Accountability to Affected Populations

by WASH Cluster Partners in Kachin and Rakhine Emergency Responses-Myanmar

unicef

WASH Cluster Water Sanitation Hygiene

care

EUROPEAN COMMISSION

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EXECUTIVE SUMMARY //

A review of the "six-plus-one" coordination functions in Myanmar found poor results in Accountability to Affected Populations (AAP); subsequently, an AAP-specific study was conducted, to examine strengths and identify areas for improvement.

The study covered 4 of the 5 areas of IASC Commitments on AAP, viz: Transparency and Information Sharing, Feedback and Complaints Mechanisms, Participation and Project Design, and Monitoring and Evaluation. It consisted of agency surveys and key informant interviews - 8 agencies in Rakhine State, 5 agencies in Kachin State. In addition, for each WASH agency interviewed (except for 2 agencies in Rakhine state), 1 to 3 camps or villages under that agency's management were targeted for focus group discussions (FGDs). It should also be highlighted that in Kachin State, only camps located in Government Controlled Areas (GCA) were visited.

Agencies and FGDs each reported on their experience of AAP on a scale of 1 (absence of engagement) to 4 (functioning of a comprehensive feedback and engagement system).

Overall findings show that there is progress being made in implementing the IASC CAAP by the WASH Cluster agencies in Myanmar, especially if one takes a collective outlook – the sum of individual efforts. The commitments where biggest gaps exist are, by order of priority: Feedback and Complaints Mechanisms, Participation and Transparency, and Information Sharing.

Therefore National WASH Cluster strategy and actions on AAP should be targeted at these 3 commitments, focusing on all criteria assessed in each of the commitments with a view to formally consolidate and strengthen the aspects wherein gains have been already made, and address the gaps in aspects reported as weak.

INTRODUCTION

Under the umbrella of the IASC Cluster Approach, national and international actors have been responding to the humanitarian situation in Myanmar brought about by armed conflict between Union Government Army and Rebel Groups in Kachin and Northern Shan States, and ethnic conflict between Muslim minorities and ethnic Rakhine in the eponymous State. Reports indicate that more than 200,000 people are currently displaced in camps in the three states: 57% in Rakhine and 43% in Kachin and Northern Shan States.

Being often at the frontline of the life-saving sectors, WASH was one of the clusters activated in the wake of the second flare-up of violence in Rakhine State in December 2012.

In November 2013 a series of reviews of the humanitarian strategy were triggered, coinciding with the roll-out of a GWC exercise to monitor the performance of in-country clusters. As part of this exercise, the Myanmar WASH Cluster conducted a performance review of the "six plus one" coordination functions[1] using the GWC Country Monitoring Sheet (CMS). This GWC exercise is, in a way, a precedent to a wider goal of the IASC TA – carrying out regular comprehensive Coordination Performance Monitoring (CPM) in 33 countries falling in one of the following criteria: Global Appeal, Humanitarian Response/Action Plan, Humanitarian Strategy, Regional Response Plan, Strategic Response Plan, and Humanitarian Gap.

OBJECTIVES

The aims of this survey was to incorporate a dialogue and discussion with individual WC agencies to capture facts, thinking, and constraints in dealing with AAP in their ongoing responses. It is expected that the process will also bring about a common understanding of the meaning and scope of AAP in a context of cluster coordination and collective delivery. The ultimate aim is that the outcomes of the aforementioned engagements make their way into individual and collective WASH Cluster strategic planning and Action Plans for 2015.

METHODOLOGY AND SCOPE

Quantitative and qualitative data was captured in semi-structured interviews with WASH mangers, coordinators and focal points of various agencies on the basis of a pre-designed questionnaire. Additionally, briefing meetings took place with OCHA heads of sub-offices for Kachin and Rakhine States to obtain their perspectives on the overall issues faced by the humanitarian community and the realities that need to be considered while carrying out the survey.

In total, 13 WC agencies were interviewed in across the two locations (see Annex I for the list of people met and interviewed):

- 8 Agencies in Rakhine State: ACF, IRC, SI, CDN, DRC, Oxfam, UNICEF and SCI;
- 5 Agencies in Kachin State: Oxfam, KBC, Shalom and KMSS in Myitkyina and Metta in Bhamo.

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1 viz: 1) Supporting service delivery, 2) Informing strategic decision-making for the humanitarian response, 3) Planning and strategy development, 4) Advocacy, 5) Monitoring and reporting, 6) Contingency planning, and the "plus one" Accountability to affected populations

Moreover for each WASH agency interviewed (except for two agencies in Rakhine state) one to three camps or villages under that agency's management were targeted for focus group discussions (FGDs). It should also be noted that in Kachin State, only camps located in Government Controlled Areas (GCA) were visited.

These FGDs, held with IDPs and host villages' communities, sought to capture both qualitative and quantitative data as a way of gaining deeper insight and double-checking information gathered from interviews with WC agencies. In total 22 FGDs were conducted with 588 affected people, both IDPs and host communities, in both places:

- 13 FGDs with 383 people across Rakhine State, in seven camps including Baw Du Pha, Thea Chaung, Sat Roe Kya 1 , Sat Roe Kya 2, Ohn Taw Gyi 2, Ba sa ra, Say Tha Mar Gyi and 6 host villages: Aung Daing, Nga/ Pun Ywar Gyi, Dapainy, Thet Kel Pyin, Pa Lin Pyin-Rakhine and Pa Lin Pyin -Muslim

- 9 FGDs gathering 205 people across Kachin States in 3 camps located in Myitkyina including Mai Nar AG, Mali Yang, Sein Yaw Han and 6 camps situated in Bhamo: Achyin Nili, ManBone , Moe Mauk, Phan Khar Kone, Phan Khar Kone and Robert Church

It should be highlighted that particular care was taken to ensure an appropriate representation of women in FGDs. As a result, 70% of FGD participants were female in in Kachin and 57% in Rakhine (refer to Annex II for more details on the description of FGD participants). In addition, arrangements were made with interviewed agencies to ensure that only "ordinary" IDPs (i.e. not camp volunteers, WASH Committees or Camp Committee's members who benefit from wages or other forms of incentive from the humanitarian community) joined the FGDs. A range of age groups were included in the FGDs, with 2% under 18, 32% between 18 and 30, 49% between 30 and 50, and 18% over 50.

Participation in FGDs by age and sex
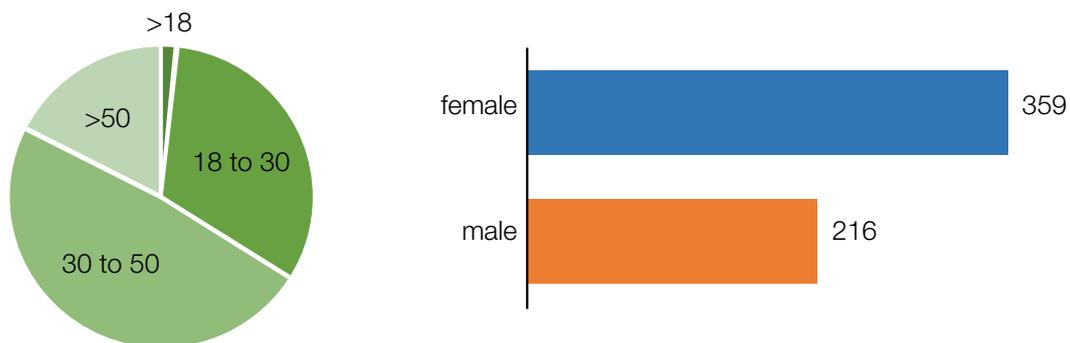
Finally, in Rakhine State particular attention was paid to ensure inclusion of both ethnic groups involved in the conflict- Rakhine and Muslim – as well as both camp and host village communities. However, due to travel restrictions, the survey could take place only in Sittwe, resulting in the omission of eight townships (Pauk taw, Kyaw Taw, Myebon, Minbya, Mrauk-U, Rathedaung, Rameree, Kyaw Phyu) "probably deserving better this kind of Assessment" in the words of the Rakhine Sub- WASH Cluster Coordinator. This limitation is herein acknowledged by the surveyors; therefore the outcomes should be interpreted bearing this fact in mind.

