

Cash Based Interventions for WASH Programmes in Refugee Settings





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Acronyms

ACF	Action Contra la Faim
ALNAP	The Active Learning Network for Accountability and Performance in Humanitarian Action
ATM	Automated Teller Machine
CaLP	Cash Learning Partnership
CBI	Cash Based Intervention
CCCM	Camp Coordination and Camp Management
CCT	Conditional Cash Transfer
CEP	Cash Emergency Preparedness
CfW	Cash for Work
CRS	Catholic Relief Services
CTP	Cash Transfer Programme
CWG	Cash Working Group
DFID	Department for International Development
DRC	Democratic Republic of Congo
ECHO	European Commission's Humanitarian Aid and Civil Protection department
EMMA	Emergency Market Mapping and Analysis Tool
FSL	Food Security and Livelihoods
GBV	Gender Based Violence
GWC	Global WASH Cluster
TWiG	Technical Working Group
ITS	Informal Tented Settlements
LIC	Low Income Country
MIC	Middle Income Country
PoC	People of Concern
OPT	Occupied Palestinian Territories
HIF	Humanitarian Innovation Fund
MBP	Market Based Programming
IASC	Inter-Agency Standing Committee
IDP	Internally Displaced Person
IIED	International Institute for Environment and Development
IRC	International Rescue Committee
SMEB	Survival Minimum Expenditure Basket
MEB	Minimum Expenditure Basket
MPG	Multi-Purpose Grant
NGO	Non-Governmental Organisation
NRC	Norwegian Refugee Council
ODI	Overseas Development Institute
PCMMA	Pre-Crisis Market Mapping and Analysis
SCI	Save the Children International
SCUK	Save the Children UK
CLTS	Community Led Total Sanitation
UCT	Unconditional Cash Transfer
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
WASH	Water Sanitation and Hygiene
WVI	World Vision International

Glossary of Terms¹

Cash Transfer	Cash: Provision of money directly to People of Concern, such as in an envelope (cash-in-hand), or through an ATM, mobile phone, or a bank agent.
Cash for Work (CFW)	Cash payments provided on the condition of undertaking designated work. This is generally paid according to time worked (e.g. number of days, daily rate), but may also be quantified in terms of outputs (e.g. number of items produced, cubic metres dug). CFW interventions are usually in public or community work programmes, but can also include home-based and other forms of work.
Conditional Cash Transfer	A conditional transfer requires beneficiaries to undertake a specific activity (e.g. attending school, building a shelter, attending nutrition screenings, undertaking work, training, etc.) in order to receive assistance. Cash for Work and Cash for Training are all forms of conditional transfer.
Delivery Mechanism	Means of delivering a cash or voucher transfer (e.g. smart card, mobile money transfers, cash in envelopes, etc.).
E-Transfer	A digital transfer of money or vouchers from the implementing agency to a programme participant. E-transfers provide access to cash, goods and services through mobile devices, electronic vouchers, or cards (e.g., prepaid, ATM, credit or debit cards). E-transfer is an umbrella term for e-cash and e-vouchers.
Market system	All the players or actors, and their relationships with each other and with support or business services as well as the enabling environment – or rules and norms that govern the way that system works. Market systems are interconnected when they share the same enabling environment / rules / norms and business / support services, for instance when they operate within one country.
Multi-purpose Transfer/Grant	A transfer (either regular or one-off) corresponding to the amount of money a household needs to cover, fully or partially, a set of basic and/or recovery needs. MPGs are by definition unrestricted cash transfers. The MPG will contribute to meeting the Minimum Expenditure Basket (MEB), but can also include other one-off/recovery needs.
Restricted Transfer	A transfer that requires the beneficiary to use the assistance provided to access specific, pre-determined goods or services. Vouchers are, by default, restricted transfers as the range of goods and services and/or the retailers or service providers from which they are accessed are pre-determined.
Unconditional Transfer	Unconditional transfers are provided to beneficiaries without the recipient having to do anything in return in order to receive the assistance.
Unrestricted Transfer	Unrestricted transfers can be used entirely as the recipient chooses, i.e. there are no restrictions on how the transfer is spent.
Voucher	A paper or electronic coupon that can be exchanged for goods and/or services. Vouchers are either denominated as a cash value (e.g. USD 15) or as a set of pre-determined commodities or services (e.g. 5kg of maize or milling of 5kg of maize), and are redeemable with pre-selected vendors.

¹ From UNHCR's CBI Guidelines and CaLP's Glossary of Terms for CTP (2015)

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Introduction

Human rights underpin all aspects of UNHCR’s international protection work and provide a basic normative framework governing UNHCR’s protection and assistance activities, including in support to access water, sanitation and hygiene (WASH) services. UNHCR supports the full implementation by States of their obligations under international and human rights law as provided for, inter alia, in the 1951 Convention relating to the Status of Refugees, The Universal Declaration of Human Rights of 1948 (Article 25) and Articles 11 and 12 of the International Covenant on Economic, Social and Cultural Rights also call for all people, including refugees, to enjoy the right to a standard of living adequate for the health and well-being of himself and of his family. In November 2002, the Committee on Economic, Social and Cultural Rights adopted General Comment No. 15 on the right to water in Article I stating that the human right to water is indispensable for leading a life in human dignity. It is a prerequisite for the realization of other human rights.²

UNHCR aims to enable refugees to have safe access to water of sufficient quality and quantity and to improved sanitation and hygiene. The different settings and country context, in which UNHCR operates, determines the type and level of involvement of UNHCR in the support to the provision of WASH services for refugees.

Cash Based Interventions (CBI) are “the provision of money [or vouchers] to individuals or households, either as emergency relief intended to meet their basic needs for food and non-food items, or services, or to [access] assets essential for the recovery of their livelihoods”³. For UNHCR the defining detail of a CBI is that cash or vouchers are given to Persons of Concern (PoC) for them to effect payments themselves. UNHCR underscore the difference between cash and vouchers, highlighted in Box 1.

Box 1: UNHCR’s definition of cash and vouchers

- **Cash:** Provision of money directly to PoCs, such as in an envelope (cash-in-hand), or through an ATM, mobile phone, or a bank agent.
- **Vouchers:** A paper or electronic coupon that can be exchanged for goods and/or services. Vouchers are either denominated as a cash value (e.g. USD 15) or as a set of pre-determined commodities or services (e.g. 5kg of maize or milling of 5kg of maize), and are redeemable with pre-selected vendors.

Source: UNHCR (2016) What is and is not a Cash-Based Intervention. Internal Guidance Note

This report is based on a desk-based review of secondary data, comprising published material as well as grey literature, supplemented with key informant interviews for programmes that lacked documentation.

Section One summarises the current use of CBI in WASH programming. Section Two summarises the best practices and lessons learned including challenges faced, drawing on evidence from the project examples found. Section Three provides recommendations and best practice guidance for use of CBI in refugee settings. Section Four details existing tools and guidance.

² [http://www.unhcr.ch/tbs/doc.nsf/0/a5458d1d1bbd713fc1256cc400389e94/\\$FILE/G0340229.pdf](http://www.unhcr.ch/tbs/doc.nsf/0/a5458d1d1bbd713fc1256cc400389e94/$FILE/G0340229.pdf)

³ DG ECHO (2013); 3

I. Cash-Based Interventions and WASH: an Overview

I.1 Use of CBIs in the WASH sector: state of the evidence

CBIs have been used for WASH programmes to achieve outcomes in all three areas: water supply, sanitation and hygiene. This section and the following tables summarise the 23 programmes that were included in this review. Annex A provides further specifics on programme implementation and activities.

