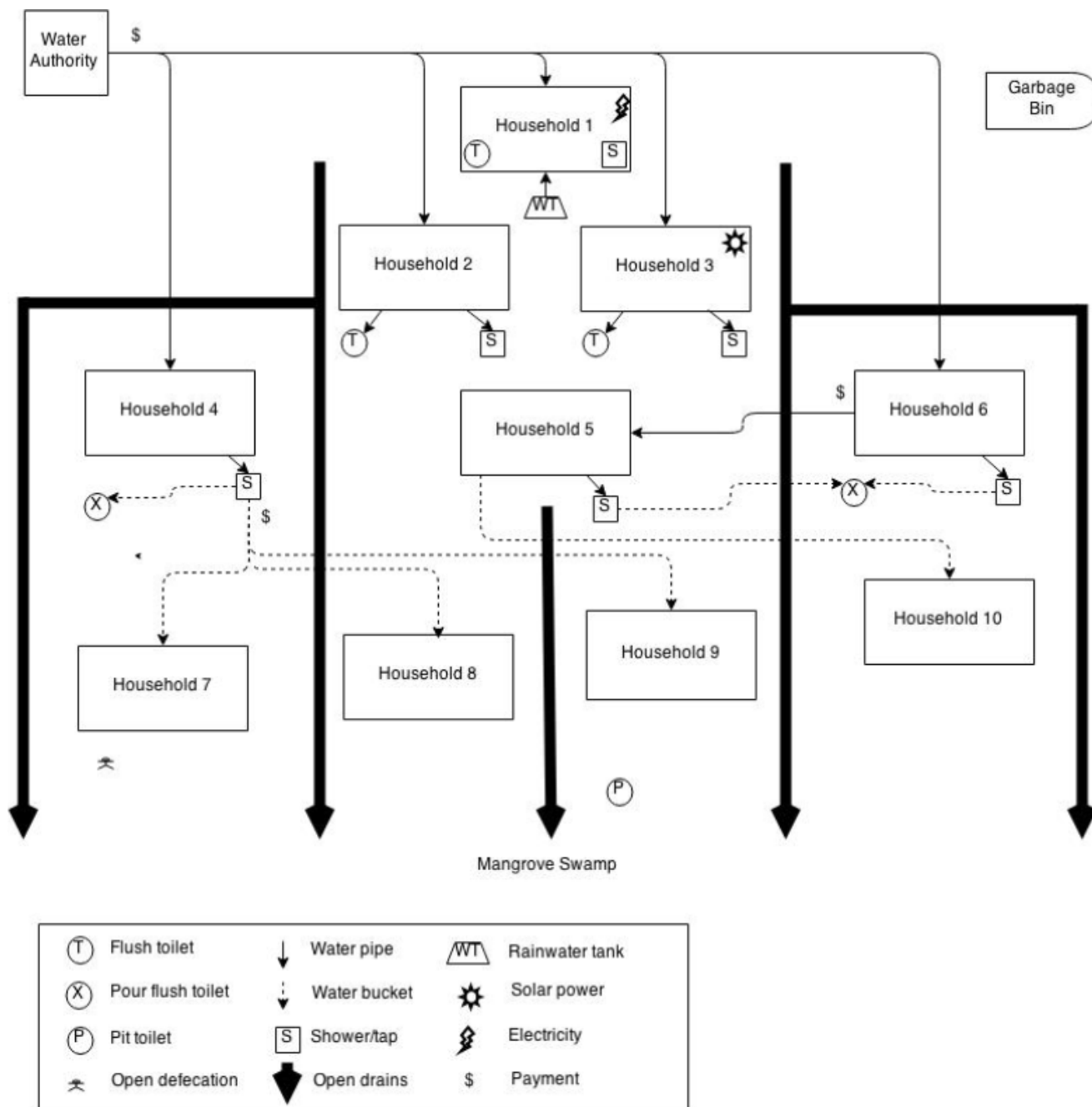, different ethnicities, different family structures, and both owners and renters of WaSH devices (for example, water meters).

Rationale:

WaSH marketing exchange system dynamics will ideally empower people and preserve human rights. However, it is useful to first gain an understanding of each target population's own lived-experience of wellbeing and ill-being. The Ladder of Life is a tool to elicit a target population's local understandings of a life of poverty and deprivation versus a successful life. It is also a figurative ladder drawn out on paper by the participants, with the bottom 'rung' representing whom they consider to be the worst-off people in the community and the top rung the best-off. The Ladders of Life created in this activity will be shared with enabling actors in later phases of the program to represent nuanced and locally relevant insights. Aside from revealing local understandings of poverty and wellbeing, the activity helps identify the most vulnerable households and groups in the community, which can be useful for encouraging their participation in subsequent activities and/or ensuring they are considered when planning actions.

Step-by-step:

1. In gendered groups of 5-8 participants (each accompanied by a member of your team), prompt a discussion on wellbeing and ill-being in the target population. Some prompting questions might include:

   - *"What are some examples of good living in your settlement?"*
   - *"What are some examples of poor living in your settlement?"*
   - *"What has helped improve prosperity in your settlement?"*
   - *"What has made it difficult to achieve prosperity in your settlement?"*
   - *"Why are some households in the settlement well off and others poor?"*

2. While examples of good and poor living are emerging, write down on cards the aspects that are being mentioned (for example, housing quality, toilet type, income level, power in the community, business ownership, type of job, type of clothing). Note that some of the aspects may pertain to WaSH and others not. Do not influence the mention of specific aspects in any way.
3. About 15 minutes into the discussion show participants two sample Ladders and explain that the aim here is to build a Ladder of Life representing their settlement (for example, Figures 15, 16).
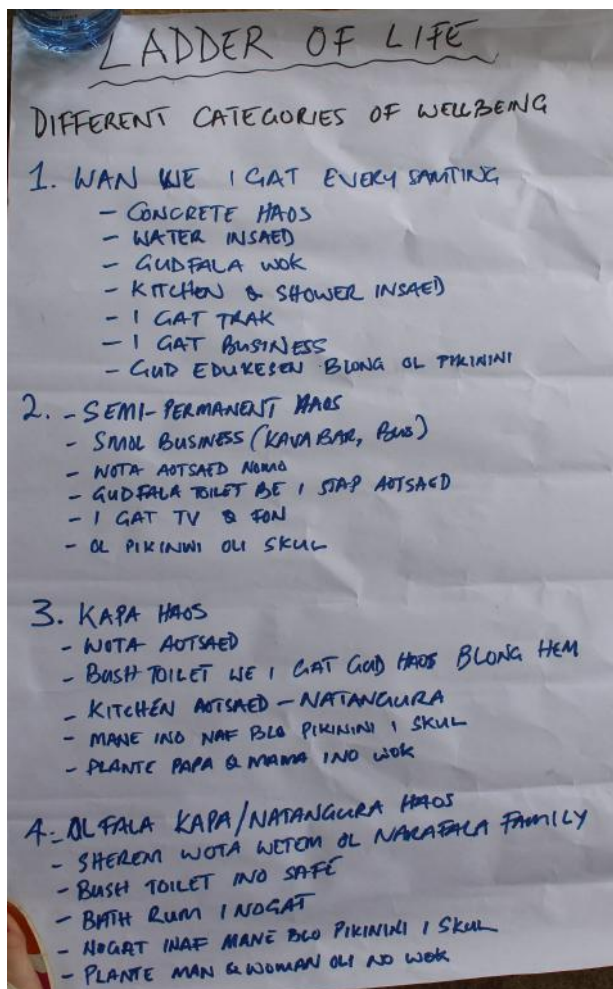
Figure 15: Consolidated four rung Ladder of Life by a community in Vanuatu

Figure 16: Unconsolidated Ladder of Life by a community in Vanuatu

4. Steer discussion towards the identification of rungs on their Ladder of Life, where the full spectrum of living conditions is categorised into steps from 'worst' to 'best.' If groups are struggling to construct a 'consolidated' Ladder, a member of your team can pull out the first card, and ask the group to construct a Ladder with just that single variable (for example, type of water access). As the answers emerge, draw out a Ladder on a large sheet of paper and mark the rungs as per the group's descriptions. Encourage discussion until there is consensus on the conditions at various rungs. Do not prescribe the number of rungs on the Ladder or try to influence the rung descriptions in any way.

5. If only one aspect was discussed in the first round, pull out another card and repeat the process; and continue until all aspects have been addressed. At this stage you may have a single Ladder with all of the variables defined for each rung (for example, Figure 15), or several Ladders, each for a different variable (for example, Figure 16).

6. Ask someone in the group to describe *“What is life like at the top of the Ladder?”* in their own words.

7. Ask if the group agrees with the volunteer's description. Once done, call for a different volunteer to describe *“What is life like at the bottom of the Ladder?”* and again get the group's consensus on this. Ask for a third volunteer to describe *“What factors help upward movement or cause downward movement on this Ladder?”*

8. Prompt a more focused discussion on what WaSH looks like at each rung of the Ladder, focussing on both physical <u>and</u> non-physical aspects. Some prompting questions might include:

    - *“What sort of water, sanitation and hygiene products or devices would households at each rung use?”*
    - *“How dependent are people at the top of the Ladder on the government and/or civil society organisations to fulfil their WaSH needs and wants? Does this differ at the bottom of the Ladder? If yes, how?”*
    - *“Does your community have different WaSH expectations for households at different rungs on the ladder?”*
    - *“Are any of the rungs politically connected? Does this help with their WaSH situation?”*
    - *“How do households on each rung express their opinions on the WaSH situation? For example, are households from each rung represented when discussing WaSH issues?”*

9. Write a description of the WaSH situation at each rung. Encourage discussion until there is general consensus on the conditions at various rungs.

10. If multiple groups have worked on the Ladder separately, come together to the same location. Ask each group to present their Ladder, including the WaSH conditions at each rung. Encourage participants to ask questions of presenters, particularly where there are obvious differences between groups, leading to a discussion within the larger group.

11. If possible, allow the opportunity for the participants to collate all of the Ladders into a single Ladder (for example, Figure 17). This can be used in future activities and shared with enabling actors. However, if the Ladders of the groups are very different, do not force the collation – it is okay to share multiple Ladders from different perspectives with enabling actors.

Own business (or) Well paid job, Family
Own house, well-built, wooden structure
Water, Flush Toilet, Electricity

Two jobs but not very high income
Own house, well-built, wooden structure
Water, Toilet, Electricity

Good house, full family
One absent from water, sanit, electricity but
asset like generator, solar, water arrangement

House ok; Family, but single income not enough
Help others, Involved
One absent from water, sanitation, electricity

House of mixed construction; less flooding
Some not community oriented
Two absent from water, sanitation, electricity

Living with ext. family; homes prone to flooding
Kids in school but no lunch, some single parent
Poor sanit, dependent water, no electricity

Homeless, Unemployed, Substance abuse
Elderly, Widowed, alone, dependent
Dependent water, no toilet, electricity

Changing: Type of toilet, Family size, Marital status, Number jobs, Helpless, Community feeling

Figure 17: An example of a Ladder of Life collated and digitised for sharing with enabling actors.

Social capital mapping

Participants:

Participants should be a representative assortment of members of the target population (for example, WaSH or development committee members, community leaders, community representatives, entrepreneurs, business persons, vulnerable people, representatives of different ethnic and religious groups).

Rationale:

In communities that have to get by with very limited resources, close relationships and looking out for each other often help generate social capital, which is then used to achieve tangible goals, including WaSH improvement. In this activity, an understanding and discussion of social capital is undertaken, and participants come to understand how building further social capital within the settlement and with enabling actors can contribute toward addressing their WaSH priorities. This activity will also build participants' capabilities in decision-making and problem-solving, which will be useful in planning and taking action.

Step-by-step:

1. Ask participants to form groups of 3-6. Each group must be accompanied by a member of your team.
2. Ask the participants to identify who is present in their group and in the other groups. Ask them to write/draw on large sheets of paper. This is the beginning of a Social Capital Map.
3. Ask for examples of working together between the individuals on the Social Capital Map. Ask whether these people who work together share some similar characteristics (for example, gender, ethnicity).
4. Ask if there are informal communities within the target population that come together for any purpose. Ask participants to draw them on the Social Capital Map. Listen to the views expressed and particularly note any potential for conflicts to arise.
5. At this stage you may see:
   a. Examples of social capital where individuals who share some characteristic (for example, children attend the same school, belong to the same church group) work together; **AND/OR**
   b. Examples of how social capital has arisen where individuals who do not share common characteristics (for example, are of a different denomination, come from different Provinces) have worked together to achieve common goals.
6. If (a) is true, comment that it seems like there is lots of social capital for achieving things within the settlement, although often they do not result in larger actions. If (b) is true point out that this is a good example of how bigger things can be achieved by working in diverse groups.
7. Ask which communities of people (for example, religions, ages, ethnicities) are not present at the workshop and add them to the Social Capital Map. Ask why they are not present. Ask participants if they think it would be possible to engage some of these other communities in the WaSH program so that larger scale action can be achieved. If your program does endeavour to work with multiple communities of people, ask participants to reach out to them to attend the next activity (you may not wish to do this if your program is only focused on working with a certain community, at least in its initial stages).
8. Reiterate that social capital between families and friends is a good first step, but the work cannot end there. The target population needs ties with other communities within the settlement, as well as those outside the settlement, to achieve its goals (if (b) is true then this may already be evident).
9. If they have not done so already, ask the participants for examples of working together between individuals/communities who they consider somehow 'not the same'- this might include some of the communities identified as not being present in the workshop.
10. Ask a participant to draw these linkages on the Social Capital Map. Pursue examples with probing questions. If no examples are forthcoming it can often be useful to prompt participants by asking whether there are any sports played in their settlement, and who plays them. See if there are any examples of social capital between communities who are 'not the same' when it comes to sports.
11. Ask the participants what they think are the advantages of such communities coming together for collective action.
12. Explore the potential for new WaSH marketing exchanges between communities. Ask participants what they think could be the benefits of such collaborations.

13. Provoke a discussion on what the participants think will be the challenges in starting such collaborations between individuals/communities that are 'not the same'.

14. Ask each group to share their Social Capital Map with the rest of the participants.

15. These Social Capital Maps can be referred to in other activities, and should be amended over time as new relationships and actions develop.

Target population wellbeing aspirations

Participants:

Participants should be a representative assortment of members of the target population (for example, WaSH or development committee members, community leaders, community representatives, entrepreneurs, business persons, vulnerable people, representatives of different ethnic and religious groups).

Rationale:

Determining aspirational wellbeing for a target population provides a sense of purpose and direction to the WaSH program. In this activity your team and the participants will come to understand the current wellbeing of the target population as a whole and of different groups within it. This can then be used to determine the target population's aspirational welLbeing, linking it to WaSH marketing exchanges they may like to engage in in the future.

Step-by-step:

1. Beforehand prepare a worksheet listing the different components of settlement life (life expectancy, health, shelter, security, freedom of expression, quality of childhood, reflection and planning, social interactions, nature, individual dignity, political participation, property rights) that is large enough for participants to add stickers to (for example, Figure 20). This will become the Settlement Life Poster.
2. Ask participants to form groups of 3-6. Each group must be accompanied by a member of your team.
3. Ask participants what wellbeing in their settlement means to them. You may like to refer to the 'Developing a Ladder of Life' activity.

*Figure 18: This "Dream Kindergarten" (its formal name) has been built in
an informal settlement in Fiji, achieving an aspiration of many residents.*

4. For the next half an hour or so, prompt a discussion on what wellbeing is like in the target population at the moment. Some prompting questions might include:
   - Social Cohesiveness
     - *"How well do people in the settlement help each other out?"*
     - *"How strong is the feeling of togetherness in the settlement? Do differences amongst households cause any problems of togetherness (for example, ethnicity, income, social status, religious beliefs, age, how long they have lived here)? Which are the main differences that cause problems? Have these problems ever led to violence? Is your settlement generally safe and peaceful or marked by violence? How would you compare it to five years ago?"*

- o *"Are there groups in the settlement that are excluded from access to education, health services, water mains, transportation or other amenities?"*
- o *"In a month, how many times do neighbours visit each other's homes?"*
- o *"Who are the leaders? How does one become a leader? How is a new leader selected?"*

- Trust and Solidarity

  - o *"Generally speaking, would you say most people who live in this settlement can be trusted?"*
  - o *"If a project does not directly benefit a household but has benefits for the settlement as a whole (for example, repairing a main drain), would people still contribute labour or money to the project? What proportion of households would do so?"*

- Groups and Networks

  - o *"Do individuals or households belong to any outside groups or networks (for example, labour union, rugby group)?"*
  - o *"Tell us more about any informal groups or networks within your settlement (for example, savings group). How often does it meet? How does one become a member of the group? Do people contribute anything to the group (for example, money, products, time, labour)? Can you describe how decisions are made in this group? What is the main benefit of having this group?"*
  - o *"Are there any informal groups you have wanted to form in your settlement, but haven't so far (for example, youth group, waste management group)?"*
  - o *"Which groups/organisations within or outside the settlement play the most active role in helping improve the wellbeing of people who live here? How did this group get started?"*

- Empowerment and Collective or Political Action

  - o *"In general, how happy would you say the people in your settlement are?"*
  - o *"How much control do you think the settlement has in decisions that affect everyday life?"*
  - o *"In the past 12 months, how often have people in this settlement gotten together to jointly petition government officials or political leaders for some service benefiting the settlement? Were any of these petitions successful? Can you tell us the story of one failed petition?"*
  - o *"To what extent would you say that local government officials take into account concerns voiced by your settlement? Did anyone in the settlement have to pay 'additional' money to government officials to get things done? Are such payments effective in getting the problem solved?"*
  - o *"In the past 12 months, has anyone from the settlement attended a public discussion group or city council meeting? Met or communicated with a political leader through phone, letter? Participated in any protest or demonstration?"*
  - o *"What proportion of the target population voted in the last general election?"*

- Other questions
  - o *"What are the two principal economic activities for women in this settlement? Do women leave for work as much as men?"*
  - o *"What are the three principal health problems affecting children under six years of age? Adult men? Adult women?"*
  - o *"How far is the nearest health clinic or hospital?"*
  - o *"In the last three years, has availability of employment increased/reduced/remained the same? Has this settlement become more/less vulnerable to flooding? Has the quality of housing improved/worsened/remained the same? Has the quality of children's life improved/worsened/remained the same? Has the overall quality of life improved/worsened/remained the same?"*
  - o *"What two main changes can be made to improve the quality of life in the settlement? Can you make these changes yourselves, or will you need outside help?"*
  - o *"How could new WaSH marketing exchanges improve quality of life in your settlement?"*

5. For the next half an hour focus on building a Target Population Wellbeing Aspirations List/Map (for example, Figure 19). This should be 'built' by drawing and writing the key issues that emerge from the discussion to represent the wellbeing that participants would like to see their settlement achieve.

