Linking Relief and Development in the WASH Sector

An Overview and Contribution to the International Debate

GERMAN WASH NETWORK

Lead Author
Robert Gensch (GTO)

Co-Authors
Roland Hansen (Malteser International), Michaela Ihme (GTO)

Reviewers
Oliver Hoffmann (Johanniter Auslandshilfe), Stephan Krämer (PartnerAid), Thilo Panzerbieter (GTO), Ajay Paul (Welthungerhilfe), Stephan Simon (Welthungerhilfe)

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Content

Rationale

Humanitarian assistance and development cooperation in the Water, Sanitation and Hygiene (WASH) sector – although very different in nature – are inextricably linked. WASH relief efforts are usually not self-contained, stand-alone interventions and relief actors inevitably need to consider longer-term local development issues and transition elements to allow for a successful hand-over after the relief phase to local governments or other development actors as part of their exit strategies. Development interventions, in turn, also have to play their role by putting in place sustainable structures that support either the crisis prevention or increased resilience and disaster risk reduction of potentially affected communities. In recent years the improved interconnectedness and cooperation between actors from both fields and how the transition from one to the other can be shaped best has become an ever more important issue among sector professionals.

Both the development and the relief side follow very different goals and principles with varying time frames, funding mechanisms and a differing set of actors and coordination mechanisms. This paper intends to foster the further understanding of each other's field of work and provides impulses for fuelling the on-going international debate. Access to clean water, sanitation and hygiene is one of the most tangible fundamental human needs. It is indispensable for the healthy development of individuals, for survival in the initial stages of a disaster and for the sustainable development of societies as a whole and can be seen as a predestined sector to lead the international debate on how to better link relief and development.

The paper aims to provide a more in-depth overview of existing definitions, prevalent categorisations and models that are currently being used to describe the relief to development contiguum in the WASH sector and identify existing challenges and opportunities that come along with it. It looks into the main disaster and crisis scenarios and how they affect the WASH sector. It provides definitions for the different assistance types (relief, recovery and development) and the role that WASH plays in each of them. It furthermore summarises main concepts and approaches that are being used and makes an attempt to map out the complex structures and funding mechanisms in both relief and development and identifies existing challenges and opportunities in the transition contiguum.

For the final chapter **(chapter 5)** of this paper a wide range of sector professionals from various different actor groups (multilaterals, local and international NGOs, donors, governmental implementing organisations, research institutes, development banks, regional/national WASH cluster leads, WASH consultants) have been asked to provide feedback reflecting either their individual and/or organisational views and experiences regarding current challenges and opportunities and recommendations for the way forward. The paper and the collected inputs from more than 30 sector experts should be seen as a current snapshot of the sector without claiming to be comprehensive and

tolerating any potential biases and imbalances the different views of those interviewed people might entail.

The German WASH Network, as the main publisher of this paper, is an initiative of 18 German non-profit organisations focussing on development cooperation and/or humanitarian emergency relief and rehabilitation with regard to the WASH sector. Since its founding in 2011 the issue of better linking relief and development in the WASH sector is high on the agenda of the German WASH Network. Through sector dialogue events in Germany and a series of seminars at the Stockholm World Water Week[1] and other occasions the network aims to bring relevant sector professionals together and provide a wider national and international platform for on-going dialogue. This publication is yet another piece of the puzzle intended to feed into policy processes such as the development of a German WASH humanitarian assistance strategy document or the aid effectiveness dialogue of the Country Processes Task Team (CPTT) of the Sanitation and Water for All (SWA) Partnership.

1 German WASH Network (2013)

Abbreviations

ADB	Asian Development Bank
AfDB	African Development Bank
ALNAP	Active Learning Network for Accountability and Performance in Humanitarian Action
BMZ	German Federal Ministry for Economic Cooperation and Development
CATS	Community Approach to Total Sanitation
CERF	Central Emergency Response Fund
CHF	Common Humanitarian Funds
CLA	Cluster Lead Agency
CLTS	Community-Led Total Sanitation
CPTT	Country Processes Task Team
CSR	Corporate Social Responsibility
DAC	Development Assistance Committee
DKKV	German Committee for Disaster Reduction
DRR	Disaster Risk Reduction
ECHO	European Community Humanitarian Office
EPP	Emergency Preparedness Plan
EPRP	Emergency Preparedness and Response Programme
ERC	Emergency Relief Coordinator
ERF	Emergency Response Funds
ESÜH	Entwicklungsfördernde und Strukturbildende Übergangshilfe
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH | Germany
GPPI	Global Public Policy Institute
GPS	Global Positioning System
GTO	German Toilet Organization
GWSI	Global Water and Sanitation Initiative
HC	Humanitarian Coordinator
HCT	Humanitarian Country Team
HIF	Humanitarian Innovation Fund
HVCA	Hazard Vulnerability and Capacity Assessment
HWTS	Household Water Treatment and Safe Storage
IASC	Inter Agency Standing Committee
ICRC	International Committee of the Red Cross
ICVA	International Council of Voluntary Agencies
IFRC	International Federation of the Red Cross and Red Crescent Societies

IMF	International Monetary Fund
INGO	International Non-Governmental Organisation
IOM	International Organization of Migration
JMP	Joint Monitoring Programme for Water Supply and Sanitation
KfW	Kreditanstalt für Wiederaufbau
LCCA	Life Cycle Cost Approach
LRRD	Linking Relief Rehabilitation and Development
MDG	Millennium Development Goals
NFI	Non Food Items
NGO	Non-Governmental Organisation
NWCC-PH	National WASH Cluster Coordinator | Philippines
OCHA	UN Office for the Coordination of Humanitarian Affairs
ODA	Official Development Assistance
OECD	Organisation for Economic Co-operation and Development
ÖRK	Austrian Red Cross
OHCHR	Office of the High Commissioner for Human Rights
PhATS	Philippines Approach to Total Sanitation
PPP	Public Private Partnership
RC	Resident Coordinator
RWCT	Rain Water Collection Tanks
SCHR	Steering Committee for Humanitarian Response
SEI	Stockholm Environment Institute | Sweden
SWA	Sanitation and Water for All Partnership
TDA	Transitional Development Assistance
THW	Bundesanstalt Technisches Hilfswerk | Germany
UNDP	United Nations Development Programme
UNFPA	UN Population Fund
UNHCR	UN High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNRWA	UN Relief and Works Agency
WAND-Foundation	Water, Agroforestry, Nutrition and Development Foundation | Philippines
WASH	Water Sanitation and Hygiene
WEDC	Water, Engineering and Development Center, Loughborough University | UK
WHO	World Health Organization
ZOD	Zero Open Defecation
XU-SUSAN	Sustainable Sanitation Center - Xavier University | Philippines

1.

Disaster and Crisis Scenarios and How They Affect the WASH Sector

Disasters are events where important losses and damage are inflicted upon communities and individuals, possibly including loss of life and livelihood assets, leaving the affected communities unable to function normally without outside assistance.[2] Disasters or humanitarian emergencies can take different forms and each emergency situation, depending on the country context, its scope and causes are unique and have a great impact on people, the environment and infrastructure. Despite this heterogeneity, the following subdivision of the various types of crisis can be used to provide a rough categorisation:

- Disasters triggered by natural or man-made hazards
- Conflicts
- Fragile states and protracted crises
- (High-)risk countries continuously affected by natural disasters and climate change

1.1 Disasters Triggered by Natural or Man-made Hazards

Earthquakes, volcanic eruptions, landslides, floods, storms, droughts and temperature extremes are natural hazards that can cause humanitarian disasters claiming many lives and causing economic losses and environmental and infrastructure damage. However, disasters only occur if a natural hazard happens in a community that is vulnerable to this hazard event. Due to climate change and its far-reaching impact, humanitarian assistance has to increasingly deal with extreme weather events and their consequences. The frequency and scale of floods and droughts is already creating major 'water insecurity' challenges for the humanitarian WASH community.[3] In the last 20 years, the number of natural disasters per year has roughly doubled from around 200 to around 400.[4] Such natural disasters often result in a deterioration of environmental health conditions, particularly in terms of access to basic WASH services and the present global humanitarian WASH capacity can no longer meet the rapidly growing WASH needs. The consolidated appeals issued by the United Nations, which are one way of quantifying the global need for humanitarian assistance, recently reached a record high of 8.83 billion USD.[5]

The growing world population, continuing global urbanisation and changes in land use further increase the vulnerability to natural and technical hazards such as dam breaks, chemical or nuclear contamination. Agglomerations in coastal regions are particularly vulnerable. The severity of natural or man-made hazards, the degree of local resilience and preparedness as well as the existing local structures determine how people or authorities/governments in the affected areas can help themselves, or are dependent on external support.

Disasters are a particular challenge for the WASH sector. Infrastructure such as schools, roads, hospitals, as well as sanitary facilities, washroom facilities and the local water and sanitation supply are often directly affected, resulting in access to clean water and sanitation and the practice of relevant hygiene behaviour like handwashing no longer

2 Global WASH Cluster (2011)
3 European Commission (2012)
4 United Nations (2012)
5 Federal Foreign Office, Germany (2012)

being assured. Thus the risk of water and sanitation related diseases increases. The same applies to prolonged droughts with groundwater scarcity or floods, in which people are forced to make use of unsafe water sources.

1.2 Conflicts

In addition to disasters, man-made emergency situations such as political conflicts, armed confrontations and civil wars have been increasing in recent decades. As a result of such crises, the refugee situation has intensified worldwide. According to UNHCR the number of refugees and displaced persons has globally risen to 51.2 million in 2013.[6]

Despite the increasing humanitarian need, governments or parties involved in the conflict often deny access for aid agencies. Due to an often poor security situation in the crisis and disaster areas, international support is even more difficult.

In violent conflicts precautions similar to those after natural disasters must be taken. A large number of refugees or displaced persons must be put up in camps or temporary shelters, where access to clean water, adequate sanitation and hygiene items need to be guaranteed at very short notice and often have to be maintained over longer periods. In contrast to the spatial limitations of most natural disasters, the victims of wars and conflicts are more difficult to reach because they do not stay in one place. Moreover, it is often difficult to plan how long shelters and the corresponding WASH infrastructure must remain. This can vary from a few weeks or months to several years or even decades. In addition refugee camps are sometimes also put up in places with an already tense WASH situation.

In refugee situations, were a displaced population is housed initially in temporary shelters or in a camp it is very often not politically desired that any move towards development is made. Politicians most often do not want displaced populations to stay where they are, and might oppose activities that are seen to make the settlement more permanent or better developed for fear of not being able to move the population back to where they came from. This is further complicated if the conditions in the camp prove to become better than those in local settlements and tensions arrive between the local population and the refugee population.

6 UNHCR (2014)

1.3 Fragile States and Protracted Crises

A phenomenon that is increasingly coming to the fore in recent years is the issue of fragile states and countries in protracted crises. States are considered fragile, if the state is unwilling or, due to missing, weak or failing state institutions, unable to meet its basic functions (monopoly of power, legitimacy and provision of government basic services). For the people involved, this means that their safety is at risk and basic social services are not, or are only insufficiently, provided by often ineffective government agencies.[7] The lack of government responsibility for ensuring such basic services can lead to increased poverty, inequality and social distrust and can potentially develop into a humanitarian emergency.

Protracted crisis situations are characterised by recurrent disasters and/or conflicts, prolonged food crises, deterioration of the health status of people, breakdown of livelihoods and insufficient institutional capacity to react to the crises.[8] In these environments a significant proportion of the population is acutely vulnerable to mortality, morbidity and disruption of livelihoods over a prolonged period of time. The governance of these environments is usually weak, with the state having a limited capacity to respond, and to mitigate the threats to the population, or to provide adequate levels of protection.[9]

Many fragile states and countries in protracted crises show complex interdependencies of power and resource interests that might lead to long-lasting internal conflicts and tendencies for cyclic repetition of violence outbreaks. It might also involve social tensions between refugees or internally displaced people and the receiving communities.

Due to insufficient government structures, external coordination mechanisms and support are necessary in order to respond to emerging humanitarian needs. However, under such conditions external assistance is difficult to provide, as the uncertainties of the state apparatus and thus the effectiveness of the measures cannot be guaranteed. The provision of basic water and sanitation services is neglected in many countries with authoritarian or corrupt governments. In these cases donors often have highly unsatisfactory experiences with conventional government channels. Under these conditions, it is necessary to explore complementary and alternative ways of service provision, basing it mainly on non-and sub-state actors. For the WASH sector this means that people have to be supplied with clean drinking water and improved sanitation at a decentralised level.

7 BMZ (2013a)
8 FAO (2010)
9 ODI (2004)

1.4 (High-)Risk Countries Continuously Affected by Disasters and Climate Change

Climate change and the increased likelihood of associated natural hazards is an enormous challenge for many countries. The risk that natural events become a disaster is largely determined by the vulnerability of the society, the susceptibility of its ecological or socio-economic systems and by the impacts of climate change both on occasional extreme events (e.g. heavy rains causing floods or landslides) as well as gradual climatic changes (e.g. temporal shift of the rainy seasons). The higher the vulnerability the greater the risk that natural events can overburden societies' coping capacities. Consequences are the loss of human lives and social, economic and environmental damage undermining any local capacity to act. Particularly in the less developed countries, major disasters can potentially negate decades of hard-won developmental successes.[10]

In the near future, approximately 860 million people in the least developed countries and small island developing states will be adversely affected by climate change resulting in large numbers of environmental refugees.[11] About two-thirds of those affected will be women. Climate change disproportionately affects the poorest countries where about 70 % of the population lives on agriculture. Due to crop failures and poor harvests these people are exposed to the consequences of climate change to a significantly larger extent.[12] Climate change also exacerbates the problematic situation in high-risk countries that are already suffering from disasters. Famines, disasters and migration flows of previously unimaginable scale will provide an enormous challenge for these countries in future.

The impact on the WASH sector includes the unsafe and/or hard to predict water availability as well as the competition for the available water: for WASH purposes or agricultural water demand. Furthermore it might involve the adaptation of existing WASH infrastructure or the introduction of appropriate WASH infrastructure to increase resilience and help communities to cope with climate-induced recurrent extreme weather events (e.g. sanitation solutions for flood-prone areas, water catchments that collect and store water during the rainy season etc.). It might also include the provision of water and sanitation services for migrant flows.