For water programmes CBIs have mostly been used to increase access to drinking water through a variety of water vendors, as well as to improve access to kits for water storage and treatment, repair and recover the piped water network and ensure maintenance of water supply.

Table 1: Summary of CBIs focusing on water provision

Type of intervention – water provision		Agency	Country	Context	Out of camp?	Modality
1	Access to drinking water through water vendors (truckers)	Oxfam	OPT	Protracted crisis (refugees)	Yes	voucher
2	Access to drinking water through water vendors (truckers)	Solidarites International	Somalia	Drought	Yes (rural)	voucher
3	Ensure maintenance of water supply	Oxfam	Bangladesh	Rapid onset	Yes (urban, rural)	CCT
4	Access to drinking water through water vendors (truckers and bottled water vendors)	Oxfam	Jordan	Displacement	Yes (Urban and ITS)	voucher
5	Access to safe water through provision of kits for treating and storing water	CRS	Benin	Rapid onset	Yes (rural)	voucher
6	Access to water through water vendors (water truckers)	ACF	Lebanon	Displacement	Yes (Urban and ITS)	
7	Access to water through water vendors (water truckers and small shops)	ACF	Philippines	Rapid onset	Yes (Urban and ITS)	voucher
8	Repair and recovery of the piped water network	Multiple	Philippines	Rapid onset	Yes	CfW
9	Access to water through water vendors (small shops)	ACF	CAR	Displacement	Yes	voucher
10	Repair and recovery of the piped water network	Oxfam	Philippines	Rapid onset	Yes	CfW

In terms of sanitation CBIs have been provided to support household construction of sanitation facilities by covering either the costs of materials or labour depending on the context, as well as CBIs to allow households to access desludging services. Most activities have focused on service provision at the household level.

Table 2: Summary of CBIs focusing on sanitation provision

Type of intervention – sanitation provision		Agency	Country	Context	Out of camp?	Modality
11	Oxfam, ACF, MedAir	Lebanon	Displacement	Yes (ITS)	voucher	voucher
12	CRS	Philippines	Rapid onset	Yes (Urban, rural)	CCT	voucher
13	Solidarites International	Bangladesh	Rapid onset	Yes (Urban, rural)	Cash transfer	CCT
14	CCCM Cluster agencies	Philippines	Rapid onset	Yes	CfW	voucher
15	ADESO (previously Horn Relief)	Kenya	Drought	Yes (rural)	CfW	voucher
16	Multiple including Save the Children; DRC; NRC	Lebanon, Jordan	Displacement	Yes	CCT or vouchers	
17	ACF	Philippines	Rapid onset	Yes	voucher	voucher

For hygiene programmes CBIs have been used to enable access to a range of hygiene products, replacing distribution of hygiene kits.

Table 3: Summary of CBIs focusing on hygiene provision

Type of intervention – hygiene provision		Agency	Country	Context	Out of camp?	Modality
18	Access to hygiene items	Solidarites International	DR Congo	Protracted crisis (IDPs)	Yes (rural)	voucher
19	Access to hygiene items	ACF	Ukraine	Displacement	Yes	voucher
20	Access to hygiene items	Oxfam	Haiti	Rapid onset	Yes	voucher
21	Access to hygiene items	Oxfam	Jordan	Displacement	Yes	voucher
22	Access to hygiene items	Oxfam	Lebanon	Displacement	Urban and ITS	voucher

Interest is growing in the humanitarian sector in the use of multipurpose cash grants (MPG) to simultaneously meet a wide spectrum of needs across multiple sectors through a single cash transfer. This review identified one example of the use of these unconditional, unrestricted cash transfers to improve WASH outcomes, the implementation of multi-purpose grants (MPG) for Syrian refugees in Lebanon and Jordan⁴. In both countries household water needs - the costs of purchasing water from private vendors - were factored into the Survival Minimum Expenditure Basket (SMEB) which forms the foundation for

⁴ The evidence relating to MPGs presented in the remainder of this review comes from the Lebanon context.

calculation of the MPG transfer value⁵. In the case of Jordan, the costs of desludging services were factored into the calculation of the SMEB but not in Lebanon. In Jordan the costs of hygiene items were factored into the Minimum Expenditure Basket (MEB) whereas in Lebanon they were included in the SMEB. It is interesting that hygiene items are considered differently in these two contexts – and key informants in this study were of the opinion that such needs are an essential survival item. This difference may reflect the challenge that agencies faced in setting sufficient transfer values for MPGs in a climate of great need and dwindling resources.

Table 4: Multi-Purpose Grants incorporating WASH needs

	Type of intervention	Agency	Country	Context	Out of camp?	Modality
23	Access to basic needs including water and hygiene items	UNHCR and Cash Consortium INGOs (Save the Children International; IRC; ACTED, Care, Solidarités, and World Vision)	Lebanon	Displacement	Yes (Urban and ITS)	MPG

While 23 initiatives have been identified in the WASH sector that have implemented or are implementing CBIs is a positive finding, there remains little in the way of rigorous documented learning or evidence from the use of CBI in WASH programmes in the form of evaluations, research, project reports or lessons learned studies. Only one study compared the use of CBI with alternative modalities (in-kind provision) and there are few independent evaluations. Of the above initiatives, the most detailed learning for this review came from six programmes. These are detailed as case studies in Annex B.

1.2 The potential of CBIs to meet the WASH needs of refugees

Section II details the key lessons learned from analysis of the case studies and any available evidence from the other project examples. Some overarching conclusions on the potential of CBIs to meet the WASH needs of refugees are summarised here:

- Available evidence points to strong potential for utilising CBIs to support access of refugees to water, in contexts where this is a service that people pay for. While in refugee camps, water and sanitation services are often provided free of charge, in many ‘out-of-camp’ situations, refugees need to purchase these services.
- In the only example of using CBIs for sanitation services (latrine desludging in Informal Tented Settlements in Lebanon), experiences were more mixed. Refugees were willing and able to pay for services through vouchers, however there were challenges on the supply side. The small sizes of household latrine pits (stipulated by the government) meant it was uneconomical for service providers to provide the service unless households could be visited collectively and they were reluctant to visit some informal tented settlements⁶. This shows the importance of taking into account the context and political factors in programme design. A similar programme in other contexts may not face such limitations.

⁵ Jordan Cash Working Group (2014); Lebanon Cash Working Group (2014)

⁶ Illustrated in Case Study 4 - vouchers for desludging latrines for refugees in Lebanon.

- There is evidence that CBIs can successfully support activities aiming to improve sanitation at the household level⁷. Cash transfers have successfully allowed households to purchase construction materials through the market and – in some cases – the labour required for the construction⁸. Expected benefits include stimulation of the local economy; enabling programming at a greater scale than is possible through in kind support to construction; and improved project impact on account of the increased ownership of the construction process by households⁹. There was no documented evidence of this expected impact due to the lack of evaluations and the tendency to focus on outputs rather than outcomes.
- The available evidence points to the strong potential for CBIs to support effective access to hygiene items in ‘out of camp’ settings. Experiences show advantages to beneficiaries, agencies, traders and the wider community from the use of vouchers for hygiene provision compared to direct provision of hygiene kits. No challenges were detailed in the literature. This is summarised in Figure 1. In contexts where markets are robust, offering choice to the consumer, and where refugees show high demand for such products (especially in MICs), there is real potential to reduce reliance on direct provision.