6. Explain to each group that you would like to know how they rate each of the components of life in the settlement. Go through each of the components of settlement life and ask group members whether in their settlement the component is good (green), could be improved (yellow) or bad (red). Explain that these components of life in the target population may relate to the actions they can take around WASH. Some prompting questions might include:

    - *"Are people in the settlement able to live a normal life span? Are there premature deaths?"*
    - *"Are people able to have good health? Are they adequately nourished?"*
    - *"Is there adequate shelter? What happens to houses during cyclones?"*
    - *"Do people feel secure against threat of assault, including sexual assault and domestic violence?"*
    - *"Are people in the settlement free to express their thoughts freely? Produce traditional works?"*
    - *"Are people here free to express their emotions freely? (loving, grieving, gratitude, justified anger)"*
    - *"Are children in the settlement able to laugh, play, and enjoy recreational activities?"*
    - *"Are people here able to reflect and plan their lives?"*
    - *"Are people here able to engage in various forms of social interactions with others?"*
    - *"Are people her able to be treated with dignity, where everyone's worth is equal to that of others?"*
    - *"Is there adequate access in this settlement to nature (plants, water bodies, animals)?"*
    - *"Are people able to participate in political choices that affect their lives?"*
    - *"Are people able to hold property and have property rights on an equal basis with others?"*

7. Return to the Target Population Wellbeing Aspirations List/Map and ask participants whether there are any aspirations they would like to add now that they have completed the activity looking at the components of settlement life. How could engaging in different types of WaSH marketing exchanges assist them in achieving these aspirations?

8. The Target Population Wellbeing Aspirations List/Map can be referred to in other activities, and added to as more ideas emerge. It will be particularly useful when it comes to Phase 4.
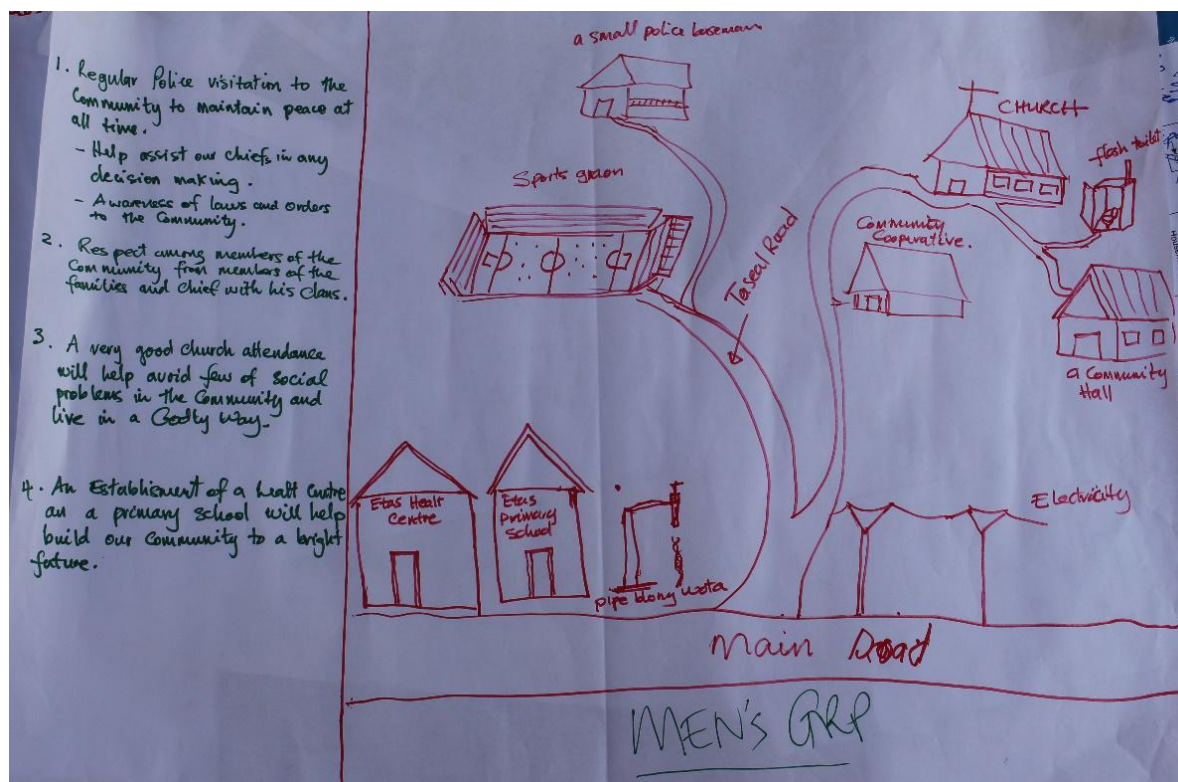

Figure 19: Target Population Wellbeing Aspirations List/Map

Figure 20: Ratings of components of settlement life by male (L) and female (R) groups in the same community. Note some key differences in ratings by the two genders (for example health and political participation)

Preparing the target population to work with enabling actors

Participants:

Participants should be a representative assortment of members of the target population (for example, WaSH or development committee members, community leaders, community representatives, entrepreneurs, business persons, vulnerable people, representatives of different ethnic and religious groups), ideally those who will take parts in Phases 3-5.

Rationale:

There are likely to be real or perceived power imbalances between members of the target population and enabling actors. To minimise these, it can help to ensure that the target population are optimally prepared for activities where they will be working with enabling actors.

Step-by-step:

Work with participants to:

1. Develop a list of questions they would like to ask the enabling actors;
2. Talk through all of the outputs created in the project to-date and make sure that all participants remember the activity. If there are participants who were not present, ask other participants that were present for an activity to explain the output;
3. Determine which of their wellbeing aspirations may require assistance (for example human resources, WaSH skills, monetary input) from enabling actors, as well as those which they will not require assistance for. Having a list of aspirations, the target population themselves can take action on and meet will increase their confidence in being able to effect change and demonstrate their commitment to enabling actors;
4. Develop a 'tour route' for the activity in Phase 3 where members of the target population will show enabling actors around their settlement. The route should highlight the WaSH issues which they think are important for enabling actors to understand.

OPTIONAL ACTIVITIES

Individual insights to WaSH

Participants:

Individual from the target population who may possess particularly useful insights to the target population WaSH system or who may lack the confidence/power to voice their ideas and opinions in a collective setting.

Rationale:

This activity is similar to 'Community insights to WaSH' but allows you to understand individual lived experiences with regards to WaSH. The interviews should follow an open-ended informal conversational method, as it is useful to allow the participant to express everything they would like to, and not feel threatened that they must give answers they think your team might 'want' to hear. Information gathered in this way can give insights into how best to foster WaSH marketing exchanges.

This activity is useful when:

There are strong personalities within the target population which is meaning that quieter or less confident individuals are unable to voice their thoughts in group settings.

Step-by-step:

1. Ask the participant to share their lived experiences with regards to WaSH. For example, you might begin by saying "*I want to understand your WaSH experiences. I want to understand your world, from your point of view. Will you share some of your WaSH experiences with us?*"[7].
2. Allow the participant to guide the interview process through engaging in an informal conversation. Ask questions that are specific to the participant's comments. Participants should be given the freedom to use their own terms when answering questions. Useful sentence starters include *"How have your experiences...?"*, and *"What happened after...?"* Follow-up questions can occur at any stage during the interview.
3. Have some questions related of WaSH on hand in case there is a lull in conversation. Some prompting questions might include:

   - *"What is your understanding of the WaSH situation in your settlement at the moment?"*
   - *"How would you describe your gender's/ethnicity's skills in WaSH?"*
   - *"How are members of the WaSH committee selected? What does the WaSH committee do?"*
   - *"Do people of your gender/ethnicity get involved in any WaSH activities? Can you tell me a bit more about what you do?"*
   - *"Did your elders tell you any stories about WaSH when you were growing up?"*
   - *"Do you think that everyone in this settlement has equal access to WaSH? Can you please tell me why you think that?"*
   - *"What roles and responsibilities do women, men and children have in WaSH?"*
   - *"Are there people specialised in WaSH in your settlement? What do these people do?"*
   - *"What is the main source of water for your settlement? What would you say about its water quality? How can you tell whether it is clean water?"*
   - *"How do you access water?"*
   - *"Do you have sufficient water to meet you daily needs?"*
   - *"Tell us about what toilet facilities you have at the schools/community institutions/your homes"*
   - *"Can you tell me about any WaSH initiatives that are taking place, or have taken place, in your settlement? How happy is your denomination/ethnicity with this/these WaSH intervention/s? Were you involved in deciding: Whether or not to go ahead with the program? The technology choice? How the service is to be provided, and maintenance and repair? Whether it is affordable? How conflicts will be resolved?"*
   - *"What sort of toilet facilities do you think would be most practical for your settlement?"*
   - *"What materials do women use in managing their menstrual cycle? Do they purchase these? Are there other materials you think they would prefer to use, and if so, why don't they use them at the moment?"*

- *"What is the level of trust in this settlement? Compared to other settlements, how do people in this settlement trust each other?"*
- *"Are people here more interested in the welfare of their own family than that of the settlement?"*
- *"What are some of the most pressing issues (not necessarily WaSH related) facing your settlement at the moment?"*

4. Towards the end of the interview, allow the participant the opportunity to reflect on any new insights, ideas or solutions that may have become evident during the interview, particularly with regards to potential WaSH marketing exchanges. Explore how these revelations inform action.

5. Ask the participant whether they can think of other individuals that you should speak to. These might include:
    - Formal leaders (for example, chiefs, committee chairs);
    - Natural leaders (for example, people without a formal title but who are often successful in driving positive change in the target population);
    - Vulnerable individuals (for example, people living with disabilities, the ultra-poor).

6. Summarise or ask the participant to summarise the conversation, state that "*I don't have any more questions to ask. Do you have anything more you would like to share?*" and thank the participant.

Physical WaSH mapping

Participants:

Participants should include a representative assortment of members of the target population (for example, WaSH or development committee members, community leaders, community representatives, entrepreneurs, business persons, vulnerable people, representatives of different ethnic and religious groups).

Rationale:

Participatory activities to investigate the current situation provide the participants with the opportunity to identify WaSH-related issues and problems that are most relevant to them. Sharing these issues with other participants can result in greater understanding of the overall WaSH situation and encourage action.

This activity is useful when:

It is challenging for your team and/or members of the target population to understand the physical WaSH features of the settlement from descriptions alone. It can be a useful activity to conduct immediately following the WaSH transect walks activity.

Step-by-step:

1. Ask participants to form groups of 3-6. Each group must be accompanied by a member of your team.
2. Ask each group to draw a map of their settlement, identifying major landmarks (for example, schools, community centres) and WaSH infrastructure (for example, water tanks, standpipes, toilets), as well as any other points-of-interest (for example, Figure 21). Provide the participants with complete freedom to develop the maps on their own terms.
3. When the participants are finished developing their maps, ask them to present their maps to the other participants. Provide the opportunity for participants to ask any questions or seek clarification about anything that was raised.
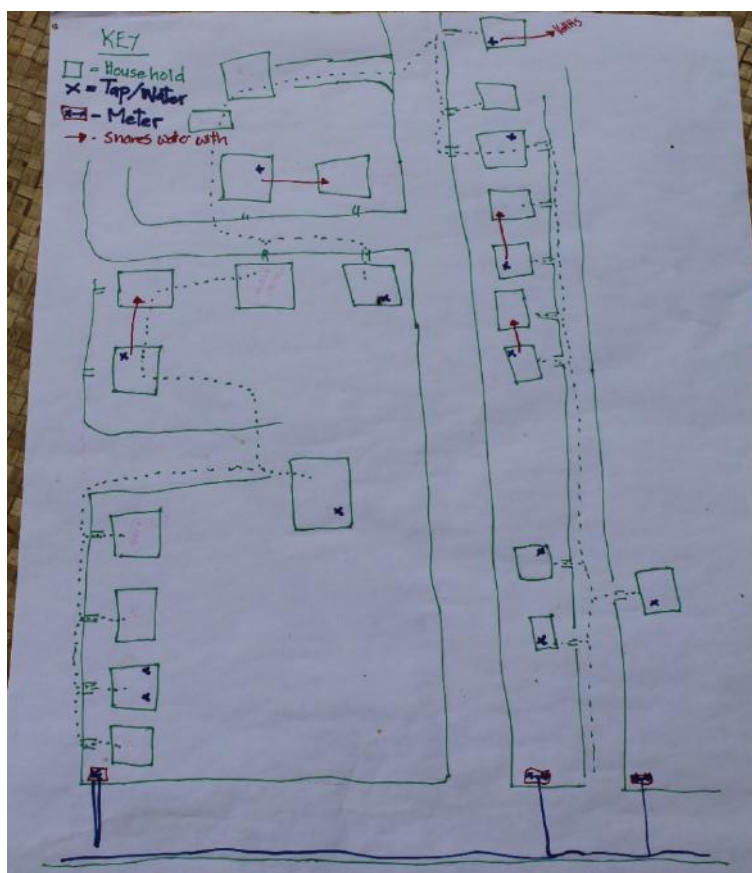

Figure 21: Physical WaSH map of a segment of a settlement in Vanuatu

Aerial WaSH mapping

Participants:

Participants should be a representative assortment of members of the target population (for example, WaSH or development committee members, community leaders, community representatives, entrepreneurs, business persons, vulnerable people, representatives of different ethnic and religious groups).

Rationale:

Participatory activities to investigate the current situation provide participants with the opportunity to identify WaSH-related issues and problems that are most relevant to them. Sharing these issues with others can result in greater understanding of the overall WaSH situation and encourage action. Using an aerial map of the settlement encourages discussion around what has changed (or not changed) since the image was taken.

This activity can be repeated at various times throughout the program to assess any changes to the WaSH situation which have taken place during the WaSH program.

This activity is useful when:

There have been significant physical changes to the settlement in recent times.

Step-by-step:

1. Ask participants to form groups of 3-6. Each group must be accompanied by a member of your team.
2. Provide each group with multiple copies of an aerial image of the settlement and surrounding areas (ensure that the image is printed in colour). Tell the participants that they can keep the aerial images after the activity is complete.
3. Explain some specifics relating to the image and where it comes from, and then ask each group to share and discuss anything relating to the image. Allow participants to identify any landmarks of interest first, and changes which have occurred since the image was taken.
4. Steer the conversation towards WaSH in the settlement. Some prompting questions might include:

   - *"Are there any WaSH issues you can notice on the map that you don't see from the ground?"*
   - *"Where does this water source originate?"*
   - *"Which parts of your settlement flood during the rainy season?"*

5. Encourage participants to draw on the image with the coloured pens and markers provided to highlight certain landmarks, or to augment the image. Take photographs of the augmented images and ask the participants to keep the originals. You may find it useful to refer back to them in later activities.

Figure 22: Participants amending a satellite image of their informal settlement in Fiji.

Historical WaSH timeline

Participants:

Participants should be a representative assortment of members of the target population (for example, WaSH or development committee members, community leaders, community representatives, entrepreneurs, business persons, vulnerable people, representatives of different ethnic and religious groups).

Rationale:

Understanding the history of WaSH in a settlement can assist in planning future actions. This activity may also capture useful historical information that could otherwise be lost as elders pass on, and may provide new information to other members of the target population.

This activity is useful when:

There are elderly or disabled people in the workshop. It was developed particularly for individuals who were not comfortable taking part in the WaSH transect walks activity. Whilst other members of the team accompany the walking groups, one team member remains behind in the workshop area to facilitate this activity, ensuring that less abled or elderly members of the target population are engaged. This also empowers those who may have felt that they could not contribute physically, but could provide useful information for WaSH improvements in their settlement.

Even if there are not elderly or less abled participants in the workshop, this may still be a useful activity to conduct with other members of the target population, especially if there have been many changes to the WaSH situation over time or in different parts of the settlement.

Step-by-step:

1. Ask the participants to write down on a large sheet of paper the big events which have happened in their settlement and when they occurred. These may or may not be related directly to WaSH (for example, major flood, connection to mains water installed, church built).
2. Work with participants to prepare a 'WaSH timeline' around these key dates, detailing how the participants have seen WaSH evolve in the settlement, and including any historical facts they may have been told by their own elders. Capture this on paper.
3. Ask the participants to present their historical timeline to other members of the target population.
4. Keep the timeline for use in future activities. Past experiences and relationships may be useful to consider in fostering WaSH marketing exchanges.

PHASE 2: Understanding the enabling WaSH system

Objective: For enabling actors and the target population to gain an understanding of the WaSH marketing exchange system, enabling actors to identify issues and bottlenecks within the enabling WaSH system and building relationships between enabling actors.

Outcomes:

① The target population and enabling actors understand the WaSH marketing exchange system

ESSENTIAL ACTIVITIES

Gaining enabling actors' insights to the WaSH marketing exchange system

Participants:

An individual enabling actor from an organisation. If more than one enabling actor from the same organization wishes to be interviewed, it is also possible to conduct this activity with a small group.

Rationale:

This activity will help your team to better understand the roles of each enabling actor within the enabling WaSH system, as well as build social capital between your team and the enabling actors to support action in later phases of the program. This activity can also be used to introduce the WaSH program, including participatory development and marketing exchange systems.

It is useful to conduct these interviews early in the program in order to engage enabling actors, and to repeat meeting with these enabling actors as the program continues, so as to update them and gather their insights on the program's progress. This may lead you to adapt your program and practices as new information and ideas come to light.

Enabling actors who you have recently interviewed when working with other target populations may not need to be interviewed again *if* they have the same functions in the new target population.

Step-by-step:
1. Introduce the WaSH program to the participant(s). Explain that it is a participatory process so both the target communities and enabling actors will be involved in planning and undertaking actions. If the participant(s) has been involved in the program already, update them on progress.

2. If you have not met with the participant(s) before begin by asking the participant some general questions about their work. Prompting questions might include:
    - *"What are your organisation's priorities regarding water, sanitation and hygiene?"*
    - *"What activities does your organisation do related to water, sanitation and hygiene?"*
    - *"What tools do you use to do this work?"*
    - *"What are your roles or functions related to water, sanitation and hygiene?"* Probe on different functions (see Appendix 4, *Policy Brief: Enabling environments that foster sustainable, effective and inclusive WaSH marketing exchanges* for information on the different functions).
    - *"Are these priorities, activities, tools and functions different in urban and rural areas? In informal settlements?"*
    - *"Can you identify any other organisations you work with regarding WASH? What does this collaboration entail?"*
    - *"Do you know of other organisations that also do WASH work here? If yes, who?"*
    - *"How would you describe the communication between these different organisations (including your organisation) doing WASH? Is it effective and sustainable? What about the coordination? Collaboration?"*
    - *"Do you work directly with communities on any issues (not only WaSH)? What about indirectly (for example, communication campaigns)?"*

- *"How would you describe the current access to and practices regarding water, sanitation and hygiene in rural and urban settlements?"*
- *"Are there differences in access between formal/informal settlements, different genders, ethnicities, disabled persons, etc.?"*
- *"What do you think settlements desire in terms of WaSH? Does this differ between rural/urban and formal/informal areas?"*
- <u>If you have met with the participant(s) before.</u> *"Have your opinions on this changed since being involved in the WaSH program?"*

3. If the WaSH program is already active, ask the participant(s) about changes since the program started:
   - *"Have you seen any changes in access to or practices regarding water, sanitation and hygiene since the WaSH program began?"*
   - *"Have you seen any changes to your organisation or another organisation's priorities or functions since the WaSH program began?"*

4. If you have not met with the participant(s) before explain the various types of marketing exchange (See "What are WaSH marketing exchanges?" section on page 5) and give examples. Even if you have previously introduced marketing exchange to the participant(s), you may need to remind them of the different types and give examples. Ask the participants questions about WaSH marketing exchanges and how enabling actors could foster these exchanges. Prompting questions might include:
   - *"Can you think of examples of each of these types of exchanges in your own country/city?"* Probe around the different types of marketing exchanges with a focus on WaSH and informal settlements.
   - *"What kind of support do you think these marketing exchanges need in order to function?"*
   - *"What kinds of functions could enabling actors play to support these systems?"* (see Appendix 4, *Policy Brief: Enabling environments that foster sustainable, effective and inclusive WaSH marketing exchanges* for information on the different functions to probe on).
   - *"How ready is your organisation to support different WaSH marketing exchanges?"*
   - *"Are there any examples of how you are doing this already?"*
   - *"Do you think policies and regulations are supportive for fostering WaSH marketing exchanges?"*

5. Final question set – ask these questions to all participants.
   - *"What do you think is your organisation's greatest success when it comes to improving WaSH generally, and in informal settlements?"*
   - *"On the other hand, what do you think has been the greatest challenge in WaSH?"*
   - *"What will be the biggest opportunity in WaSH moving forward?"*

6. Summarise or ask the participant(s) to summarise the conversation, state that "*I don't have any more questions to ask. Do you have anything more you would like to share?*" and thank the participant. Exchange contact information with the enabling actor, and provide them with some information on the timeline of the program. Ask about involving the enabling actor in future activities and how it would be best to keep in touch.