10 BMZ (2013b)
11 UN-OHRLLS (2009)
12 BMZ (2013b)

2.

Types of Assistance and the Role of WASH

The prevalent categories used to distinguish between the different types of assistance are: (1) humanitarian relief, (2) recovery or rehabilitation and (3) development cooperation. The three aid types follow very different goals and principles with varying time frames, funding mechanisms and with a differing set of actors and coordination mechanisms.

The main goals of humanitarian relief are to save lives and to mitigate human suffering, based on the humanitarian principles of humanity, independence, impartiality and neutrality. Humanitarian assistance targets the affected population directly, while development aims at sustainably improving the social and economic situation of the society as a whole. Development work is based on the principles of ownership, results and mutual accountability. Recovery or rehabilitation, in turn, aims to at least recreate the pre-emergency situation of the affected population by gradually incorporating development principles (see also table below).[13]

13 GPPI (2011)

Comparison of the different types of assistance

	Humanitarian Relief	Recovery / Rehab.	Development
Main Objectives	• To save lives • To alleviate suffering • To maintain and protect human dignity	• To re-create pre-emergency situation • To build back better	• To support economic, environmental, social and political development • To alleviate poverty in the long term
Target groups	• Populations affected by emergencies	• Populations affected by emergencies	• Societies as a whole, with particular emphasise on the poor and most needy
Expected timeframe	• Usually up to six months	• Usually between six months up to three years	• Usually between three up to ten years
Principles	• Humanity • Independence • Impartiality • Neutrality • Do no harm	• Applies development principles with restrictions (as far as humanitarian principles allow) • To build back better	• Sustainability • Ownership • Empowerment
Cooperation Partners, Local Counterparts	• Head of Government • Government agencies • Civil society • Affected communities	• Central and local government • Civil Society • Local communities	• Central and local government • Civil society • Local communities • Private sector and other stakeholders
Main WASH Coordination Mechanisms	• WASH Cluster at national and/or regional level	• WASH Cluster at national and/or regional level • Relevant Ministries (national / regional)	• Relevant Ministries at national / regional level • Sector working groups (water, health etc.) at national / regional level

However, the division into the three assistance types should be viewed as a rather theoretical and simplified classification model. Real life is seldom so clearly defined. For most actors on the ground, the definitions are mainly relevant because donors and implementing organisations use them to define organisational mandates and funding criteria.[14]

14 GPPI (2011)

2.1 Humanitarian Relief

Humanitarian relief interventions are carried out immediately following natural disasters, wars, protracted crises or epidemics. The purpose of these interventions is to ensure the survival of the affected population, guided by the principles of humanity, neutrality, impartiality and independence.[15] In order to improve the quality and accountability of humanitarian relief interventions and of their implementing agencies, the Sphere Project has established and refined a humanitarian charter and a set of minimum standards in key live-saving sectors through sector-wide consultations over the last twenty years. It has become one of the most widely known and internationally recognised sets of standards for humanitarian response and is used as an inter-agency communication and coordination tool. Following the logic of the Sphere Handbook the key life-saving measures in humanitarian relief can be subsumed under the following sectors: (1) WASH, (2) Food and nutrition security, (3) Shelter and settlement and (4) Health.

Water and sanitation are critical determinants for survival in the initial stages of a disaster. People affected by disasters are generally much more susceptible to illness and death from disease, which to a large extent are related to inadequate sanitation, inadequate water supplies and inability to maintain good hygiene. Outbreaks of diarrheal diseases, including dysentery and cholera, are common in emergencies. Faecal-oral diseases may account for more than 40 % of deaths in the acute phase of an emergency, with greater than 80 % of deaths pertaining to children under the age of two years. There is a risk of infectious disease outbreaks following natural disasters and conflicts, many of which are directly related to WASH.[16] The main objective of WASH programmes in disasters is to reduce the transmission of faecal-oral diseases and exposure to disease-bearing vectors through the promotion of good hygiene practices, the provision of sufficient quantities of safe drinking water, the reduction of environmental health risks and the furthering of conditions that allow people to live with good health, dignity, comfort and security.[17]

During the Immediate Emergency Relief phase, within the first hours or days, effective short-term measures are applied to alleviate the emergency situation quickly until more permanent solutions can be found. Apart from salvage and rescue, protective measures, shelter and provision of food and non-food items (NFI), the essential WASH services needed at this stage include quick, adequate and equal access to clean and safe water, instant and safe excreta disposal and the distribution of hygiene items.

During the Emergency Relief phase, primary medical care, provision of food, shelter and WASH services remain the highest priority. The emergency relief phase can last from several weeks to several years. Important measures for effective humanitarian relief in the

15 European Commission (2012)
16 DFID 2012
17 Sphere Project (2011)

WASH-sector include the provision of clean water in sufficient quantities and adequate basic sanitation solutions. In case of unsafe water resources, central water purification units need to be installed or water filtering or chlorination solutions on household level need to be applied. Furthermore the distribution of hygiene kits, jerry cans, the carrying out of accompanying hygiene promotion activities and the establishment of supporting community structures need to be considered. If applicable, this may also include the quick rehabilitation of existing WASH infrastructure, the establishment of appropriate drainage solutions and simple rainwater harvesting systems as well as water quality testing and the provision of cars, tools and equipment to ensure basic operation and maintenance services. In order to ensure a safe environment and to avoid contamination of water sources, the safe management of the faeces needs to be organised using appropriate methods such as septic tanks, desludging and disposal at safe disposal sites or ecological wastewater treatment sites. In times of war or complex crises, where the affected population usually do not stay in one place and is thus difficult to reach, drinking water supply can be organised by truck. In addition, measures of crisis and disaster prevention have to be initiated.

Prior to any WASH programme a proper (rapid) assessment is required in order to be able to respond adequately within a given local context. To increase acceptance of the envisioned WASH intervention, particular emphasis should be given to soft aspects such as potentially sensitive issues regarding sanitation (including use, operation and maintenance), menstrual hygiene management, gender-specific WASH requirements to reduce vulnerability to sexual and other forms of violence as well as hygiene related issues that imply certain levels of behaviour change. Comparable to WASH development programmes the equitable participation of women and men, children, marginalised and vulnerable groups in planning, decision-making and local management is key to ensuring that the entire affected population has safe and easy access to WASH services, and that services are appropriate.

WASH hardware solutions should be based on locally appropriate technologies and designs, ideally using locally available materials. However, providing sufficient water and sanitation facilities will not, on its own, ensure their optimal use or impact on public health. In order to achieve the maximum benefit from a response, it is imperative that disaster-affected people have the necessary information, knowledge and understanding to prevent water- and sanitation-related diseases and to mobilise their involvement in the design and maintenance of those facilities.[18]

The need for improved WASH strategies for emergencies has generated a number of new approaches that have been explored by relief organisations. However, there remains insufficient confidence and evidence what works and what does not work and which strategies are suitable for the immediate emergency phase and which technologies, practices, and approaches may permit a transition towards more sustainable solutions and future resilience.[19]

18 Sphere Project (2011)
19 DFID (2012)

2.2 Recovery and Rehabilitation

Recovery and rehabilitation – sometimes also referred to as reconstruction or transition – usually starts right after or already during the relief interventions. It can be seen as a continuation of already executed relief efforts and can prepare the ground for subsequent development interventions and the gradual handing over to medium/long-term partners. Depending on the respective local needs the general time frame for recovery and rehabilitation interventions is usually between six months up to three years and in difficult situations up to five years. They are characterised by an active involvement and participation of local partners and authorities in the entire planning and decision making in order to strengthen local capacities and to contribute to the sustainability of the interventions.

WASH recovery interventions can take very diverse forms and depend on the local conditions as well as actual needs of the affected population. They can include the rehabilitation or reconstruction of adequate water supply and treatment facilities, the rehabilitation of markets for WASH services, the identification and implementation of locally appropriate sanitation systems and service structures as well as hygiene promotion activities (e.g. awareness raising campaigns, promotion of handwashing with soap, instructions for the use of toilets, menstrual hygiene management, household water treatment and safe storage (HWTS), total sanitation approaches) to meet the immediate water and sanitation needs of the involved population and reduce any WASH related health risks of the population. In camp situations that are expected to last longer and potentially develop into permanent settlements it might involve the upgrading of existing emergency WASH infrastructure. These interventions also include longer-term capacity development and training, the strengthening of relevant local authorities and development partners, the stronger collaboration with local governments, utilities, civil society and the private sector and the handing over of responsibilities, as well as the increased participation of involved stakeholders particularly women, persons with disabilities and other marginalised and vulnerable groups in WASH planning and decision-making. Where possible, WASH recovery interventions should take into consideration that the investments made may provide a foundation for further expansion of water and sanitation facilities and services. In addition to the core WASH interventions it also includes the integration and implementation of solid waste management, drainage systems, rehabilitation of access roads and the alignment with other relevant sectors (e.g. food and nutrition) as well as resilience and disaster risk reduction measures.

Recovery interventions should also include a clear transition or exit strategy including considerations of whether projects will be followed up by a second phase or in case project support will be terminated or handed over to local governments, service providers or other organisations how the achieved WASH service levels can be maintained.[20]

20 USAID (2012)

Case Study Philippines

The Philippines Approach to Total Sanitation (PhATS)

As part of the response to Typhoon Yolanda in the Philippines 2013 / 2014 the early recovery strategy for sanitation included a gradual or phased approach called PhATS. This approach breaks the early recovery process down into several focused, targeted and monitored phases (or grades) supported by incentives for the affected Barangays (smallest administrative division in the Philippines) encouraging and rewarding the achievement of each phase.

Grade 1 (Zero Open Defecation Barangay)
- Excreta free open spaces, drains and water bodies
- 100 % use of hygienic toilets (shared use allowed)
- Safe disposal of child excreta

Grade 2 (Sustainable Sanitation Barangay)
- 100 % use of sustainable toilets (no shared use)
- 100 % availability of soap and water at or nearby toilets
- 100 % sustainable toilets in institutions (schools, health posts, govt. offices)
- Sustainability monitoring (full pits, safe pit emptying practices)
- Re-verification of Grade 1 ZOD Barangay conditions

Grade 3 (Total Sanitation Barangay)
- 100 % solid waste management
- 100 % wastewater management (including drainage)
- Safe management of animal excreta (animal pens)
- Protected water supplies (sources and water points)
- Regular water quality testing
- Re-verification of Grade 2 Sustainable Sanitation & Grade 1 ZOD conditions

The phased approach is supported by incentives that encourage and reward the achievement of each grade. Hardware subsidies should not be used during achievement of grade 1, in order to ensure that genuine behavior change is associated with the development and use of the simple hygienic toilets. However, verified grade 1 barangays qualify for local government finance in the grade 2 phase, in the form of credit options, revolving funds and toilet vouchers. In addition, the municipality is paid a results-based grant for each verified "Sustainable Sanitation Barangay". This rewards the achievement and encourages further investment in graduation to Grade 3 status. The whole process, and here particularly the first phase, includes a huge demand creation component, using a broad range of approaches including Community Approach to Total Sanitation (CATS), sanitation marketing, mass media campaigns and other behavior change communication tools.[21]

21 UNICEF (2014)

Rehabilitation of sanitation infrastructure after Typhoon Yolanda, Philippines (Source: Austrian Red Cross)

2.3 Development Cooperation

The concept of development cooperation supports countries in their efforts to alleviate poverty and achieve social, economic, ecological and political progress. It promotes the ability for self-help and contributes to more stable political, social and economic conditions and thereby longer-term sustainable development. Depending on the local needs, the time frame for development cooperation interventions can be between three years up to ten years or longer. The term "development cooperation" is used to express that the relation between donor and recipient should be based on partnership. Under optimal conditions it is characterised by an active involvement and participation of local partners and authorities in all planning and decision-making processes to strengthen local capacities, ownership and to contribute to the sustainability of the interventions.

With the Millennium Development Goals (MDGs) – a widely accepted global framework of reference for development – the international community agreed to establish a set of measurable and timely limited goals to combat the most urgent global development problems. The goals include the dramatic reduction in poverty, hunger and environmental degradation. These MDGs define indicators to measure progress with regard to development. As part of goal 7 of the MDGs, the global community set the target of halving the proportion of people without sustainable access to safe drinking water and basic sanitation by 2015.

Safe water, sanitation and hygiene are basic human needs, and are indispensable for the healthy development of individuals as well as for the sustainable development of societies. In 2010, safe drinking water and sanitation was recognised as a human right by the UN General Assembly and the UN Human Rights Council.[22] The human right to safe drinking water and sanitation specifies that water and sanitation supply must be available, safe, culturally acceptable and accessible for all. Furthermore, when planning and implementing WASH interventions, equality and non-discrimination principles must be observed and the needs of vulnerable and marginalised groups must be considered. It is important to inform and involve the population while ensuring that transparency and accountability mechanisms are in place. WASH is essential for achieving almost all MDGs as well as for the realisation of numerous human rights. WASH is therefore also a key issue for poverty reduction.[23] Inadequate access to WASH leads to high infant mortality rates, reduces educational opportunities and also jeopardises food security. In addition, illness-related absences at work can lead to decreased family income.[24]

WASH development interventions can have various forms and focuses, depending on the local conditions and the needs of the target population. They are carried out in both urban and rural contexts. They include the implementation or rehabilitation of water supply and treatment infrastructure that allow for adequate operation, maintenance and monitoring by the local population, user committees, governments or utilities after their completion. It also includes the identification and implementation of locally appropriate sanitation systems and operational components, such as storage, transport, treatment and safe management of faeces and wastewater or the potentially valuable re-use of their products in the form of water, nutrients and energy. With regard to hygiene it includes promotion activities such as campaigns, marketing, behaviour change and total

22 United Nations (2010)
23 German WASH Network (2012)
24 UNICEF (2010)

sanitation approaches to promote handwashing with soap, HWTS, menstrual hygiene management and creating demand for sanitation. In order to ensure the necessary enabling environment and sustainability of development projects it also includes the support of local authorities, communities, utilities, service providers and the private sector in strategic WASH planning and financing, WASH governance, participatory decision-making, monitoring, policy development, advocacy, post construction support as well as capacity development and trainings. WASH interventions need to consider cross cutting issues such as gender and inclusion and might also involve the integration of solid waste management, drainage systems and the alignment with other relevant sectors (e.g. food and nutrition, mother and child health, agriculture) as well as resilience building and disaster risk reduction measures. Key issues recently addressed amongst WASH-sector think tanks and donors include a number of tools and methods to ensure "WASH services that last"[25]. These issues include the Service Delivery Approach, Life Cycle Cost Approach (LCCA), Value for Money, WASH service level indicators among others.