FRAMEWORK-TOOLS-QUESTIONNAIRE

In July 2012, a set of "Tools to assist in implementing the (CAAP)" were published by the IASC Taskforce on AAP. They are comprised of (a) a Rapid Cluster Accountability Review Tool, (b) a Self-Assessment Tool and (c) an Accountability Analysis and Planning Tool. For the purpose of this study, the latter was tailored (refer to Annex III) since it already provided "a synthesis of key industry standards to form a meta framework for understanding in greater depth what each of the commitments should mean in practice". **The approach of the study was to try and measure how the CAAP, as part of a wider TA agenda, are being implemented individually and collectively by WASH Cluster Agencies in their** ongoing humanitarian responses in Myanmar. In so doing, and as per Survey ToRs, the study focused on Commitments 2 to 5, complemented by aspects of "Working together with partners and other stakeholders", considering that a coordinated response reduces the burden on affected populations during assessments, and facilitates effective and transparent relationships with them.

Materials used for the FGDs in IDP camps and host villages were adapted from "Methodology for Participative Evaluation of Accountability to Affected Populations in Central African Republic" developed by OCHA and HAP (See Annex IV).

FINDINGS

The focus of the exercise was to reach a common understanding of the practical meaning of AAP and assess the level of implementation by the WASH Cluster agencies, both individually and collectively, of 4 out of the 5 IASC CAAP. The areas covered by the study were **Transparency** and **Information sharing;** (page 7) **Feedback** and **Complaints Mechanisms;** (page 11) **Participation;** (page 14) and **Design, Monitoring and Evaluation** (page 16) complemented with aspects of Working with Partners and other Stakeholders. Information on the four of topics was also garnered through FGDs in various camps and villages. Agencies were asked to self-evaluate their performance across the CAAPs, while FGDs were asked to rate agencies' performance on a scale of 1 (poor) to 4 (excellent). The following sections outline the findings from both agencies and FGDs.

> *"Accountability describes the ways in which organizations and projects involve different groups in making decisions, managing activities, and judging and challenging results"*
>
> CWS P/A Training on *"Enhancing Quality and Accountability in Humanitarian Action and Non-Emergency"* February 2013 - Bangkok, Thaland

TRANSPARENCY AND INFORMATION SHARING //////////////////////////////////

The key aspects the survey was trying to capture from interviewed agencies on this commitment were whether:

(1) they pro-actively engage with affected communities to seek from them their needs or volunteer to share information about the agency and its WASH projects;

(2) affected populations are apprised of the agency's commitment to accountability to all people they work with including donors, vulnerable communities and others stakeholders;

(3) information on human rights, protection issues and entitlements of IDPs within the framework of the Humanitarian Imperative are spread by the agency;

(4) operating processes of the agency towards the Humanitarian Programme Cycle as well as on Procurement and other donor rules and compliances are explained;

(5) WASH projects' goals, objectives, targeting criteria (for different groups within a community), expected results, timeframe, summary of finances and agency's personal roles, responsibilities and key contacts are disclosed;

(6) all of the aforementioned is provided in local languages (and in written formats when relevant) so as to reach all ordinary affected people – not solely camp committees, volunteer or village leaders – including minority groups who live in a camp but do not speak the common language used there.

These aspects were covered by 10 questions in the agency interviews (see Annex III) from the affected populations side, the attempt was to capture perception of the level of information they have about the WASH agency and the WASH projects implemented in the camps, by voting for one of four options that ranged from having no information at all to being fully informed and aware, including of the financial cost of WASH facilities and services. Subsequent discussions were carried out to hear the rationale and facts that prompted the various votes.

The combined results from agency interviews and FGDs, categorised as strengths and shortfalls, are summarised in the following table. Analysis of agency specific results from the study has also been undertaken and respective specific summaries shared with them individually. This includes also communities' elaborations and justifications of their respective votes during the various FGDs.

FGD average by site
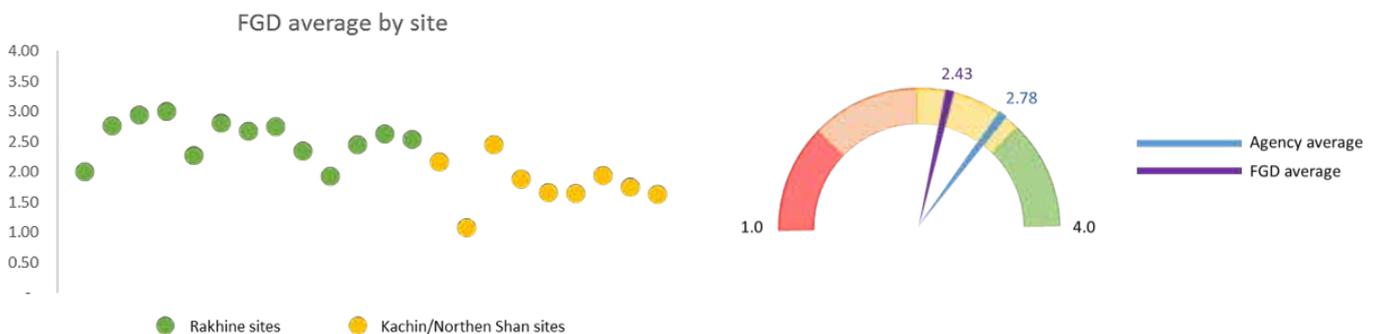
Table 1: Strengths and Gaps in the implementation of IASC Commitment 2 on AAP by the WASH Cluster in Myanmar