7. Gaining private sector actors' insights to the WaSH marketing exchange system

Participants:

Owners and managers of private enterprises that provide WaSH products and services.

Rationale:

As a specific type of enabling actor, the private sector plays a unique role in providing both inputs (for example, WaSH products like soap and toilet paper and WaSH services like septic tank emptying) and outputs (for example, an informal settlement resident and a private sector actor may work together to create a new product or service delivery model) to the WaSH marketing exchange system in informal settlements. The purpose of the interview is to gain insight into the marketing exchange role played by the private sector in relation to WaSH. These insights can then be used when assisting target populations to plan WaSH actions. The interviews should follow an open-ended informal conversational method.

Private sector actors who you have recently been interviewed when fostering WaSH marketing exchanges in other target populations may not need to be interviewed again *if* they have the same functions in the new target population.

Step-by-step:
1. Begin by asking the participant some general questions about their business. Prompting questions might include:
   - *"Who are your customers, and how do you serve them?"*
   - *"How do you define your market (that is, what business are you in, really?)?"*
   - *"What market segments do you serve?"*
   - *"What is your biggest selling product or service?"*
   - *"Who is the biggest customer segment for that product (that is, who buys it?)?"*
   - *"Why do you think they buy your product or service and not from other sources?"*
   - *"What is your pricing strategy?"*
   - *"Do you offer any financing/credit/loans/rentals for your products or services? Do you offer this to everybody?"*
   - *"How do you promote your best selling products or services?"*

2. Toward the middle of the interview begin to shift questions towards how they engage with informal settlements. Some prompting questions might include:

   - *"Do people from peri urban informal settlements buy your products or services? If so, why do you think they buy from your business? What is the value you provide for them?"*
   - *"If not you directly, do your channel partners (intermediaries) sell to people from informal settlements?"*
   - *"How big is the informal settlement as a market segment for you?"*
   - *"What are some reasons you would want to/do not want to sell to informal settlements?"*

3. Shift the focus to questions on the role that the private sector may or may not play in improving the wellbeing of people living in informal settlements. Some prompting questions might include:
   - *"Do you think your products do anything to alleviate any of the daily life pressures faced by people in informal settlements? If so, what?"*

4. Shift the focus to questions on the role that the private sector may or may not play in improving WaSH in informal settlements. Some prompting questions might include:
   - *"Do you think your products or services contribute to improving water-delivery, sanitation or hygiene conditions in informal settlements? How?"*
   - *"Thanks for your ideas regarding how your products or services can help improve water delivery, sanitation, and hygiene. Now, can I ask what role you think your business could play specifically in achieving these?"*
     - *Example prompt: "Given that you sell water anyway, do you think you could do a better job of delivering water to these settlements?"*

- *"Do you support informal settlements or the greater community more generally through corporate social responsibility activities? How?"*

- Keep in mind that other actors could actively support, not support or actively hinder the business;
- When probing focus on informal settlements;
- Probe on specific activities (functions) that are necessary to support these WaSH marketing exchanges.

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5. Bring the conversation to a discussion on functions for WaSH marketing exchange in informal settlements. Explain that you are interested in how informal settlement communities try to achieve their WaSH needs, and that often this happens through exchanges with the private sector. You are interested in what is necessary to support these exchanges between informal settlement residents and the private sector. Some prompting questions might include:

- *"How does the government (or various government departments/agencies) support or not support your business?"*
- *"How do business owners or private sector actors support or not support your business?"*
- *"How do other groups support or not support your business (apart from buying your products/services)?"*
  - o *Probe: These groups could include CSOs, church groups, etc.*
  - o *Probe: What about the consumer council?*
- *"Is there any (additional) support or things that you need to help your business?"*
- *"Why would these things help your business?"*
- *"What is your country's biggest strength?"*

6. Summarise or ask the participant to summarise the conversation, state that "*I don't have any more questions to ask. Do you have anything more you would like to share?*" and thank the participant.

Figure 23: 44-gallon drums waiting to be sold as septic drums in Solomon Islands.
This activity allowed insight into the planned usage of these drums.

Mapping the enabling WaSH system

Participants:

Multiple enabling actors

Rationale:

In order to foster WaSH marketing exchanges, it is useful for everyone within the enabling WaSH system to understand how it works. This activity ensures that enabling actors understand how they each fit into the WasH marketing exchange system of the target population, how they currently work together and how they currently work with informal settlements. Furthermore, it engages enabling actors as participants in the development process and emphasises the importance of developing social capital between them.

Step-by-step:

1. This activity works best with a diverse representation of enabling actors in the enabling WaSH system. Several weeks prior to the activity, compile a list of enabling actors to invite based on:
    a. Actors who participated in the Gaining enabling actors' insights to the WaSH marketing exchange system activity,
    b. Actors who participated in the Gaining private sector actors' insights to the WaSH marketing exchange system activity, and
    c. Other enabling actors identified through these or other activities.

    Several weeks prior to the activity, provide enabling actors with official invitations to the activity which they can use to obtain official permission to attend the activity, if necessary. This invitation should include the date, time and purpose of the activity as well as a brief description of the WaSH program. It may be helpful to follow-up with invited enabling actors a few days prior to the activity to confirm their attendance.
2. On the day of the activity, introduce your team and allow the enabling actors present to introduce themselves.
3. Introduce the WaSH program to the participants. Explain that it is a participatory process so both the target communities and enabling actors will be involved in planning and undertaking actions. If the participants have been involved in the program already, update them on progress.
4. If more than 10 participants are present for the activity, divide them into groups of 5-8. Request that, if two or more actors are present from the same organisation, they be in separate groups. If fewer than 10 participants are present, conduct the activity in one group. Each group must be accompanied by a member of your team.
5. Ask the participants to write down their organisation's name on a card or sticky note and place it on a large sheet of paper. This paper will become the Enabling WaSH System Map (for example, Figure 24).
6. Ask the participants whether there are any other organisations or groups of actors that are involved in WaSH but which aren't present. Write these on a card and add them to the Enabling WaSH System Map.
7. One by one ask each participant to explain their organisation's connections to the other organisations. Encourage them to draw on the Enabling WaSH System Map to represent these connections. They may like to use different colours/patterns to represent different types of functions (for example, regulates, provides services to, receives funding from). Participants may continue to add organisations or other groups of actors to the map throughout this process.
8. If, when about half of the participants have taken a turn to explain their organisation's connections, informal settlements have not yet been integrated, write 'informal settlements' on a card and add it to the Enabling WaSH System Map. Ask participants how the organisations on the Map engage with informal settlements. Draw these relationships as well.

Note: If you are conducting the Identifying WaSH Functions activity on the same day, skip step 9, as it is covered in that activity. If you are conducting the activities a different day, complete step 9. Complete step 10 either way.

9. Use the Enabling WaSH System Map to prompt a discussion on WaSH governance, the necessary functions of an enabling system, and WaSH marketing exchange systems.

    • Probe the participants about how organisations on the map could engage with informal settlements;
    • Probe the participants on gaps and bottlenecks in the system. How could these be improved?

10. The Enabling WaSH System Map should be referred to in other activities, and amended over time as new relationships are formed or recognised. It can be digitally consolidated if the original copy is too difficult to understand and explain (for example, Figure 25). The Map will be particularly useful when it comes to explaining the enabling WaSH system to the target population.

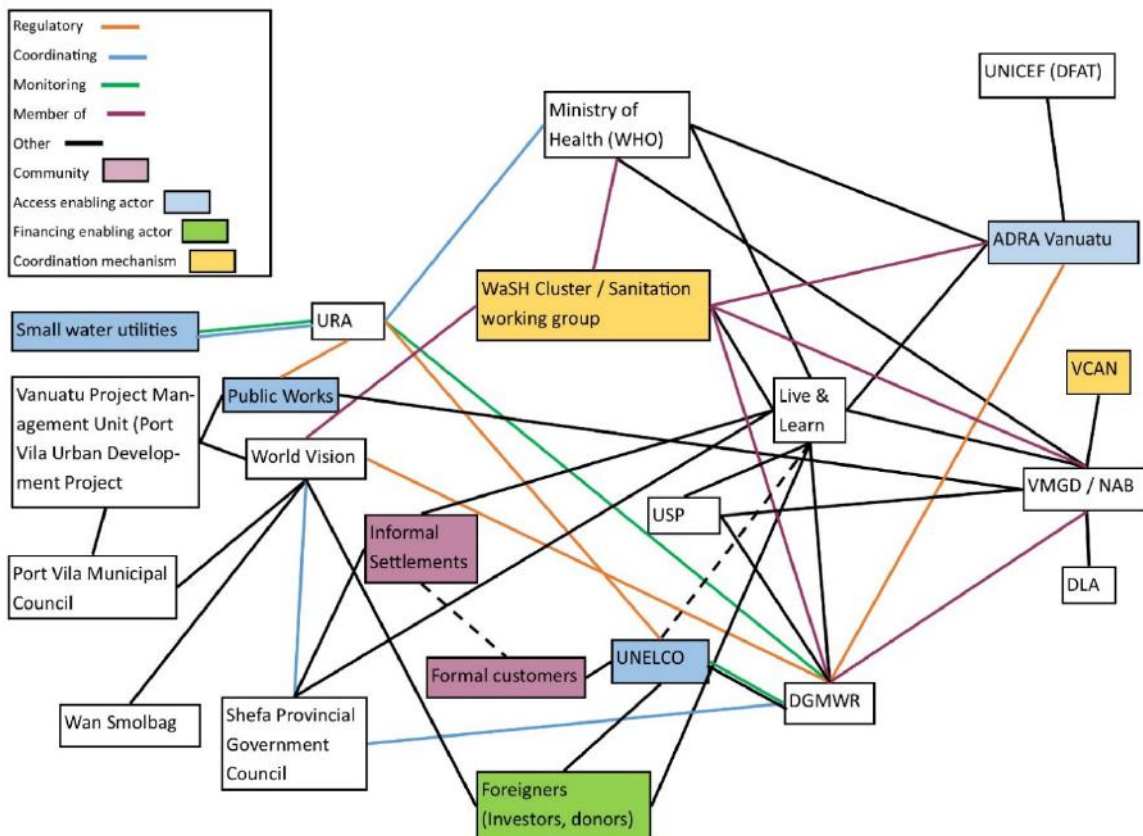*Figure 24: Original Enabling WaSH System Map in Vanuatu.*

Figure 25: Digitally consolidated Enabling WaSH System Map in Vanuatu.

Identifying WaSH functions

Participants:

Multiple enabling actors

Rationale:

It is useful for enabling actors and members of the target population to understand the four different types of marketing exchange (see page 5) and how the exercise of functions (see page 9) which create marketing system assets (see page 9) can foster these exchanges. In addition, this activity surfaces many ideas about which functions and assets are working well and which aren't, and may prompt discussions around actions that will need to be taken if WaSH marketing exchanges are to be enhanced.

Step-by-step:

If you *are not* conducting this activity the same day as the Mapping the enabling WaSH system activity, repeat steps 1-3 of that activity (preparation and introductions). If you *are* conducting both activities on the same day, the preparation and introductions are not necessary.

1. State that this activity builds on the Enabling WaSH system mapping activity. Briefly introduce the WaSH marketing exchange system diagram (see Figure 4 on page 8) and let the participants know that you will be working through parts of the diagram with them to help get a better understanding of WASH marketing exchange system in their country (province, etc.) and how this links to the enabling WaSH system.

2. State that the group will now be thinking about functions (see page 9) in enabling WaSH system and the marketing system assets (see page 9) that result from these functions. For the moment you are considering what needs to be <u>done</u> to support WaSH in informal settlements, <u>not who does it</u>. The Enabling WaSH System Map can be useful to help participants start thinking about current functions and assets, but that in this activity you want to move beyond the current situation to think about what an ideal situation might look like.

3. Break into groups of 4-6. Each group must be accompanied by a member of your team.

4. Ask participants to brainstorm which functions and assets are necessary to support informal settlements in accessing and using WaSH for improved wellbeing. Where functions or assets are not clear, ask participants to provide examples.

5. Continue to add to the functions and assets lists until all participants run out of ideas. If necessary, supplement the lists with examples or probe on categories of functions (for example, communication, coordination, human resources planning, financing, policy and planning, service delivery, education and capacity building, regulation, etc.) and assets.

6. Ask each group to present their functions and assets to the rest of the participants. Rather than doing longer presentations, rotate rapidly through the groups with each group sharing one function per turn. These functions and assets should be added to large sheets of paper visible to all participants. Continue to rotate through the groups giving each group a turn to add to the lists of functions and assets until all groups have exhausted their ideas. Allow opportunities for clarification questions during this process.

7. State that the group will now be moving onto WaSH marketing exchanges (and show this in the WaSH marketing exchange system diagram, Figure 4 on page 8). Introduce the WaSH marketing exchanges (see page 5) and provide some examples.

8. Ask each group to list out functions and assets that are necessary to support market-based exchanges that improve WaSH. When it seems that each group has exhausted their list, have them share with the other participants in the same way as in step 6.

9. In turn, repeat step 8 for non-market-based, command-based and culturally-determined marketing exchanges.

10. Reiterate that the functions and assets they have listed throughout the activity are all necessary to foster the WaSH marketing exchange system.

11. Use the Enabling WaSH System Map and the lists of functions and assets to facilitate a discussion on the enabling WaSH system and WaSH governance. Questions for discussion include:

    - What are the gaps and bottlenecks in the system?
    - What functions or assets are these related to (for example, policy, planning, financing)?
    - How could these be improved?
    - What are the specific steps and who could take them?
    - How might enabling actors best engage with informal settlements?

- How might enabling actors best facilitate WaSH marketing exchanges?
  Introduce the idea of formal and informal rules (see Appendix 4, Policy Brief: Enabling environments that foster sustainable, effective and inclusive WaSH marketing exchanges for information on formal and informal rules).
- What are some times that you have used formal rules? Informal rules?
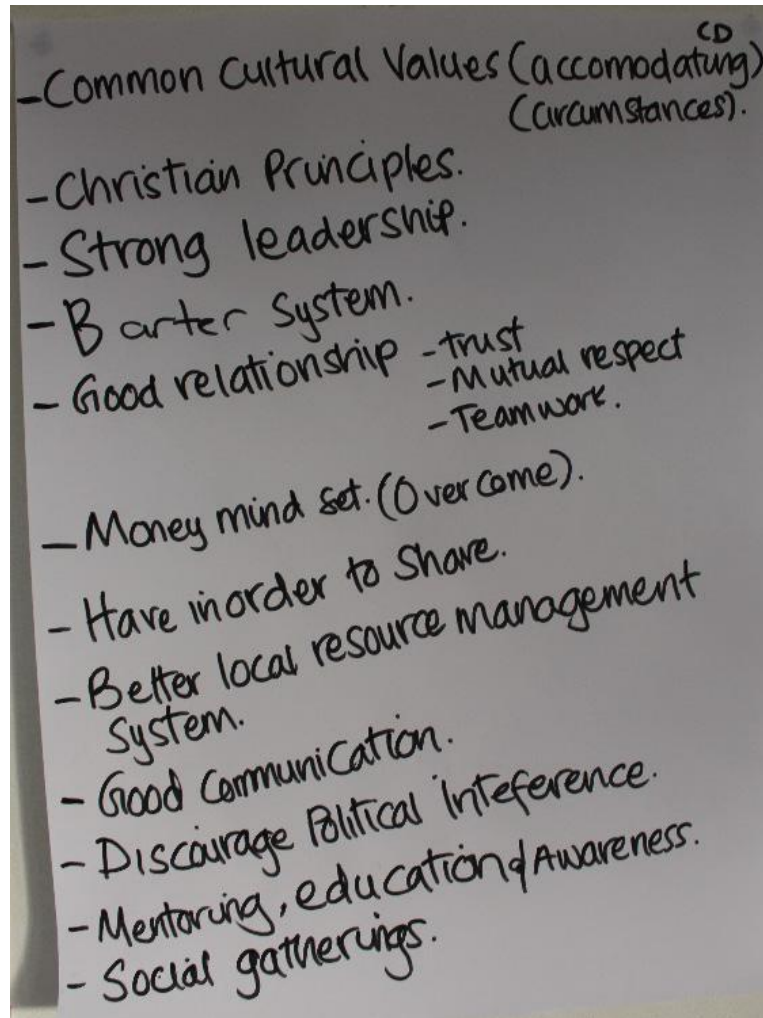- Are there times that informal rules are more effective than formal rules?

Figure 26: Functions and assets identified as supporting culturally-determined exchanges in Vanuatu

PHASE 3: Connecting target populations and enabling actors

Objective: To bring the target population/s together with enabling actors so that each better understands the WaSH marketing exchange system; reducing the effects of power imbalances between the target population and enabling actors, and building social capital between and amongst the target population and enabling actors.

Outcomes:

① The target population and enabling actors understand the WaSH marketing exchange system;

③ The target population and enabling actors generate plans and priorities by collaboration and negotiation.

ESSENTIAL ACTIVITIES

Sharing the Enabling WaSH System Map

Participants:

Members of the target population and enabling actors.

Rationale:

In order to foster WaSH marketing exchanges, it is useful if everyone within the WaSH marketing exchange system understands how it works. This activity gives the opportunity for the enabling actors to explain their roles within the WaSH marketing exchange system to the target population, and for members of the target population to ask questions of the enabling actors. In particular, a common understanding of how informal settlements are connected to the various organisations would be a very useful outcome.

Step-by-step:

1. Invite enabling actors to explain the map to all of the participants.
2. Allow participants to ask questions to clarify any confusion about the roles of different organisations.
3. If it has not been mentioned, steer the discussion towards WaSH governance relevant to informal settlements. Some prompting questions might include:

   - *"How do people living in the settlement go about getting connected to mains water?"*
   - *"How does the water utility/government agency decide whether to connect houses to water or sewerage?"*
   - *"Can people living in informal settlements apply for land title?"*

4. Ensure that the discussion does not turn personal, malicious, or spiteful between members of the target population and enabling actors.

Sharing of outputs developed by the target population

Participants:

Members of the target population and enabling actors.