As to the actual interventions on the ground there is often no significant difference between recovery and development measures, however, in terms of the political positioning development cooperation, in contrast to recovery interventions, is more dependent on bilateral negotiations.

Another term or approach that has entered the international development debate in recent years, in which WASH plays an important role, is the Nexus approach. It considers the increasing interconnectedness across sectors. Particularly the water security, energy security and food security sector are seen as inextricably linked and conventional policy and decision-making in 'silos' therefore needs to give way to an approach that reduces trade-offs and builds synergies across sectors.[26]

25 IRC (2014)
26 SEI (2011)

3.

Existing Transition Approaches in the Sector

The transition from one type of assistance to the other is not necessarily a linear process with consecutive phases. It is rather interlinked and assistance types can be in use simultaneously and in both directions. Many emergencies do not move in a predictable and linear fashion from a relief through a recovery to a development phase. Instead, conflicts often re-emerge and natural disasters complicate pre-existing humanitarian and development situations.[27] The international discourse has therefore moved from the concept of a sequential continuum to a "contiguum" model in which an effective and appropriate response requires the simultaneous use of relief, recovery and development instruments based on the evolving needs of the involved population.

Several concepts have been developed to address the disconnectedness between the different assistance types. They include more preventive measures such as "Resilience Building", "Preparedness" and "Disaster Risk Reduction" as well as concepts like "developmental relief" and "linking relief, rehabilitation and development (LRRD)" that focus on bridging the gap between relief interventions and longer-term development. While these concepts vary in their emphasis, they highlight three important aspects of linking:

1. Applying development principles early on in emergency settings to ensure the ground is prepared for development;
2. Ensuring a smooth transition as well as continuity and coordination between interventions on the ground; and
3. Using development cooperation to support resilience, prevention and disaster risk reduction.[28]

3.1 Preventive Measures

Preventive measures help to reduce the severity of a disaster and help to streamline disaster management. Many emergency situations follow predictable patterns and most disaster-prone regions are already well known. At the same time disaster and crisis scenarios are becoming more complex and can often not be sufficiently responded to with traditional re-active relief interventions. Hence disaster prevention or mitigation plays an important role and needs to be taken into consideration by both relief as well as development actors to address the underlying vulnerabilities and to build capacities to better cope with future shocks. Preventive measures include the strengthening of resilience, the increased preparedness in the case of an acute emergency and disaster risk reduction. Such measures need to be an integral part of national, regional and local development strategies.

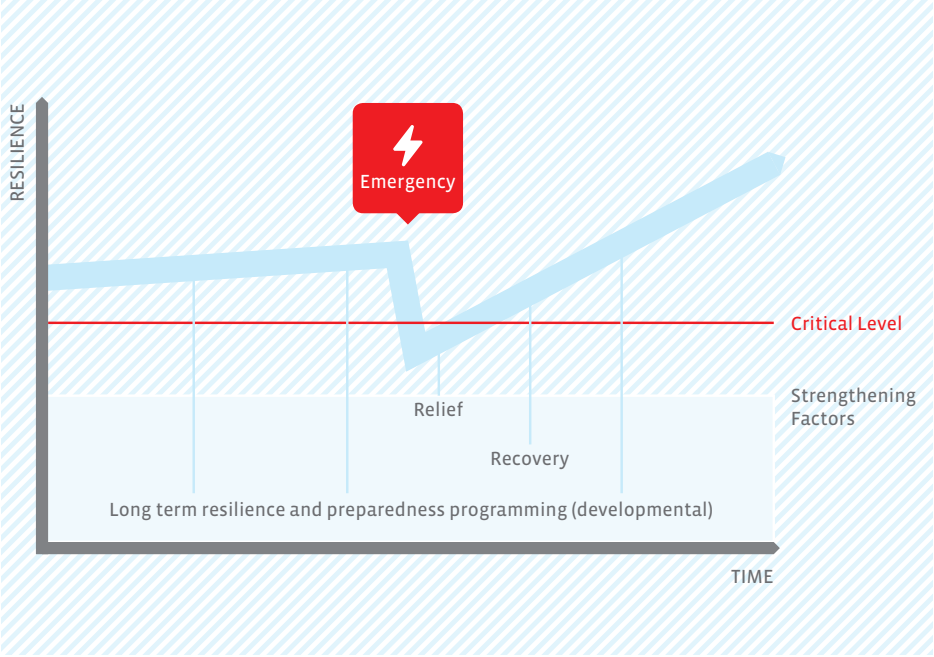
Strengthening Resilience: Resilience describes the ability of systems to respond and adapt effectively to changing circumstances.[29] Although defined slightly differently by various organisations and institutions, at its core it can be described as the ability of countries, communities, individuals, or organisations that are exposed to disasters, crises and underlying vulnerabilities to manage change. This can be achieved by anticipating,

27 GPPI (2011)
28 GPPI (2011)
29 IFRC (2012)

reducing the impact of, coping with and recovering from the effects of adversity without compromising their long-term prospects.[30]

Strengthening resilience requires long-term engagement and investments. It needs an in-depth analysis of previous emergencies, of the underlying causes of vulnerability and of the existing human, psychological, social, financial, physical, natural or political assets at different levels of society. The goal is to develop locally appropriate measures that can then be incorporated into existing structures and processes to increase the capacity and capability of the involved stakeholders and their self-organisation potential. Important components to enhance resilience include capacity development, trainings, education, awareness raising, sensitisation and advocacy.

Building up resilience (adapted from IFRC 2012)



Impacts of dysfunctional WASH systems can range from interrupted WASH services and long-term dysfunctionality resulting in child death, diarrhoeal diseases and intestinal parasites all of which have direct and indirect effects on the resilience of a community. Typical measures to increase WASH resilience and thereby support stable community structures that can cope with changing conditions include:

- Implementation of robust and resilient infrastructure adapted to local extreme conditions (e.g. flood-resistant water and sanitation systems or water catchment and storage systems in drought-prone areas)
- Capacity building on how to build, repair, operate and maintain WASH infrastructure
- Hygiene promotion and sensitisation measures
- Setting up of WASH committees and health clubs

30 DFID (2011), IFRC (2012) & BMZ (2013a)

Preparedness: The term preparedness refers to precautionary measures taken in view of anticipated disaster or crisis scenarios to strengthen the ability of the affected population and involved organisations to respond immediately. Preparedness is the result of capacities, relationships and knowledge developed by governments, humanitarian agencies, local civil society organisations, communities and individuals to anticipate and respond effectively to the impact of likely, imminent hazards.[31] People at risk and the responsible organisations and institutions should be able to make all necessary logistical and organisational preparations prior to the potential event and know what to do in case of an emergency. Apart from early warning systems and the development of emergency plans it can include the stockpiling of equipment, food etc. as well as the availability of potential evacuation plans. Common WASH preparedness measures in disaster-prone areas include:

- Contingency planning and the development of an emergency preparedness plan (EPP)
- Stockpiling of WASH equipment and making materials and infrastructure available (incl. water purification technology)
- Emergency services and stand-by arrangements
- Establishment of support networks among different regions
- Capacity building and targeted trainings of local volunteers and emergency personnel
- Strengthening of local structures through community-level planning and training

Disaster Risk Reduction (DRR) and Prevention: DRR can be seen as an umbrella term for all preventive measures including those described under resilience and preparedness. It aims to reduce disaster risks through systematic efforts to analyse and reduce the causal factors of disasters. Reducing exposure to hazards, lessening vulnerability of people and property, wise management of land and the environment, and improving preparedness and early warning for adverse events are all examples of disaster risk reduction.[32] A proper risk analyses forms the basis for adequate DRR measures. It assesses the potential exposure of communities to these risks, the social and infrastructural vulnerability and communities' capacity to deal with it.

The importance of the DRR approach is increasingly being recognised by the international community. According to the UNDP Bureau for Crisis Prevention and Recovery DRR offers a high return on investment: One dollar invested in disaster prevention can save seven dollars worth of disaster-related economic losses.[33] With the Hyogo Framework of Action, which was approved in 2005 by most UN member states, there exists a binding scope of action for DRR measures which commits all signatory states to strengthen national preparedness and DRR structures.

31 Sphere Project (2011)
32 UNISDR (2014)
33 UNDP (2010)

Case Study India

Flood-Proof Elevated Water Wells (Malteser International)

Uttar Pradesh tops the list of flood prone states of India, with Bahraich being the most flood-affected district in Uttar Pradesh. Flooding has always affected the state but the building of the upstream barrage in 1973 has resulted in a major increase in their effects. In addition, the construction of 110 km of embankments, while protecting more distant communities, has worsened conditions of families living closer to the river, where the poorest communities live. Every year during the monsoons, when the Ghaghara river overflows, the villagers end up drinking turbid floodwater. The floods inundate all open wells, tube wells and hand pumps. As a consequence there is no safe drinking water source, resulting in widespread illness and even deaths.

In 2008 Malteser International together with its local implementing partner Sahbhagi Shikshan Kendra began implementing a DRR project in Bahraich district. During consultations with the flood-affected communities, it was jointly agreed that some new models of hand pumps suitable for such an area should be developed. With the idea of ensuring access of communities to safe sources of drinking water during floods, the concept of raised hand pumps (hand pump mounted on a raised platform) was developed. Piloting of different options was carried out and finally one model was selected for replication. The hand pumps are mounted on raised platforms rather than at the ground level so they will not be submerged during normal flooding. Forty such systems were installed over a total of 32 hamlets.

The idea of fixing hand pumps on a raised platform was appreciated by the district government, Malteser International's counterpart in this DRR project. They adapted the technology with little modifications and supported the construction of 800 raised platforms with hand pumps in 200 flood-affected villages of Bahraich district. Uttar Pradesh's State relief commissioner has now asked other flood-affected districts in the state to adopt the model as well.

Elevated water point during a flood in the Bahraich district, India (Source: Sahbhagi Shikshan Kendra)

Historically, development actors have not invested significantly into DRR and prevention, whether due to a lack of awareness, incentives or a lack of emergency-related expertise. In recent years DRR and conflict prevention have therefore turned into cross-cutting issues that are addressed through relief, as well as recovery and development instruments.[34]

As WASH is one of the key sectors that is critical to survival and the functioning of societies, non-functioning or inadequate WASH services can potentially cause disasters, and hazards in turn can further degrade WASH services, resulting in increased disaster risk. It is therefore inevitable to consider potential disaster risks when setting up or developing WASH services whether it is in relief, recovery or development. The main aims of DRR WASH interventions relevant for all three assistance types are[35]:

- To reduce the potential impact of hazard events on WASH services (resilience and mitigation)
- To ensure a rapid service level and structural recovery of WASH services after hazard events (preparedness)
- Following damage caused by hazard events, to ensure that the design of the systems addresses earlier vulnerabilities resulting in more resilient services (build back better and resilience)
- To ensure that WASH services have minimal negative effects on society (do no harm)

34 GPPI (2011)
35 Global WASH Cluster (2011)

Case Study Kenya

Mindali Rock Catchment (Welthungerhilfe)

Welthungerhilfe has implemented DRR initiatives in various arid and semi-arid regions in Kenya over the last three years in response to the Horn of Africa drought emergency experienced in 2011. In the affected region, normally precipitation can only be noted during a few days in April and November, leaving the population lacking a safe water supply during the dry periods. In arid and semi-arid areas with large rock outcrops a lot of runoff is generated after rains. By transforming the rock surface into a catchment, the runoff can be harvested and stored for domestic use and livestock, alleviating water shortages.

The lowland regions of South-East Kenya have such extensive rock outcrop formations, perfectly suitable to harvest surface water runoff on large scale. Rock catchments consist of a catchment area bordered by stone lines channelling the runoff water through gravity to the reservoir with a filtration unit located at the lowest point of the catchment. From there the collected and filtered water runs through a pipe system into sealed storage tanks. Connected water kiosks then distribute the water to the users for domestic and livestock purposes. With projected increases in water insecurity from long-term climate variability and extreme weather events, water harvesting can become critical for increasing the resilience of vulnerable communities to climate stress and enhancing their ability to cope with and combat the effects of drought and seasonal floods, thereby reducing the need for future emergency interventions.

At the Mindali rock catchment three storage tanks with a total storage capacity of 525 m^3 have been installed and a registered self-help group has been formed. With a surface area of 3460 m^2 the maximum possible amount of water of 525 m^3 could be harvested during one rainy season. Each Household is mandated to draw 80 litres of water, three times a week. The money collected from the water sale is used for maintaining the project and payment of the water attendant. With a medium-term water allocation (suitable for a few months), without water available for livestock or agriculture, the project serves a total of 427 households, which translates to 2734 direct beneficiaries.

Mindali rock catchment with its three water storage tanks, Kenya (Source: German Toilet Organization)

3.2 Development-Oriented Relief and Early Recovery

In the complexity of poverty, fragile political systems, protracted crises and recurring disasters people often remain vulnerable over years and have to rely on outside help. Many humanitarian actors therefore started to address not only the immediate needs of those affected, but also contribute to sustainable development through their relief activities. This type of approach or programming is referred to as development-oriented or developmental relief, which has laid the foundation for the more comprehensive Linking Relief Rehabilitation and Development (LRRD) approach **(see next chapter)**.