	Strengths	Shortfalls
All 3 States	1a. Overall good progress reported in implementing this commitment with 11 out of 13 agencies interviewed rating an average score of between 2.5 and 3.5, indicating that the majority of the 10 criteria assessed are being met, though there is room for improvement 1b. Of the 10 individual criteria assessed, 8 show an average of 3 ("criteria or statement is in place although there is room for improvement") by the agencies 1c. The above is supported by the perception of the affected populations, with 86% of the people who attended the various FGDs voting for options that show they have some (47% of respondents) or all (for 36% of respondents) necessary information about the respective WASH agencies working in their camps/villages and their WASH activities (excluding access to financial information)	1d. Overall the 2 criteria lagging behind in terms of implementation are the ones concerned with (a) sharing WASH project goals and objectives, expected results, timeframe, summary of finances and (b) ensuring key information (on the project, the planned distributions, agency contacts, etc.) is available for reference in written formats and in local language and posted on IDP camps/villages, noticeboards 1e. When these two criteria are examined though individual agencies' marks, half of the WASH agencies interviewed responded with a score of either 1 ("Nothing done at all") or 2 ("something done but quite weak") 1f. The above is corroborated by the votes of the affected population during the various FGDs in which only 2% of participants said they have some financial information on the WASH projects in their camps. Moreover, these respondents noted that they did not get this information from the WASH cluster agencies, but from contractors hired to implement facilities in camps
Kachin	1g. All of the 5 agencies interviewed rated an average score of between 2.5 and 3.5 across the CAAP, indicating that the majority of the 10 criteria assessed are being met, though there is room for improvement 1h. Of the 10 criteria appraised, 9 show an average rating of between 2.5 and 3 ("criteria or statement is in place although there is room for improvement"), and 5 criteria averaged 3 or higher. None of the agencies rated a 1 ("nothing done at all") for any of the 10 criteria 1i. From the communities' feedback, 63% of participants said they have some (56%) or all (7%) necessary information about the WASH agencies working in their camps and their WASH activities (excluding financial information)	1j. When data is disaggregated by agency, it shows that 3 of the 5 agencies were rated as 2 ("something done but quite weak") for 3 or more of the 10 criteria 1k. Information sharing on donor accountability was rated lower than the overall survey findings in these areas 1l. From the communities' perspectives, 34% of participants in the various FGDs reported having no information about respective WASH agencies and their WASH projects, which is quite significant, and is a much higher figure than for the Rakhine FGDs (5%). Additionally, as few as 3% of FGD participants reported having information about the cost of WASH facilities and services provided in their respective camps
Rakhine State	1m. 6 of the 8 agencies interviewed rated an average score of between 2.5 and 3.5 across the CAAP, indicating that the majority of the 10 criteria assessed are being met, though there is room for improvement 1n. Of the 10 criteria appraised, 8 show an average rating of between 2.5 and 3 ("criteria or statement is in place although there is a room for improvement"), and 2 criteria averaged 3 or higher 1o. From the communities' feedback, 93% of participants said they have at least some information about the WASH agencies working in their camps and their WASH activities. This included 51% reporting that they have all but financial information 1p. Average rating from camp sites was slightly higher (2.68) than from village sites (2.30)	1q. A key weakness in terms of implementation in Rakhine Sate appears to be "ensuring key Information on the project, the planned distributions, agency contacts, etc. is available for reference in written formats and in local language and posted on IDP camps/villages, noticeboards". Only 2 of the 8 agencies rated themselves at 3 ("in place but room for improvement"), and 2 agencies rated themselves at 1 ("not at all") 1r. When data is disaggregated by agency, it shows that 8 of the 9 agencies were rated as 2 ("something done but quite weak") for 3 or more of the 10 criteria 1s. A wide range of ratings were provided by agencies, ranging from an average of 2.1 (with 8 of the 10 criteria being rated as 2 or lower) to 3.4 (with all 10 criteria being rated as 3 or higher). When compared with the associated FGD feedback, there is some variance in the self-assessed data (FGD data was actually higher for the agency with an average of 2.1 than for the agency with an average of 3.4)

Agency feedback

"Most information is given to camp committees, not to IDPs. Moreover, our WASH component is behind on this as compare tour CCCM component."

"We are fully aware about the Rakhine community feelings about the international humanitarian agencies. That's why we are very careful and we ensure that we explain regularly to communities, township authorities and government about [agency] and our projects."

"The only thing we don't do is sharing detailsed financial costs. However we do provide some unit cost for some of the facilities and services to Camp Committees-not to ordinary IDPS."

FGD feedback

"For most WASH facilities, we see implementation happening, we have no information prior to that. All information/discussion happens with camp committees and we do not hear from camp committees on this."

"We have some information about WASH activities but not detailed info. If we have all information, we can contribute time in the activities and we can better use the facilities (more actively). We can also contribute volunteers."

"I have some financial information related to costs of some WASH facilities such as latrines, but I was not told this info by the agency. I got it from contractors who have happened to be friendly with me since I treat them during their work with sweets."

FEEDBACK AND COMPLAINTS ///

For this CAAP the survey sought to understand the overall processes and mechanisms in place through which feedback and complaints flow from affected communities to agencies, and how responses flow back to the community. Formality and functionality of these mechanisms and subsequent responses were also examined. Finally, the survey also reviewed whether existing feedback, complaints and response mechanisms were designed together with communities and local NGOs (especially for Kachin) taking into account their preferences. In all, 9 questions in the agency interviews focused on this CAAP (see Annex III).

The combined results from agency interviews and FGDs, categorised as strengths and shortfalls, are summarised in the following table. Analysis of agency specific results from the study has also performed and summaries shared with representatives of each agency. This includes also communities' elaborations and justifications of their respective votes during the various FGDs.
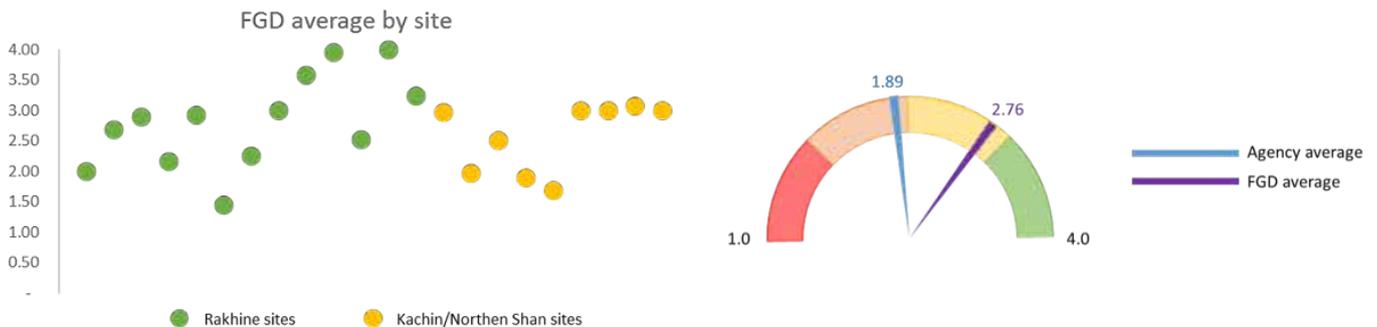
Table 2: Strengths and Gaps in the implementation of IASC Commitment 3 on AAP by the WASH Cluster in Myanmar

	Strengths	Shortfalls
All 3 States	2a. Although only 30% of WASH agencies reported having formal feedback and complaints mechanisms established, all agencies mentioned that affected communities have access to informal mechanisms to communicate issues, through meetings, visiting offices located in camps and or the city, contacting camp committees, etc. 2b. While formally established feedback and complaint mechanisms appear to be the exception rather than the rule, 9 of the 13 interviewed agencies noted that communities' feedback and complaints do reach them, which is a positive indication about the functionality of the informal mechanisms in place 2c. Interestingly, feedback from FGDs indicates a relatively high degree of satisfaction with feedback and complaints mechanisms. 64% of interviewees indicated that complaints procedures have been explained, and that complaints are mostly (41%) or always (23%)	2d. Both collectively (looking at the average score of each of the 9 criteria assessed) and individually (looking at the average scores per agency) this commitment is not being satisfactorily addressed; the average rating for each criteria ranges from 1.6 to 2.2, and an overall average across criteria of 1.9 2e. Of the 13 agencies interviewed, only one reported a rating of 3 or higher in the majority of the 9 criteria assessed 2f. Although 30% of WASH agencies reported having formal feedback and complaints mechanisms established, and furthermore 23% claimed that the mechanisms in place are functional, none of these agencies said that they have a formal response mechanism in place with clear records of complaint received and how they were responded to. This indicates that the mechanisms established are as yet incomplete and seem to be loosely followed 2g. FGD responses show that, in spite of some progress in establishing mechanisms, a significant proportion of the communities (36%) still have a negative perception