Rationale:

In order to foster WaSH marketing exchanges it is useful if all of the participants understand the current WaSH situation of the target population. This activity is an opportunity for members of the target population to share with the enabling actors the outputs they prepared in Phase 1 (for example, Target Population WaSH Priorities List, Target Population Wellbeing Aspirations List/Map, Social Capital Maps, Ladders of Life), as well as any other materials they think are useful (for example, newspaper articles, letters received from government departments, details of previous WaSH projects).

Step-by-step:

1. Ask participants to divide into groups. Each group should have at least two members of the target population, one enabling actor, and one member of your team.

2. Ask members of the target population to share their outputs and any other materials that they would like to with the enabling actors.

3. Encourage enabling actors to ask clarifying questions. In particular, ensure that enabling actors understand how WaSH is governed within the target population, and what the target population's WaSH aspirations are.

4. Ensure that the discussion does not turn personal, malicious, or spiteful between members of the target population and enabling actors.

Figure 27: Members of a target population in Solomon Islands sharing the outputs they produced in Phase 1 with enabling actors.

Visit to the target population's informal settlement

Participants:

Members of the target population and enabling actors.

Rationale:

It is useful for enabling actors to understand the target population's lived experience of WaSH. This will allow them to make recommendations or propose actions to improve WaSH. It can also be useful for members of other target populations to attend and better understand the context of different informal settlements in their country.

Step-by-step:

1. It is anticipated that before visiting the informal settlement you will have worked with the target population to develop a 'tour route' in the Phase 1 activity 'Preparing the target population to work with enabling actors'. If it has been a long time since this activity was carried out, meet with members of the target population again to see whether they still think the route they developed earlier is useful, and work with them to develop a new route if necessary. Ensure everyone who will be involved in the visit knows what the route is.
2. In advance, organise with enabling actors to debrief soon after the visit (ideally immediately following or the next day).
3. On arriving at the settlement, divide the participants into groups of 4-6, with at least one member of the target population to accompany each group. Ask members of the target population to conduct tours to explain current WaSH issues, marketing exchanges and priorities. Encourage enabling actors to ask questions during the tour.
4. Conduct a debriefing session with the enabling actors after the visit. This <u>must</u> be conducted without members of the target population present. This allows the enabling actors an opportunity to process what they have seen and speak frankly about potential actions they believe communities and/or enabling actors can take to engage in WaSH marketing exchanges.

Figure 28: Members of the target population and enabling actors discussing the WaSH situation in an informal settlement in Fiji.

OPTIONAL ACTIVITIES

Sharing of participants' hopes and worries

Participants:

Members of the target population and enabling actors.

Rationale:

This activity encourages enabling actors and members of the target population to think about what it is they expect, and hope, they will achieve from the WaSH program (or a smaller part of the program, for example, a workshop session), as well as what they are worried might happen. Sharing between participants allows for a greater understanding of the reasons participants are involved in the program/workshop, and builds social capital between them. In turn this can lead to more effective action planning for engaging in WaSH marketing exchanges.

This activity is useful when:

Members of the target population have voiced concerns that the program will be ineffective, or that the enabling actors will not 'listen' to them, or the enabling actors are apprehensive about the program. It allows everyone's concerns to be shared in a confidential manner.

Step-by-step:

1. Ask all participants to write down their hopes and worries for the program/workshop on small cards (for example, Figure 29) and assist those who are not comfortable with writing these down but would like to contribute. Collect the cards in a box or basket, so that the individual who wrote each can remain confidential if they wish.
2. Ask a volunteer (or multiple volunteers) to read out the hopes and worries (if it is self-evident from a hope or worry who it was written by, be sure to check with the writer that they are happy for it to be shared with everyone). Discuss each in turn and how the hopes and worries could be addressed. Some prompting questions might include:

   - *"Why do you think people are worried about _____?"*
   - *"How do you think we (all participants) can address _____?"*
   - *"What can we all do to ensure only positive change happens?"*

3. Use the discussion to create some guidelines for moving forward with Phase 4 that everyone can refer back to as needed. Write these guidelines (for example, Figure 30) on a large sheet of paper that can be seen by everyone throughout the activities.
4. You may also refer back to these hopes and worries at later stages in the program to see whether they are being adequately addressed. If they aren't, you may need to adjust the program's activities so that it is more likely to achieve the desired outcomes.
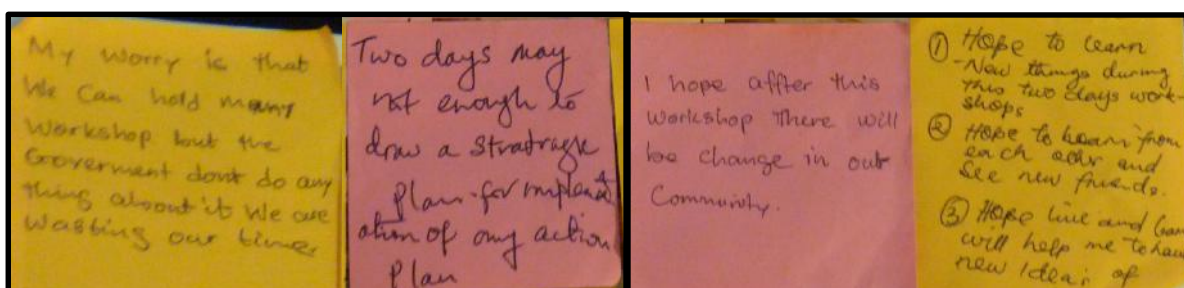

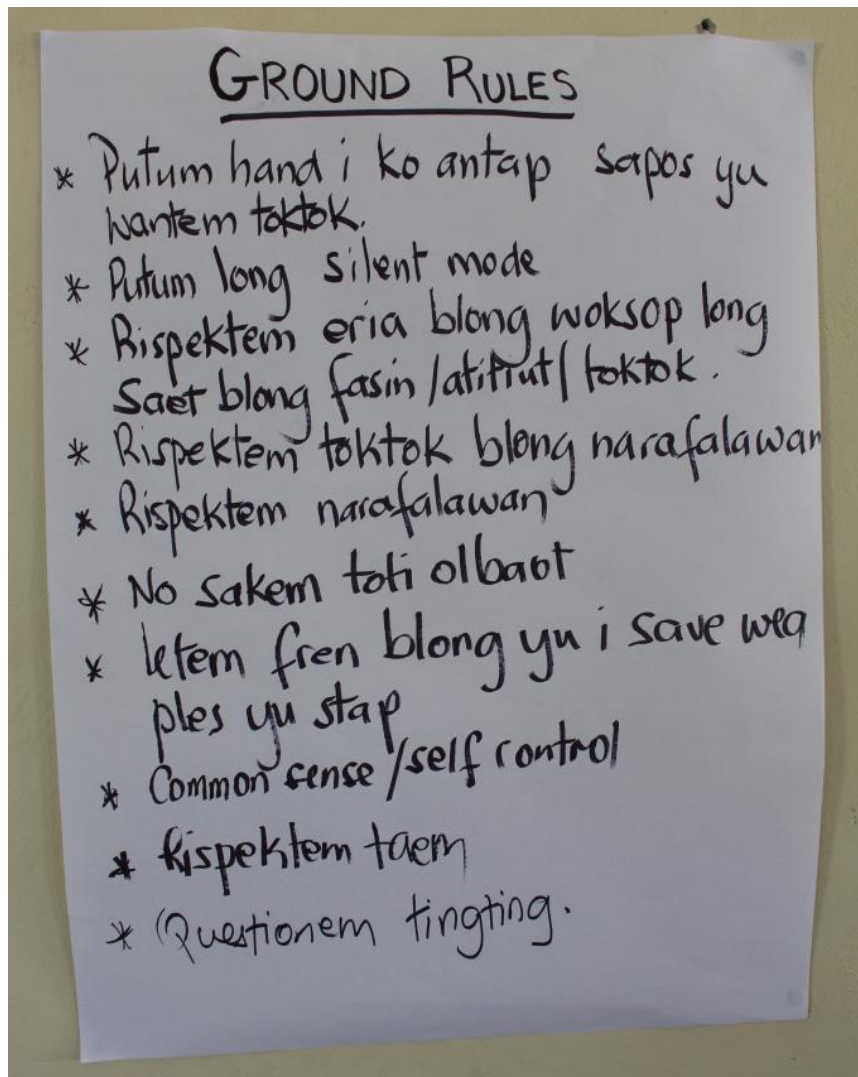*Figure 29: Worries (left) and hopes (right) from a workshop in the Solomon Islands.*

Figure 30: Ground rules developed by participants during a workshop in Vanuatu.

PHASE 4: Collective action planning

Objective: Plan WaSH actions which will meet the aspirations of the target population and enabling actors.

Outcomes:

①   The target population and enabling actors understand the WaSH marketing exchange system;

②   The target population and enabling actors feel empowered to improve WaSH conditions;

③   The target population and enabling actors generate plans and priorities by collaboration and negotiation.

ESSENTIAL ACTIVITIES

Brainstorming actions

Participants:

Members of the target population and enabling actors.

Rationale:

It is useful for enabling actors and members of the target population to brainstorm actions that could improve WaSH, once they have developed a joint understanding of the overall WaSH marketing exchange system and their various roles and responsibilities within it.

Note: If it seems useful for this activity, you can share the four types of WaSH marketing exchanges with the participants. Alternatively, you can also use your knowledge of WaSH marketing exchanges to ask probing questions and make suggestions during the discussions.

Step-by-step:

1.   Break into groups of 4-6 with mixed enabling actors and members of the target population. Each group must be accompanied by a member of your team.
2.   Provide participants with copies of the Target Population WaSH Priorities List, Social Capital Maps, Enabling WaSH System Map, Target Population Wellbeing Aspirations List/Map, Ladders of Life and any other outputs that have been prepared in earlier phases of the program.
3.   In each group brainstorm different WaSH services, products, processes, enterprises or exchange systems that participants:

    -   have seen in elsewhere;
    -   have heard about from other places and think might be applicable to their settlement;
    -   have imagined (out of the box ideas).

4.   If necessary, ask participants to think beyond technology (there may be a tendency to focus on hardware with less regard for software). Some prompting questions might include:

    -   *"In your example, how does the committee/agency manage the system? Who is in charge of maintenance?"*
    -   *"Do you think that current policy will support that?"*
    -   *"Who owns that system? Would it be possible for them to make a living from it?"*

5.   Ask each group to share their list with other participants.
6.   Ask participants to bring photos, videos, drawings and/or diagrams of the WaSH services/products/enterprises/processes/marketing exchanges that they have discussed and would like to consider planning action towards to the next activity.

Figure 31: Members of a target population in the Solomon Islands brainstorming actions to improve WaSH.

Planning actions

Participants:

Members of the target population and enabling actors.

Rationale:

This is the opportunity for participants to plan actions to improve WaSH in the settlement through engaging in WaSH marketing exchanges, using all the outputs and ideas they have developed in previous activities.

Step-by-step:

1. Beforehand, ask participants to bring photos, videos, drawings and/or diagrams of the WaSH services/products/enterprises/processes and marketing exchange systems they discussed in the 'Brainstorming actions' activity and would like to consider in planning actions.
2. Break into groups of 4-6 with mixed enabling actors and members of the target population. Each group must be accompanied by a member of your team.
3. Provide participants with copies of the Target Population WaSH Priorities List, Social Capital Maps, Enabling WaSH System Map, Target Population Wellbeing Aspirations List/Map, Ladders of Life and any other outputs that have been prepared in earlier phases of the program.
4. Begin by focussing on actions which can be taken by the target population without external assistance (For example, Figure 32). Although the discussion should be focused mainly on WaSH marketing exchanges, often other action ideas will arise (for example, small business planning or micro-enterprises for non-WaSH goods and services) which should be discussed if deemed useful by the group.

Figure 32: Actions planned by a target population in Vanuatu which do not require external assistance.

5. Remind each group about social capital using the Social Capital Maps developed in Phase 1, and highlight how they might use it to engage in WaSH marketing exchanges and other actions.
6. Once a list has been generated, go through each action individually and ask participants to define:
   - Who will be responsible for the action;
   - When the action needs to be achieved by;
   - How they will know if the action is a success;
   - How they will monitor progress on the action;
   - How they will share this progress with members of the target population.

   This step will often assist participants in deciding which actions should be given first priority, and/or which may need to happen over longer time frames.

7. Ask each group to share their actions with the other participants.
8. Ask the target population to discuss actions where it will be necessary to seek external assistance, and what this assistance might be (for example, Figure 33). If necessary, ask participants to think beyond financial

assistance (there may be a tendency to focus on funding from enabling actors as the only way to achieve actions). Some prompting questions might include:

- *"How could you generate enough money to pay for that action without assistance from enabling actors?"*
- *"Do we know what the process is for that action (for example, connection to water mains) to take place? Perhaps we can ask *enabling actor* to explain the process so that you can do it yourselves."*
- *"Would it be possible for you to achieve that action if you received some training?"*

Figure 33: Actions that a target population in Vanuatu would like to take but need assistance from the enabling actors to achieve.

9. Once a list has been generated, once again go through each action individually and ask participants to define:
    - Who will be responsible for the action;
    - When the action needs to be achieved by;
    - How they will know if the action is a success;
    - How they will monitor progress on the action;
    - How they will share this progress with members of the target population.

10. Ask the groups to share their actions with the other participants. At this stage, it may be useful to consolidate the list of actions that require external assistance into a separate list and seek commitment from any members of the target population or enabling actors listed that they will endeavour to achieve their tasks by the self-imposed deadlines.

11. Organise to revisit both action plans periodically with the target population. This will allow your team, members of the target population and enabling actors to monitor progress and adapt practices where necessary. This may be through organising standalone workshops/meetings or attending community meetings, but could also be through other mechanisms such as social media or short messaging service (SMS). Find methods of communication that will work for all members of the target population and the enabling actors. Communication and monitoring activities should be added to the action plan, and participants should define these activities using the dot points in step 6.

Note from the field

We found that it was useful for enabling actors involved in achieving actions to be engaged in this activity. Although they did not attend every meeting of the target population, the lines of communication were open between members of the target population and enabling actors. Although our role was to initiate interaction between them, for sustainability it was important that their relationship was strong without us acting in an ongoing bridging role.

OPTIONAL ACTIVITIES

Investigating potential enterprises

Participants:

Members of the target population and enabling actors.

Rationale:

Communities and enabling actors may identify feasible and appropriate market-based approaches to improving WaSH by examining how current market-based approaches to WaSH and non-WaSH products already function in their settlement and surrounding areas.

This activity is useful when:

The target population already engages in market-based exchanges for WaSH, or show enthusiasm for exploring it as an avenue for improving wellbeing.

Step-by-step:

1. Break into groups of 4-6 with mixed enabling actors and members of the target population. Each group must be accompanied by a member of your team.
2. Ask each group to identify some examples of the different types of enterprises (non-WaSH and WaSH) in the informal settlement and surrounding areas.
3. Explain the different 'levels' of enterprises (Table 1).

Table 1: The different levels of enterprises with WaSH examples.

	Level	Description
Level of enterprise	Large	Government owns water supply and sewerage company. The price and quality of water is regulated by some authority. Consumer pays utility and the profit goes to the government.
		Water supply company is privately owned. The price and quality is regulated by some authority. Consumer pays utility and the profit goes to the company
	Medium	Tanker truck companies purchase water from government utility or other source. Consumer pays tanker truck company to provide water. Profit goes to tanker truck company.
		Sludge pumping company is paid by consumer to remove and dispose of septic waste. Profit goes to sludge removal company.
		Company may collect waste from households for use as compost or to produce biogas. Households might pay for collection or the company may pay households for their waste. Company makes profit from on-selling compost/biogas.
		An enterprise rents mobile toilets to households. This rent provides them with a mobile toilet and regular emptying. Company may then profit from rent as well as on-selling compost/biogas.
	Small	A larger company offers franchises of water ATMs which are managed by a local small enterprise. Consumers purchase water from ATMs as they need it. Some profit goes to the small enterprise, and some to the larger franchisor.
		Cartels provide water with price driven by demand, not regulations. Can be illegal, often leading to exploitation.
	Very small	Canteen purchases WaSH products (for example, soap, toilet paper, bottled water) from a wholesaler or larger store then charges a higher price and makes a profit.
		Entrepreneurs build and maintain toilets, often with initial assistance from CSOs of government agencies.
		A larger company offers franchises of toilet systems which an entrepreneur becomes franchisee of. Consumers pay to use the toilet each time, or subscribe to use it an unlimited number of times for some time period. Some profit goes to the very-small enterprise, and some to the larger franchisor.
	Micro	Individual or family purchases WaSH products (for example, soap, toilet paper, bottled water) from a wholesaler or larger store then charges a higher price and makes a profit.
		A household that is connected to mains water, and pays bill to the water utility, sells water to surrounding households for a profit.
	Survivalist	Entrepreneur collects recyclable materials from settlement and surrounding areas and sells them to a larger company.
		Entrepreneur provides plumbing services and is paid by households they provides these services to.
		Entrepreneur provides 'handyman' services and is paid by households they provides these services to.

4. In the small groups ask the participants to identify some of the barriers that stop the enterprise from moving to a higher level. Lead a discussion on what actions (and by whom) are needed to move to the next level. Some useful probing statements or questions could include:

- *"Explain how the enterprise works/doesn't work."*
- *"What are the rules, norms, and standards for running the enterprise?"*
- *"What are some of the barriers to moving to the next level?"*
- *"Are there ways to overcome these barriers?"*
- *"What actions need to be taken? Who can take them? Are they achievable?"*
- *"What role can you play? What role can the enabling actors play?"*

5. Ask the groups to report back to the other participants on their discussion and any short or long term actions arising from it.
6. Once a list of actions has been generated, go through each individually and ask participants to define:

- Who will be responsible for the action;
- When the action needs to be achieved by;
- How they will know if the action is a success;
- How they will monitor progress on the action;
- How they will share this progress with members of the target population.

This step will often assist participants in deciding which actions should be given first priority, and/or which may need to happen over longer time frames.

Analysis of potential WaSH actions

Participants:

Members of the target population, enabling actors if this is part of a workshop where they are present.

Rationale:

Many actions can be taken to improve WaSH through marketing exchanges – these include those that are technology (for example, compost toilet) and/or process (for example, sanitation enterprise) oriented. It can be helpful to discuss these and then return to planning actions.

This activity is useful when:

Members of the target population and/or enabling actors are unfamiliar with the WaSH products, services or processes being suggested by participants.

Step-by-step:

1. Ask participants to form groups of 3-6. Each group must be accompanied by a member of your team. Different groups may discuss the same or different potential action, and groups may be divided based upon relevant characteristics, for example:

   - By gender, if women do not seem to voice their ideas and opinions when in groups with men;
   - By interest, where those interested in discussing a particular option self-select a group to work in;
   - By target population, if the workshop involves multiple target populations.

2. Within these groups, encourage participants to discuss both the relevant technology <u>and</u> process (including monitoring and evaluation) aspects. For example, if one of the potential actions to discuss is a compost toilet sanitation enterprise, some prompting questions might include:

   - *"How do compost toilets work?"*
   - *"How could a small business for selling compost toilets or collecting waste function in the settlement?"*
   - *"What are some of the pros and cons of the compost toilet technology? What about the processes that are needed to ensure it continues to work in the longer term?"*

7. Ask the groups to report back to the other participants on their discussion and any short or long term actions arising from it.