Another term that has been introduced as part of the humanitarian reform process and which goes in a similar direction is Early Recovery. It is described as a multidimensional process of recovery that begins in a humanitarian setting, applying development principles to humanitarian situations. It is an integrated and coordinated approach, using humanitarian mechanisms, to gradually turn the dividends of humanitarian action into sustainable crisis recovery, resilience building and development opportunities.[36] The development principles used include the stronger consideration of local capacities and long-term needs of the population, the participation of the disaster affected population in decision-making processes and increased accountability of relief actors towards the affected people.[37] It also includes the consideration and use of technology in the initial relief phase that can be used during recovery and longer-term development (e.g. rehabilitation of wells instead of water distribution). Although the emphasis of early recovery is on strengthening the development-orientation of relief activities the term is sometimes also used to describe a separate stage along the relief to development pathway.

3.3 Linking Relief, Rehabilitation and Development (LRRD)

The concept of LRRD has been on the international agenda for decades aiming to overcome the "grey zone" between the different assistance types and as a response to the funding gap that was identified between relief operations and longer-term development operations following disasters. The LRRD concept mainly evolved in the European context. It was first adopted by the European Commission and is by now widely used by donors and the wider assistance community in Europe.[38] An equivalent term, mainly used in the US, is development-relief, which also encourages the programmatic linkages of emergency and development objectives.[39]

LRRD seeks to promote a more holistic approach to assistance linking short-term relief measures with longer-term development programmes in order to create synergies and provide a more sustainable response to crisis situations. As stated in the Principles of Good Humanitarian Donorship, humanitarian assistance should be provided in ways that are supportive of recovery and long-term development, striving to ensure support,

36 UNDP (2014)
37 IFRC (1996)
38 GPPI (2011)
39 USAID (2009)

where appropriate, to the maintenance and return of sustainable livelihoods and transitions from humanitarian relief to recovery and development[40]. In turn, well-designed development cooperation programmes should reduce the need for emergency relief, and LRRD development activities should include measures for conflict prevention, DRR, disaster preparedness and the development of early warning systems.[41]

Initially, LRRD was conceived as a linear continuum with subsequent phases from relief through recovery and rehabilitation to development. However, due to the complex nature of many disasters and long-lasting crisis scenarios in often fragile environments, experience has shown that treating relief, rehabilitation and development as separate phases or processes has often failed to respond adequately to such complexity. In certain cases, such as protracted or post-conflict situations, the changing nature of the operational environment makes it difficult to adopt each response separately and in turn. As a result, the linear continuum approach has become obsolete in favour of a contiguum approach with simultaneous and complementary use of different assistance instruments trying to meet acute needs and creating structures that make the affected population less susceptible to emergency situations and helps them to prevent future crises at the same time.[42]

It is not only important that seamless transitions are created, but that the foundations for a more sustainable development are already created during the humanitarian assistance interventions. At the same time, preventive measures such as disaster preparedness and risk reduction as well as coping strategies **(see also chapter 3.1)** need to be better integrated in development cooperation. Delays in the individual assistance types can potentially increase the magnitude of disasters. Although there is no universal model and the scope of any kind of external assistance depends on the respective situation, LRRD programmes or projects should ideally meet several of the following criteria[43]:

- Measures contribute to disaster prevention and disaster risk reduction
- Reconstruction measures not only aim at restoring the status quo ante, but to qualitatively and sustainably improve the living conditions of the population (build back better)
- Relief and development actors take each others structures into account and integrate them into their projects where possible
- The affected population is involved in the project planning from the very beginning
- The structures and the ability for self-help of the affected population is strengthened
- Support is not given to isolated individual measures but to integrated projects aimed at comprehensive improvements of the living conditions

40 GHD (2014)
41 European Parliament (2012)
42 European Parliament (2012)
43 VENRO (2006)

Proper implementation of the LRRD approach in recipient countries needs a structured planning of international initiatives. So it is not only important that the actors of humanitarian assistance and development cooperation locally develop common strategies, but that this is already taken into account accordingly in the budget planning of the donor countries.

Another term derived from the LRRD approach and which has been coined by the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) and the German Federal Ministry for Economic Cooperation and Development (BMZ) among others is Connectedness. Connectedness refers to the need to ensure that activities of a short-term emergency nature are carried out in a context that takes longer-term and interconnected problems into account. It refers to connecting measures of recovery and rehabilitation with longer-term structures and programmes of local governments and civil society. In case of deterioration of the situation (e.g. through new disasters, resurgence of conflicts etc.) it also includes temporarily connecting recovery and development interventions with relief measures.[44]

While the LRRD concept has evolved over time, its implementation on the ground has remained difficult and inconsistent. Recent humanitarian crises demonstrate the persistent difficulty in filling the gap between immediate humanitarian relief assistance and more sustainable development programmes. Recent evaluations suggest that LRRD has only been implemented on a case-by-case basis, rather than systematically.[45]

Relevant WASH interventions related to LRRD include the whole variety of preventive measures such as strengthening resilience, preparedness and appropriate risk reduction measures **(as outlined in chapter 3.1)** as well as the wide range of potential WASH interventions in relief, recovery and development **(as outlined in chapter 2)** as long as they sufficiently consider the entire contiguum spectrum.

44 BMZ (2013a)
45 European Parliament (2012)

Case Study Myanmar

Rain Water Collection Tanks with Triple Function (Malteser International)

In response to cyclone Nargis that hit mainly the Ayeyarwaddy Delta in Myanmar in May 2008 Malteser International searched for an alternative drinking water source for the recovery phase. In the relief phase water was centrally purified by treatment plants and then distributed up to remote places even by boat – a very time and cost intensive solution not viable for longer periods.

Traditional drinking water ponds were not useable due to high levels of salinity caused by the cyclone surge. Other water sources, such as dug wells were damaged. Communities identified rainwater collection as the most viable option to access drinking water. Based on consultations with the community through the Hazard, Vulnerability and Capacity Assessment (HVCA), Malteser International built Rain Water Collection Tanks (RWCT) with a triple purpose. The RWCTs aim to address concerns for safe drinking water supply, to serve as a venue for community meetings and function as a common flood shelter.

The RWCTs are made of concrete rectangular tanks, which also serve as a refuge for about 50 people when a disaster occurs. The height of the tank is three metres, with a platform accessible by a staircase. The RWCT is designed with a roof to serve as a catchment for rainwater. The RWCT's water capacity is around 36,000 litres and can provide 100 people with 3 litre/cap/day drinking water for four months.

Rainwater collection tank with triple function in the Ayeyarwaddy delta, Myanmar (Source: Malteser International)

3.4 Existing Challenges and Opportunities in Linking Relief and Development

Based on current literature and on the feedback from the sector experts interviewed, a number of challenges and opportunities have been identified. These fall into the following main categories:

- Institutional division and the distinct nature of humanitarian and development assistance
- Funding issues
- Conceptual streamlining and strategic frameworks
- Capacity development, knowledge management and mutual learning
- WASH infrastructure and services
- Visibility dilemma of DRR activities
- WASH sustainability issues

Institutional division and the distinct nature of humanitarian and development assistance

As outlined above, humanitarian and development assistance have different goals and objectives. They differ in terms of mandates, basic principles, implementing modes and timeframes. Humanitarian assistance is based on principles of impartiality, non-discrimination, independence and neutrality, and it is usually dispensed via non-governmental and international organisations. Accordingly, humanitarian assistance often bypasses state structures while development cooperation is often provided by or through the state. Humanitarian assistance is designed to be rapid and flexible to allow for a timely response to unforeseen events such as sudden-onset disasters or unexpected outbreaks of violence. The short-term horizons of relief interventions as well as the complexity to define clear exit strategies are potential reasons why relief activities might fail to prepare the ground for development and in some cases even undermine more sustainable solutions.

Development (and transition) programmes in turn are usually run in close coordination with the government and programming involves consultation between partner countries. It takes time and requires a significantly higher share of financial resources. Managing project cycles to identify and formulate specific actions is a lengthy process and these time-consuming processes have often been criticised for impeding smooth and rapid links with humanitarian interventions in post-crisis and transition situations.[46]

Due to the distinct nature of the two assistance types many donors as well as implementing agencies have created separate institutional mechanisms for handling humanitarian assistance and development cooperation. Most of these institutions face pressures from budget and oversight committees to create clear responsibilities and avoid overlaps. This tends to favour a clear division of labour, for example along temporal, geographic

46 European Parliament (2012)

or sectoral lines, which undermines links between humanitarian and development interventions. These divisions are most pronounced where different ministries are responsible for each area, but they also exist when different departments within the same ministry deal with humanitarian and development issues.[47] The responsible donor ministries (or departments) often have different administrative requirements in terms of application as well as reporting processes. This creates an increased administrative burden especially for smaller organisations. Moreover, the funding cycles of these institutions are often not in sync, so that implementing partners face "stop and go" support which undermines continuous project implementation.[48]

Most operational or implementing agencies have also specialised in either humanitarian relief or development assistance. This makes it often impossible – even for well-intentioned donors – to support projects across different types of assistance and arrange for seamless follow-up funding. Switching from one implementing organisation to another, however, necessarily implies efficiency losses.[49]

Funding issues

A recent GPPI study suggest that within the transition contiguum three main types of potential funding gaps can be distinguished: a 'temporal funding gap' during the time window between humanitarian and development assistance, a 'recovery funding gap' and a 'fragile states funding gap'[50]:

A Temporal Funding Gap describes the challenges in the timing of funding when the acute crisis abates and humanitarian funding is reduced while at the same time development funding slowly increases. However, as outlined above disasters and conflicts seldom develop in such linear patterns and studies looking at available data on a country-by-country basis have shown that in practice development funding usually does not decrease during crisis situations and resumes after humanitarian funding has declined.[51] In most cases a temporal funding gap as such is therefore not the issue. The question, however, remains to what extent development funding is directly linked to the respective crisis situations and allows for the necessary connectedness and the smooth take-over after the relief interventions phase out.

The Recovery Funding Gap describes the often-perceived challenge that recovery activities are more difficult to finance than others. This might be due to the fact that recovery projects may not meet the specific criteria for direct humanitarian and development funding lines, or because public funds are subject to the scrutiny of parliamentary budget committees and audit institutions that intend to avoid duplications and overlapping mandates. Where responsibilities for recovery activities are not clearly allocated and necessary coordination between departments is missing, public institutions may be cautious in their engagement for fear of being criticised.[52]

47 GPPI (2011)
48 GPPI (2011)
49 GPPI (2011)
50 GPPI (2011)
51 GPPI (2011)
52 GPPI (2011)

The Fragile States Funding Gap describes the inadequate funding for countries in post-crisis situations that are recovering from conflict or facing a situation of fragility or protracted crisis. Strong, evidence-based arguments have been put forward that a funding gap for these situations exists, at least in part due to donor fatigue.[53] In addition, the ministries of finance in fragile states often play a weak role in sufficiently guiding and allocating funding to the WASH sector with fragmented sector financing and implementation.

Another issue particularly articulated by implementing actors in both relief and development work is that donor funding often does not allow for sufficient flexibility. Some humanitarian organisations mentioned that it is difficult to receive recovery and development funding because humanitarian and development donors often work with different implementing partners. At the same time there is a fear by some development actors that particularly DRR funds linked to longer-term prevention are not sufficiently channelled through development actors. Lastly and partly related to the temporal funding gap implementing agencies often face the challenge of mobilising follow-up funding as soon as funds from one source run out. This can potentially lead to discontinuities in project implementation forcing implementing agencies to temporarily suspend their work or shift it to a different location.[54]

53 GPPI (2011)
54 GPPI (2011)

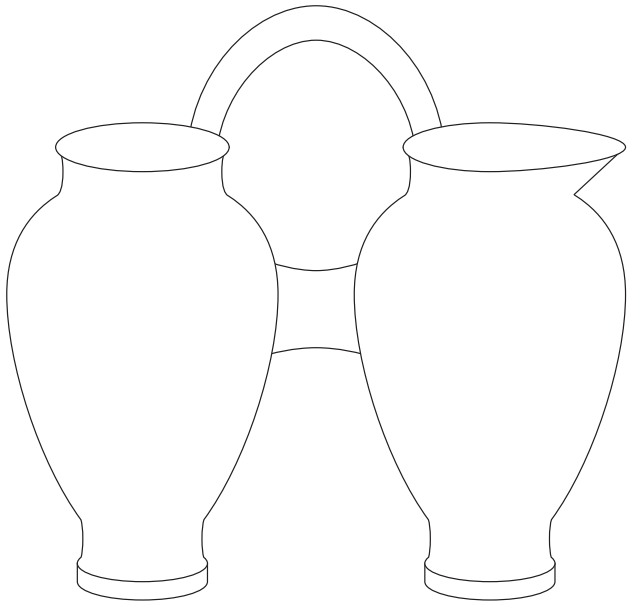
Case Study Zimbabwe

The "Connected Vessel Approach" in Zimbabwe (Welthungerhilfe)

Zimbabwe has a high vulnerability to humanitarian crisis due to poor governance leading to a socio-economic collapse (cholera 2008/9, population displacement, cyclical droughts). At the same time, however, it also has a huge potential for longer-term development cooperation. Due to the politicisation of humanitarian and development programmes, aid flows are hard to predict or projectable. Donor contributions are often earmarked for either humanitarian or development cooperation projects. This prevents a flexible and prompt reaction to the rapidly changing needs of Zimbabweans.

The "Connected Vessel Approach" aims to increase the flexibility of donor contributions and at the same time shorten the response time to crises and disasters and to enhance the effectiveness of the interventions. Under the aegis of Welthungerhilfe eleven international NGOs, three UN agencies, donors and government joined forces, with their experience after the cholera crisis, to create an independent public health emergency response unit. This unit was put in place to react flexibly and promptly to the emergency needs of the local population in the WASH and health sector in Zimbabwe.

Donors were asked to support an action from which demand-oriented interventions in emergency relief, rehabilitation and/or development are covered with clear and jointly agreed criteria, priorities and implementation standards. The connected vessel approach is an offer from civil society with potential to be transferred to other regions. It offers the opportunity for donors at local/regional level to use resources flexibly and effectively.