Table 5: Benefits of vouchers over in kind provision to meet hygiene needs in out of camp settings

Country	Benefits of CBI over hygiene kits	Source
Jordan	<ul style="list-style-type: none"> ▪ Freedom of choice to refugees in selecting which items they need. ▪ More convenient than queuing to receive NFIs. ▪ Satisfaction levels amongst beneficiaries were much higher. ▪ Saved time for the team and therefore more cost effective than providing the kits directly. ▪ Increased monthly revenues of traders by 8,000 JOD (11,000 USD). ▪ Helped integration of refugees in the host community, as they were contributing to the local economy. 	<i>Juillard (2014); Interviews</i>
Haiti	<ul style="list-style-type: none"> ▪ Freedom of choice to IDPs in selecting which items they need. ▪ Reduced security risks associated with mass distributions. 	<i>Brady and Creti (2012)</i>

- Ultimately much will come down to context. The vast majority of experiences of CBIs in the WASH sector to date have been in urban contexts. The growing trend in the movement of refugee populations to be supported in out of camp settings and particularly in urban areas is conducive to the greater adoption of CBIs by WASH actors. Whilst opportunity for CBIs is perhaps reduced in rural out-of-camp contexts due to factors such as isolation of communities and reduced likelihood of a monetised water or sanitation market system, contextual and market analysis is crucial and CBIs should still be considered as a modality to support greater access to hygiene items, improved household sanitation

⁷ For example an IASC project commissioned to identify the major challenges in humanitarian WASH programming found that sustainability and ongoing maintenance of latrines was a challenge and that CfW for such activities could contribute to this challenge when the CfW activity ended. It recommended that the focus of activity be at family or household level where possible. Luff (2014).

⁸ In contexts where elements of the Community-Led Total Sanitation (CLTS) methodology have been used, cash grants have been used for the materials only (noting that for full CLTS no subsidy of any kind is provided to households who are meant to build their own latrines and use them without external support).

⁹ Bryant and Campbell (2014). This was highlighted by agencies experimenting with cash for latrine construction in out of camp contexts in DR Congo, Philippines, Lebanon and Jordan.

and potable water where markets exist and where demand is there. In the case of sanitation, CBI approaches may be less successful in contexts where the population is on the ‘first rung of the sanitation ladder’ – for example, parts of Asia and Africa where open defecation is still common and which requires demand creation.

- UNHCR’s Operational Guidelines for CBIs encourage the use of cash over vouchers where feasible, and recommend that vouchers should be used only when required by programme objectives or the local context¹⁰. However the programmes listed above highlight the high use of vouchers as the default modality of choice in WASH programmes, with only limited use of cash transfers (conditional cash transfers (CCT) for sanitation provision; MPGs in Lebanon; and some cash for work (CfW)). This is due to worries concerning achievement of sectoral objectives as per agency mandates¹¹ and lack of quality control on WASH construction when using unconditional cash transfers. These issues are discussed further in Section Two.
- Labour intensive works within emergency WASH operations are considered to offer potential to simultaneously improve livelihood conditions whilst engaging beneficiaries in the construction of their own WASH services, promoting empowerment and ownership and improving operation and maintenance¹². However key informants in this study were more candid as to the opportunities to be gained from such activities. Some stated that whilst basic unskilled activities such as drainage clearance could be said to have a WASH outcome, much of the work in community sanitation provision requires contracting of skilled labour. These views are borne out by the limited literature – such as Oxfam’s experiences on CfW for sanitation provision for IDPs in the aftermath of the Haiti earthquake (Box 2). In the context of UNHCR’s work, in lengthy crises where funds tend to dwindle, such CfW activities are not really viable in the medium to longer term and it is considered better to manage sanitation needs at the household level wherever possible¹³.

Box 2: Experiences with CfW to improve sanitation in Haiti

Oxfam completed a lessons learned study of their WASH programme in Haiti that had used CfW as a tool for improving community sanitation for IDPs following the earthquake. This study reports that CfW is a livelihood tool, designed to provide cash to specific groups quickly, and is not necessarily an appropriate tool to use to undertake a defined construction task, where it may be more useful to hire daily labourers. It concludes that from a WASH perspective, camp drainage clearance was best achieved through using daily labourers under the management of the WASH Team rather than through pure CfW activities. Whilst CfW is associated with access to livelihoods, such activities require consideration of their likely sustainability and therefore value for money.

Source: Brady and Creti (2012)

¹⁰ UNHCR (2015a)

¹¹ A worry that WaSH-related expenditures will get crowded out by other competing needs.

¹² ECHO (2014)

¹³ Pers. Comm. UNHCR

II. CBI for WASH in Refugee Settings: Emerging Best Practices and Lessons Learned

II.1 Understanding WASH markets

II.1.1 Understanding WASH market systems is important for programme effectiveness

To design and implement sound CBIs, a thorough understanding of the market system for WASH commodities and services, supply and demand challenges and barriers to access is required. Previous reviews have highlighted the growing use of market analysis within the WASH sector¹⁴. Such assessments help in the design of responses that address barriers to access for WASH services for refugees, which can then support or even strengthen markets. Some of the benefits are illustrated in Annex IV.

Water markets, which comprise both public and private actors, can be complex. Water can be provided from a combination of piped municipal networks (mainly urban areas), community water sources (rural areas), by private truckers to roadside or houses, as well as small water vendors selling from small containers and bottled water sold in kiosks. The target population may also have preferences for particular drinking water sources, which will affect their demand for particular services¹⁵. Several WASH water programmes have undertaken market analyses to understand these markets and preferences, and have implemented CBIs (mainly vouchers) at the household level to overcome the economic challenges that populations face in accessing water through the commercial market, to good effect¹⁶. There is evidence that moving from in-kind distribution to CBIs can improve access of the most vulnerable and reduce unintended negative impacts on the local water market¹⁷. There is also evidence that designing CBIs without sufficient understanding of these market systems can lead to unintended negative impacts on the market and undermine the effectiveness of the programme¹⁸.

II.1.2 Limiting factors for effective application of market analysis

There are some challenges noted in the literature and by key informants that currently limit the effective application of market analysis in the WASH sector.

- i) Studies on the use of market analysis within the WASH sector have found that, although WASH practitioners are increasingly conducting market analyses as part of a situation analysis, the information is not being used to its full potential to influence programme design¹⁹. Specifically, these studies found that following a market analysis, agencies still tend to apply the same, limited, range of response options. Similarly, most CBIs identified in this review, despite many of them being informed by market analysis, have focused on vouchers rather than cash or indirect support to market actors. This could be due to a gap in knowledge regarding the uses of market analyses, although several of the market studies analysed recommend a range of potential response options

¹⁴ Smith and Mohiddin (2015); Juillard and Opu (2014)

¹⁵ Bauer and Wildman (2014); Juillard (2016). For example Oxfam's EMMA of the water market in Gaza found that 98% of Gaza's residents are connected to the water network, but the vast majority do not rely on it for safe drinking water due to a perception about poor quality. 87% of the population purchase drinking water from private vendors who own medium scale desalination units. This is despite the fact that 60% of this water tested at household level was contaminated by faecal coliforms (Oxfam 2013).

¹⁶ An example is illustrated in Case Study 2 – provision of water vouchers for refugees in Jordan.

¹⁷ Oxfam (2012b); Wildman, Brady and Henderson (2014)

¹⁸ This is illustrated in Case Study 1 - water voucher programme for refugees in Gaza.

¹⁹ Juillard (2016); Almadhyan and Dillon (2016)

including the use of cash. Rather this may be due to a tendency for agencies to programme within their 'comfort zone' and their previous experience, reflecting limited experience to date with cash as a modality and, more broadly, perceptions within the sector about the risks of cash. This issue is discussed further in Section II.2.