8. Once a list of actions has been generated, go through each individually and ask participants to define:

   - Who will be responsible for the action;
   - When the action needs to be achieved by;
   - How they will know if the action is a success;
   - How they will monitor progress on the action;
   - How they will share this progress with members of the target population.

   This step will often assist participants in deciding which actions should be given first priority, and/or which may need to happen over longer time frames.
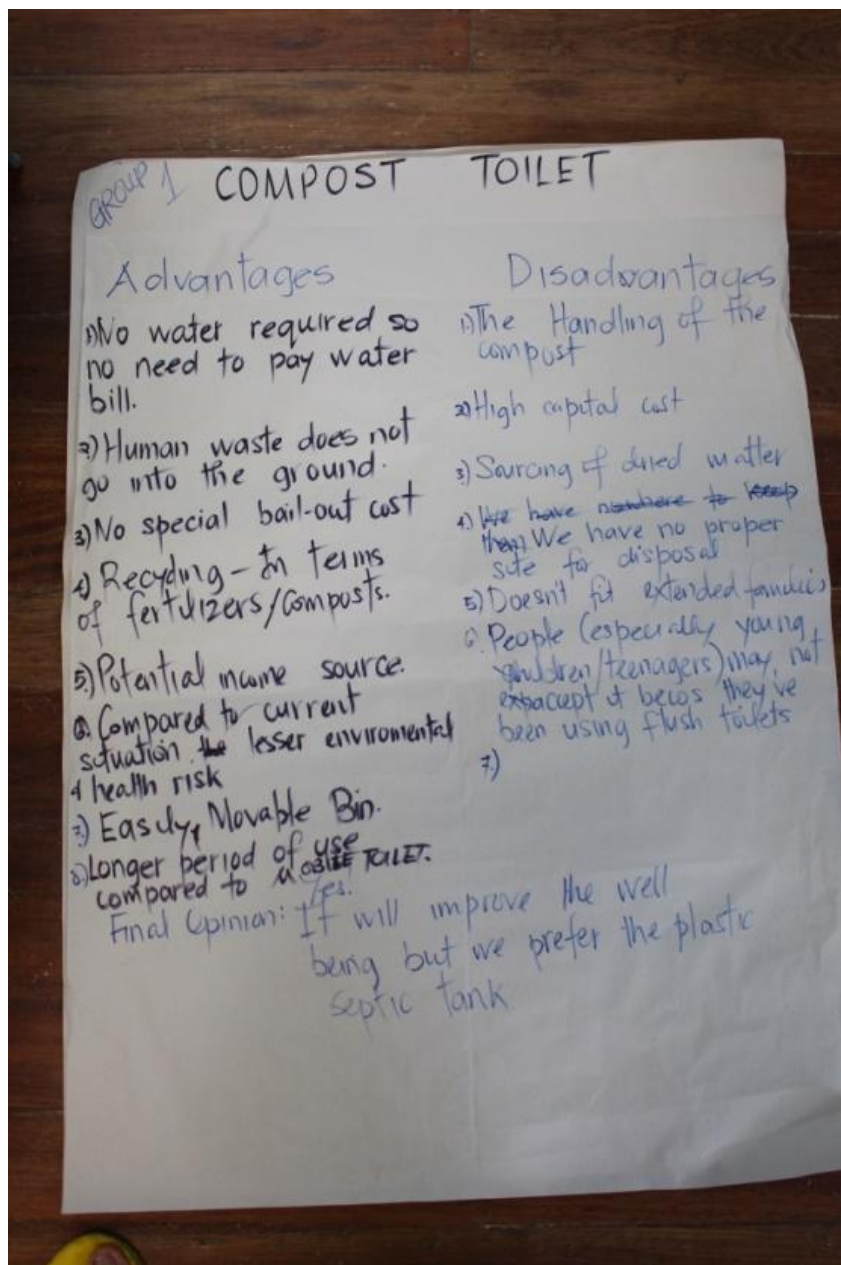
Figure 34: A list developed by members of the target population and enabling actors in Fiji discussing how installing compost toilets might be an option for their settlement.

Discussion about what makes a good WaSH committee

Participants:

Members of the target population, enabling actors if this is part of a workshop where they are present.

Rationale:

Throughout the process of brainstorming and planning actions, the idea of developing a committee to oversee WaSH actions may arise. This activity surfaces a discussion of what attributes are necessary for a committee to be effective and encourages any newly formed committees to develop these attributes themselves.

This activity is useful when:

The target population have decided to form a committee to oversee their WaSH improvements but either have limited experience managing committees, or where they have managed committees they have had little success in achieving their aims.

Step-by-step:

1. With the members of the target population who think it would be useful to form a WaSH committee, facilitate a discussion on effective committees. Explain that the purpose of the activity is to determine how their WaSH committee could function and what would make it most effective. Some prompting questions might include:

    - *"Why do you want to form a committee?"*
    - *"What are the activities (functions) that the committee would need to do?"*
    - *"Is there an existing committee that could take on this role?"*
    - *"What will the committee do?"*
    - *"Who needs to be on this committee to make it effective?"*
    - *"How will we recruit people to this committee?"*
    - *"How will we manage the committee?"*
    - *"Who is the committee accountable to?"*

2. Ask the participants whether there are any short or long term actions arising from the discussion.
3. Once a list of actions has been generated, go through each individually and ask participants to define:

    - Who will be responsible for the action;
    - When the action needs to be achieved by;
    - How they will know if the action is a success;
    - How they will monitor progress on the action;
    - How they will share this progress with members of the target population.

    This step will often assist participants in deciding which actions should be given first priority, and/or which may need to happen over longer time frames.

Note from the field:

Whilst members of the target population in Fiji were undertaking this activity, enabling actors discussed forming a type of overarching committee, an "Informal Settlement WaSH Forum" which enabling actors and representatives of the target population WaSH committees could be part of. The Forum was established and has been instrumental in improving WaSH in Fijian target populations.

Figure 35: The Fijian Informal Settlement WaSH Forum with members of two target population WaSH committees.

Discussion about changing WaSH behaviours

Participants:

Members of the target population and enabling actors, if this is part of a workshop where they are present.

Rationale:

It is likely that the activities throughout this WaSH program have surfaced some WaSH behaviours within target populations which participants would like to change or improve. This activity focuses on discussing what these behaviours are and how they can best be addressed.

This activity is useful when:

The target population has identified that behaviours are reducing or inhibiting the wellbeing of the target population.

Step-by-step:

1. Break into groups of 3-6. Each group must be accompanied by a member of your team.
2. Ask each group to re-visit the behaviours in their settlement which they decided in Phase 1 they would like to change or improve.
3. For each behaviour, ask the group to decide how best they could address it. If the way they would like to address the behaviour infringes on any human rights (for example, physical or verbal assault as punishment for continuing to open defecate) explain that that is unacceptable.
4. Ask the groups to report back to the other participants on their discussion and any short or long term actions arising from it.
5. Once a list of actions has been generated, go through each individually and ask participants to define:

   - Who will be responsible for the action;
   - When the action needs to be achieved by;
   - How they will know if the action is a success;
   - How they will monitor progress on the action;
   - How they will share this progress with members of the target population.

This step will often assist participants in deciding which actions should be given first priority, and/or which may need to happen over longer time frames.

PHASE 5: Supporting action

Objective: Enable the target population and enabling actors to achieve their WaSH aspirations.

Outcomes:

① The target population and enabling actors understand the WaSH marketing exchange system;

② The target population and enabling actors feel empowered to improve WaSH conditions;

③ The target population and enabling actors generate plans and priorities by collaboration and negotiation;

④ Marketing exchanges occur that help improve the WaSH conditions of the target population.

A central aspect of participatory development is to support community initiatives and action. However, supporting action does not necessarily occur through a prescribed set of activities. It is about holistically working with the target population and enabling actors to undertake their desired actions and achieve their WaSH aspirations. It is also about self-reflecting on your own capacity to sustain a participatory mode of interaction over a period of time. Ultimately you should determine how best to support action within your own context.

Some useful ways of supporting action include:

1. Assisting to make adjustments and changes to plans and strategies as when new lessons are learned by the target population and enabling actors (which they will, because participatory development is an iterative process);

2. Linking the target population with other programs which may be able to assist them in achieving their wellbeing aspirations (not just those which are WaSH related);

3. Helping to develop local management and governance capacity and skills to aid in institutional functioning (of committees and forums for example) and decision making;

4. Encouraging alternative ways of engaging in WaSH marketing exchanges in cases where the target population and/or enabling actors seem to have reached a barrier which requires a new approach to overcome;

5. If the target population has established a WaSH committee, attending some of their meetings;

6. Working with enabling actors to share your experiences of partnering with informal settlements and how your insights may inform new/revised policy and practice at the local, provincial or federal level;

7. *Ensuring that you promptly clarify any misunderstandings which may arise about the role of enabling actors, your team and/or the target population in the program;*

8. Helping in visualising and synthesising lessons from outcomes achieved, such that target populations and enabling actors understand how they can transport those lessons to solve other WaSH problems in other contexts. This helps build local leadership capacity – the broader these lessons travel, the greater their sphere of influence and hence their leadership.

PHASE 6: Monitoring, evaluation and adaptation

Objective: Monitoring and evaluate data to continuously adapt the program and report outcomes to various agencies.

Outcomes:

ⓢ   WaSH programs are monitored, including using participatory approaches, and the results of this monitoring are used to guide improvements.

A monitoring methodology must be developed collaboratively by your team, the target community and enabling actors. To begin with your team and all participants must ask themselves:

1.   *"What information do I/we need so as to satisfy stakeholders involved in this program (including donors)?"*
2.   *"Is there information that enabling actors or other agencies require or could meaningfully use (for example for local/provincial/national reporting)?"*
3.   *"What information will allow us to adjust our strategy and achieve better outcomes?"*

The answers to these questions will allow for consideration of how this information can be produced by monitoring and evaluating data throughout the program. The data collected by these methods may be quantitative (for example number of toilets, water quality parameters) and/or qualitative (for example personal narratives, changes to policy). Do not discount the value of rigorously collected qualitative monitoring data.

There are many different methods of monitoring (for example, short messaging service (SMS), surveys, analytical laboratory techniques, social media, interviews) and they can be conducted by various actors (for example, Guidebook users, the target population, the WaSH committee, enabling actors). Once a methodology for monitoring has been developed, ensure that everyone involved in the program understands what it is.

Note from the field

We have seen examples where multiple agencies have collected the same data in an area, duplicating and wasting resources. Similarly, we have seen water quality tests conducted by enabling actors within informal settlements where the target population, and in particular, the WaSH committee, have not been pre-informed, nor have the results of the monitoring been shared with them. This had led to tension and confusion around expectations and the reasons behind the monitoring in the first place.

Once the data has been collected, evaluate it in a way that will produce results that are useful for a) understanding the success of the program and/or b) adapting the program to achieve better results. The method of evaluation (for example, thematic analysis, statistical tests) will depend on what type of data has been collected and what type of information is required given your answers to the earlier questions.

How your team chooses to monitor and evaluate depends upon your answers to the questions above and the context of the WaSH marketing exchange system within which you work.

ESSENTIAL ACTIVITIES

Debriefing session

Participants:

Your team after an activity or workshop.

Rationale:

Throughout a program is it useful to understand whether activities are working well, how the activities have influenced your team or their behaviour, and how the program may more effectively foster WaSH marketing exchanges by adapting activities to context.

Note from the field:

Running participatory activities can be exhausting. If your team is too tired to reflect properly immediately after an activity, run the debriefing session in the days following.

Step-by-step:

1. Gather your team members after running an activity or workshop (this can be immediately following or within a few days later). Prompt a verbal discussion and/or ask your team to reflect on how the activity went and how the program is progressing overall. Some prompting questions might include:

   - *"What did you observe?"*
   - *"Who did you meet?"*
   - *"What worked well? What didn't work well?"*
   - *"Were there any unexpected surprises?"*
   - *"What issue is being addressed?"*
   - *"Did you learn a new skill or clarify an interest?"*
   - *"Did you hear or feel anything that surprised you?"*
   - *"What have you learnt?"*
   - *"How was your experience different from what you expected?"*
   - *"What did you like/dislike about the experience?"*
   - *"What did you learn about the people/target population?"*
   - *"What are some of the pressing issues in the target population?"*
   - *"How does this WaSH program address those needs?"*

2. Towards the end of the discussion, ask members of your team what they think will need to be done differently in the future. Some prompting questions might include:

   - *"What will we do differently?"*
   - *"Have the actions we are trying to support changed?"*
   - *"When is the next activity? What will we do?"*

3. Strategize together how you can adapt your program to more effectively foster WaSH marketing exchanges. Ensure that everyone in the team understands how this will impact future activities and what their role will be. If the changes will impact on the target population and/or enabling actors, ensure that you discuss it with them too.

Monitoring action plans

Participants:

Members of the target population and enabling actors.

Rationale:

It is useful for action plans to be regularly reviewed, updated and amended to ensure WaSH marketing exchanges are being fostered. Plans for action, and how they should be monitored initially, were developed in the 'Planning action' activity.

Step-by-step:

In some forum (for example a WaSH committee meeting, regular workshop scheduled by this program):

1. Ask participants to update progress towards actions. This should include discussions around:
   - Who is responsible for the action and whether that responsibility has changed hands;
   - When the action needs to be achieved by and whether it is expected to be undertaken/completed on time;
   - Whether their definition of success for that action has been achieved;
   - How progress has been monitored and monitoring and/or evaluation results;
   - How progress towards the action has been or will be communicated to other members of the target population and enabling actors.
4. Where progress is deemed slow, initiate a discussion on why this may be the case. There may be insurmountable barriers to achieving the action and a new way of undertaking it may need to be formulated. Alternatively, there may have been unexpected issues which can be navigated but which require more time.

5. If your team, the target population or the enabling actors would like to add new actions to the list, repeat the steps of the 'Planning action' activity.

6. Ensure that you keep good records of such meetings. They will be valuable if there is any misunderstanding of progress or who is responsible for undertaking/monitoring/evaluating individual actions.

OPTIONAL ACTIVITIES

Monitoring change with members of the target population

Participants:

Members of the target populations who are taking or supporting WaSH actions.

Rationale:

This activity aims to understand changes that may have come about as a direct or indirect result of the WaSH marketing exchange program. These include WaSH actions that have taken place, or are continuing to take place, but also less tangible aspects, such as whether the participatory process has contributed to improving governance or individual empowerment in the community. It also probes participants for an understanding of whether the WaSH changes that have occurred throughout the program will be sustainable. This produces data for reporting but also highlights areas where actions may need to be adapted to achieve (further) success.

This activity is useful when:

Conducting the 'Monitoring action plans' activity. It gives further insight into what overall changes have occurred through the WaSH program and where bottlenecks are still occurring.

Step-by-step:

1. Beforehand, organise to meet with members of the target population who have been involved in the program. If a WaSH committee has been formed, then one of their meetings may be a useful forum for discussions.
2. Ask the participants what they have been doing since they last spoke to your team and/or enabling actors;
3. Probe to find out actions that have happened, and the barriers the barriers they experienced to things they wanted to happen;
4. Ask if they have action plans that they keep updated. If they do, ask if they can show you and explain what stage they are at for each action listed.
5. Steer the conversation to how the WaSH team functions and how they feel the program has built individual capacity in their members and the target population at large. Some prompting questions might include:

   Human Capacity Development of the Community
   - *"Who perceived the need to improve the WaSH situation?"*
   - *"To what extent do leaders vs. ordinary men and women take part in WaSH decisions?"*
   - *"Has the settlement been able to understand the WaSH sector better?"*
   - *"Has the settlement become more knowledgeable about their WaSH situation?"*
   - *"Do men and women perceive themselves as skilled and competent in WaSH?"*

   Target Population WaSH Team
   - *"How is the WaSH team governed?"*
   - *"Is the WaSH team accountable? To who, and in what way?"*
   - *"Does the WaSH team control its own resources? Do they have the ability to raise additional funds or mobilise additional resources as needed?"*
   - *"To what extent does the WaSH team make decisions through consensus?"*
   - *"Does the WaSH team have defined indicators of success?"*
   - *"How does information flow from the community to the WaSH team and vice/versa?" How frequently? Who is involved? What are the procedures?"*

6. Ask the WaSH Team if there are any things that they would like to show your team or the enabling actors, perhaps in terms of documents they have produced or visiting different sites in the settlement.

7. When shown materials, or taken to various sites, ask about an incident related to the site (critical incident). From there, probe further into this incident and those similar to it.

8. Towards the end of the discussion, allow the participants the opportunity to reflect on any new insights, ideas or solutions that may have become evident; and to explore how these revelations inform action for engaging in WaSH marketing exchanges.

9. Ask the participants if 'anything else comes to mind', summarise or ask a participant to summarise the conversation, state that *"I don't have any more questions to ask. Do you have anything more you would like to share?"* and thank the participants.

Gendered WaSH monitoring

Participants:

Groups of males or females from the target population.

Rationale:

This activity aims to understand whether the program has resulted in changes in people's felt state of power, their sense of control over everyday decisions, and their awareness of one's rights. This will indicate whether the program has empowered participants, and potentially whether it has enhanced their wellbeing. The activity also probes participants for an understanding of whether any empowerment that has occurred throughout the program will be sustainable.

This activity is useful when:

It is suspected that tangible and/or intangible outcomes of the program may differ between males and females.

Step-by-step:

1. For the first 10 minutes, show the participants the Settlement Life Poster and ask them to comment on the ratings already made. Explain that in this exercise the interest is in their gendered perspective.
2. Ask the participants what 'power' means to them. Share examples from other target populations as necessary.

> *"I would say that the people would respect me as having power, dealing with church, I have the gift as a healer when people are sick they came to me and I prayed for them and then they would feel better and went back to their homes and from there wherever I walk to and fro they would see me and show respect. They respect me because I have a power."*
>
> Female member of target population during 'Gendered WaSH monitoring' activity, Vanuatu

3. Ask each participant to perform a similar rating to the Settlement Life Poster (with red, yellow, and green sticker dots) about their personal power. First, ask them to rate their current state. If necessary, use outputs from earlier in the program to aid discussion (for example, Ladder of Life, Target Population Wellbeing Aspirations List/Map).
4. Once the rating is complete, ask participants to now think about whether this rating has improved or worsened from an earlier time. Let them choose an earlier time to compare to. Repeat the sticker activity and ask them to place green, yellow, or red to indicate their felt power at that previous time. Discuss with participants why they think their power has increased, decreased or stayed the same. Some prompting questions might include:

   - *"In WASH improvements that have happened or have been planned, is there an increase in women's access and control of new resources (for example, new water meters)?"* (This topic will help discuss women's WaSH rights. Do men think this is important? Why? Why not?)
   - *"To what extent do community men and women take part in WaSH decisions? Has this increased since this program began?"*
   - *"Have women/men in the community been able to understand the WaSH sector better?"*
   - *"Have women/men in the community become more knowledgeable about their WaSH situation? Do they understand how WaSH success can be measured?"*
   - *"Have women/men seen any increase in their skills and competence relating to WaSH?"*
   - *"Is there a difference in how/where/for what men and women use WaSH? (for example, domestic vs. productive) Is this difference valid in your opinion? Should it change? In what ways?"*
   - *"How does information flow from the community to the WaSH team and vice/versa? How frequently? Who is involved? What are the procedures?"*
   - *"Do you feel women's WaSH needs have gained more visibility or legitimacy among enabling actors?"*
   - *"Within the household, have women's WaSH needs/rights gained importance?"*

> *"Women have a lot of great ideas that can help with improving WASH in our community. I witnessed it and after 2 years since WASH project started, women have been the active partners in WaSH initiative. Which is why we need to also appreciate the efforts women are doing so far in the community."*
>
> Male member of target population during 'Gendered WaSH monitoring' activity, Fiji

7. Towards the end of the discussion, allow the participants the opportunity to reflect on any new insights, ideas or solutions that may have become evident; and to explore how these revelations inform action with regards engaging in WaSH marketing exchanges.
8. Ask the participants if 'anything else comes to mind', summarise or ask a participant to summarise the conversation, state that *"I don't have any more questions to ask. Do you have anything more you would like to share?"* and thank the participants.