Conceptual streamlining and strategic frameworks

So far there is no general strategic framework between humanitarian and development actors. Concepts like LRRD are seen as optional and are not yet sufficiently integrated or institutionalised as a 'guiding principle' when mainstreaming and programming humanitarian and development cooperation programmes in countries prone to disasters or in situations of fragility.[55] The existing will of many donors and implementing agencies to consider and integrate transition concepts like LRRD often still needs to be translated into concrete operational frameworks and funding mechanisms.

In addition the various transition concepts with often similar, but not identical, meanings still continue to cause confusion and are often misunderstood or misinterpreted as independent assistance types with own 'projects' or 'funding lines'. In the case of LRRD, moreover, most actors understand the term only as referring to a strengthening of continuity and coordination between assistance forms. They, however, neglect the other two aspects namely ensuring that relief activities become more development-oriented and that development programmes do more to reduce the risk of disasters.[56]

Capacity development, knowledge management and mutual learning

One of the most often stated challenges is that of limited capacities and the need for mutual learning and information sharing within and/or between organisations. This is particularly challenging, as the relief to development contiguum is highly contextual with relief and development coordination systems that are usually not connected and in some cases with a geographical and sectoral division of labour between relief, recovery and development activities.

In addition humanitarian and development assistance actors typically draw on different kinds of people when recruiting staff members and/or are dependent on available personnel, which usually has the expertise either with relief or development work but seldom on both. Improvements are further hindered because some relief organisations working mainly with volunteers with usually very limited transition skills. Humanitarian assistance actors thus usually have a background in emergency relief, but often lack experience in and knowledge about development – and vice versa for the development actors. As a consequence, each side tends to focus on the principles and requirements of its own discipline, but finds it difficult to include the other perspective. Moreover, recovery often requires an understanding of the overall context, whereas aid projects are often organised by sectors.[57]

Furthermore many specialised and particularly smaller organisations only have a narrow expertise base with respective resource and capacity constraints and need to be selective about engaging in the transition contiguum, larger scale response or larger scale development programming. This may prevent humanitarian organisations from effectively adopting early recovery approaches or including development principles in their work and development organisations in turn to consider DRR and resilience aspects in their work.

55 European Parliament (2012)
56 GPPI (2011)
57 GPPI (2011)

WASH relief also needs to use adapted approaches in rural and peri-urban /urban settings, which require different expertise and skills. Particularly for responding adequately in urban contexts the necessary capacities within the responding organisations are often limited. In addition, limited capacity at local level is frequently an issue when handing over emergency WASH services to local partners after acute crisis.

WASH infrastructure and services

No technical system will run on its own and function without repair and routine replacement of its components. To provide reliable and sustainable service levels a systems approach is required consisting of a chain of steps starting from the water basin over water supply, the communities of users, containment, collection, transport, treatment to the safe reuse or disposal which includes the proper use, operation and maintenance along the entire service chain. This system approach is still insufficiently considered by many donors and implementing agencies. As soon as single components of the system become disrupted the entire system can become dysfunctional. So far the risks and vulnerabilities linked to potentially dysfunctional water and sanitation systems have only been assessed and addressed to a limited extent in development projects. Proper risk assessment along the entire water and sanitation chain and respective preventive measures would have the potential to reduce the necessary size of the disaster response and help streamline disaster management.[58]

Whilst better design, implementation, and perhaps most importantly, regular maintenance to ensure hygienic conditions, may encourage consistent use of available sanitation options, other activities to support healthy behaviours and safe excreta disposal may be needed. This must come from an understanding of what drives these behaviours in the target population, and the careful formative research required is often not feasible in the humanitarian context.[59]

As to WASH in emergencies a comprehensive gap analysis conducted by the Humanitarian Innovation Fund (HIF) concluded that excreta disposal issues such as latrines in areas where pits cannot be dug, desludging latrines, no-toilet options and the final treatment or disposal of the sewage are the areas in which people have identified the main gaps in emergency response. Unsurprisingly, given current patterns in urban migration and the nature of recent emergency responses, urban sanitation in particular was identified as a major gap.[60]

58 Rosemarin, A. (2012)
59 DFID (2012)
60 HIF (2013)

Visibility dilemma of DRR activities

Disasters and crisis scenarios usually lead to a huge donor interest during the immediate emergency phase. The attention tends to decrease towards the transition to development as the general attention decreases or shifts to new emerging crises. At the same time development actors invest too little in DRR despite the known effectiveness of these measures. One of the obvious reasons is an incentive problem as the effects of successful DRR are hardly tangible or visible. A prevented disaster will never make headlines. Especially in an era in which policy-makers consider the visibility of development cooperation as crucial, it is difficult to mobilise sufficient development resources for conflict prevention and DRR.[61] Furthermore in an acute crisis there is often pressure from the donating public that wants to see quick results and incoming donations to be spend in a timely manner rather than on "invisible" DRR activities carried out before the crisis.

WASH Sustainability

Sustainable WASH interventions need to be driven by the outcomes of continuing functionality and utilisation rather than physical outputs only. Thinking and planning for permanent services from the outset of all new interventions affects technology, management, financing arrangements and monitoring and evaluation.[62]

The challenges are often quite similar: Enough time is needed to introduce WASH systems and services, sufficient funds, design of adapted technology and a water sector, ministry or regional department which supports minimum water services with sufficient funding, a spare parts supply chain, capacity for operation and maintenance etc. Unfortunately these prerequisites are often not in place and development actors are challenged to develop the capacities of local service providers and authorities to provide reliable and affordable support to the system operators in the long term. This includes for both, relief and development, a proper set up for the maintenance of assets, as maintenance management, the collection of fees to buy spare parts etc. is often neglected or simply does not work.

Another important aspect is that relief interventions, due to obvious time constraints, often do not allow for solid programming with comprehensive and inclusive baseline data assessment, which potentially implies that local WASH needs, cultural appropriateness and sustainability issues are insufficiently addressed or met.

Development actors often fail to adequately address WASH sustainability issues and dysfunctionalities of WASH systems and local post construction support in particular in non-crisis times, which might lead to an increased demand for humanitarian WASH services.

61 GPPI (2011)
62 Carter, R. (2012)

The still prevalent practice of setting 'number of users reached' targets, as currently practised in the Joint Monitoring Programme for Water Supply and Sanitation (JMP), also does not promote or incentivise longer-term interventions as the users are only being counted once after completion of the construction work. Future system breakdowns are not considered in such a system. Adapting indicators to focus on the service provided and defining sector targets is an important step in creating more sustainable WASH services at scale.

4.

Actors in the Relief to Development Transition and their Roles

Although the humanitarian relief and development cooperation landscape appears similar at first glance, the organisations, institutions or their respective departments involved, the available budgets as well as the main coordination mechanisms differ greatly. The following sub-chapters will give a rough overview of the main actor groups as well as the main differences in the humanitarian and development landscape. Due to the sheer complexity of involved organisations and institutions and their various interlinkages the following chapter can only draw a very simplified picture of the most important actors and their relationships with no claim to completeness or accuracy in detail. The first subchapter **(4.1)** introduces the main actors groups while the following two subchapters describe the key differences between the relief **(4.2)** and development landscape **(4.3)**. The last subchapter **(4.4)** explains the specific country case of Germany with the main German actors and their interrelations.

4.1 Main Actors

Donor Countries

The biggest share of the funding for humanitarian and development intervention is provided by donor countries, which can be divided into two major groups: the traditional OECD-DAC Donors and the Non-OECD DAC donors which entered the donor community in recent years.

The traditional donor countries who work together within the framework of the OECD Development Assistance Committee (DAC) comprise 24 members (23 individual member states including Germany, France, UK, Japan and the USA and the Commission of the European Union) as well as the World Bank, the International Monetary Fund (IMF) and the United Nations Development Programme (UNDP) with observer status.

The Non-OECD DAC donors can be divided into three main sub-groups: Arab donors, emerging donors and so called providers of South-South cooperation. The group of Arab donors (e.g. Kuwait, Saudi Arabia and the United Arab Emirates) provides humanitarian and development assistance mainly to other Arab states as well as increasingly to Sub-Saharan Africa either bilaterally or directly via their own organisations. The emerging donors are countries that are relatively new to the donor community or have revived their aid programmes again recently. They include new member states of the European Union (EU), which are either OECD members (e.g. Czech Republic, Hungary, Poland) or have applied for membership (e.g. Estonia and Slovenia) as well as some non-EU members (e.g. Israel, Russia and Turkey). All have assistance programmes since many years and pursue a closer relationship with the DAC. The providers of South-South cooperation are developing countries or middle-income countries and emerging economies (like China, Brazil, Mexico, India) that share expertise and financial support with other countries emphasising the mutual benefits of the cooperation, which usually does not come with attached policy conditions.

All donor groups either provide funding bilaterally to the receiving countries or give direct support to multilateral bodies and/or implementing organisations respectively. Looking at the global humanitarian assistance flows in 2014 donors have allocated around USD 260 million directly to the WASH sector according to UN OCHAs Financial Tracking Service.[63] Development cooperation funding has nearly doubled since 2002 with current bilateral annual commitments of USD 4.9 billion from DAC countries. Taking into account non-DAC countries' aid flows and multilateral agencies' concessional outflows, the total was USD 7.6 billion annually.[64]

Multilateral Actors

Multilateral WASH actors are organisations or institutions, which are formed or financially supported by three or more countries, that concern all countries involved or are of global interest. It includes all relevant UN organisations (such as UNICEF, UNHCR, FAO, WHO or UNDP), regional and global development banks, global funds and multilateral bodies at regional level (such as ECHO on a European level). On the humanitarian side multilateral actors are involved in the WASH related work in states of crisis, the setting up of the institutional mechanisms such the global cluster structure and the lead of respective clusters, the financial support of implementing organisations and local actors, global monitoring as well as the constant work on conflict prevention and the establishment of early warning systems. In development multilateral organisations are active in both technical and financial development cooperation. Operative tasks include programmes, which are concerned with the planning and realisation of WASH development collaboration (as run by UNICEF and UNDP for example) while non-operative tasks include policy work, advocacy, research and knowledge generation as well as the monitoring of development targets.

Implementing Organisations

Implementing or operational organisations are those organisations or agencies that are directly involved in WASH project implementation and interventions in the receiving countries. They can be categorised as non-governmental organisations (NGOs), governmental organisations and UN agencies. Implementing organisation receive their funding either directly from bilateral donors, multilateral organisations, foundations, the private sector or from private sources.

NGOs, which are grounded in civil society, perform a variety of WASH services, developmental and humanitarian functions. Apart from national NGOs there is also a group of international NGOs (INGOs) with similar missions but a much wider geographical scope. NGOs can often build on long-time on-site experiences and expertise and are usually more flexible. Depending on their size they might have limited financial means or organisational limits. Many bilateral donors either operate through NGOs or own operational government organisations. In addition there are nine operational UN organisations (UNHCR, WEP, OCHA, WHO, UNFPA, UNRWA, FAO, UNICEF, UNDP) covering various

63 UN OCHA FTS (2014)
64 OECD (2013)

sectors and different degrees of intersection with the WASH sector.

The International Red Cross and Red Crescent movement, which consists of the International Federation of Red Cross and Red Crescent Societies (IFRC) with its 189 national societies and the International Committee of the Red Cross (ICRC) also plays an important role as an implementing organisation in the WASH sector in both relief and development interventions.

Other External Actors

Since the 1990s an increasing number of private or religious foundations, trusts, private companies and corporations has entered the international assistance arena. By now their contributions have reached a noticeable volume, which translates to roughly 6 – 8 % of the overall DAC contributions.[65] The Bill and Melinda Gates Foundation alone, currently the biggest foundation, contributes around USD 2.3 billion annually mainly for development interventions.[66] In addition the private sector is also active in relief and development cooperation. In some cases private companies invest in programmes of international organisations (e.g. Coca Cola supports the IFRC and the IKEA foundation cooperates with UNHCR) or support implementing organisations financially as part of their corporate social responsibility (CSR) activities.

Governments

It is within the responsibility of the respective national and/or local governments to promote and coordinate the country's development and contribute to the achievement of the MDGs by developing national strategies, by providing supportive legal and regulatory frame conditions and institutional arrangements and by allocating the necessary financial resources. The national government should also be responsible for respective DRR and preparedness activities and if possible take over the coordination in case of an emergency or crisis situation.

Domestic Actors

At the outset of a humanitarian crisis the affected local communities and authorities are often the main actors until external support comes in. Aside from the affected population local non-governmental actors play an important role as they have country-specific knowledge and often a better understanding of local needs and sensitivities. External donors and implementing agencies often consider the cooperation with local NGOs useful and more effective as it helps to increase the sustainability of foreseen interventions and ensures participation of involved communities.

65 Lundsgaarde (2010)
66 Lundsgaarde (2010)

4.2 The Relief Landscape

There are several different architectural models in the WASH humanitarian landscape and the following graphic should be seen as a very simplified representation of the most common. The red-shaded upper part of the graphic shows the most relevant external actors with arrows trying to visualise the main relationships and connections between them while the lower part of the graphic depicts the main actors at national level and how they relate to each other.

As outlined earlier the donor community at the very top provides the bulk of the funding for humanitarian interventions, which either goes directly to external (or local) implementing organisations or to respective multilateral bodies. Within the last decade funding for humanitarian WASH interventions has increased 30-fold.[67] Over the last three years, around 60 % of DAC donor aid has been channelled through UN agencies, around 25 % went to NGOs and civil society organisations, roughly 0.4 % to NGOs in receiving countries and 0.2 % to the International Movement of the Red Cross and Red Crescent.[68] Due to the different nature of the two assistance types in many donor countries humanitarian assistance and development cooperation is within the responsibility of different departments. This can be considered one of the obvious structural challenges when it comes to better linking relief and development.

Among the multilateral UN actors UNICEF plays a very prominent role. It heads the Global WASH Cluster, in which international aid organisations, NGOs, institutions, UN bodies and associations coordinate relief interventions. At the same time UNICEF's operational arm is also implementing WASH projects in both, relief and development.