- ii) As noted in the literature²⁰, market systems include not only the value chain – all of the steps and actors involved in the production, processing, distribution and consumption of the good or service in question – but also the market environment and key infrastructure, inputs and services that are crucial for the market system's function, including factors affecting the regulation of those systems. Key informants in this study and the findings of CRS's scoping study consider that the analysis of governance issues and regulations is very important within the WASH sector, since the water market system can operate through powerful institutions and cartels and can also be sensitive from a political standpoint. It was considered that these elements are not sufficiently included in the standard market assessments.

II.1.3 CBIs can support market actors to overcome supply-side barriers in WASH markets

CBIs of the kind illustrated in Section I are designed to achieve WASH outcomes by improving demand for services. However, in order for such approaches to be effective, markets must be sufficiently robust to be able to effectively meet this increase in demand. If there are supply side barriers – either caused by the crisis or that were pre-existing - then providing CBIs alone to Persons of Concern will not be sufficient to ensure access and meet the required outcomes.

However this doesn't mean that CBIs cannot be considered in such contexts. The provision of CBIs to Persons of Concern is just one example of market-based programming. Besides direct support to families, agencies are beginning to consider working directly with market actors (including traders, private sector service providers and government and municipal bodies), in order to speed up market recovery, improve service quality and build capacity of markets and services to meet needs during a crisis²¹. CBIs are an important modality here too, with provision of cash grants to market actors to re-establish, expand or improve markets and services.

This review identified a number of existing or planned WASH programmes that include or propose such engagement with market actors. Most of these relate to the water sector - examples are listed in Annex D. These are recent and emerging initiatives so there is little evidence in terms of their impact. These examples though provide insight into the changing mind set of WASH practitioners to see WASH interventions not as separate to but as part of the market system and the evolution of programme design to engage with and support, rather than exclude and substitute, market actors. Available evidence from an evaluated programme in Gaza suggests that CBIs can be effectively used in this way to overcome both supply side and demand side constraints to refugees accessing WASH services – and of how it can even encourage adoption of new WASH practices at the household level²².

The example of the Lebanon water market in Annex D highlights the importance of taking into account customer perceptions about service quality in the planning of interventions. It also illustrates a risk factor to be aware of in the water markets of many countries – that private actors can exert considerable market power and undermine the development of more durable solutions based on regulated, piped networks²³. Agencies in Lebanon and Jordan are considering engaging with municipal service providers

20 IRC (2015); Juillard (2016)

21 Luff (2014); Bauer and Wildman (2014)

22 See Case Study 1 - water voucher programme for refugees in Gaza.

23 See also the experiences illustrated in Case Study 2 - water vouchers for refugees in Jordan.

on governance-related activities to improve network provision and water quality for host communities and refugees, alongside development of subsidised rates ('social tariffs') for greater access of poor households to these services. CBlS can complement such activities by providing subsidies to poor and vulnerable households. In contexts of long term displacement such activities can be considered as a means of linking relief to development and moving to more sustainable solutions. Long-term displacement and protracted crises offer potential to consider such programming options as part of a transition from relief to development.

II.2 Choice of modality - vouchers versus cash

II.2.1 Perceived risks of cash in relation to vouchers are not backed up by evidence

There is a preference amongst WASH practitioners to use vouchers over cash²⁴. Cash has been used for cash for work projects, and CCT has been used to support household level sanitation construction. The only use of unconditional/unrestricted cash identified has been the provision of MPGs to meet a variety of needs in the Syria response countries and Ukraine.

Key informants considered that there are two main reasons for using vouchers over cash. One is a concern over standards and public health objectives – particularly in the case of water provision or latrine construction. The issue of standards and public health objectives is discussed further in section 3.3. The other is the worry that WASH needs will not be prioritised over other household needs.

There is, however, no evidence to confirm either that provision of cash to households will create a WASH related public health risk or that families will ignore hygiene expenditure. This study also found no gender-disaggregated data or any evidence to suggest that the needs of women and children will be ignored. Rather these are perceptions within the sector.

Furthermore several key informants pointed out that it is a fallacy that the use of vouchers can 'control' people's expenditure. For example, vouchers for water provision will not safeguard public health since generally beneficiaries will continue to supplement water provided through humanitarian aid with their own income and from their choice of supply. Whilst in hygiene voucher programmes, vouchers may be exchanged for other non-approved commodities in the store, or the approved commodities are resold for cash. This study found a number of hygiene voucher programmes where beneficiaries had reportedly exchanged or tried to exchange vouchers for other needs such as food²⁵. When faced with the evidence that households are making such choices on voucher programmes, some programmes have then reverted back to more restricted modalities such as in-kind assistance²⁶. However, there is also evidence of resale or exchange by beneficiaries of in-kind items provided in WASH programmes, just as is recognised with in-kind aid in sectors such as food security²⁷. In the WASH sector as in other sectors, restricting expenditure choices in contexts where households have additional needs - and a need for cash to meet these needs – is not a guarantee of the desired consumption by the programme's target group.

24 Juillard and Opu (2014)

25 Oxfam in Jordan, ACF in Lebanon, and Oxfam in Haiti

26 Some agencies in Lebanon have reverted to in kind provision after facing such challenges on their voucher programmes.

27 Interview with Oxfam Jordan.

II.2.2 Effectiveness of unrestricted cash transfers to meet priority needs

Indeed, limited evidence on the use of unrestricted cash transfers²⁸ suggests that in the first phase of an emergency people prioritise food, water and shelter and that after these needs are satisfied, hygiene needs are included. In the case of the MPG in Lebanon, where costs of water purchase and hygiene items were included in the value of the grant along with a variety of other needs, evaluation shows that these unconditional and unrestricted cash transfers were effective in meeting household water and hygiene needs, with households choosing to purchase both items – after other essentials such as food needs were met. There is also evidence that between 13-17% of beneficiaries using some of the grant to improve sanitation facilities at the household level, something that was not factored into the grant calculation, illustrating the value of unrestricted cash in allowing households to prioritise their most important WASH needs²⁹.

The key lessons here are as follows:

- i) As with any sectoral programme, the level of expenditure on WASH commodities and services with a cash transfer, or the extent of ‘reselling’ on a voucher programme, will depend on the total income a family has at their disposal to meet their various needs. This illustrates the importance of considering needs holistically rather than sectorally.
- ii) This evidence is suggestive that, in contexts where refugees meet a multitude of recurrent basic needs through the market, then giving cash assistance without restrictions can allow recipients to make their own decisions according to their needs and that they will focus on needs that are essential for survival. The extent to which WASH expenditures are prioritised by households will depend on the needs of households, the value of assistance provided and which of these needs have been factored into the grant calculation³⁰.
- iii) Moving towards unrestricted cash to meet needs across sectors necessitates a change in focus of programme objectives – not only for WASH practitioners but for all sectors. The MPG evaluation in Lebanon shows that in this context MPGs contributed to improved wellbeing, as measured by expenditures, in a number of areas. The study concludes that it is this overall picture of increased wellbeing, including ability to cope and mental wellbeing (or ‘happiness’) of beneficiaries, rather than achievement of specific sectoral objectives, that is a major validation of the MPG approach as a means to deliver basic assistance to refugees in this context.

II.2.3 Advantages and disadvantages of using vouchers in WASH programmes

Experiences of agencies that have piloted vouchers in WASH programmes do highlight a number of advantages, as listed in Figure 2, and they are a valid modality in the appropriate context. However, practitioners also highlight various challenges with implementing through vouchers compared to cash³¹.