Individual insights to the program

Participants:

An individual from the target population who may possess particularly useful insights to the target population WaSH system or who may lack the confidence/power to voice their ideas and opinions in a group setting.

Rationale:

This activity allows you to understand individual 'lived' experiences in terms of WaSH and the program. The interviews must follow an open-ended informal conversational method, as it is useful to allow the participant to express everything they would like to, and not feel threatened that they must give answers they think that your team might 'want' to hear.

This activity is useful when:

There are strong personalities within the target population which is meaning that quieter or less confident individuals are unable to voice their thoughts in group settings.

Step-by-step:

1. Ask the interviewee to recall a single incident that reflects the kind of things that have happened as an outcome of the WaSH program.
2. Ask the interviewee to give an example of something new or unusual that they think has come about as part of the program. This should focus not just on incidents at the level of the target population or settlement, but also the experiences of the individual interviewee.
3. Ask the interviewee to specify if anything has changed for them as an outcome of the program. Ask to give an example of something new or unusual that they have experienced (positive or negative) that they think has come about as part of this program.
4. Other questions can be asked as relevant to the conversational flow. Some prompting questions might include:
   - *"Who perceived the need to improve the WaSH situation?"*
   - *"To what extent do you take part in WaSH decisions in the community?"*
   - *"To what extent do community leaders vs. ordinary community men and women take part in WaSH decisions?"*
   - *"Has the community shown any capacity to take corrective action to solve problems?"*
   - *"Has the settlement been able to understand the WaSH sector better?"*
   - *"Have you become more knowledgeable about your WaSH situation?"*
   - *"Do men and women express (greater) pride and confidence in themselves?"*
   - *"Do you perceive yourself as skilled and competent?"*
   - *"Do you express (greater) pride and confidence in yourself in recent times?"*
   - *"Has the settlement shown any capacity to take corrective action to solve problems?"*
   - *"Are different people, including women, becoming leaders?"*
   - *"Do men and women perceive themselves as skilled and competent?"*
   - *"Have there been barriers to implementing change in the settlement?"*
   - *"Are there any new, beneficial relationships and partnerships between the settlement and the enabling actors? What would need to be done to sustain these relationships?"*
5. Towards the end of the discussion, allow the interviewee the opportunity to reflect on any new insights, ideas or solutions that may have become evident; and to explore how these revelations inform action with regards engaging in WaSH marketing exchanges.
6. Ask the interviewee if 'anything else comes to mind', state that *"I don't have any more questions to ask. Do you have anything more you would like to share?"* and thank the interviewee.

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APPENDICES

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Appendix 1:

Using participatory processes to engage informal settlements and enabling actors in improving WaSH

APPENDICES

Fostering WaSH marketing exchange systems in informal Melanesian communities:

Using participatory processes to engage informal settlements and enabling actors in improving WaSH

PROGRAMMERS' BRIEF

Who is this brief for? WaSH programmers and practitioners designing and implementing programs where they will engage with residents of informal settlements.

Purpose of this brief: Development experts increasingly acknowledge the need for participatory approaches to development. This brief provides guidance on ways that programs and policies can encourage local ownership, self-reflection and analysis of WaSH situations and solutions, as well as encourage and support collaboration with local enabling actors to achieve positive change.

Recommendation 1: WaSH practitioners and programmers should build on existing social cohesion between residents in Melanesian informal settlements to achieve WaSH improvements (rather than seeking to engage with individuals or families). Where social cohesion within a target population is not strong, WaSH practitioners and programmers could invest resources in developing better working relationships between members of the target population; this should improve the effectiveness of WaSH programs.

Recommendation 2: WaSH practitioners and programmers should consider periodic face-to-face meetings between members of the informal settlements and enabling actors as this is an effective way to understand each other's roles, responsibilities and needs, and can support each other in progressing WaSH priorities and action plans.

Recommendation 3: WaSH practitioners and programmers should consider participatory processes as a tool to expand the opportunity of informal settlers to think and act for themselves in terms of improving their WaSH situation.

Background

WaSH in urban and peri-urban Melanesia

Urban migration for employment and education has substantially increased urban and peri-urban populations in Melanesian countries. The low affordability of urban housing, combined with the complex and often conflict-prone land tenure system in the region, has led to an increase in informal settlements[1].

Informal settlements in Melanesia are often on urban fringes, are not planned by government, are on private, government or custom-owned land so that residents have insecure land tenure, and lack basic infrastructure[1]. Residents generally earn little or no income. Some settlements are on the boundaries of city council and provincial administrations, and so, fall between urban and rural policies. Their rapid growth has exacerbated the challenge for WaSH service provision[1]. Most settlements lack connections to mains water and sewerage lines, due to the land tenure, and cannot access council solid waste collection programs. Water-related diseases are common, leading to compromised health and wellbeing[1].

The participatory approach to development

A participatory approach to development entails a collaborative and democratic process by which local knowledge and preferences are central during planning and implementation, local ownership is valued, and target populations are empowered to enhance their wellbeing through self-reflection and action[2]. Many governments, funding agencies, and civil society actors acknowledge participatory approaches as important in achieving the Sustainable Development Goals.

> Sustainable Development Goals Target 6b: *"Support and strengthen the participation of local communities in improving water and sanitation management"*[3]

Participation can either emerge organically within communities, with only a little stimulation from external actors (e.g. community-managed sanitation), or be driven by governments and CSOs as part of a large-scale policy initiative (e.g. subsidised water supply). Although some level of external influence is often needed to scale-up the positive outcomes of organic participation, an entirely externally-driven participatory approach isn't always conducive to building lasting social cohesion.

> An **informal settlement** is a geographic space representing an area of human habitation. Informal settlements generally have illegal or insecure land tenure, are unplanned, and lack basic infrastructure. **Residents** live within informal settlements. A **community** is a socially-networked group of people, so within a settlement there can be many different types of communities (e.g., church groups), and some communities will extend beyond settlement boundaries (e.g., sporting clubs). The **target population** is the group of people being addressed through a WaSH program. Individuals within the target population normally share some common characteristic/s, such as living nearby, common church or sport group, common demographics such as young mothers. **Enabling actors** are people in civil society, external support agencies, community governance structures, utilities, governments, private sector and businesses, and academia, who design, implement or support WaSH policies and programs.

Research approach

We used participatory action research (PAR), where the researchers, residents of informal settlements, businesses and enabling actors, work together to define a problem, design a solution, and implement change[4]. We worked with two informal settlements in each of Suva (Fiji), Port Vila (Vanuatu) and Honiara (Solomon Islands). An abbreviated research activity was undertaken in one settlement in Madang (Papua New Guinea). Residents of these settlements had expressed a desire to improve their WaSH situation. We also worked in partnership with WaSH enabling actors (e.g., private actors, civil society organisations (CSOs), multi-lateral organisations, government agencies, water and sanitation utilities, educational institutions).

The research describes WaSH marketing exchange systems operating in informal, urban Melanesia settlements and identifies ways they can be fostered and strengthened with the support of enabling actors (Figure 1).

We fostered WaSH marketing exchanges through a six phase participatory process (Figure 2). For more details on the activities involved in each phase, please refer to the guide for working on WaSH in informal settlements[5].

Key finding 1: Social cohesion enables residents in Melanesian informal settlements to engage in WaSH marketing exchanges and WaSH programs.

We found evidence of residents engaging in a range of types of marketing exchanges to satisfy their WaSH needs. However, we also noticed that these exchanges tended to happen between familiar parties – neighbours, extended families, people who had migrated from the same villages, members of the same church group, etc. Where the exchanges went beyond the group of familiar individuals to others within the settlement, for example, local canteen shops, they were also characterised by a

Figure 1: The WaSH marketing exchange system. WaSH marketing exchange systems are comprised of functions, performed by actors using rules, which creates assets that enable all types of WaSH marketing exchanges, which should generate not only access to WaSH, but also wellbeing impacts. Note, Command-based and Culturally-determined exchanges are also non-market-based exchanges; for the purposes of this communication 'non-market' refers to other types of non-market exchanges, such as donations and charitable exchanges.
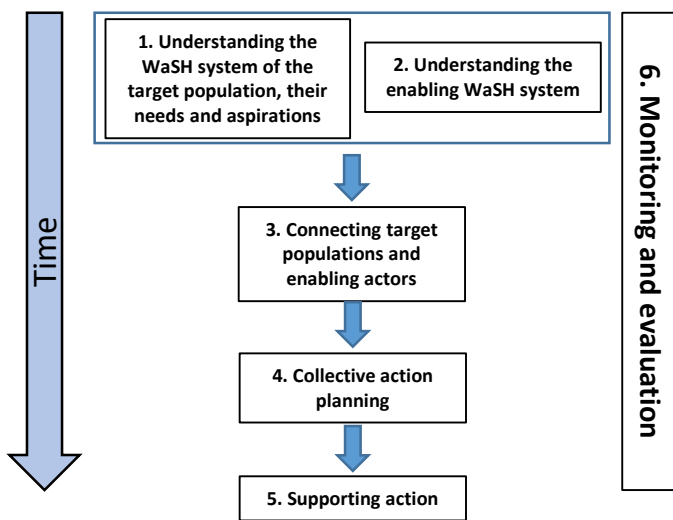
Figure 2: Participatory engagement process for fostering WaSH marketing exchanges.

high degree of social cohesion. This suggested that in order for marketing exchanges to happen effectively, a degree of social cohesion is an important component.

Social cohesion also affected the involvement of residents in this research (and expect similar observations would be made of WaSH programs). Although many individuals engaged with the research activities from early in the program, they were not representative of the settlement as a whole; participation was generally skewed towards a particular church group, ethnicity or geographic area, and who already had a high degree of social cohesion. They became involved in the program because it was seen as important to their community (within the informal settlement). After working with these participants on the benefits of working with other communities within the settlement to improve WaSH, they strived to include other communities and thus created new social cohesion across the settlement.

The strengthened and new social cohesion was a significant factor in encouraging a broad representation of residents in the WaSH planning activities, conducted either within their settlement, alongside other settlements, or with enabling actors. Seeing the value of diverse participation and therefore the importance of social cohesion, we recommend that to effectively foster WaSH marketing exchanges, WaSH programmers and practitioners should consider either working with target populations that already have strong social cohesion and assist them to leverage it to achieve WaSH outcomes, or investing resources in developing social cohesion in target populations where it is lacking.

Key finding 2: A participatory process can empower members of the target population to plan and act in a self-determined manner to improve their WaSH situation.

Past approaches to improving WaSH in informal settlements were typically driven by external actors,

such as governments and civil society and residents were not active participants in determining their local WaSH arrangements. This created a lack of responsibility and ownership of WaSH situations within settlements and a sense of disempowerment to improve the situation. The participatory approach, which needs active input of ideas and energy from local residents, was initially met with resistance in some informal settlements. Open and active discussions about the importance of locally-driven action, the failures of past approaches, and the scope of the research, including discussion of activities the research could not support such as the provision of infrastructure, was essential to building trust and transparency and to building a sense of ownership with the residents. The participatory activities rapidly empowered residents to think about and express their views on existing and desired WaSH situations, and identify and act upon ways to make improvements.

"I just want to say that the WaSH team is really good because from your workshops, it has opened up our minds to carry out activities within the community. Our community needed help in so many ways but because we are under the city's authority, many times the Secretary would not manage to visit us and so after the workshop we have realised that it is very true and that it's compulsory to carry out activities concerning WaSH within the community… and whenever we seek for help, we did everything ourselves especially regarding letters, we just gave it to the chief for approval signature. Previously we have been dependant, but right now, we carry out activities which should be done."

Member of target population, Vanuatu

"I have also seen an improvement with the sanitation within the community and also the toilets and bathrooms with the households in our community and also the surroundings around the households. Unlike before, now we have listened to each other and actually work together as one community."

Member of target population, Fiji

Key finding 3: Opportunities for face-to-face discussions involving residents and enabling actors led to collaborative planning and action that was based on mutual understanding of roles, responsibilities, opportunities, capabilities and aspirations.

After working separately with informal settlements and enabling actors initially, we brought them together to collectively plan and carry out actions. Both enabling actors and informal settlement residents expressed the usefulness of connecting the groups in order to foster WaSH marketing exchanges because they gained an understanding of the capabilities of each other, the aspirations, needs and priorities of informal settlements, the roles and responsibilities of different enabling actors and the other (non-required) ways that enabling actors and local businesses could further support marketing exchanges (e.g. providing technical advice, skills training). Enabling actors and settlement residents both stated that independent facilitation (provided in this case by the research team) was useful in establishing rapport and processes for engagement.

Using participatory processes to engage informal settlements and enabling actors in improving WaSH

Working together with the enabling actors led to actions such as water utilities installing extra connections to water mains after understanding how water connections are managed within settlements, informal residents writing grants for government-funded training, and settlement WaSH committees organising settlement-wide drain clean-ups with tools provided by municipal authorities. In Fiji, the enabling actors and representatives of the WaSH committees from the two informal settlements decided to form an informal WaSH Forum that meets every few months, to share progress, concerns and ideas to continue to improve their WaSH (and other environmental health) situations; these have continued successfully to date with minimal support in the form of some meeting facilitation by local researchers.

> *"I think it is important that we continue to have this kind of group (enabling actors) work with the community like this. To help in their work or to guide them in what they should do, not actually doing things for them but helping them do things for themselves by providing assistance, by referring them to proper authority. If possible, in many cases, advocating for people who are able to come in to help, to see the situation that they are in."*
>
> Enabling actor, Fiji

> *"It makes things a lot easier when the link has been made from us to you and from there to the stakeholders directly. It's like the WaSH (project) made it easier by creating the link between us and the stakeholders."*
>
> Member of the target population, Fiji

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Acknowledgements

Research project and reports

Want to know more?

For more information, please contact Project Manager, Dr Regina Souter, at r.souter@watercentre.org or visit www.watercentre.org/portfolio/pacific-wash-marketing

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Appendix 2:

Understanding exchange systems in WaSH marketing

Here we refer to an exchange as a voluntary, economic trade of things of value, usually goods and services in exchange for money or other resources (Kotler, 1972). The system within which such exchanges occur is called an exchange (or marketing) system. They can be defined as "complex social networks of individuals and groups linked through shared participation in the creation and delivery of economic value through exchange" (Layton, 2015).

Are there different types of exchange systems? What are they?

Broadly defined, there are four different types of exchange systems (Sridharan, Barrington and Saunders, 2015):

- A *market-based exchange system* occurs willingly between sellers and buyers through a price mechanism of some sort;
- A *command-based exchange system* occurs only when approved by some authority;
- A *culturally determined exchange system* occurs when sanctioned by local cultural or social traditions;
- A *non-market-based exchange system* is brokered by non-market institutions through conventions like donations that reside beyond market contracts.

How are these exchange systems relevant in WASH?

The following diagram gives some examples of exchange systems related to water and sanitation:

|	Market-based	Command based	Culturally determined	Non-market-based
Water	Bottled water Private water tankers Small water kiosks	Water supplied by utility Local government provision of water supply or assistance	Community managed systems Bill division between households Households collect water from source	Large scale distribution of water aid Distribution of water treatment technologies to individual households
Sanitation	Pay-per-use toilets Purchase and installation of toilets by private contractor	Government supplied sewerage network	Open defecation in pre-agreed upon areas (e.g. different for men and women) Toilets shared between households	Donations of toilet infrastructure

Does this mean that sanitation marketing is an example of a WASH exchange system?

Yes. When discussing sanitation marketing in the WASH sector we are generally referring to a set of activities designed to develop a system whereby local entrepreneurs can sell toilet products and labour through a price mechanism (often based upon the guidelines of Jenkins and Scott, 2010). This is an example of a *market-based exchange system*.

When we speak more broadly about WASH exchange systems, we are referring to systems that can be <u>any</u> of the four types.

Do exchange systems always happen independently of one another?

Demand for water supply and sanitation can stimulate the development of intricate exchange systems. In any given WASH system, the four types of exchange mechanisms are likely represented in varying degrees. Below is an example (from Sridharan et al 2015) of a water system which includes aspects representative of all four types of exchange systems.
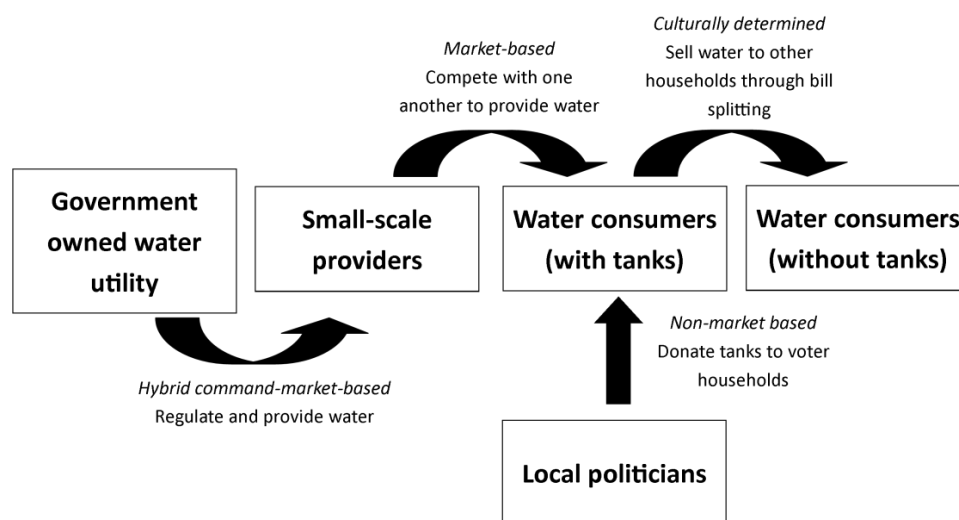
For more information:

This information sheet was prepared by Dr Dani Barrington, Principal Investigator of the project "Understanding demand and fostering sustainable WASH (water, sanitation and hygiene) marketplaces in the Pacific", funded by the Australian Aid program. You can contact her at dani.barrington@monash.edu.

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Fostering WaSH marketing exchange systems in informal Melanesian communities:

Building on existing marketing exchanges in Melanesian informal settlements to improve WaSH

INTERNATIONAL WATERCENTRE
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PROGRAMMERS' BRIEF

Who is this brief for? WaSH practitioners and programmers who aim to improve WaSH in informal settlements by fostering marketing exchanges.