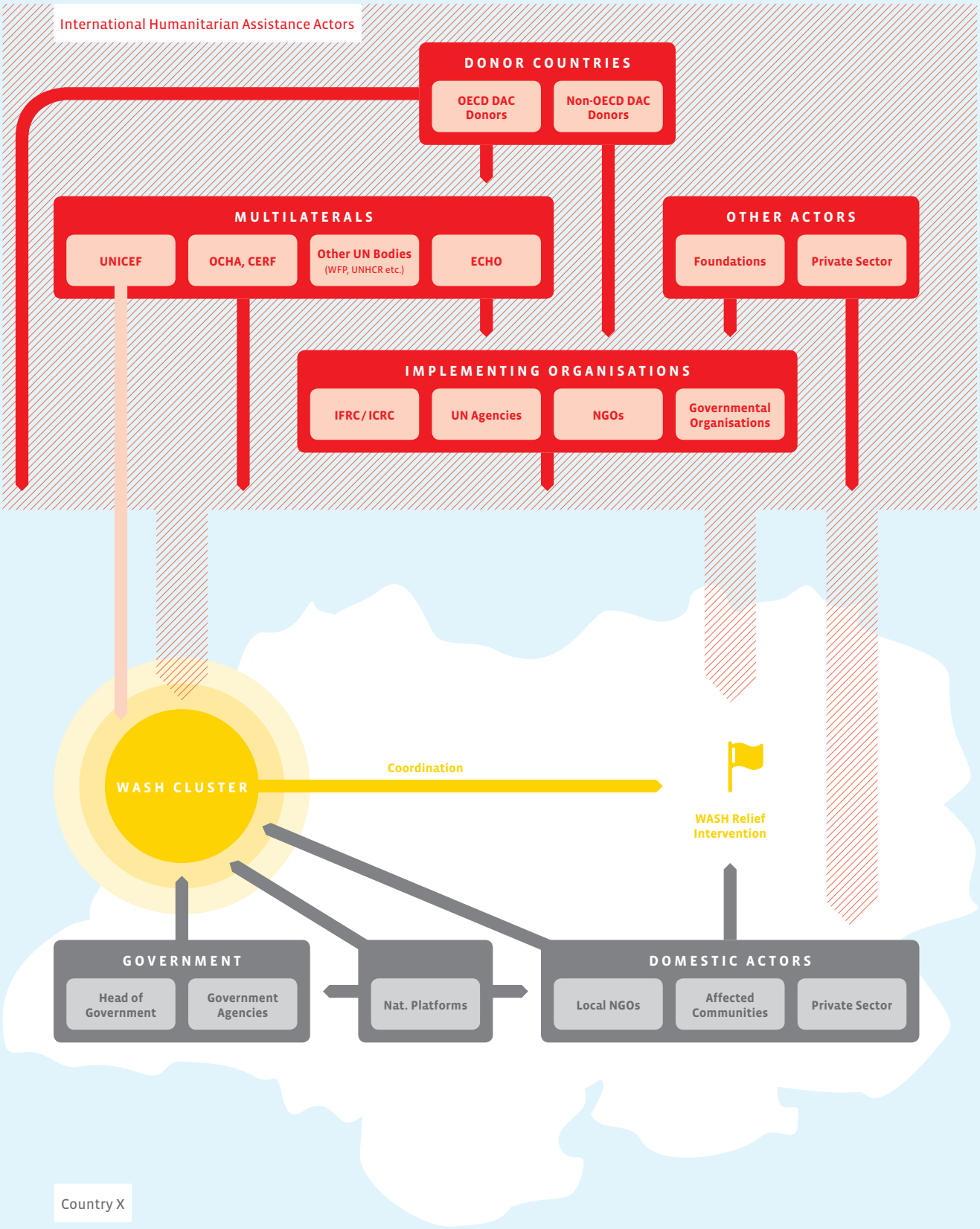
The UN Office for Coordination of Humanitarian Affairs (OCHA) is the main multilateral coordination body for humanitarian assistance aiming to ensure a coherent response in emergencies and providing the necessary framework. In addition, OCHA channels funds to international and national humanitarian partners through pooled funds, namely the Central Emergency Response Fund (CERF) as well as the Common Humanitarian Funds (CHFs) and the Emergency Response Funds (ERFs) at country level. Other UN organisations with WASH interlinkages include among others the UN Office of the High Commissioner for Refugees (UNHCR), which is mandated to lead and co-ordinate international action to protect refugees. Together with partners they, among other activities, provide water and sanitation in refugee camps.

The multilateral body at European level responsible for humanitarian assistance is the European Community Humanitarian Office (ECHO). In the WASH sector ECHO works together with many different organisations such as various UN-bodies, NGOs, and local actors. With an annual budget of around Euro 200 million the EU represents the biggest humanitarian donor in the WASH sector.[69] Priority areas of ECHO include the timely response and assistance in emergency situations, developing and improving the performance, structure and coordination of the Global Cluster structure, ensuring close collaboration between humanitarian assistance and civil protection and the application of the LRRD approach.

67 ECHO (2014)
68 IRIN 2014
69 European Commission (2014)

Implementing humanitarian relief organisations include the operational UN organisations, governmental organisations, NGOs and the International Red Cross and Red Crescent Movement. They receive their funding either from donors, multilateral organisations, foundations, private donations and/or the private sector. Similar to many donors the implementing organisations often also divide the responsibilities for relief and development between different departments within their organisations, partly also because of the requirements of specific donor funding lines. Among the implementing organisations the IFRC remains in a special position. It is the largest operational humanitarian organisation with a network of 189 national societies and is one of the most important organisations in the humanitarian WASH-sector. On average, it provides 1.8 million people each year in emergency situations with water and sanitation facilities.[70]

70 IFRC (2014)


International Humanitarian Assistance Actors
DONOR COUNTRIES
OECD DAC Donors
Non-OECD DAC Donors
MULTILATERALS
UNICEF
OCHA, CERF
Other UN Bodies (WFP, UNHCR etc.)
ECHO
OTHER ACTORS
Foundations
Private Sector
IMPLEMENTING ORGANISATIONS
IFRC/ICRC
UN Agencies
NGOs
Governmental Organisations
WASH CLUSTER
Coordination
WASH Relief Intervention
GOVERNMENT
Head of Government
Government Agencies
Nat. Platforms
DOMESTIC ACTORS
Local NGOs
Affected Communities
Private Sector
Country X

Another important external forum in the relief landscape, not been included in the graphic, is the Inter-Agency Standing Committee (IASC). As the name suggests, it is an inter-agency forum for coordination, policy development and decision-making involving key actors from the UN and non-UN humanitarian partners. It was established with the aim of improving the delivery of humanitarian assistance and is chaired by the emergency relief coordinator (ERC). The IASC develops humanitarian policies, agrees on a clear division of responsibilities for the various aspects of humanitarian assistance, identifies and addresses gaps in response and advocates for effective application of humanitarian principles. The members of the IASC are the heads or their designated representatives of the UN operational agencies with standing invitations to the International Organisation for Migration (IOM), the ICRC, the IFRC, the Office of the High Commissioner for Human Rights (OHCHR), the UN Population Fund (UNFPA), the Special Rapporteur on the Human Rights of Internally Displaced Persons, the World Bank as well as the International Council of Voluntary Agencies (ICVA), InterAction and the Steering Committee for Humanitarian Response (SCHR).[71]

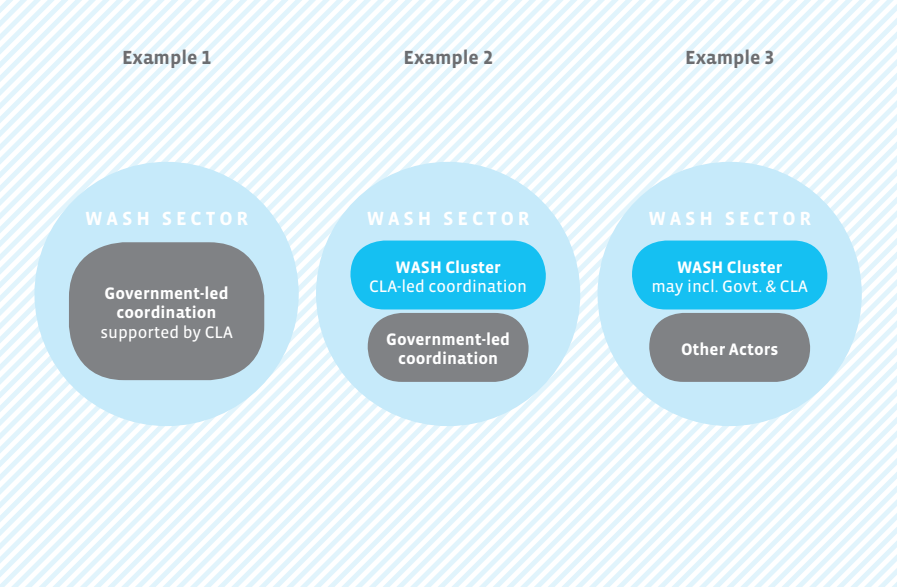
As indicated with the red-shaded arrows the external humanitarian actors have basically three different ways of interacting within the specific country context: (1) They coordinate their relief interventions via the established WASH cluster mechanism, (2) they are directly involved in the humanitarian relief interventions and (3) they partner with or (financially) support local actors in their efforts to deliver adequate response.

The national or local government entities should ideally be responsible for the coordination of the humanitarian response interventions as well as for putting in place adequate DRR and preparedness strategies and establishing national DRR platforms. However, in many cases the governments are not willing or able to sufficiently assume the responsibility for coordination and management of effective WASH response, which often makes external coordination mechanisms such as the WASH cluster necessary.

The Global WASH Cluster can be seen as one of the fundamental differences between the WASH relief and development landscape. It was established as part of the international humanitarian reform programme, and provides an open, formal platform for all emergency WASH actors to work together. For the WASH cluster the Cluster Lead Agency (CLA) is UNICEF. In some instances the WASH cluster can also be administered or co-led by a local or international NGO that have the WASH expertise and the necessary local networks to fulfil this role. Cluster coordination arrangements will depend on the government, UN and NGO response capacity and the presence and effectiveness of existing coordination mechanisms as well as on the scale, phasing, and anticipated duration of the emergency. Whatever structure adopted, it must be flexible enough to suit all stages of the emergency response e.g. expanding during intensive relief activities and scaling back as the Cluster merges or phases out. Identifying an appropriate coordination structure at national level will depend on the government structures and coordination mechanisms that are already in place.[72] The main structural options that have been used in practice are illustrated in the following diagram.

71 IASC (2014)
72 Global WASH Cluster (2009)

Adapted from WASH Cluster Coordination Handbook 2009



The most desirable scenario **(as shown in example 1)** assumes that the WASH Cluster coordination will be undertaken through an existing government-led coordination mechanism, with the WASH CLA providing support wherever necessary. The establishment of a WASH cluster alongside the government **(as shown in example 2)** assumes that the government is unable or unwilling to provide the coordination necessary for effective management of the WASH response or that they refuse to recognise legitimacy of international actors. The introduction of a coordination mechanism through the establishment of a WASH cluster **(as shown in example 3)** assumes that there is no pre-existing coordination mechanism. The WASH Cluster is established and led or co-led by national government, depending on their capacity and willingness to be involved.

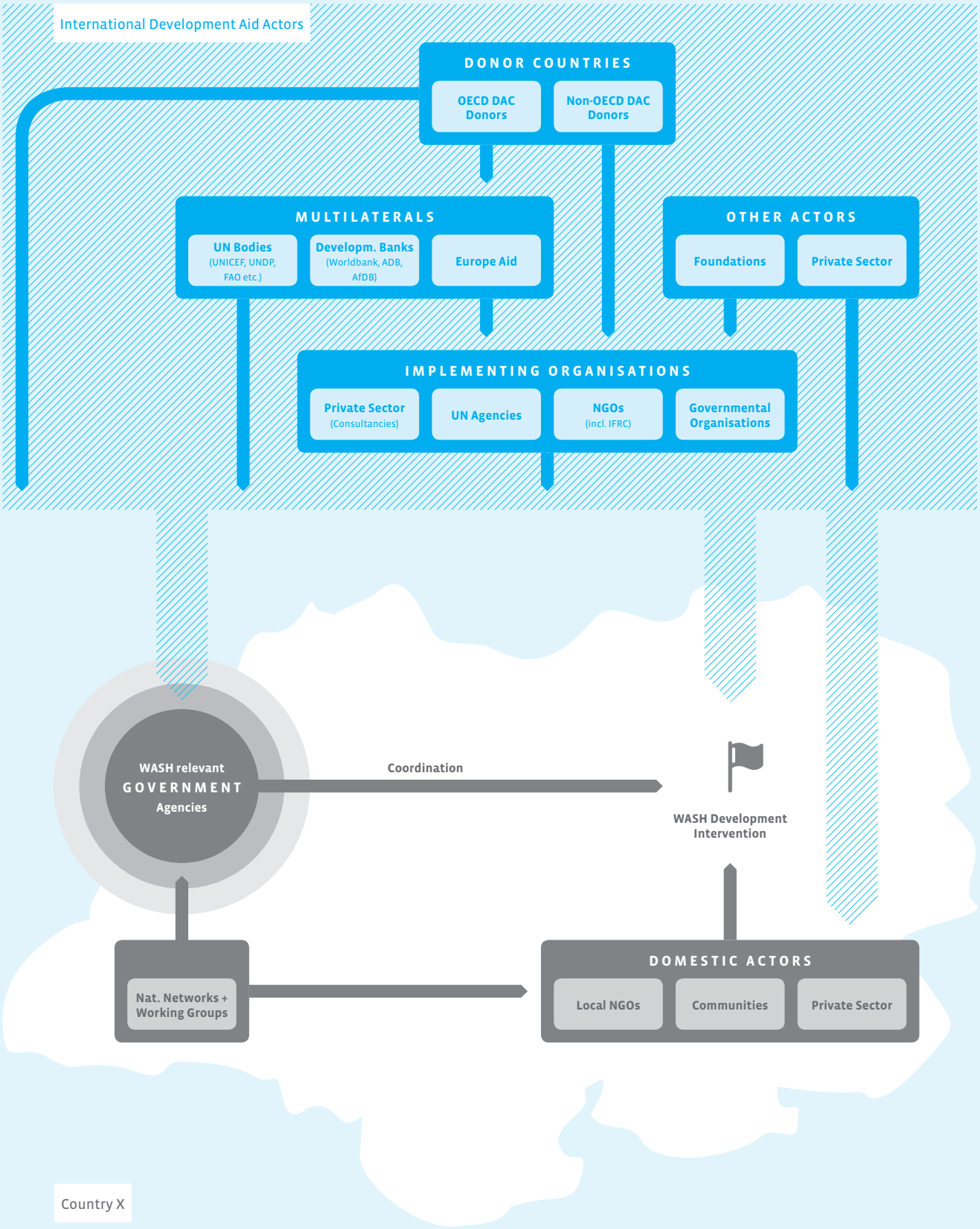
Sub-national level coordination focuses on the detail of planning and implementation of WASH related activities (i.e. who is doing what and where). It is also at this level that early recovery, emergency preparedness, and capacity building measures can practically be achieved. An effective cluster coordination structure at sub-national level will help to facilitate effective information exchange, monitoring of the emergency situation, progress of the WASH response and adherence to agreed standards.[73]