28 This includes evidence from the use of MPGs in Lebanon included in this review, as well as the use of unrestricted cash transfers by Oxfam in response to Typhoon Haiyan in Philippines (Pers. Comm. Oxfam GB - based on PDM data from Oxfam’s cash programming in Philippines).

29 This is detailed in Case Study 6 - use of MPGs to meet WaSH needs of refugees in Lebanon.

30 There is currently work on going in Lebanon to refine the SMEB and the transfer value for MPGs and the WaSH working group actors are being asked to consider whether more WaSH needs can and should be included (Source: interviews).

31 Case Study 5 - experience with hygiene vouchers for refugees in Lebanon - also highlights limitations of the voucher modality and the potential for cash transfers to overcome these.

Table 6: Advantages and limitations of vouchers compared to cash on WASH programmes

Advantages (compared to cash)	Challenges (compared to cash transfers)
Framework agreements or MOUs between the agency and trader/service provider means it is possible to negotiate on prices, or stocked items.	With mobile populations such as refugees, beneficiaries can move out of the area covered by their desludging/ water trucking contractor or far away from participating stores, and cannot use their vouchers.
In the case of water trucking/desludging, such agreements provide a guarantee to the service provider of the size of the order which may be needed to ensure more isolated areas are visited. Agencies can also enforce this contract if need be.	Vouchers become a currency and some refugee households have been observed to resell vouchers – or to exchange them for other items such as food.
Gives clarity to small shops on which items they need to stock.	Items bought with vouchers can be excluded from the shop special offers.
Can enable a market based approach and allow beneficiaries to access commodities in a normal and dignified fashion and in a way that's beneficial for local businesses, where there are government restrictions on use of cash.	Labour intensive for the agency to administer: voucher preparation and reconciliation; contract negotiation; and awareness raising for beneficiaries, making this a difficult approach for a first-phase response,

Source: interviews; Juillard (2016); Oxfam (2014a, 2014b; 2015c) Brady and Creti (2012); Boulinaud (2015)

II.3 The effectiveness of using mixed modalities on WASH programmes

II.3.1 CBIs can complement rather than replace other forms of support

What is clear from the programmes to date is that CBIs are not replacing all 'in kind' WASH interventions – rather they are being used to good effect to complement direct support. Experiences of these 'mixed methods' approaches are illustrated in Figure 3. As an example, the EMMA report on the Lebanon water market recommends a host of potentially relevant activities within the acute phase of the emergency and beyond, including CBI, hard and software provision³². Key informants were quite vocal in their support for such an approach during response analysis compared to an "either – or" approach when selecting response options. Evidence from these mixed modality programmes shows that CBIs can still be an appropriate modality for meeting some identified needs whilst complementary activities such as technical assistance, 'software' and messaging can improve the effectiveness of the CBI³³.

³² Oxfam (2014a)

³³ Case Study 1 - water voucher programme for refugees in Gaza - is another example.

Table 7: Examples of ‘mixed modalities’ on WASH programmes

Country	Outcome	Mixed modalities	Source
Lebanon	Water	Cash plus in kind: Water vouchers for purchase of water from private vendors and distribution of tanks to improve the capacity of the household for safe water storage.	<i>Juillard (2016)</i>
Benin	Water	Cash plus training: In 2013 in Benin heavy rains resulted in widespread flooding which affected livelihoods and contaminated the main water sources. Humanitarian voucher fairs were used to meet the immediate needs of households. Vouchers could be redeemed for a variety of goods including kits to treat and store water. Hygiene promoters provided sensitisation for participants in how to properly filter, treat, and store water.	<i>CRS (2010)</i>
Philippines	Sanitation	Cash plus training, plus direct build: On their programme providing CCT for families to rebuild shelter and latrines, for those families who would struggle with constructing their own latrines (female headed households and the elderly and disabled) CRS continued to provide in kind support.	<i>Source: Ahmed and Hrybyk (2016)</i>

II.3.2 The importance of the software side of WASH

The IASC study on actions needed to overcome humanitarian programming challenges in the WASH sector highlights the need to focus more on such soft skills as a way of sustaining longer term adherence to things such as water treatments. The study notes that hygiene promotion activities³⁴ during emergency responses have increased – though there remains an evidence gap on the effectiveness of such approaches in emergencies³⁵.

Key informants were in agreement that CBI are unlikely to be able to, nor should they, substitute for the ‘software side’ of WASH programming such as community mobilisation, person to person interaction, hygiene promotion, training in the use of WASH hardware, and behaviour change communication. However there was interest in the potential to combine these activities with CBIs as a means to improve demand creation and the sustainability of outcomes on emergency programmes.

There is little yet in the way of evidence on the effectiveness of combining CBIs with software activities³⁶, however the evaluated experiences of Oxfam Gaza provide some indication of the potential³⁷. Given the increasingly protracted nature of refugee crises, such longer-term investments can be considered more feasible. Success will depend on a detailed understanding of the community through contextual analysis and the barriers to adoption that existed prior to the crisis.

With regard to the software side, the literature³⁸ highlights a concern of practitioners within the sector that the use of CBI in WASH programmes aiming to incentivise the adoption of certain behaviours by the target population may be counterproductive to sustained behaviour change. It is important for emergency CBIs not to undermine long-term behaviour change and to complement national development programming. However this also needs nuancing. In certain emergency contexts, refugee populations could be justifiably supported financially to invest their time in such construction activities if they have no livelihood. Furthermore, provision of cash for attending training or hygiene promotion sessions may be appropriate

34 Such as Participatory Hygiene and Sanitation Transformation (PHAST) and Community Led Total Sanitation (CLTS)

35 Luff (2014)

36 As WSUP (2011) points out, currently there is no evidence on whether and how CBI influences voluntary activities such as hygiene promotion or whether conditional or unconditional interventions influence public health outcomes.

37 Documented in Case Study 1 - water voucher programme for refugees in Gaza.

38 Juillard and Opu (2014); Luff (2014)

in particular contexts where there is a defined need, such as to cover transport costs or to compensate participants for time away from livelihoods. This illustrates the importance of strong contextual analysis to inform the response.

II.4 The cost efficiency of using CBIs in WASH programming

This review searched the available literature for any evidence on the efficiency of CBIs in WASH interventions. There are few evaluations or comparative studies available (see Case Study 3 as an example). This review also included anecdotal evidence of experiences shared by key informants on voucher programmes in Annex E. It appears that generally the use of CBIs can be expected to be more efficient (in terms of financial cost and speed of delivery – particularly when delivered at scale) in comparison to direct provision. However context will play a big part³⁹.

II.5 Maintaining quality standards on WASH programmes using CBIs

One of the main reasons given for a reluctance to move forward with CBIs (particularly cash transfers) in WASH programming is because of concerns over public health. As mentioned in CaLP's review⁴⁰, practitioners in the WASH sector have invested a great deal in designing interventions that meet certain specifications for ensuring potable water and safe storage and disposal of household and sanitary waste. Concerns about the risk that using unrestricted cash will undermine achievement of sectoral standards have been voiced by Shelter practitioners⁴¹ and were also raised by WASH and shelter practitioners in the 2016 CaLP/SPHERE workshop⁴². Risks highlighted here, and from key informants in this study, include purchase of poor quality water; non-treatment of water; poor construction of latrines or construction in a location that creates a public health risk; and refusal to de-sludge.

As a number of key informants acknowledged, however, and confirmed by the evidence sourced for review, this remains a perception rather than an evidence-based risk since there has been almost no piloting of cash based approaches within water or sanitation programmes, and very little documented evidence to date from the few programmes that have used cash transfers or MPGs.