	Strengths	Shortfalls
All 3 States	responded to. It should be noted that from the comments of the FGDs, the majority of the 23% participants rating this criteria at 4 did so due to never having needed to raise a complaint; even removing this data, the majority (53%) of participants had a positive view of the mechanisms in place	of how WASH agencies are dealing with feedback and complaints; 12% voiced their opinion as "we do not have any possibility to communicate our complaints to WASH agencies working here", and 24% said "We can complain, but we never receive a detailed response from the WASH agencies working here"
Kachin	2h. 4 of the 5 agencies interviewed in Kachin reported having formal feedback and complaints mechanisms currently established. The 5th agency said it previously had a complaint box in place, but it was retrieved by the funding agency on completion of the project. Nonetheless, informal mechanisms are in place, including monthly meetings with IDP's, agency staff visits as well as through community volunteers, for the people to give feedback and submit complaints to the agency 2i. Of the 4 agencies who reported having formal feedback and complaints mechanisms established for WASH, 3 mentioned that it was done with participation of communities, hence taking into account their preferences. Furthermore all 3 agencies said they have also a formally established response mechanism in place 2j. Community feedback is more positive for Kachin than for Rakhine, which may be a result of the high proportion of agencies with a formal mechanism in place. 70% of FGD participants rated the mechanisms at 3 or 4	2k. Both collectively (looking at the average score of each of the 9 criteria assessed) and individually (looking at the average scores per agency) this commitment is still lagging behind when it comes to implementation. Across agencies, 69% of the assessed criteria were rated as either "Nothing in place" or "Something in place, but quite weak as yet" 2l. Although 60% of the surveyed WASH agencies reported having included consultation with the communities in the design of their feedback, complaints and response mechanisms, none could share clear records of complaints received and how they were responded to. This indicates that the mechanisms established are not entirely followed as yet 2m. In spite of 80% of the surveyed WASH agencies reporting having formal feedback, complaints and response mechanisms in place, a significant minority (21%) of FGD participants felt that "we do not have any possibility to communicate our complaints to WASH agencies working here", which may indicate a lack of communication of procedures in place 2n. Feedback from 2 of the 3 local WASH agencies who reported having formal systems indicates that the mechanism was required and designed by their donors (international organisations). This may be the reason why one of these agencies did not deem it necessary to replicate or sustain the mechanism (mail box) once the funded project was completed
Rakhine State	2o. Although none of the WASH agencies in Rakhine reported having formal feedback and complaints mechanisms established, all agencies mentioned that affected communities have access to informal mechanisms to communicate issues through meetings, visiting offices located in camps and/or in Sittwe, contacting camp committees, etc. Furthermore 4 of the 8 interviewed agencies said that communities' feedback and complaints do reach them which gives a positive indication about the functionality of the informal mechanisms in place 2p. When sex-disaggregated data is examined, it shows that 33% of women compared to 18% of men believe that mechanisms are in place and that feedback and complaints are resolved quickly	2q. No significant difference was recorded in responses from camp and village sites 2r. None of the WASH agencies in Rakhine State reported having formal feedback, complaints and response mechanisms established. Both collectively (looking at the average score of each of the 9 criteria assessed) and individually (looking at the average scores per agency) this commitment is still lagging behind when it comes to implementation. Across agencies, 94% of assessed criteria were rated as either "Nothing in place" or "Something in place, but quite weak as yet" 2s. Outcomes of the FGDs show that, in spite of some progress and the presence of informal mechanisms, a significant minority of participants (36%) have negative perceptions of how WASH agencies are dealing with feedback and complaints

Agency feedback

"Only CCCM cluster has formally taken this onboard, so far. But nothing at all for host villages."

"In the beginning we used to share our phone numbers for [community members] to call us if needed. We did receive some feedback which we shared. But all this remains informal, indeed. On formal mechanisms, we are thinking about a complaint box, but nothing concrete [is in place] as yet."

"We do receive feedback and complaints via meetings, visits in our office by communities and even text message."

FGD feedback

"So far we have only requests, no complaints. We have raised many requests and the agency has also committed to meet these requests. Although implementation has not started, we have trust in the Agency, that's why we are rating high the agency on this aspect."

"Previously there was a mail box in the camp; we do not know to which agency it belonged to, but it has been removed."

"We can raise our voice in camp committee meeting (Camp committee meet with IDP's). Therefore there is a way to complain. But then the camp committee will talk with the agency, then the agency will talk with donors. So it takes a lot of time to get a response, sometime, no response at all."

PARTICIPATION ///

Four criteria were assessed to reflect upon the involvement of the affected communities, including the most marginalised and vulnerable amongst them, in WASH needs assessment, programme planning, implementation, monitoring and evaluation. In all, 4 questions in the agency interviews focused on this CAAP (see Annex III).

The combined results from agency interviews and FGDs, categorised as strengths and shortfalls, are summarised in the following table. Analysis of agency specific results from the study has also been undertaken and respective specific summaries shared with them individually. This includes also communities' elaborations and justifications of their respective votes during the various FGDs.
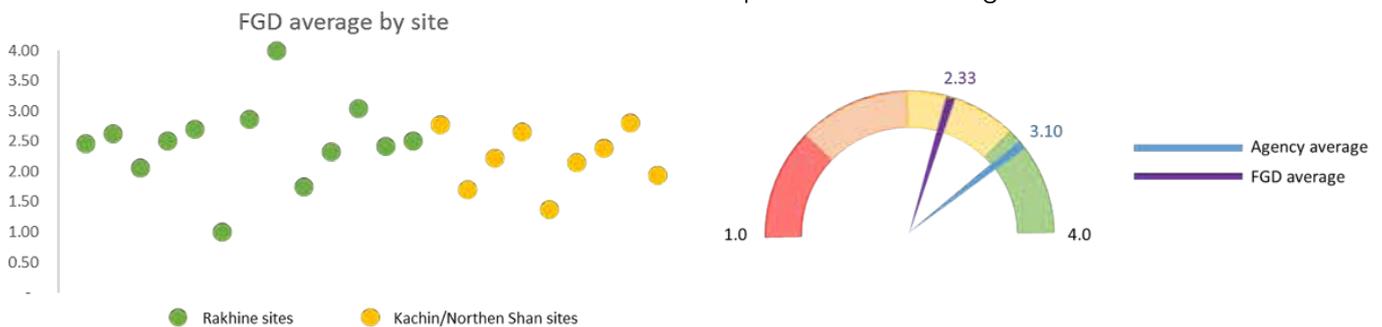
Table 3: Strengths and Gaps in the implementation of IASC Commitment 4 on AAP by the WASH Cluster in Myanmar