Purpose of this brief: In informal settlements, we observed all of the four main marketing exchange types: market-based (i.e. monetary), non-market-based (i.e., philanthropic), command-based (i.e., regulatory) and culturally-determined (i.e., social) marketing exchanges (shown in Figure 1 below). Yet, recent efforts to improve WaSH through marketing approaches have focused only on market-based exchanges. A broader approach that builds upon the range of already existing marketing exchanges may help enhance WaSH and well-being for all in informal settlements, rather than only for those that can engage with market-based exchanges.

Recommendation 1: WaSH practitioners and programmers should consider seeking out pre-existing marketing exchanges and supporting them such that they help to meet WaSH needs (many of these marketing exchanges may already be related to WaSH).

Recommendation 2: WaSH practitioners and programmers should consider learning about local motivations for engaging in WaSH marketing exchanges and leverage these toward achieving the WaSH aspirations of the target population.

Background

WaSH in urban and peri-urban Melanesia

Urban migration for employment and education has substantially increased urban and peri-urban populations in Melanesian countries. The low affordability of urban housing, combined with the complex and often conflict-prone land tenure system in the region, has led to an increase in informal settlements[1].

Informal settlements in Melanesia are often on urban fringes, are not planned by government, are on private, government or custom-owned land so that residents have insecure land tenure, and lack basic infrastructure[1]. Residents generally earn little or no income. Some settlements are on the boundaries of city council and provincial administrations, and so, fall between urban and rural policies. Their rapid growth has exacerbated the challenge for WaSH service provision[1].

Most settlements lack connections to mains water and sewerage lines, due to the land tenure, and cannot access council solid waste collection programs. Water-related diseases are common, leading to compromised health and wellbeing[1].

Research approach

We used participatory action research (PAR), where the researchers, residents of informal settlements, businesses and enabling actors, work together to define a problem, design a solution, and implement change[2]. We worked with two informal settlements in each of Suva (Fiji), Port Vila (Vanuatu) and Honiara (Solomon Islands). An abbreviated research activity was undertaken in one settlement in Madang (PNG). Residents of these settlements had expressed a desire to improve their WaSH situation.

We also worked in partnership with WaSH enabling actors (e.g., private actors, civil society organisations (CSOs), multi-lateral organisations, government agencies, water and sanitation utilities, educational institutions).

We used participatory activities to investigated how people in the settlements currently meet their WaSH needs We investigated existing WaSH exchanges in the six settlements through transect walks, WaSH mapping, WaSH priority lists, household WaSH systems mapping and gendered focus groups. We collected photographs of WaSH infrastructure, drawings, maps, and lists created by research participants, audio and video recordings of research activities and researchers' daily field notes and post-fieldwork summaries. We analysed the data to determine what types of WaSH marketing exchanges occur and why people choose to engage in different types.

Finding 1: Residents of Melanesian informal settlements use diverse marketing exchanges, often in hybrid combinations, to meet their WaSH needs.

In all of the informal settlements we studied, we found that residents engaged in a range of different types of marketing exchange to meet their WaSH needs. These marketing exchanges fall into four categories, according to marketing theory[3]:

Market-based exchange: A buyer and a seller transact in products and services on the basis of a pricing mechanism established by competitive markets or negotiation;

Command-based exchange: A regulated institutional authority makes available products and designs prices and services by a provision motive;

Culturally-determined exchange: A provider and recipient exchange value in ways sanctioned by local traditions and social norms;

Non-market-based exchange: a supplier donates products or services to help in some circumstance of disadvantage and receives no explicit payment. Note, Command-based and Culturally-determined exchanges are also non-market-based exchanges; for the purposes of this communication 'non-market' refers to other types of non-market exchanges, such as donations and charitable exchanges.

The four types of exchange were not always mutually exclusively; we often found that combinations of the types were used. Figure 2 summarises some examples of hybrid exchanges that we observed were being used in informal settlements by residents to meet their WaSH needs.

Identifying the diverse ways in which people use marketing exchanges to meet their WaSH needs can assist WaSH practitioners in leveraging these exchanges to meet other WaSH needs. For example, if some residents of a settlement engage in culturally-determined exchange to manage communal water standpoints, practitioners might explore whether a similar exchange could be fostered to manage communal bathroom facilities.

Our findings suggest that popular WaSH interventions, like sanitation marketing, may be limiting their impact by adopting a narrow focus on market-based exchanges. Although the emphasis placed in sanitation marketing on being driven by demand and building an entire supply chain are promising, our finding about the hybridity of

Figure 1: The WaSH marketing exchange system. WaSH marketing exchange systems are comprised of functions, performed by actors using rules, which creates assets that enable all types of WaSH marketing exchanges, which should generate not only access to WaSH, but also wellbeing impacts. Note, Command-based and Culturally-determined exchanges are also non-market-based exchanges; for the purposes of this communication 'non-market' refers to other types of non-market exchanges, such as donations and charitable exchanges.
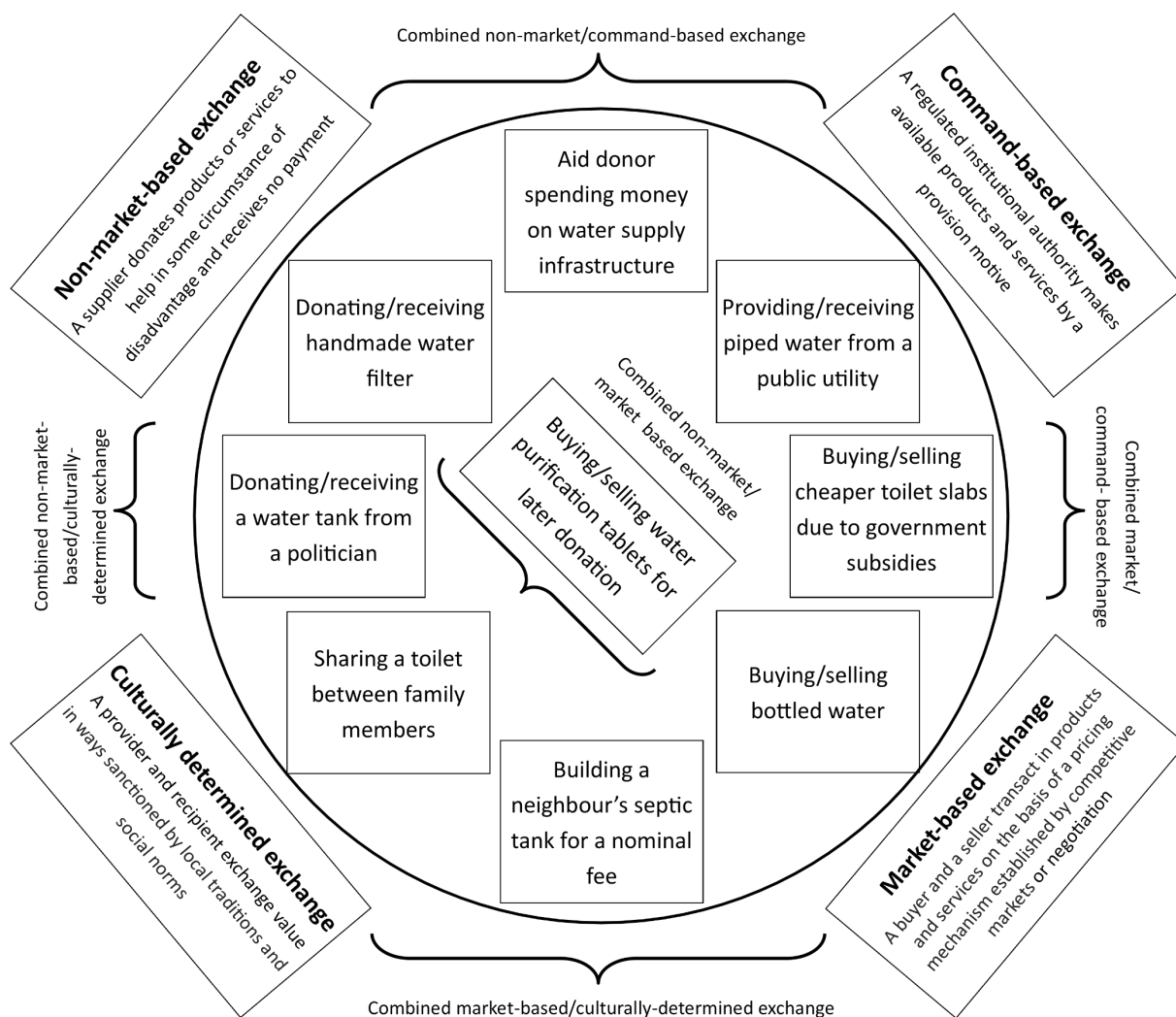
Figure 2: Examples of WaSH marketing exchanges. The text outside of the circle defines the four archetypes of exchanges and the inner text gives examples of WaSH exchanges that are often observed in developing countries[3].

WaSH exchanges emphasise that not all residents of informal settlements use market-based exchanges, because they prefer not or are not able to. Allowing for, and even facilitating other types of marketing exchanges in combination with marketing-based approaches such as sanitation marketing would mean WaSH benefits are more likely to reach more people in ways that suit them.

Finding 2: Residents of Melanesian informal settlements have various motivations for participating in WaSH marketing exchanges.

Residents of the informal settlements identified four major motivations for engaging in different types of marketing exchange to meet their WaSH needs:

Social custom: Residents often referred to the importance of their rural cultural traditions, and expressed a desire to create an urban version of communal practices reflecting those traditions. They reported the sharing of common WaSH resources between households as an example. These practices not only helped with WaSH needs but also helped retain some traditional elements of community and culture, which seemed an important value.

Empathetic economics: The settlements often had subsistence entrepreneurs selling WaSH products (e.g., water, soap) along with other groceries, in small community shops. These entrepreneurs reported trading WaSH products because they understood their importance for healthy living in that settlement, because they shared the experience of adversity with their customers by virtue of living in the same settlement. Similarly, we identified some residents with water connections on-selling water to neighbours. These residents reported identifying themselves as part of the larger community and hence wanting to help those in need. In both cases, shared life circumstances and common life goals appeared to trigger an empathetic form of economic activity.

> *"I thought $10 that these 10 families pay each month will pay off my water bills. I want to improve my own family's well-being and also help the other family which is why I suggested $10 so that it will be fair for everyone."*
>
> Water on-seller, Fiji

Product service or quality: Acquiring fit-for-purpose WaSH products and services was an important motivation when engaging in marketing exchanges. Residents identified that drinking 'cleaner' water, or using 'better' sanitation would improve health. Residents did not always the highest quality WaSH products and services for every activity; the made choices to use a level of quality that they felt optimised health and wellbeing outcomes.

Financial management: How residents chose to procure their water did not always depend on price. In some cases, consumers chose a more expensive option if it enabled them to access the water in a way they were more comfortable with. In other cases, consumers acquired the cheapest water they felt optimised health and their household finances. The focus was on avoiding immediate disaster due to lack of, or poor quality, water; improving long-term financial security did not seem to be as great a concern.

WaSH programmers that plan to improve WaSH by fostering marketing exchanges should identify the motivators of people who use different types of exchanges to acquire different WaSH products and services. This knowledge can be used to design WaSH programs that build on those motivators by expanding the accessibility of those specific marketing exchanges to residents who still have unmet WaSH needs, and by considering whether some of those types of exchanges are appropriate for new types of WaSH products and services.

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Acknowledgements

Want to know more?

This brief describes findings from the project "Water and Sanitation Markets in the Pacific: Understanding Demand and Fostering Sustainable WaSH Marketplaces". For more information, please contact Project Manager, Dr Regina Souter, at r.souter@watercentre.org.

A variety of outputs from this project are available from www.watercentre.org/portfolio/pacific-wash-marketing

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Appendix 3:

Towards WaSH programs that enhance and measure sustained wellbeing

Fostering WaSH marketing exchange systems in informal Melanesian communities:
Towards WaSH programs that enhance and measure sustained wellbeing

INTERNATIONAL WATERCENTRE
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PROGRAMMERS' BRIEF

Who is this brief for? WaSH programmers and practitioners designing and implementing programs.

Purpose of this brief: Many WaSH programs focus on achieving aggregate change, that is, moving entire populations towards better WaSH standards. However, in the future practitioners and programmers will need to investigate the potential physical, social and mental wellbeing impacts of programs on those who engage in them, as well as those who are exposed to the program but do not participate.

Recommendation: WaSH programmers and practitioners should consider balancing measurable success indicators between the WaSH products and services that people have access to and what they are able to do, or have acquired an opportunity to do, as a result of the program. Understanding such indicators may allow WaSH programmers and practitioners to be adaptive in dealing with unintended consequences so as to maximise the wellbeing of the target population.

Background

WaSH in urban and peri-urban Melanesia

Urban migration for employment and education has substantially increased urban and peri-urban populations in Melanesian countries. The low affordability of urban housing, combined with the complex and often conflict-prone land tenure system in the region, has led to an increase in informal settlements[1].

Informal settlements in Melanesia are often on urban fringes, are not planned by government, are on private, government or custom-owned land so that residents have insecure land tenure, and lack basic infrastructure[1]. Residents generally earn little or no income. Some settlements are on the boundaries of city council and provincial administrations, and so, fall between urban and rural policies. Their rapid growth has exacerbated the challenge for WaSH service provision[1]. Most settlements lack connections to mains water and sewerage lines, due to the land tenure, and cannot access council solid waste collection programs. Water-related diseases are common, leading to compromised health and wellbeing[1].

A technical focus to improving WaSH

During the period of 2000-2015, many WaSH programmers and practitioners focused their efforts on achieving Millennium Development Goal (MDG) 7c. The indicator for the goal was defined as the proportion of people who had access to improved water and sanitation, as defined by the World Health Organization (WHO)/UNICEF Joint Monitoring Programme[2]. MDG 7c was met for water and great progress was made towards increasing access to improved sanitation. However, in the Sustainable Development Goal period of 2015-2030 WaSH programmers and practitioners will not only work towards improving access to commodities such as pipes and toilets, but also ensuring that this improves *"physical, mental and social wellbeing"*[3]. Measures will need to move beyond the number of people with access to improved water and sanitation to include the potential impacts of WaSH interventions on individuals, and how these impacts may enhance or reduce wellbeing.

Millennium Development Goal 7c:
"Halve, by 2015, the proportion of the population without sustainable access to safe drinking water and basic sanitation"[2]

Sustainable Development Goal 6:
"Ensure availability and sustainable management of water and sanitation for all"[3]

The capability approach to development is a movement away from viewing human development as an expansion of material prosperity and towards considering it as an expansion of individuals' capabilities[4].

The capability approach to development urges programmers and practitioners to focus their efforts on enabling people to experience greater freedom in living the kind of life they have reason to value[4]. It shifts the question from what is being 'done for people' by development experts, toward what people are 'themselves able to do' in their lives.

Two central ideas of the capability approach must be noted: 'functionings' and 'capabilities'. Functionings are about what people are able to 'do' on a consistent basis in their lives[5], using the means at their disposal. For example, with access to a toilet, a person may (or may not) be able to use it conveniently and consistently, and achieve considerable health benefits. Capabilities are the opportunities and freedoms that people have to lead the kind of life they value[4,5]. In the above example, if the consistent use of a toilet reduces the person's individual and family disease burdens, and if this 'healthier' living has the potential to open up new opportunities for education, employment, socio-economic mobility, etc., then this form of WaSH provides capabilities and contributes to wellbeing.

Together, capabilities and functionings represent a person's wellbeing ('Impacts' section, Figure 1), where functionings are already realised wellbeing achievements and capabilities are the realistic opportunities to achieve them in the future.

Research approach

We used participatory action research (PAR), where the researchers, residents of informal settlements, businesses and enabling actors, work together to define a problem, design a solution, and implement change[6]. We worked with two informal settlements in each of Suva (Fiji), Port Vila (Vanuatu) and Honiara (Solomon Islands). An abbreviated research activity was undertaken in one settlement in Madang (PNG). Residents of these settlements had expressed a desire to improve their WaSH situation. We also worked in partnership with WaSH enabling actors (e.g., private actors, civil society organisations (CSOs), multi-lateral organisations, government agencies, water and sanitation utilities, educational institutions).

We used participatory activities to investigate how people in the settlements currently meet their WaSH needs.

Key findings

Although residents of Melanesian informal settlements involved in past WaSH programs may have acquired access to improved WaSH, they may not have achieved their wellbeing potential.

Most of the informal settlements we worked with had been involved in previous WaSH programs implemented by a wide range of enabling actors. Even when the program resulted in WaSH installations, and residents were therefore considered to have attained access to improved water and/or sanitation according to the WHO/UNICEF Joint Monitoring Programme, this did not always lead to them achieving their wellbeing potential.

Figure 1: The WaSH marketing exchange system. WaSH marketing exchange systems are comprised of functions, performed by actors using rules, which creates assets that enable all types of WaSH marketing exchanges, which should generate not only access to WaSH, but also wellbeing impacts. Note, Command-based and Culturally-determined exchanges are also non-market-based exchanges; for the purposes of this communication 'non-market' refers to other types of non-market exchanges, such as donations and charitable exchanges.

Gaining access to WaSH services or products is only one part of the process needed to achieve wellbeing from WaSH, and should not be confused with wellbeing itself. For example, in one settlement, householders used one of three different ways of accessing water and not all of these ways resulted in wellbeing (Figure 2). Access to a WaSH product or service does not automatically lead to a greater quality of life or the achievement of wellbeing.

We also observed cases of previous WaSH programs causing unintended consequences which *reduced* wellbeing. For example, we worked with a settlement that had received a connection to mains (piped) water the previous year. The physical connection was paid for by a donor. One connection was made to the main water pipe, including a single water meter to serve the entire population of approximately 1000 people.

This informal settlement was home to residents of varying ethnic backgrounds, who located themselves within the settlement according to the island group they considered their home. There were no settlement-wide governance arrangements. As there was only one water meter it was expected by the WaSH program that the water bill would be divided equally between all households. However, many of those households, and ethnic groups, located furthest from the connection could not access the water due to low water pressure so far from the connection. Consequently, many people refused to pay bills for water that they could not access, and there was no governance mechanism in place for the residents to resolve this problem. The water was turned off by the utility until the bill could be paid. This resulted in social unrest between different ethnic groups, and an unhappy resident cut the connection to the main water pipe.

Although there may have been initial gains, in the longer term the WaSH program seems to have reduced the

"The water didn't even last a month. It wasn't managed well so they cut it. They put the pipe up there and made the water come, some people got it and some didn't. The people got angry and cut the pipes. The water was not enough for everyone."

Resident of informal settlement, Vanuatu

trust of WaSH enabling actors by residents of the settlement, left the settlement with no mains water supply, and reduced the social cohesion within the settlement. The negative impact on social cohesion made it even less likely that different ethnic groups would come together in the future to improve the settlement's water situation. This case also highlights the importance of combining infrastructure projects with community-determined arrangements for its management, so that the infrastructure can provide a lasting service.

This is a case where a broader approach targeting the functionings and capabilities of local people rather than only providing products and services, would have been a better approach to enhance WaSH and wellbeing. As stated earlier, it is not about what people 'have' but what they are able to 'do' and 'be' in their lives that determines wellbeing. Technical solutions and improved WaSH access of course remain important, but broadening the focus of program measurements and accomplishments to understand whether they result in functionings and capabilities that will assist WaSH programs in achieving better wellbeing.