At the CaLP/SPHERE workshop, participants highlighted what could be seen as 'double standards' for CBIs – in that there is little monitoring of how Sphere-compliant items provided 'in kind' are used, or whether they are useful. Participants suggested that CBIs give an opportunity to programme better, since to achieve quality standards programmes must take into account community priorities and preferences and engage with market actors in different ways⁴³.

39 Illustrated in Case Study 4 - vouchers for desludging latrines for refugees in Lebanon.

40 Juillard and Opu (2014)

41 Whilst MPGs are seen as very effective to meet beneficiaries' basic needs, the shelter sector has concerns on how MPGs or unrestricted cash used for self-built construction can effectively provide safe and adequate housing achieving the desired quality of shelter provision, highlighting risks that "Beneficiaries can be left with unsafe or incomplete buildings, lack of tenure security, lasting debts and increased vulnerability". Global Shelter Cluster (2016).

42 CaLP/Sphere Project (2016) – in May 2016 CaLP and the SPHERE project held a workshop for practitioners to discuss needs and concerns of the sector in the setting of SPHERE standards for the use of CBIs in WaSH and Shelter programmes.

43 CaLP/Sphere Project (2016)

The literature does provide some strong examples of how agencies have been able to ensure that quality standards on WASH programmes are met through CBIs⁴⁴. These show that interventions seeking to improve refugee's access to water and sanitation through cash or vouchers can still comply with standards providing adequate contextual analysis is undertaken and that mitigating measures and strong monitoring are put in place to address risks. Measures could include engagement with service provider/vendors to improve the quality and accountability of their services as well as sensitisation, technical advice and capacity building for beneficiaries.

II.6 Importance of monitoring outcomes and impact

As highlighted above, there are a number of perceptions of CBIs amongst WASH practitioners that are not borne out by evidence.

As pointed out in CaLP's study⁴⁵ and confirmed by key informants here, a lack of evidence on the use of CBIs in WASH programmes has made practitioners cautious in implementing new initiatives. However without greater investment in piloting new approaches, accompanied by adequate monitoring and rigorous evaluation of outcomes and impact, this barrier is perpetuated⁴⁶.

Part of the challenge is because the use of CBIs – certainly the use of unrestricted modalities – gives greater freedom of choice to beneficiaries on what they purchase and therefore it is harder to measure attainment of sector-specific objectives. Monitoring activity on CBIs must go beyond output level indicators that are the usual level of analysis for the WASH sector to capture data on expenditure choices and, ideally, outcomes from these choices. Monitoring should also include broader impacts of programme activities on the community and market⁴⁷. These are more difficult to measure, as they do not exist in a single dimension and are time and resource consuming. Discussions at a recent WASH and Markets Learning Event⁴⁸ highlighted that there is no accepted monitoring and evaluation (M&E) framework to assess the benefits of market-based programming or to compare market-based with conventional in-kind emergency responses⁴⁹.

44 Case Study 3 - CCT for reconstruction of latrines in Philippines – shows how standards for latrine construction were met using cash transfers. Case Studies 1 and 2 focusing on water vouchers in Gaza and Jordan respectively – show how these interventions ensured the quality of the water accessed through CBIs.

45 Juillard and Opu (2014)

46 Almadhyan and Dillon (2016)

47 Almadhyan and Dillon (2016)

48 In November 2015 the annual meeting of the Global WaSH Cluster hosted a learning event on markets, in order to build understanding of and share experiences of market analysis, market based programming and use of CBIs in the WaSH sector (IRC 2015).

49 IRC (2015)

III. Recommendations

As there is limited robust monitoring and evaluation of CBIs, the benefits, successes and challenges for the WASH sector are still not fully known. However, the available evidence shows that there is strong potential to use CBIs to support refugees' access to a number of WASH commodities and services, in out of camp contexts where markets are accessible and diverse and where water and sanitation services must be paid for. Moving forwards, all stakeholders should document experiences and learning, including successes and challenges, and share them widely to enable a better understanding of the opportunities and constraints of CBIs for WASH.

As with all CBIs, the possibility of using CBIs for WASH needs to be subject to a thorough response analysis to understand what would be the most appropriate way of delivering assistance. This can be cash, vouchers, in-kind or a combination.

While CBIs are a relevant modality for WASH, the following aspects require additional considerations:

- Diversion of funds from WASH related uses and potential public health implications;
- Risk of less control for women on the expenditure (including for menstrual protection products);
- Damage to small traders / businesses;
- Risk for poor quality of construction, including health and safety related and restricted power of individuals / families to remedy the problems;
- Challenges of measuring attainment of sector-specific objectives.

The following table provides the recommendations for CBIs related to WASH in refugee settings. These should be considered alongside the CBI operations management cycle, as outlined in the UNHCR Operational Guidelines for Cash-Based Interventions in Displacement Settings.