	Strengths	Shortfalls
All 3 States	3a. Aggregated data from agencies reflected an average score of between 2.8 and 3.5, indicating that each of the 4 criteria "is in place although there is a room for improvement". This means that, overall WASH Cluster agencies are performing well in this component 3b. In particular, agencies reported that community participation is strong during the implementation phase of projects, with each of the 13 agencies rating a 3 (7 agencies) or 4 (6 agencies) 3c. This is reflected in FGD feedback which showed that 43% of the affected communities' members felt that they are consulted in at least the planning and implementation phases	3d. The average feedback from FGDs was significantly more negative than that received from agencies, with an average rating of 2.3 compared to 3.1; there was also a wide range of perception in different camps, with ratings between 1 and 4 3e. Over half of FGD participants felt that either no consultation takes place (20%), or that WASH agencies inform beneficiaries of decisions/requests without consultation (36%). Only 10% felt that they are involved throughout all stages of the project 3f. The criteria presenting biggest challenges are ensuring (a) voices of all interest groups, including women, children, the aged, minority cultural groups and people living with disabilities are heard and (b) IDP's participation (not solely camp volunteers or camp committees) takes place during monitoring and evaluation
Kachin	3g. Of the 5 agencies interviewed, 3 reported a rating of 3 or 4 in each of the 4 criteria, indicating that they felt measures for participation were in place at all stages of the project (though room for improvement was still present) 3h. More than one-third of FGD participants felt that they are consulted in at least the planning and implementation phases	3i. 2 of the 5 agencies reported that community consultation takes place only in the assessment and planning phases 3j. This is reflected in the communities, perspectives: 63% of IDPs who participated in the FGDs have a negative view of the way they have been part of the WASH response, with 37% reporting that "The WASH Organisations tell us what has been decided and what is requested and/or expected from us", and 26% reporting "The WASH activities are planned and implemented without us being informed or consulted"

Strengths	Shortfalls
3k. Each of the 8 agencies interviewed reported that participation is strong throughout the assessment, planning, implementation and service delivery phases 3l. Nearly half (47%) of FGD participants agreed that they are involved in the planning and implementation of WASH projects 3m. The average rating from village settings was slightly higher than from camp settings (2.64 compared to 2.18).	3n. 3 of the 8 agencies reported that community participation does not extend to the M&E phase 3o. This is reflected in the FGD feedback, with 36% reporting that "The WASH Organisations tell us what has been decided and what is requested and/or expected from us", and 18% reporting "The WASH activities are planned and implemented without us being informed or consulted"

(Row label: Rakhine State)

Agency feedback

"Before any single activity we invite all camp representatives in workshops to discuss needs and plans."

"Before we prepare new proposals, we visit camps and consult camp committees and IDPs and ask them which areas of the camp need improved or more services. We do not further involve them, for example in planning."

"[Participation in M&E is] mostly with staff hired (community volunteers), not enough with communities."

FGD feedback

"Most of the discussions and consultations happen with camp committees and upper levels. But we are informed about the decisions that are made. I think in the future the organization should involve IDPs more. The stage where I feel more involved is in the implementation, because only camp committees and agency /camp volunteers are involved in planning and monitoring."

"During latrine construction and rehabilitation, I was requested to make suggestions about the material. I advised not to use bamboo. I suggested brick walled latrines instead since it last longer. They took my opinion and now I wait to see whether they considered it- rehabilitation is not started yet."

"I've heard from villagers about the agency is working here in WASH activities, but I really don't know much and did not receive any visit although I am in the village, in my house most of the time."

DESIGN, MONITORING AND EVALUATION //

Further to criteria reflected upon in Participation, this section sought to find out whether and how design of WASH programs resulted from analysis of specific needs versus risks – including ones that could exacerbate conflict – faced by the various groups. A second focus point was whether the existing capacities of affected populations, government and local actors were considered in the design of WASH programs. Aspects of various learning exercises and using outcomes in initial design or revisions were also considered. In all, 5 questions in the agency interviews focused on this CAAP (see Annex III).

The combined results from agency interviews and FGDs, categorised as strengths and shortfalls, are summarised in the following table. Analysis of agency specific results from the study has also been undertaken and respective specific summaries shared with them individually. This includes also communities' elaborations and justifications of their respective votes during the various FGDs.
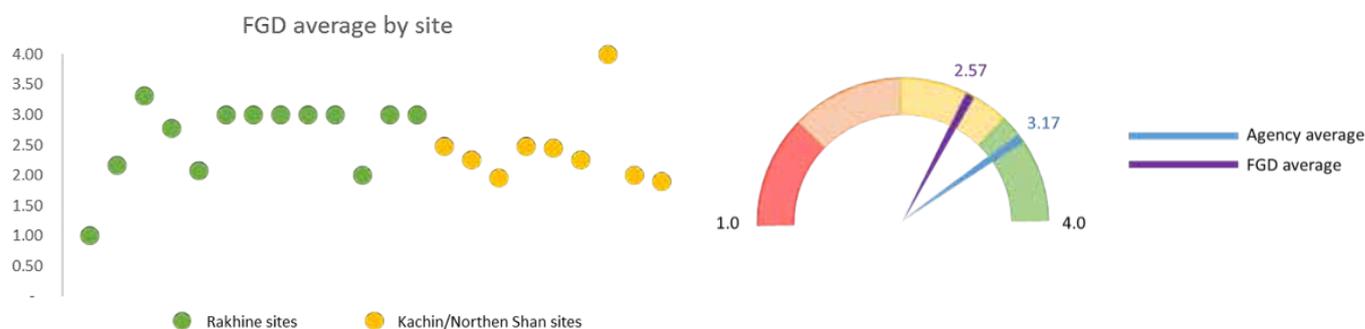
Table 4: Strengths and Gaps in the implementation of IASC Commitment 5 on AAP by the WASH Cluster in Myanmar

	Strengths	Shortfalls
All 3 States	4a. WASH Cluster agencies rated this as the strongest of the AAP components in this study, with an average rating of 3.17 across the 5 criteria 4b. All of the agencies rated a 3 or 4 in the elements of learning/adapting, and of ensuring the principle of "do no harm" is followed 4c. Feedback was also largely positive from FGD discussions, with 71% of participants responding that vulnerable groups are at least consulted by WASH agencies	4d. Of the 5 criteria covered, M&E was rated the lowest by agencies, with only one reporting that the system was fully in place 4e. While the majority of FGD participants believed that vulnerable groups are consulted, only 2% felt that these groups' special needs are taken into account in the assistance provided by WASH agencies 4f. One-third of FGD participants felt that vulnerable groups either do not have access to assistance, or were not consulted by WASH agencies
Kachin	4g. Of the 5 agencies interviewed, 4 reported scores of 3 or 4 in each of the 5 criteria 4h. Feedback was particularly positive for the "do no harm" criteria, with 3 of the 5 agencies reporting the measure as fully in place	4i. The area where most improvement is needed is addressing the gap between needs and capacity (of community or government) 4j. Overall FGD feedback was significantly more negative than in Rakhine, with 71% of participants reporting that vulnerable groups either do not have access to assistance, or were not consulted by WASH agencies

	Strengths	Shortfalls
Rakhine State	4k. Of the 8 agencies interviewed, 6 reported scores of 3 or 4 in each of the 5 criteria 4l. 69% of FGD participants felt that the most vulnerable are consulted by WASH agencies 4m. The feedback from camp sites was significantly more positive (3.01 average score) than from village settings (2.25).	4n. M&E was identified as the criteria in most need of improvement 4o. While a majority of FGD participants felt that vulnerable groups are consulted, only 2% felt that their special needs are taken into consideration

Agency feedback

"We are very careful on what we do and have to be very transparent to tell them what we do also elsewhere to prevent tensions, conflicts."