It falls into the leadership of the humanitarian country team (HCT) to activate the cluster, based on existing contingency plans and with a clear rationale for each case that takes into account national capacity and needs. The HCT also devises the most appropriate coordination solutions taking into account the local operational situation. Clusters are supposed to be a temporary coordination solution and the aim should be to either resume or establish national, development-oriented coordination mechanisms as soon as the humanitarian emergency phase ends. The de-activation of clusters is therefore based on (a) a regular review questioning the on-going need for clusters by the humanitarian or resident coordinators (HC/RC) and the HCT, and (b) the required planning to ensure transitional arrangements are put in place and are being supported by capacity development and preparedness efforts.[74]

73 Global WASH Cluster (2009)
74 IASC (2012)

4.2 The Development Landscape

The development landscape is structured in a similar fashion to the relief landscape, however, there are slight differences in the group of actors involved. The biggest difference is that the overall coordination for WASH development interventions lies with the government or their respective departments responsible for WASH related issues. Beyond that and compared to humanitarian interventions development programmes are usually much bigger in size and receive significantly more funding.


International Development Aid Actors
DONOR COUNTRIES
OECD DAC Donors
Non-OECD DAC Donors
MULTILATERALS
UN Bodies (UNICEF, UNDP, FAO etc.)
Developm. Banks (Worldbank, ADB, AfDB)
Europe Aid
OTHER ACTORS
Foundations
Private Sector
IMPLEMENTING ORGANISATIONS
Private Sector (Consultancies)
UN Agencies
NGOs (incl. IFRC)
Governmental Organisations
WASH relevant GOVERNMENT Agencies
Coordination
WASH Development Intervention
Nat. Networks + Working Groups
DOMESTIC ACTORS
Local NGOs
Communities
Private Sector
Country X

The donor community here also provides the bulk of the funding for development interventions, which either goes to the external (or local) implementing organisations or to respective multilateral bodies. WASH development cooperation programmes – of either technical or financial support – are usually subject to bilateral negotiations between the receiving government and the particular donor country.

The multilateral UN organisations are also major players in development cooperation, either via operative WASH programmes run by UN organisations like UNICEF or UNDP or non-operative activities like WASH advocacy work, research, knowledge generation and global monitoring. WHO and UNICEF established the JMP, which reports regularly on the global status and progress of achieving the MDGs related to water and sanitation. Among the multilateral actors the development banks such as the World Bank Group, the African Development Bank (AfDB) and the Asian Development Bank (ADB), are very development specific multilateral institutions. They provide financial assistance in the form of loans or grants to the receiving countries supporting development-oriented activities like ensuring the affordable and sustainable access to WASH services, strengthening of economic and social structures, the replication of successful WASH approaches and the support of sector reform processes.

The EU with its member countries is the world's biggest donor in development cooperation, providing around half of all of the global development funding.[75] The multilateral development mechanism within the EU is EuropeAid, which delivers assistance through a set of financial instruments. It is responsible for the elaboration of EU development policies and strategies and their implementation into different programmes and projects globally. In the WASH sector, the EU invests around Euro 400 million annually.

The external implementing organisations include NGOs, governmental organisations, several operative UN organisations and the private sector. They receive their funding either from donors, multilateral organisations, foundations, private donations and/or the private sector. In contrast to humanitarian relief consultancies play a much bigger role in development, receiving a considerable share of the available donor funds. The International Movement of the Red Cross and Red Crescent is also involved in development through its Global Water and Sanitation Initiative (GWSI) and is implementing larger-scale and longer-term WASH programmes.

On the part of the receiving country the main coordination of all development related WASH activities lies with the government and its respective WASH departments at national and local level. Governments have the responsibility to realise the human rights to water and sanitation and need to develop strategies to ensure safe and sustainable access to adequate WASH services, with a special focus on the most marginalised and vulnerable people. Via respective national WASH platforms and networks they work together with other domestic and external actors.

75 EU (2014)

4.3 The Case of Germany

Germany is one of the major donors globally with a total ODA of approximately USD 14 billion in 2011 out of which around USD 848 million goes to humanitarian assistance.[76] According to the OECD, Germany is the second largest donor country in the WASH sector next to Japan.[77]

In contrast to most other DAC countries, official humanitarian assistance has been kept institutionally separate from development cooperation. The responsibility for development cooperation lies with the BMZ administering around 60 % of Germany's ODA, while humanitarian assistance is handled by the German Federal Foreign Office, responsible for approximately 8.7 % of Germany's ODA.[78]

In 2011 the German Federal Foreign Office and BMZ made a portfolio agreement (Ressortvereinbarung) to define how the responsibilities between the two ministries are divided. Since then the Federal Foreign Office is in charge of the whole humanitarian assistance (humanitarian relief, humanitarian transitional assistance, humanitarian disaster reduction/risk management and strengthening the international humanitarian assistance system), whereas the BMZ is responsible for the more structural transitional development assistance **(see details below)**.[79]

As part of the process the German Federal Foreign Office strategically realigned Germany's humanitarian assistance and started putting more emphasis on "non-reactive humanitarian action", including resilience building and preparedness activities, longer-term capacity development and the application of the LRRD approach in some of its transitional projects. In addition, they increased project terms to up to three years. Related to WASH this means that, in addition to traditionally funded emergency measures such as water purification and distribution of water, containers, filters and hygiene kits, the German Federal Foreign Office now also finances the rehabilitation of wells or other WASH infrastructure and also allows more development-oriented approaches. One speciality of the humanitarian assistance in Germany is the Humanitarian Aid Coordinating Committee – a forum for discussion and coordination between the German government, humanitarian NGOs and other institutions active in the sphere of humanitarian assistance.

In 2013 the BMZ launched its strategy on Transitional Development Assistance (TDA or ESÜH) aiming at a better connectedness between long-term development cooperation and humanitarian assistance. TDA is not limited to BMZ partner countries and aims to strengthen the resilience of people and societies in developing countries against the consequences of crisis, armed conflicts and disasters. It particularly focuses on fragile states and protracted crisis, high risk countries affected by disasters and climate change and reconstruction scenarios.[80] With the TDA the BMZ has a unique funding tool explicitly for bridging between relief and development. Key TDA intervention areas with WASH intersections are:

76 Global Humanitarian Assistance (2014)
77 OECD (2014)
78 CONCORD (2014)
79 BMZ and Federal Foreign Office, Germany (2012)
80 BMZ (2013a)

1. Reconstruction and Rehabilitation of basic social and productive infrastructure: Measures to stabilise livelihoods and improve them over the medium-term; measures to help state and civil society structures develop the institutional capacity to deliver basic services; measures to build and repair the basic social and productive infrastructure (including WASH).

2. Disaster Risk Management: Measures to promote the (re-)construction of social and productive infrastructure in a way that increases disaster-resilience while drawing appropriate lessons from past disasters and integrating prevention and preparedness measures into the reconstruction process; adaptation measures that specifically help to cope with the impact of climate change. For the purposes of TDA, these measures relate primarily to agriculture, healthcare and water.

3. (Re-)Integration of Refugees: Measures to ensure the (re-)integration of refugees and internally displaced persons, with a particular focus on generating sources of income (livelihood measures); support for host communities; capacity development for conflict transformation.

4. Food and Nutrition Security: Measures aimed at improving direct access to sufficient and adequate food through temporary social transfers (including conditional and unconditional transfers of food, cash and vouchers); nutritional measures aimed at pregnant women, breast-feeding mothers, new-borns and infants that reduce and prevent under- and malnutrition; interventions to initiate or revive agricultural production and thus improve the availability of food, maintain the natural means of production and raise incomes to the level required for subsistence, including post-harvest protection and storage.

As part of the portfolio agreement funds for TDA have been transferred from the BMZ to the German Federal Foreign Office. The budget allocated for TDA related interventions amounting to Euro 49 million (in 2013)[81] can be considered insufficient looking at the dimension of the needs.

The by far larger part of WASH development assistance is implemented on behalf of the BMZ by the two main governmental implementing organisations: the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) for the technical cooperation and the KfW-Development Bank for the financial cooperation. They in turn tender out large parts to private consultancies. The BMZ and its implementing organisations base their work on sector strategy papers on water (2006)[82] and sanitation (2009).[83] In addition the BMZ also financially supports civil society organisations like church based organisations (with around Euro 218 million predicted for 2014) and NGOs (with around Euro 61 million predicted for 2014).[84]

The German Federal Foreign Office in turn is working mainly with its partner organisations (German and foreign NGOs, UN agencies and the Movement of the Red Cross and Red Crescent) and governmental implementing agencies like the Bundesanstalt Technisches Hilfswerk (THW) and GIZ.

81 VENRO (2012)
82 BMZ (2006)
83 BMZ (2009)
84 VENRO (2014)

With regard to civil society organisations there is a variety of NGOs and church-based organisations active in the WASH sector. They receive the bulk of their funding from the German public through private donations or from the relevant government ministries. After major disasters private donations in Germany for humanitarian assistance can be considerably higher than governmental relief funding for NGOs.[85] This is also in agreement between the German Federal Foreign Office and the humanitarian NGOs, who prefer to receive public funding to respond to less known or forgotten crisis for which they hardly get any private donations. In the field of development cooperation, NGOs receive more than Euro 1 billion of private donations annually, which exceeds by far the governmental funding for NGOs.

In 2011 the German WASH Network was formed – an initiative of 18 German NGOs actively engaged in the WASH sector who are working in relief, rehabilitation and/or development. The issue of better linking relief and development in the WASH sector is one of the core working areas of the network. The German WASH Network collaborates closely with the responsible ministries and other WASH stakeholders.

85 Malteser International (2011)

5.

Recommendations

For this paper a wide range of sector professionals from various different actor groups (multilaterals, local and international NGOs, donors, governmental implementation partners, research institutes, development banks, regional /national WASH cluster leads, WASH consultants) have been asked to provide feedback reflecting either their individual and/or organisational views and experiences regarding current challenges and opportunities and recommendations on how to better link relief and development in the WASH sector. The following chapter is a compilation of the main recommendations given by the different WASH actors on how WASH relief and development interventions can be better linked. These recommendations should be seen as a current snapshot of the sector and a contribution to the international debate without claiming to be comprehensive and tolerating any potential biases and imbalances the different views of the interviewed people might entail.

The recommendations are subdivided into four clusters, covering:

- Essential requirements to facilitate effective transition after relief interventions
- The strengthening of WASH preparedness and resilience in development
- The strengthening of collaboration between relief and development actors
- Structural and financial considerations

5.1 Essential Requirements to Facilitate Effective Transition after Relief Interventions

Based on the interviewees' feedback the essential issues that need to be addressed to facilitate effective transition processes after the relief interventions are:

- Consequent consideration of development principles during relief
- Development of exit strategies and the early involvement of the government
- Improved documentation and reporting to the government
- Strengthening of government capacity
- Strengthening of national partners' capacity
- Involvement of development actors in WASH humanitarian relief
- Consequent consideration of long-term WASH operation and maintenance requirements
- Avoidance of longer-term fully subsidised WASH interventions

Consequent consideration of development principles during relief: Humanitarian assistance should already consider development principles such as ownership and participation of all relevant stakeholders in the early stages of humanitarian response soon after life-saving measures are in place. Development WASH actors should be consulted early on, in order to address local development needs and to get support in the assessment, planning and design of humanitarian programming, without necessarily aligning the humanitarian actions with the development priorities. Assessments should be carried out in a joint way, integrating development actors, communities, local governments and NGOs. As local problems and risks require locally appropriate solutions the participation and ownership of local communities are indispensable for successful WASH interventions.

Development of exit strategies and the early involvement of the government: Humanitarian actors need to consider potential exit strategies from the very beginning of a WASH relief intervention in order to open up long-term perspectives of their development-oriented interventions. WASH relief activities have to be in line with national strategies and policies. If the local situation allows they should ideally be carried out in close coordination with the government to jointly define scope and geographical location of the interventions. All interventions should be designed and implemented in such a way that they can later be handed over to respective government departments or development partners respectively. Such exit strategies should be developed in consultation with the government and relevant development actors to minimise any potential gaps. When planning WASH relief interventions the pre-crisis conditions need to be considered as a reference to identify locally appropriate WASH service levels that can be adopted, operated and maintained by the affected communities in the long run. This also helps to identify required awareness raising or capacity building interventions. Financial arrangements for the bridging period of hand-over to development partners should be in place.

Improved documentation and reporting to the government: There is a need for better documentation, output reporting and for providing relevant WASH data to central and local governments (e.g. to provide water point GPS locations and type of water scheme or villages targeted with CLTS) which needs to be incorporated into national monitoring systems.