Table 8: Key considerations to meet WASH objectives

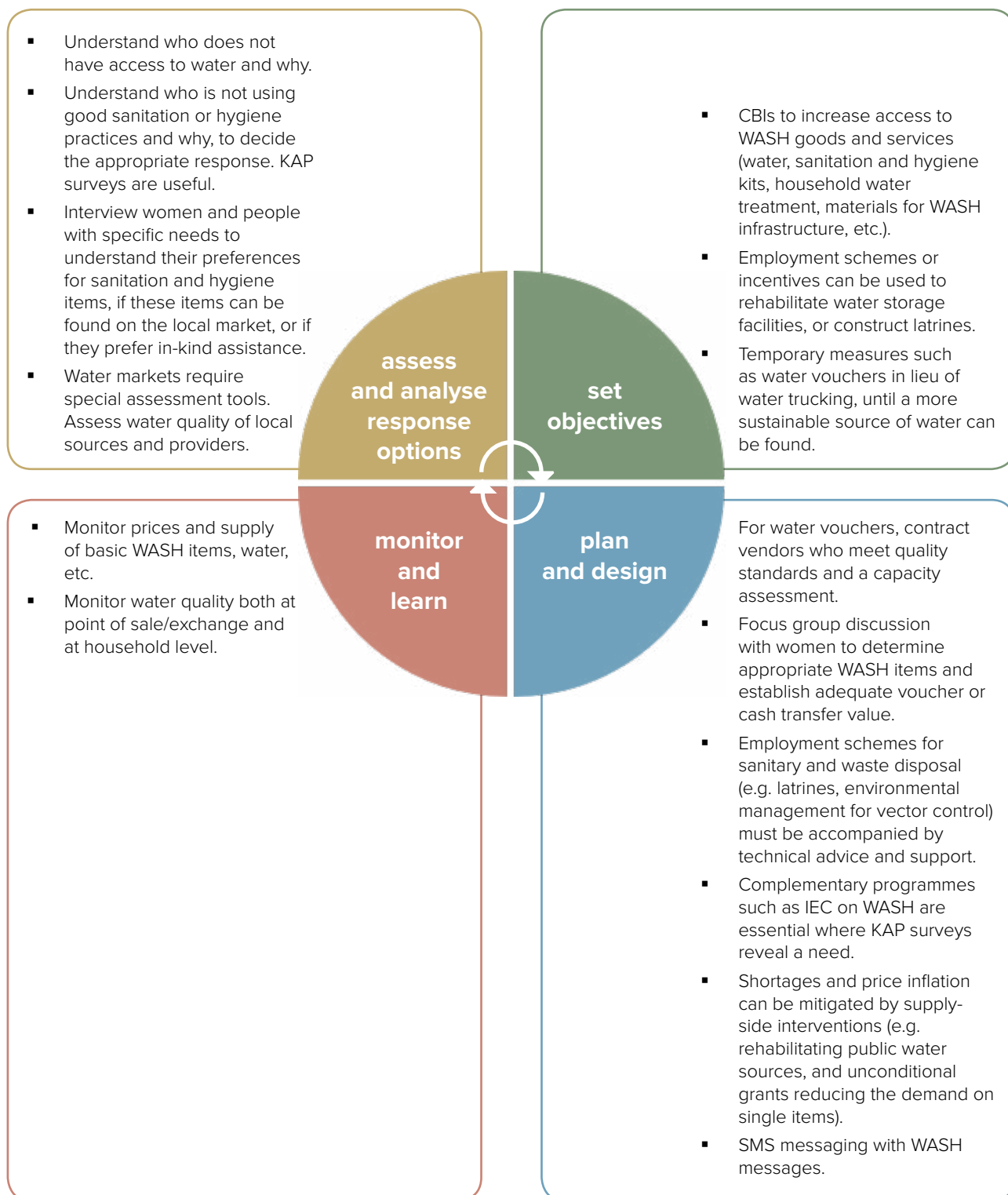


Table 9: Recommendations for cash based initiatives related to WASH in refugee settings

Step	Key actions	Considerations
<p><u>Step 1</u></p> <p>Barrier and capacity analysis and market assessments</p>	<p><u>People:</u></p> <ol style="list-style-type: none"> Identify the barriers to accessing and using commodities and services – supply and demand. <p><u>Markets:</u></p> <ol style="list-style-type: none"> Use existing market assessment tools, Pre-Crisis Market Mapping and Analysis (PCMMA) or Emergency Market Mapping and Analysis Tool (EMMA) and adapt to focus on WASH sector needs. <p><u>Emergency response:</u></p> <ol style="list-style-type: none"> Identify the capacity of programme teams to support CBIs and their support needs. Understand the level of welfare support being provided across sectors <p>Decision on Transfer Modality:</p> <ol style="list-style-type: none"> Decide which is the most appropriate modality or combination to implement the WASH programme 	<p><u>Barrier and capacity analysis:</u></p> <ul style="list-style-type: none"> Understand the barriers and obstacles that refugees and host communities face in accessing commodities and services: both supply and demand; to establish whether CBIs might be a suitable option alone or may require complementary strategies. <ol style="list-style-type: none"> <u>Demand:</u> Understand the attitudes, behaviors, priorities and purchasing power of the affected populations; willingness and ability to pay; as well as mobility of populations. <u>Supply:</u> See market assessments below. Assess the capacity of programme teams and implementing partners to design and implement CBIs; and possible support needs. Understand the level of welfare support across sectors; to establish the risk that funds might be diverted to other needs. <p><u>Market assessments:</u> Assess / identify / consider:</p> <ul style="list-style-type: none"> Whether and how markets (such as for drinking water supply; hygiene items; construction materials; desludging services) are functioning and accessible. Key market actors and governance systems – public and private; large, medium and small-scale. The quality of WASH products and services and required economies of scale (for example for pit desludging or water tanker supplies). The cost of accessing markets and services and whether the markets can respond to increased demand and supply. Existing regulatory framework for the product and services and how this affects CBI. The options for mechanisms to deliver cash or vouchers to refugees / host communities in a safe and secure manner; and whether the security context will allow the delivery of cash without creation of protection risks. The cost-effectiveness of the key options. The human resources implications for managing such a programme. <p>Transfer Modality:</p> <ul style="list-style-type: none"> Consider mixed transfer modalities, such as: <ol style="list-style-type: none"> Part provision of CBI plus some hardware or NFIs; or CBI + training; or CBI + hygiene promotion. Possible variations over time; such as survival NFIs (jerrycans, jugs, buckets, soap, etc) immediately on arrival and then move to CBIs; CfW as a livelihood tool for initial period; and the transition from the immediate emergency, to transitional, to longer-term recovery phases.

Step	Key actions	Considerations
<p><u>Step 2</u> Designing WASH CBIs</p>	<ol style="list-style-type: none"> 1. Identify the potential CBI delivery mechanisms in the given context and options for all people including the poorest / most vulnerable. 2. Design CBIs considering needs, strengths of the market, and opportunities for further strengthening, monitoring and control. 3. Design and undertake capacity building of implementers for CBI interventions. 	<ul style="list-style-type: none"> <input type="checkbox"/> Where possible, design strategies together with other sectors, to ensure households have adequate funding to cover basic needs in other sectors to reduce the risk for fund-diversion from WASH. <input type="checkbox"/> Establish whether different strategies are needed for people who are the poorest, most vulnerable or whose property is most damaged; as well as the general affected populations; and consider who is likely to control the cash or voucher resources within the household. <input type="checkbox"/> Design targeting strategies considering effectiveness, protection and equity and inclusion. <input type="checkbox"/> Consider mixed transfer modalities such as: <ol style="list-style-type: none"> a. Part provision of CBI plus some hardware or NFIs; or CBI + training; or CBI + hygiene promotion. b. Possible variations over time; such as survival NFIs immediately on arrival and then move to CBIs; CFW as a livelihood tool for initial period; and the transition from the immediate emergency, to transitional, to longer-term recovery phases. <input type="checkbox"/> Choose the delivery mechanism(s) for the CBI: such as various forms of cash transfers; vouchers; contributions to multipurpose cash grants; social tariffs. <input type="checkbox"/> Based on the above considerations, and the CBI Operations Management Cycle, establish a Standard Operating Procedure (SOPs) for the CBI. <input type="checkbox"/> Design and undertake capacity building on CBIs generally, and the specific SOPs, for: <ol style="list-style-type: none"> a. Suppliers (private sector; government or other) b. Implementing agencies to support CBI approaches; including monitoring and evaluation
<p><u>Step 3</u> Implementing WASH CBIs</p>	<ol style="list-style-type: none"> 1. Build relationship with service providers, monitor and provide on-going support. 2. Implement CBI, feeding back in learning from on-going M&E. 3. Establish strong communication with communities for awareness raising and feedback. 	<ul style="list-style-type: none"> <input type="checkbox"/> Build relationship with service providers, monitoring their progress and providing on-going support to respond to gaps (such as building capacities of builders in new designs and health and safety; in suppliers of particular products) <input type="checkbox"/> Implement the CBI, if possible initially on a pilot basis, scaling up over time and feed in learning from monitoring (see next section), modifying approaches where needed. <input type="checkbox"/> Establish strong communication with communities to: <ol style="list-style-type: none"> a. Increase awareness on good practices in sanitation and hygiene; including needs for menstrual hygiene and incontinence. b. Sensitize on basic minimum quality required for materials. c. Provide technical assistance for construction, or training (such as on use of water filters). d. Establish feedback mechanisms and channels to enable affected populations to report problems and to ask for technical support.