"When you ended-up to operate in a camp, your choice of target criteria is very limited to "IDP" status... But in a township where we are working with host communities, we do consider needs versus risk."

"Example: sanitation facilities such as hand washing, bathing shelters and latrines were modified recently to reflect upon our learning experience in this context."

FGD feedback

"Vulnerable people are not consulted as such, but do they have access to what other people get."

"I am consulted, but I am not consulted as an elderly person who is different from most IDP's members, so I do not get any special assistance. In this camp widows can stay [with their] daughter or son, and some of the aged people can live with family members, but [those] who do not have family members have challenges going to toilets, especially at night time because there is no or very limited electricity – so they cannot see well."

WORKING WITH PARTNERS AND OTHER STAKEHOLDERS ////////////////////////

This section encouraged partners to reflect upon various collaborative, coordination mechanisms such as the cluster system and related working groups, consortia, partnerships with local entities they are engaged with and some of key activities undertaken therein, including building local capacities of communities and NGOs. The table below summarises the main outcomes with agency-specific summaries shared with them individually.

Table 5: Strengths and Gaps by the WASH Cluster in Myanmar in working with partners and other stakeholders

	Strengths	Shortfalls
All 3 States	5a. WASH agencies reported strong progress across 4 of the 5 criteria, with all 13 agencies rating 3 or 4 for the criteria of engagement with other organisations, following through on commitments, and joint planning of assessments and planning 5b. Feedback was particularly positive on engagement with local partners, who were regarded as best placed to implement activities on the ground	5b. A clear weakness was identified in the area of capacity building of local NGOs/CBOs, with only 4 agencies that measure are in place

PROPOSED WAY FORWARD //

Overall there is progress being made in implementing the IASC CAAP by the WASH Cluster agencies in Myanmar, especially if one takes a collective outlook-the sum of individual efforts. The commitments where biggest gaps exist are, by order of priority: Feedback and complaints mechanisms, Participation and Transparency and Information Sharing. Therefore National WASH Cluster strategy and actions on AAP should be targeted at these 3 commitments, focusing on all criteria assessed in each of the commitments with the views to formally consolidate and strengthen the ones wherein gains have been already made, and address the gaps in aspects whereby it was reported that "Nothing is in place" to "Something is in place, but quite weak as yet".

RECREATION RECOMMENDATIONS

C2: Transparency & information sharing
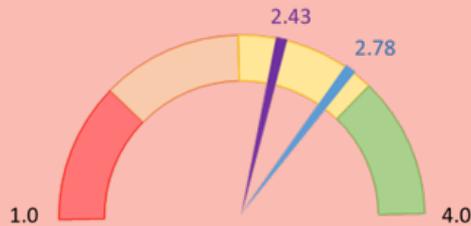
Issues to be addressed:

(a) sharing WASH project goals and objectives, expected results, time frame, summary of finances

(b) ensuring key information is available for reference in written formats and posted on notice boards

C3: Feedback & Complaints mechanisms
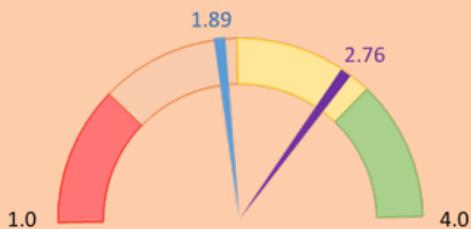
Shortfalls to be addressed:

(a) Upgradeing from informal to formal mechanisms

(b) Ensureing full buy-in of local WC partners in formal mechanisms to be established

C4: Participation
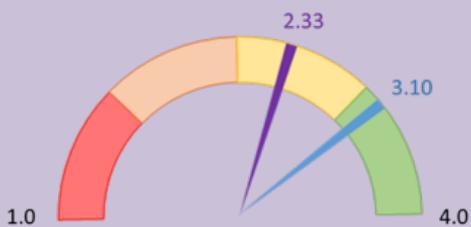
Gaps to be filled:

(a) ensuring voices of all interest groups (women) are heard

(b) IDPs' participation (not solely camp volunteers or camp committees) takes place during monitoring and evaluation

C5: Project design, monitoring & evaluation
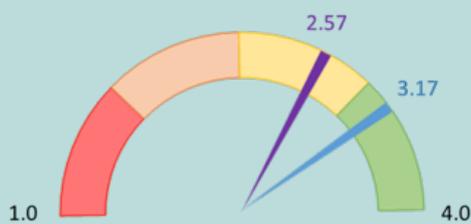
Weaknesses to be focused on:

(a) ensuring inclusive M&E systems, ones that garner feedback from ordinary IDPs and most vulnerable groups amongst them (not solely camp volunteers or camp committees), are in place

(b) On the basis of (a) explore most appropriate options for addressing special needs of most vulnerable groups such as elderly, disabled people, widows, pregnant women, children

Working with partners and other stakeholders
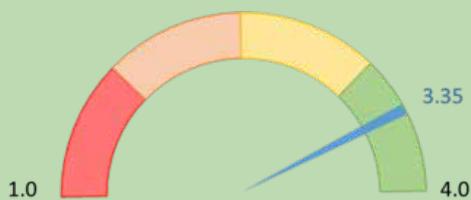
Issues to be explored:

(a) Building relationship with and capacities of local partners/CBOs in Rakhine state as a matter of preparedness and sustainability

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ANNEX I: DETAILS OF AGENCIES INTERVIEWED //