Strengthening of government capacity: There is a clear need to invest in strengthening national capacity for sector coordination already prior to or during potential emergencies. The benefitting country government has to be the entity responsible for sustaining WASH services and the responsibility for coordination should move as soon as possible to the respective sector departments. If feasible, the government should be involved right from the start of the assessment, planning and implementation of WASH interventions to create the necessary ownership. As soon as possible cluster coordination resources deployed in an emergency should be freed up to strengthen such national coordination and WASH specific capacities. A functioning water sector, guided by functioning sector departments, is key for sustainability and it requires a common vision for involving and building up the capacity of national WASH authorities in disaster prone countries to prepare and deal with the consequences of a disaster in the WASH sector.

Strengthening national partners' capacity: Local development partners like NGOs, service providers etc. need to be sufficiently trained in operational and maintenance aspects of WASH facilities. It is recommended to provide for on-the-job trainings to enable the partners to maintain and run improved or rehabilitated infrastructure on their own.

Involvement of (local) development actors in WASH humanitarian relief: Due to their long-term presence on the ground, their local knowledge and existing networks, the (local) development actors are predestined to be involved in community mobilisation and the identification of specific vulnerabilities and community dynamics. They can also be involved in joint assessment and monitoring activities or can potentially mobilise physical infrastructure and logistical capacity to support activities during relief and rehabilitation. In the emergency phase development actors may still have good links to government and can assist in supporting country-led coordination. Development actors can also provide support to make investments more sustainable e.g. through Public Private Partnerships (PPPs). Another option is to send liaison officers of development partners in the early phase of an emergency to assess potential development projects and networking. Lastly existing national sectoral WASH platforms can be deployed to coordinate humanitarian WASH actions.

The consequent consideration of long-term WASH operation and maintenance requirements: It is crucial to clearly identify who will be in charge of operation and maintenance after the relief work. Respective costs need to be considered right from the beginning. This should be done in coordination with local actors from the community, the government and the private sector and necessary capacities need to be built up.

Avoidance of longer-term fully subsidised WASH interventions: While in the early stages of an emergency WASH relief interventions are heavily or fully subsidised, subsequent development oriented approaches need to consider in-kind or financial contributions of the target population in order to create the necessary ownership and sustainability. Longer-term fully subsidised interventions are seen as counterproductive.

5.2 Strengthening of WASH Preparedness and Resilience in Development

The following chapter includes recommendations how preparedness, resilience and DRR elements can be better integrated and strengthened in development cooperation. Based on the feedback from the interviewees the following recommendations have been compiled:

- Promoting the inclusion of DRR measures into national WASH strategies
- Development of local resilience plans
- Mainstreaming of resilience considerations
- Promotion of DRR activities in regular development work

- Strengthening national DRR platforms to take over WASH cluster responsibilities
- Importance of sustainable and resilient WASH infrastructure and services
- Emphasis on WASH awareness and demand creation
- Regarding community members as key players in the relief to development contiguum
- Strengthening of the private sector and water utilities

Promoting the inclusion of DRR measures into national WASH strategies: DRR needs to be systematically incorporated into strategic plans of the national or local government. This includes vulnerability assessments and a functional review of national emergency response capacity from national down to community level and the creation of coordination mechanisms in case of emergencies. The assessments should be used as the basis for decisions regarding technologies, priorities and advocacy. Emergency plans at national level such as the Emergency Preparedness and Response Programme (EPRP) with precautions like „know your neighbour, plan together, be ready" have to be integrated. It is important to use existing governmental systems and strengthen the capacity of state actors on the appropriate (practical) governance level. All WASH development programmes have to be risk-informed. In this regard, access to risk information should be made public by all countries.

Development of local resilience plans: Development actors can foster the development of national or local resilience plans or strategies in close cooperation with the local authorities. Development actors could also be active in influencing bylaws and standards that govern WASH to make sure resilience is included.

Mainstreaming of resilience considerations: Preparedness and resilience in both humanitarian and development programming should be a high priority. Greater commitment of WASH development actors is needed to adequately address preparedness and resilience issues. Development actors should draw on the expertise of humanitarian actors and at the same time relief organisations have to communicate what needs to be incorporated into normal development programmes to enhance resilience.

Promotion of DRR activities in regular development work: Staff of development actors can be trained in skills needed for relief work to be able to respond more effectively to disasters in their regular intervention areas.

Strengthening national DRR platforms to take over WASH cluster responsibilities: In case efficient national DRR platforms exist they could be deployed to take over all or part of the WASH cluster responsibilities, which helps to reduce the global WASH cluster coordination efforts and allows appropriate coordination at the national level.

Importance of sustainable and resilient WASH infrastructure and services: To increase the WASH resilience of target communities the WASH systems and services need to be robust and sustainable. Thinking and planning for permanent services from the outset of all new interventions is vital, affecting technology, management, financing

arrangements and monitoring and evaluation. Technologies, which are suitable for hand over to local communities and/or organisations and that take potential hazards and emergencies into account (e.g. promotion of raised latrines and raised hand pumps or wells in flood prone areas) should be preferred. To the extent possible, local WASH solutions should be used that can be sustained with minimum outside support.

Emphasis on WASH awareness and demand creation: Raising awareness and creating the demand for WASH is an essential element to increase resilience and preparedness of target communities. People who are convinced of the importance of having access to safe water and improved sanitation and know about proper hygiene practices will be best prepared to take care of hygiene needs when affected by a disaster.

Regarding community members as key players in the relief to development contiguum: The community members have to be regarded as important operators and not as recipients of assistance. Communities must be involved in disaster preparedness (e.g. early warning systems) and infrastructure works. Communities must be willing and able to use, operate and maintain WASH infrastructure and services. Demand-led approaches to WASH (e.g. CLTS) should be incorporated into the response as soon as possible so communities have a sense of ownership over the design and management of the solutions used – leading to greater success and sustainability and reduced dependency.

Strengthening of the private sector and water utilities: The private sector and utilities are important players that need to be supported and strengthened in order to ensure reliable and more resilient WASH service delivery, particularly in urban contexts.

5.3 Strengthening Collaboration between Humanitarian and Development Actors

To improve the collaboration between humanitarian relief and development actors the following main recommendations have been made by the respondents:

- Establishment of WASH LRRD task forces
- Fostering of networking and knowledge sharing
- Improved documentation of lessons learned
- Alignment of donor strategies and provision of incentives to work together
- Involvement of development actors in the WASH cluster
- Supporting NGOs to take over WASH cluster responsibilities
- The need for a WASH relief to development framework
- Stronger cross-sectoral cooperation

Establishment of WASH LRRD task forces: Task forces should be created with participants from humanitarian and development actors who jointly look at solving specific WASH LRRD sector issues. This will strengthen mutual understanding between humanitarian agencies and development partners.

Fostering of networking and knowledge sharing: Efforts should be made by relief and development actors to share knowledge, tools, frameworks and evidence with each other and to form new partnerships through joint events, trainings, shared advocacy strategies and policy development or coordinated research. It could also include exposure visits and regional South-South exchange between countries sharing risks of similar natures, for better capturing of good practices and transfers of technical knowledge. Local learning alliances are another option to e.g. jointly assess the underlying cause of hazard events. Opportunities for cross training with relief and development personnel or between countries should be created.

Improved documentation of lessons learned: There is a clearly articulated need for better documentation. Impact evaluations must be conducted and lessons learnt properly documented and shared among relief and development actors. The more clearly results are reported, the better donor counterparts, constituencies and agencies will be informed and enabled to learn from good practices. In this regard a standardised reporting on lessons learned including theme specific case studies is considered useful.

The alignment of donor strategies and provision of incentives to work together: Donors from both sides (relief and development) should work together more closely. They should promote joint projects and provide incentives for relief and development actors to work together e.g. by focusing on a given geographical area and making sure that emergencies are tackled together, from mitigation to relief and recovery. Joint problem analysis is critical to ensure that humanitarian relief and development actors develop common objectives and a coordinated framework of actions.

Involvement of development actors in the WASH cluster: The by far most often articulated recommendation was to involve development actors more strongly in the WASH cluster coordination system. Development actors should be able to bring in their expertise. In addition, there need to be links established or platforms created between the WASH cluster and the regular sector meetings through e.g. joint meetings at intervals, liaison officers and exchange of minutes.

Supporting NGOs to take over WASH cluster responsibilities: International or local NGOs with long-term country experience in relief and development and strong existing local networks should be supported to take over WASH cluster coordination, in case the coordination can not be sufficiently ensured by the national government. This will help to ensure that development issues are more strongly considered in the relief phase and it helps to reduce the global WASH cluster coordination efforts of the CLA.

Need for a WASH relief to development framework: As relief and development follow different rules, principles etc. it was seen useful by many respondents to develop a joint framework that defines strategic, funding and operational modalities as well as technical criteria for transitional WASH programming. The process of developing such a

framework already strengthens the mutual understanding between humanitarian agencies and development partners.

Stronger cross-sectoral cooperation: As the far-reaching impact of WASH interventions is often only insufficiently addressed or undervalued in other sectors more advocacy and cross-sectoral cooperation is needed and should be fostered. Particularly food and nutrition security programmes need to consider the necessity of WASH interventions to reach their goals.

5.4 Structural and Financial Considerations

In terms of structural and financial considerations that help to bridge the relief to development gap the following recommendations were made:

- Bridging the departmental divide within many organisations
- Advantage of a one-hand approach
- Incentivising of DRR activities
- Increased flexibility of funding instruments
- Need for long-term investments to build up capacity
- More emphasis on post-implementation monitoring
- Financing tools needed to support post-implementation support

Bridging the departmental divide within many organisations: As many organisations have different departments for development and relief there is a need to bridge this structural gap. This could potentially be done by transferring the responsibilities for concrete projects with relief and development components to the sectoral WASH departments of an organisation.

Advantage of a one-hand approach: Organisations who work both in relief and development or have local partnerships in place that can take over during recovery and development are more likely to incorporate LRRD principles right from the beginning and can build upon existing experiences and capacities of their staff in both fields.

Incentivising of DRR activities: Activities in DRR and resilience should be incentivised by creating respective funding lines and guidelines.

Increased flexibility of funding instruments: There is a need for more flexible funding instruments particularly in complex or fragile contexts to allow for adequate response within the relief to development contiguum and to avoid potential transitional funding gaps. Particularly, the re-programming or adjusting of on-going projects should be possible in case new crises emerge or local frame conditions change.

Need for long-term investments to build up capacity: Longer-term investments are needed to support local coping mechanisms. Donors should invest more in building capacities at local and community level, with particular emphasis on local decision-making. Capacity development and learning takes time. In addition, continued assistance for national coordination mechanisms, policy reviews and support for national DRR policies are needed.

More emphasis on post-implementation monitoring: Donors of relief interventions should make systematic post-implementation monitoring and reporting mandatory.

Financing tools needed to support post-implementation support: Respective funding tools need to be developed by donors and implementing agencies to facilitate post-implementation measures (after the official project term) to follow up investments and strengthen sustainability of relief, rehabilitation and development interventions. This includes structural support of technical line agencies to assure continued functionality of WASH facilities and services. Potential excess funds should not be used for random infrastructure investments, but to ensure sustainable use of already implemented WASH services. It is essential to provide post-construction support for at least a period of between two and five years.

Appendix

List of Interviewees

William Carter | IFRC | Senior Officer |Water, Sanitation and Emergency Health Unit
Arno Coerver | Malteser International | Global WASH Advisor
Philipp Denzinger | GIZ | Advisor | Urban Water Supply, Sanitation and Solid Waste Services in Zimbabwe
Dominick de Waal | Water and Sanitation Programme of the World Bank | Senior Economist
Georg Ecker | Austrian Red Cross | Emergency WatSan Advisor
Richard Ellert | Independent Consultant | Water Supply, Sanitation, Irrigation
Philipp Feiereisen | GIZ | Advisor | Sector Programme International Water Policy and Infrastructure
Suzanne Ferron | Oxfam | Public Health Advisor
Roland Hansen | Malteser International | Senior Programme Advisor
Denis Heidebroek | ECHO | Global WASH-Shelter Expert
Wolfgang Herdt | GIZ | Planning Officer | Competence Center Relief, Reconstruction and Peace
Oliver Hoffmann | Johanniter-Auslandshilfe | Thematic Adviser Public Health
Sarah House | Independent Consultant | Public Health Engineering and WASH
Gina S Itchon | Xavier University Philippines | Director | Sustainable Sanitation Center
Åse Johannessen | Stockholm Environment Institute | Research Fellow
Remi Kaupp | WaterAid | Programme Officer | Programme Support Unit
Simone Klawitter | UNICEF | Team Leader WASH Yolanda Response | UNICEF Philippines
Nicolas Lamade | GIZ | Competence Center Relief, Reconstruction and Peace
Arjen Naafs | WaterAid | Regional Technical Advisor South Asia
Andrew Parker | UNICEF | Senior Advisor Water, Sanitation and Hygiene in Emergencies
Ajay Paul | Welthungerhilfe | Regional WASH Coordinator Southern Africa
Anke Peine | GIZ | Water Programme Leader South Sudan
Brian Reed | Loughborough University | Lecturer | WEDC
Edith Rogenhofer | MSF | Emergency WASH Expert
Arno Rosemarin | Stockholm Environment Institute | Research Fellow
Elmer Sayre | WAND Foundation | In-house Advisor
Matthias Schmidt-Eule | Caritas international | Humanitarian Affairs Coordinator
Stephan Simon | Welthungerhilfe | WASH Advisor
Jan Spit | WASTE | Manager Emergency Sanitation Projects
Rory Villaluna | National WASH Cluster Coordinator Philippines
Louise Whiting | WaterAid | Senior Policy Analyst Water Security and Climate Change
Gunda Wiegmann | BMZ | Desk Officer
Anne Zimmermann | Bundesanstalt Technisches Hilfswerk | Duty Officer

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Water, Sanitation and Hygiene for all

The German WASH Network is an open initiative of German non-governmental organisations actively engaged in the WASH sector. The members are working in development cooperation as well as in humanitarian relief and rehabilitation and share the vision that all people on our planet have sustainable access to safe water and sanitation and independently practice all elementary principles of hygiene. Apart from joint advocacy and lobbying activities to strengthen the WASH sector in Germany and beyond, the networks aims to contribute to a professionalisation of the sector through continuous knowledge exchange and quality control, project cooperation and the improved interaction between humanitarian relief and development cooperation.

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