Planning for and measuring wellbeing impacts from WaSH programs requires a participatory approach, such as that described in the guide for working on WaSH in informal settlements[7]. With facilitation, residents are
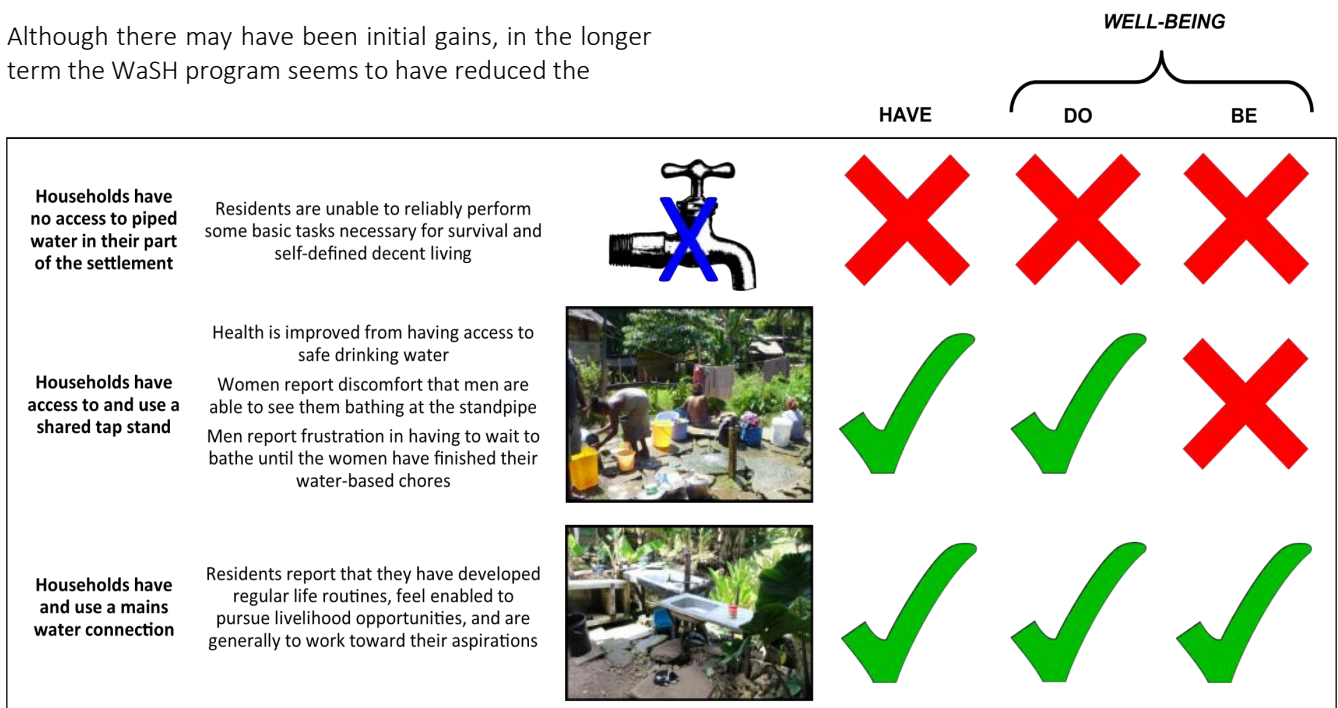

Figure 2: Three different situations of water access and wellbeing.

able to define different levels of wellbeing associated with access and use of different types of WaSH products and services (and other factors important to them). The Ladder of Life is an example of a participatory activity in which residents define different levels of wellbeing (Figure 3), which could be used by WaSH programs as a basis for defining measures, or indicators, of wellbeing achieved by WaSH programs.
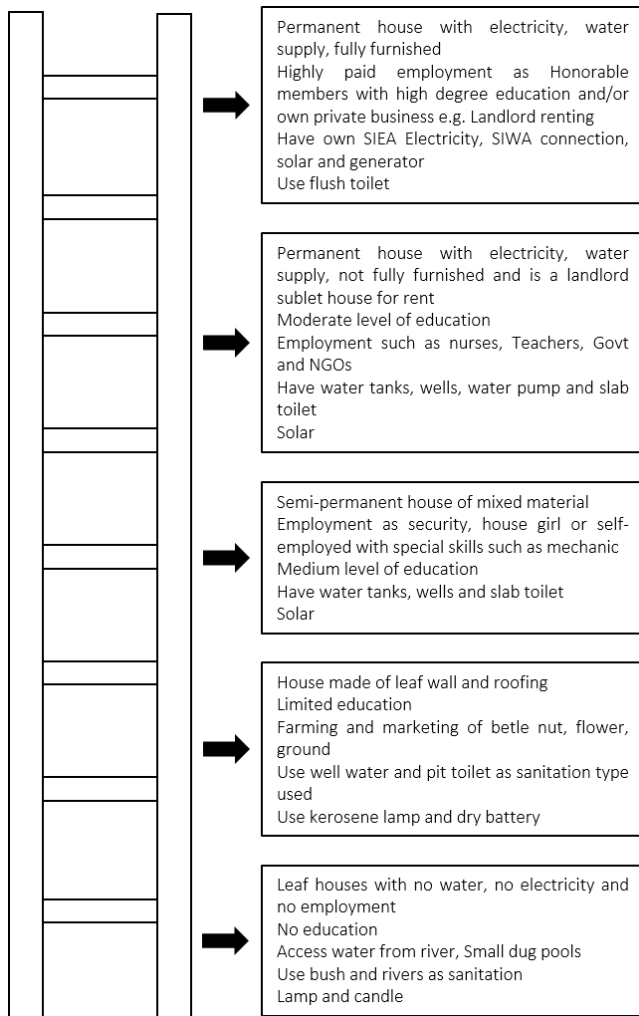

Permanent house with electricity, water supply, fully furnished
Highly paid employment as Honorable members with high degree education and/or own private business e.g. Landlord renting
Have own SIEA Electricity, SIWA connection, solar and generator
Use flush toilet

Permanent house with electricity, water supply, not fully furnished and is a landlord sublet house for rent
Moderate level of education
Employment such as nurses, Teachers, Govt and NGOs
Have water tanks, wells, water pump and slab toilet
Solar

Semi-permanent house of mixed material
Employment as security, house girl or self-employed with special skills such as mechanic
Medium level of education
Have water tanks, wells and slab toilet
Solar

House made of leaf wall and roofing
Limited education
Farming and marketing of betle nut, flower, ground
Use well water and pit toilet as sanitation type used
Use kerosene lamp and dry battery

Leaf houses with no water, no electricity and no employment
No education
Access water from river, Small dug pools
Use bush and rivers as sanitation
Lamp and candle

Figure 3: Ladder of Life summary from an informal settlement.

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Acknowledgements

Want to know more?

This brief describes findings from the project "Water and Sanitation Markets in the Pacific: Understanding Demand and Fostering Sustainable WaSH Marketplaces". For more information, please contact Project Manager, Dr Regina Souter, at r.souter@watercentre.org.

A variety of outputs from this project are available from www.watercentre.org/portfolio/pacific-wash-marketing

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Appendix 4:

Enabling environments that foster sustainable, effective and inclusive WaSH marketing exchanges

Fostering WaSH marketing exchange systems in informal Melanesian communities:

Enabling environments that foster sustainable, effective and inclusive WaSH marketing exchanges

INTERNATIONAL WATERCENTRE
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POLICY BRIEF

Who is this brief for? This brief provides guidance to enabling actors – people in civil society, external support agencies, community governance structures, utilities, governments, the private sector, and academia, who design, implement and support WaSH policies and programs.

Purpose of this brief: WaSH enabling actors can use this guidance to create and support an enabling environment and marketing exchange system that improves WaSH outcomes in urban and peri-urban informal settlements in Melanesia. Figure 1 summarises the components of the WaSH marketing exchange system; this brief focuses on those components relating to the enabling environment – enabling actors, functions and rules – that are necessary to foster sustainable, effective and inclusive WaSH marketing exchanges of all types, so that they deliver wellbeing impacts.

Recommendation 1: Enabling actors, including community members, should work together to create a marketing exchange system that has specific **assets**, or features, that will maximise sustainable, effective and inclusive WaSH marketing exchanges in informal settlements.

Recommendation 2: Enabling actors, including community members, can create and support these assets of the marketing exchange system by performing twenty-two **functions**; these functions should be performed in a coordinated and integrated way.

Recommendation 3: To guide *how* enabling functions are achieved, enabling actors should consider using **informal rules** as well as **formal rules**, which are usually used, so that each function can be performed in a way that suits the local context and will therefore be performed more successfully.

Recommendation 4: To ensure all functions are performed, enabling actors should **agree who should perform each function**. In this process they should consider involving actors not previously engaged in WaSH, but who perform similar functions for other purposes. Participatory stakeholder mapping can be a useful tool for this process.

Background

WaSH in urban and peri-urban Melanesia

Urban migration for employment and education has substantially increased urban and peri-urban populations in Melanesian countries. The low affordability of urban housing, combined with the complex and often conflict-prone land tenure system in the region, has led to an increase in informal settlements[1].

Informal settlements in Melanesia are often on urban fringes, are not planned by government, are on private, government or custom-owned land so that residents have insecure land tenure, and lack basic infrastructure[1]. Residents generally earn little or no income. Some settlements are on the boundaries of city council and provincial administrations, and so, fall between urban and rural policies. Their rapid growth has exacerbated the challenge for WaSH service provision[1]. Most settlements lack connections to mains water and sewerage lines, due to the land tenure, and cannot access council solid waste collection programs. Water-related diseases are common, leading to compromised health and wellbeing[1].
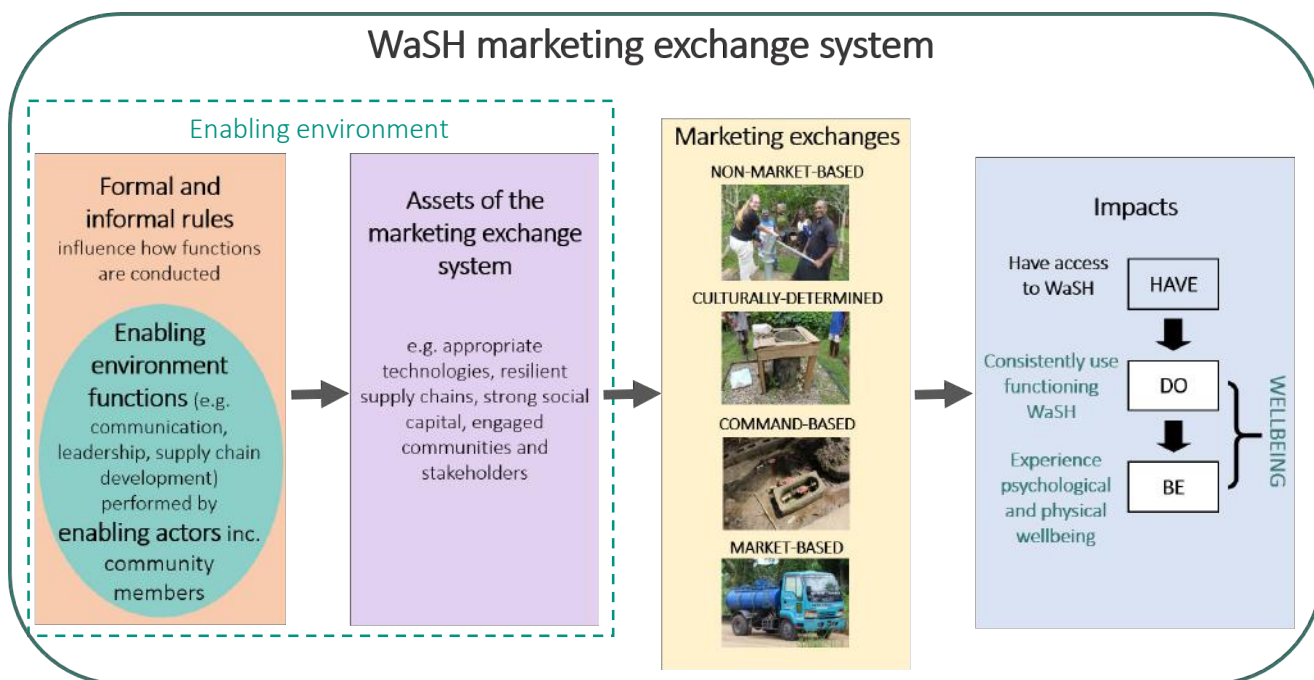
WaSH marketing exchange system

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We also worked in partnership with WaSH enabling actors (e.g., private actors, civil society organisations (CSOs), multi-lateral organisations, government agencies, water and sanitation utilities, educational institutions and community leaders and members). The research describes WaSH marketing exchange systems operating in informal, urban Melanesian settlements and identifies ways they can be fostered and strengthened with the support of enabling actors (Figure 1).

Key findings

The enabling environment is comprised of enabling actors, functions they perform, rules they that guide them, and the assets they create and sustain (Figure 1). The key findings below provide greater detail about these different components of the enabling environment.

Key finding 1: The exchange of WaSH services and products is maximised when the marketing exchange system has specific *assets*.

Assets are both tangible (e.g. appropriate technologies and

a competent and sufficient workforce) and intangible (e.g. strong social capital and consumer empowerment). These assets allow members of the target population to be most responsive to engaging in WaSH marketing exchanges. Thirteen assets were identified (Figure 2) that foster sustainable, effective and inclusive marketing exchanges in informal settlements. While all assets support all four types of exchanges, certain assets are more important for certain types of exchanges. A well-functioning enabling environment generates all of these assets.

Appropriate technologies
Evidence-based decision making
Appropriate consumer financing options
Engaged communities and stakeholders
Strong social capital
Socially inclusive products and services
Consumer empowerment
Competent and sufficient workforce
Efficient budgeting and disbursement
Resilient supply chains
Transparent decisions and activities
Investment in innovation
Accountable organisations and individuals

Figure 2: Assets of the marketing exchange system

Key finding 2: The assets of the marketing exchange system are created and sustained when enabling actors perform specific functions.

In producing marketing exchange system assets, enabling actors perform particular functions. A function is an action or activity of a person or institution. We identified 22 functions that produce marketing exchange system assets. These functions can be categorised into Governance, WaSH services and products, and Data (Figure 3).
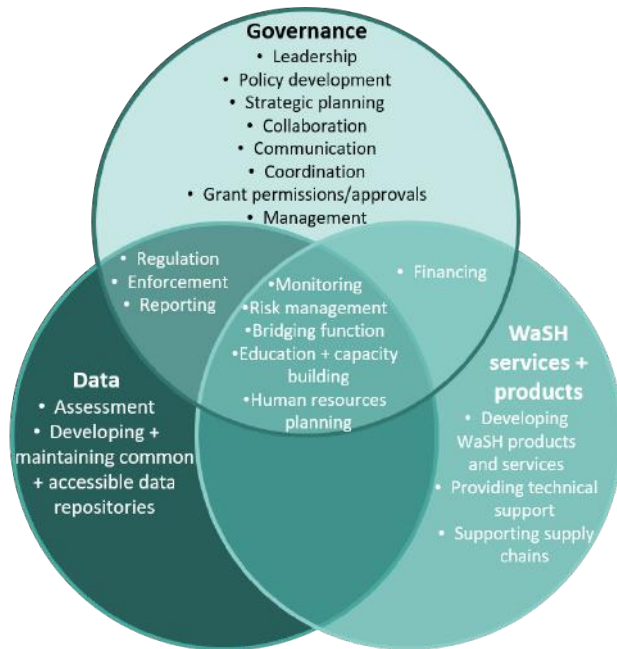
Figure 3: Functions

Stakeholders assumed that these three sets of functions operate independently and therefore enabling actors could perform these functions in isolation from other enabling actors (in silos). However, it is evident from Figure 3 that some of these functions can occur in an integrated way to support governance, services and products, and data processes. Many of the 22 functions also support multiple outcomes. For example, education and capacity building supports consumer empowerment and a competent and sufficient workforce directly, as well as several other outcomes indirectly. If some of these functions are not being performed well, the enabling environment can in fact become disabling and some WaSH marketing exchanges may cease to be inclusive, sustainable and effective, or may cease altogether in some settlements.

Key finding 3: The way functions are performed is influenced by formal and informal rules.

The way functions are performed by enabling actors is influenced by rules, which can be formal (e.g. policies, regulations, community by-laws) or informal (e.g. customs or religious beliefs, organised corruption) (Figure 4). Informal rules are socially shared rules, usually unwritten, that are created, communicated and enforced outside officially sanctioned channels[1]. Informal rules may be particularly important in informal settlements, where there are fewer formal rules, formal rules are not implemented or both, supporting needs

such as land security and access to basic services. Many rules, both formal and informal, are specific to a particular community or situation. Formal rules are within officially sanctioned channels, while informal rules are enforced outside of these channels.

For example, enabling actors in Fiji were divided on whether the function of *coordination* with informal settlements was most effective when carried out formally or informally. One enabling actor in Fiji argued that coordination should not be formalised because *"once you formalise things, there's a lot of obstacles you need to go through. I think the current state in which we are operating is good enough. I think what the main ingredient there is commitment. If you feel that something that you're doing is important, it doesn't have to be formalised."* On the other side, a Fijian enabling actor stated that: *"They [coordination processes] will need to formalise. In order to sustain it. And also to ensure the commitment from our stakeholders we need that formalisation. That's the way forward."*

Key finding 4: Actors that may enable WaSH marketing exchanges include people from government (local, provincial or national), civil society organisations, external support agencies (e.g. donors, development banks, NGOs and multilaterals), utilities, academia, private sector and local businesses, and from within settlements (community leaders and members) (Figure 5). A diverse group of WaSH enabling actors is best able to perform all 22 functions that support WaSH marketing exchanges.

Some functions operate within settlements, some outside settlements, and many span both settlements and external environments. Consequently, many actors are required to ensure all functions are performed well.
Some functions will require several actors working together, and in some cases different actors may perform the same functions using different rules to support different marketing exchanges, or because of the local context.

For example, in Papua New Guinea, the Independent Consumer and Competition Commission regulates the tariff that the water utility can charge to a household for providing piped water. When a householder in an informal settlement provides water to their neighbours, the price is then informally regulated by the community through social norms.

Formal and Informal Rules
- In informal settlements activities often happen through informal rules (e.g. customs or religious beliefs, organised corruption)
- In the enabling environment there is a tendency to use only formal rules (e.g. policies, standards)
- There is a need to leverage informal rules in addition to formal rules

Figure 4: Rules

Figure 5: Enabling actors

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1. Water and Sanitation Program, *Delivering water and sanitation to Melanesian informal settlements: Solomon Islands, Fiji, Vanuatu, Papua New Guinea*. World Bank: Washington D.C., U.S.A., 2015.
2. Reason, P.; Bradbury, H., Introduction: Inquiry and Participation in Search of a World Worthy of Human Aspiration. In *Handbook of Action Research*, Reason, P.; Bradbury, H., Eds. Sage: Thousand Oaks, C.A., U.S.A., 2001; pp 1-14.

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Want to know more?

For more information, please contact Project Manager, Dr Regina Souter, at r.souter@watercentre.org or visit www.watercentre.org/portfolio/pacific-wash-marketing

Research project and reports

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