Date	Place	Agency	Name of staff	Position	email	Phone
01/08/2014	Myitkyina-Kachin States	Oxfam	Saw Thor	PHE Officer	kalabya@gmail.com	09 31827002
01/08/2014	Myitkyina-Kachin States	KBC	Kelly Nang Awng	WASH Coordinator	kellynangaung@gmail.com	09 420094036
01/08/2014	Myitkyina-Kachin States	KBC	Gun Mai	WASH Technician	phmaimai@gmail.com	09 420094036
01/08/2014	Myitkyina-Kachin States	KBC	Seng Li	Program Manager	Hpakawn-sengli@gmail.com	09 43199261
02/08/2014	Myitkyina-Kachin States	Shalom	Hkun Myat	WASH coordinator	hkunmyatmaran2@gmail.com	09 400044096
05/08/2014	Bhamo-Kachin States	Metta	Bauk Ra	Area Coordinator-WASH	lahtawbawkra@gmail.com	09 400055854
05/08/2014	Bhamo-Kachin States	Metta	Hkawn Nan	Area Coordinator-WASH		86 692977497
08/08/2014	Myitkyina-Kachin States	KMSS	Ja Bu	Area Coordinator-WASH	sarahjabu@gmail.com	09 400022948
08/08/2014	Myitkyina-Kachin States	KMSS	Zau Lat Seng	Area Coordinator-WASH		09 32027436
11/08/2014	Sittwe-Rakhine State	ACF	Mark Powell	WASH Program Manager	washpm-stw@mm.missions-acf.org	09 36124584
11/08/2014	Sittwe-Rakhine State	IRC	Thet Paing Htoo	Snr. WASH Officer-RTD	ThetPaing.Htoo@rescue.org	09 73135077
11/08/2014	Sittwe-Rakhine State	IRC	U Aung Than	Program Manager-RTD	Aung.Than@rescue.org	09 450542984
11/08/2014	Sittwe-Rakhine State	SI	John Fitzgerald	WASH Programme Manager for Sittwe	sit.watsan@solidarites-myanmar.org	09 421715773
12/08/2014	Sittwe-Rakhine State	CDN	Gerrit Klerx	WASH Advisor	cdn.engineer.sittwee@gmail.com	09 73142953
12/08/2014	Sittwe-Rakhine State	DRC	Lai Nge	Senior Shelter/WASH Engineer	lainge@drcmm.org	09 450543314
12/08/2014	Sittwe-Rakhine State	DRC	Khin Phyu	Hygiene Promoter	khinphyu@drcmm.org	09 421757458
12/08/2014	Sittwe-Rakhine State	DRC	Myo Kyaw Zin	Deputy Programme Manager	Myokyaw.zin@drcmm.org	
12/08/2014	Sittwe-Rakhine State	Oxfam	Eve McKinnon	WASH Engineer	EMackinnon@oxfam.org.uk	09 25426 2913
12/08/2014	Sittwe-Rakhine State	Oxfam	Toe Toe Aung	Public Health Education Officer	toetoeaung221175@gmail.com	09 3107 3370
14/08/2014	Sittwe-Rakhine State	UNICEF	Ewinur C.Machdar	WASH Program Officer	ecmachdar@unicef.org	09 250344965
20/08/2014	Sittwe-Rakhine State	SCI	Stephane Senia	WASH Programme Coordinator	stephane.senia@savethechildren.org	09 73216629

Annex II: Sex and age profile of FGD participants

RAKHINE	
MALE	154
FEMALE	213
<18	4
18 TO 30	127
30 TO 50	178
> 50	58
KACHIN	
MALE	62
FEMALE	146
<18	6
18 TO 30	57
30 TO 50	99
> 50	42

FGD participants - Rahkine

FGD participants - Kachin
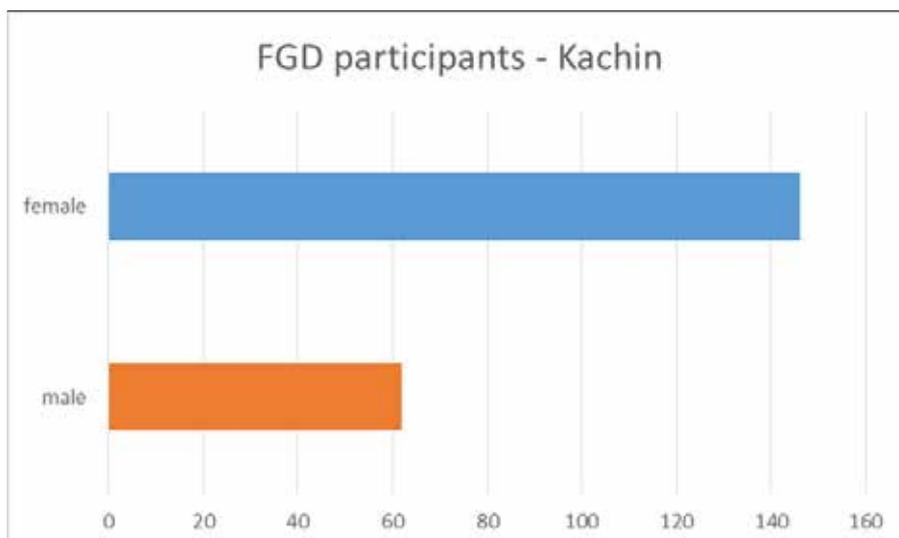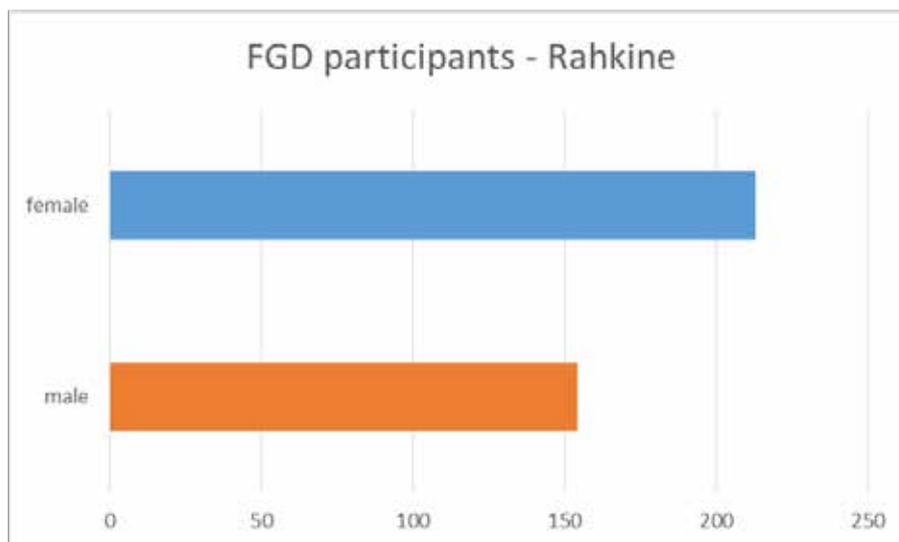
Annex III: AAP Assessment/Study Grid/Questionnaire to be used to discuss with Agencies

Ranking scale for the self-assessment:

The rating scale does not lead to an empirical result, however trends and patterns in the outcomes could be interpreted to highlight areas of greatest weakness, or assist in the prioritization of action. Clearly, no agency would be likely to decide to tackle every single area of AAP at once, and therefore the approach here is to really focus on (1) what the organization is doing on the ground with the affected communities and (2) the same at the coordination level, working with other WASH cluster members.

A specific and lighter tool will be designed to gather info from affected communities

1= Not at all	2= Some, but quite weak	3= Yes, but room for improvements	4= Fully in place

Date		
Location		
Agency		
Interviewed Person	Name	
	Position	
	Email	
	Phone	

1. Transparency / Information sharing

Provide accessible and timely information to affected populations on organizational procedures, structures and processes that affect them to ensure that they can make informed decisions and choices, and facilitate a dialogue between an organization and its affected populations over information provision.

Statement	1	2	3	4	Remarks/Comments/Evidence
1. The organization routinely engages in a two-way dialogue with affected communities, including to determine what kind of information they require and in what formats					
2. Information is routinely provided on: • The humanitarian agency, its accountability commitments to beneficiaries, code of conduct, relevant contact details					
• Affected Population's rights and entitlements					
• Agency processes of operating in relation to Donor's accountability, working with Affected communities at all stages of Project Cycle, etc.					
• Projects, including goals and objectives, expected results, timeframe, summary of finances					
• Criteria for selecting Projects 'target groups					

• Agency staff roles and responsibilities					
3. The organization makes sure that all relevant information (including the above) is given into local language and is appropriately disseminated to all IDP's (not solely to Camp Committees) including ethnic minorities leaving in camps					
4. Key Information (on the project, planned distributions, agency contacts, etc.) is available for reference in written formats and in local language and posted on IDP Camps/Villages noticeboards					
5. The organization conveys a commitment to communication and information provision to Affected Populations as a strong and equal (as compared Construction of other WASH facilities) component of the its projects					

2. Feedback and Complaints

Actively seek the views of affected populations to improve policy and practice in programming, ensuring that feedback and complaints mechanisms are streamlined, appropriate and robust enough to deal with (communicate, receive, process, respond to and learn from) complaints about breaches in policy and stakeholder dissatisfaction.

Statement	1	2	3	4	Remarks/Comments/Evidence
1. There is a formal Feedback/ complaints Mechanism established					
2. This formal Feedback/ complaints mechanism is designed with and based upon the preferences of communities (local context). Examples: Local communities are/were consulted as to how they would best like to submit complaints, know what kinds of complaints will be dealt with by the agency, etc					
3. This formal Feedback/ complaints mechanism is designed with and based upon the preferences of Local NGO partner (local context)					
4. This formal Feedback/ complaints mechanism is functional and documented (clear records of what complaints have been received)					
5. There is a formal Response Mechanism (to Feedback/ complaints) established					

6. This formal Response Mechanism is designed with and based upon the preferences of communities (local context). Example: Affected communities know timeframe for Agency response to complaints, recourses in case responses are not coming, etc.				
7.This formal Response Mechanism is designed based upon the strong input and buy-in of the local NGO partner				
8. This formal Response Mechanism is functional. Examples: clear records of what complaints were responded to and how)				
9. The organization works with partner agencies and within the clusters to establish joint complaints mechanism that offer a single entry point for communities				

3. Participation

Enable affected populations to play an active role in the decision-making processes that affect them through the establishment of clear guidelines and practices to engage them appropriately and ensure that the most marginalized and affected are represented and have influence.

Statement	1	2	3	4	Remarks/Comments/Evidence
1. All interest groups have a voice, including women, children, the aged, minority cultural groups and people living with disabilities					
2. Community participation takes place during needs assessment and programme planning					
3. Community participation takes place during programme implementation, distribution and service delivery phases					
4. Community participation takes place during monitoring and evaluation					

4. Design, monitoring and evaluation

Design, monitor and evaluate the goals and objectives of programmes with the involvement of affected populations, feeding learning back into the organization on an ongoing basis and reporting on the results of the process.

Statement	1	2	3	4	Remarks/Comments/Evidence
1. Programme design is based on an analysis of the specific needs and risks faced by different groups of people					
2. Programme design addresses the gap between people's needs and their own, or the Government's, capacity to meet them					
3. Program monitoring (and evaluation) is taking place					
4. Programme designs are revised to reflect, learnings from the outcomes of monitoring and evaluations, changes in the context, risks and people's needs and capacities					
5. There is evidence that the organization ensures that its interventions and activities do not exacerbate community conflict or cause harm to all or part of its members					

5. Working with partners and other stakeholders

Statement	1	2	3	4	Remarks/Comments/Evidence
1. There is an evidence that the organization works effectively in coordination and collaboration with others					
2. Commitments made at coordination meetings are acted and reported upon in a timely manner					
3. The organization seeks opportunities for conducting joint/coordinated assessments, planning/strategy development, common design of infrastructures/common standards, joint monitoring, learnings, etc.					
4. The organization enforces/implement the above (3)					
5. The organization seeks opportunities for building capacities of local NGOs/CBO partners as part of Preparedness and Sustainability					

Annex IV: AAP Assessment/Study Grid/Focus Group Discussion with Communities

The objective is to have an open discussion with a representative group of a community which has been benefiting from WASH assistance in order to get quantitative and qualitative information on the existence and effectiveness of accountability mechanisms within programs, as well as highlight possible benefits or problems linked to the existence or the absence of these mechanisms. Clearly, this is aimed at learning to improve the quality of the assistance and is not intended for the evaluation of partners. The following aspects will be discussed with communities: **(1) Information sharing and transparency, (2) Participation, (3) Feedback and complaints handling, (4) Targeting of beneficiaries**

Date	
Location/Camp	
Description of Community members participating in the FGD	

(1) Information sharing and transparency

What level of information have you received about the WASH Oorganizations and their activities in your community?

Option 1: I have no information about the WASH organizations working here and their activities.

Option 2: I've received some information about the WASH organizations working here and their activities.

Option 3: I've received all necessary information about the WASH programmes from the WASH organizations working here.

Option 4: I've received all necessary information about the WASH organizations working here, their WASH programmes and the budget of their activities.

Followed by discussion:

- Ask if the participants can give specific examples to illustrate their response
- Those who have received no information (or less information than others) why this is the case (problems accessing information, literacy, etc.) ?. Are there differences between women and men?
- Those who received info, how has this information helped to be more involved in the project or to benefit from it?

(2) Participation:

What degree of participation have you experienced with WASH programmes in your community?

Option 1: The WASH activities are planned and implemented without us being informed or consulted.
Option 2: The WASH Organizations tell us what has been decided and what is requested and/or expected from us.
Option 3: The WASH Organizations ask our opinion about the planning and implementation of WASH projects and informs us of the decisions that have been taken.
Option 4: We feel that our voice is taken into accounts in every step: planning, implementation, monitoring and evaluation of WASH projects in our community.

Followed by discussion:

- Ask if the participants can give specific examples to illustrate their response
- Are there differences in how you are involved in the different phases of the project (planning, implementation, evaluation)?
- Can you give examples of the impact your participation has had and how your involvement (selection, criteria, implementation, etc.) has contributed to improving the project?
- Has your experience participating in humanitarian projects helped you in your relations with other institutions such as the government?

(3) Feedback and complaints handling

How do you raise problems with the WASH organizations that work in your community?

Option 1: We do not have any possibility to communicate our complaints to WASH agencies working here.
Option 2 : We can complain, but we never receive a detailed response from the WASH agencies working here .
Option 3 : WASH Organizations working here have explained to us how to raise complaints or problems, and complaints receive a response most of the time.
Option 4 : There's a system for complaints handling. Those who file a complaint get a response quickly, and actions are taken to resolve the issue by the WASH Organizations working here

Followed by discussion:

- If system exists, ask the participants to explain how the system works? Who among you has already used it? *(REQUEST PARTICIPANTS NOT TO SHARE SENSITIVE EXAMPLES IN THE PLENARY DISCUSSION)*
- What response did you receive? Did any changes follow?
- Can you give examples of how projects were improved based on the feedback you have submitted to the organizations?
- Has your experience with giving feedback and raising complaints helped you in other contexts, with other organizations or institutions?

(4) Targeting of beneficiaries

Who are the most vulnerable people/groups in your community?

How do you judge the response to the NEEDS OF THE MOST VULNERABLE in your community by the WASH Organization working here?

Option 1: The most vulnerable are not consulted and do not have access to the assistance provided.

Option 2: The most vulnerable are not consulted but have access to the assistance in the same way as other members of the community.

Option 3: The most vulnerable are consulted but do not receive any special treatment

Option 4: The most vulnerable are consulted and their special needs are taken into account in the assistance provided

Followed by discussion:

- Do the most vulnerable have problems accessing the assistance given, and if so, why?
- Do the most vulnerable groups identified earlier have specific needs, different from the rest of the community?
- If there are opinions that deviate clearly from the majority, are there any specific reasons for this?