Step	Key actions	Considerations
<p><u>Step 4</u> Monitoring WASH CBIs</p>	<ol style="list-style-type: none"> 1. Establish monitoring and evaluation system from the start of CBI process. 2. Where possible undertake research to compare CBI approach versus direct supply of NFIs to build evidence-base. 3. Document and share learning and feed back into on-going processes. 	<ul style="list-style-type: none"> <input type="checkbox"/> Establish monitoring and evaluation system from the start of the CBIs, to ensure effectiveness and to provide increasing evidence for the WASH sector on the benefits, effectiveness and challenges of CBIs. Complaints response mechanisms, as mentioned in the previous section, can also contribute to monitoring of CBIs from a WASH perspective. <input type="checkbox"/> Where possible undertake research to compare CBI approaches to direct supply approaches in parallel areas, to build the evidence-base. <input type="checkbox"/> Ensure that monitoring, evaluation and other forms of learning include a particular focus on: <ol style="list-style-type: none"> a. The needs of the poorest and most vulnerable members of the affected populations to ensure that strategies meet their WASH needs and are effective for all. b. Protection and accountability of populations including health and safety re construction. c. Quality of construction, services and products. d. Risk areas for diversion of funds and where there may be less power for decision-making on expenditure in the household; such as for menstrual products for women and girls. <input type="checkbox"/> Document and share learning (successes and challenges) and feed back into on-going processes. <p><u>Recommended focus for outcome/impact measurement:</u></p> <ol style="list-style-type: none"> 1. Desirable market results from outcome/impact measurement: <ul style="list-style-type: none"> • Functional and healthy market • Increased availability of quality of products in the market • Increased demand for quality products in the market 2. Desirable social results from outcome/impact measurement: <ul style="list-style-type: none"> • Increased sense of well-being • Positive impacts related to gender (access to WASH facilities and gender-NFIs), protection (WASH infrastructural safety) and inclusion of vulnerable people • Improved shifts in income and gender perception 3. Desirable sector-specific results from outcome/impact measurement: <ul style="list-style-type: none"> • Decreased disease rate • Quality of, use and maintenance of any constructed infrastructure • Increased labour capacity in construction

IV: Tools and Guidance

The following tools and guidance for CBIs in the WASH sector were identified in this review.

IV.1: Market analysis tools

There are several different market analysis tools to choose from. The tools most commonly used to date by the WASH sector include EMMA and PCMMA.

Practical Action (2010) The Emergency Market Mapping and Analysis Toolkit. IRC, Oxfam, InterAction and Practical Action.

Available at: <http://www.emma-toolkit.org/practical-guidance>

IRC (2016) Pre- Crisis Market Analysis Toolkit. Oxfam/IRC.

Available at <http://www.emma-toolkit.org/practical-guidance>

CaLP provides a useful comparison of the various market analysis tools here:

<http://www.cashlearning.org/markets/humanitarian-market-analysis-tools>

Previous reviews identify that these tools have been primarily developed as FSL tools⁵⁰. The conclusion of these reviews and of the WASH and Markets Learning Event was that these existing guidance and tools are largely sufficient for the WASH sector, however there is a need for sector-specific contextualisation of the guidance – for example when it comes to the terminology used and greater attention to the complex market systems such as those for water and rental markets⁵¹. One review has identified this lack of sector-specific guidance as the number one barrier to conducting market analysis in WASH and Shelter programming⁵². Oxfam’s guidance below can be useful in this respect:

Oxfam GB (2014) Market Analysis Application in WASH Response. Oxfam GB.

Available at: <http://www.cashlearning.org/resources/library/589-market-analysis-application-in-WASH-response>

IV.2: Technical guidance on use of CBIs in WASH

Reviews⁵³ have pointed out that WASH standard manuals and procedures have been developed with in-kind delivery in mind, and that they do not integrate CBI approaches. There appears to have been very little further development in this regard.

UNHCR now have a draft WASH manual and this makes mention to use of CBIs as a modality for achieving WASH outcomes.

UNHCR (2015b) Draft WASH Manual. UNHCR.

50 Almadhyan and Dillon (2016); Juillard (2016)

51 Also noted by the Global Shelter Cluster (2016).

52 Almadhyan and Dillon (2016)

53 Juillard (2016)

IV.3: Guidance on designing and implementing CBIs

There is a whole range of global and agency-specific guidance and standard operating procedures (SOPs) for designing and implementing CBIs that have their origins in the FSL sector. Previous reviews have highlighted the need for guidelines to speak “WASH” language⁵⁴. There has been some progress here, with various new guidelines that are designed to be used across sectors, as well as development of specific operational guidelines on MPGs. There are also guidelines and SOPs that have been developed for particular refugee country contexts or programmes.

UNHCR (2015) Operational Guidelines for Cash-Based Interventions in Displacement Settings. Geneva: UNHCR

Available at: <http://www.refworld.org/docid/54d387d14.html>

ERC (2015) Operational Toolkit for Multi-Purpose Grants. ERC Project (managed by UNHCR).

Available at <http://www.cashlearning.org/mpg-toolkit/>

Oxfam GB (2013) Working with Markets and Cash Standard Operating Procedures and Guidance Notes. Oxfam GB.

Available at: [http://www.cashlearning.org/downloads/sops-cash-and-market--\(2\).pdf](http://www.cashlearning.org/downloads/sops-cash-and-market--(2).pdf)

Somalia WASH Cluster (2013) Water Access by Voucher Guidelines. Somalia WASH Cluster.

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Wildman, T. (2012) Technical Guidelines On Water Trucking in Drought Emergencies (Horn and East Africa Region). Oxfam GB.

Available at: <http://reliefweb.int/sites/reliefweb.int/files/resources/Technical%2BGuidelines%2Bon%2BWater%2BTrucking%2Bin%2BDrought%2BEmergencies.pdf>

Shelter Core Working Group Lebanon (2016) Guidelines for the Rehabilitation of Sub-Standard Buildings (SSB). Lebanon Inter-agency Shelter Sector Coordination Working Group.

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54 Juillard (2016)

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Annex A

Project Examples Included in the Review

i) Project Examples Included in the Review

ii) Meeting sanitation needs

iii) Meeting hygiene needs

iv) Meeting water, sanitation and hygiene needs through multi-sectoral programme

i) Project Examples Included in the Review

	Type of intervention	Agency	Country	Context	Out of camp?	Modality	Detail	Source
1	Access to drinking water through water vendors (truckers)	Oxfam	OPT	protracted crisis (refugees)	Yes	voucher	In Gaza, 98% of residents are connected to the water network, but they do not rely on it for safe drinking water. 87% of the population purchases water from private vendors who own medium-scale desalination units. In 2012, Oxfam implemented a three-month activity to cover the drinking water needs of 696 households. Six-and-a-half litres per person per day were distributed through paper cash-vouchers that were exchanged for safe (chlorinated and desalinated) drinking water from water vendors.	Oxfam (2013); Juillard and Opu (2014)
2	Access to drinking water through water vendors (truckers)	Solidarités Internationales	Somalia	drought	Yes (rural)	voucher	The Gedo region in southern Somalia is served by open water sources that are seasonal, small in size and unreliable during extended dry seasons. When water source dries up, local vendors truck water from boreholes around 30 kilometres away from the households. Solidarités International provided 30 litres of water per day to 850 households in the dry season of 2013 and 2014.	Juillard and Opu (2014)
3	Ensure maintenance of water supply	Oxfam	Bangladesh	Rapid onset	Yes (urban and rural)	CCT	In 2009 in the aftermath of Cyclone Alia in Bangladesh, Oxfam implemented a WaSH project in the early recovery phase that including community-oriented water point Operation and Maintenance (O&M). Each WaSH committee was provided with a conditional cash grant for them to cover maintenance costs and open a bank account.	Juillard and Opu (2014)
4	Access to drinking water through water vendors (truckers) and bottled water vendors	Oxfam	Jordan	Displacement	Yes (Urban and ITS)	voucher	In 2013 Oxfam started a project to cover Emergency WaSH needs in the urban areas of Balqa and Zarqa governorates in Jordan. At that time there were 540,000 Syrian refugees in Jordan, 75% in host communities. Most of the population living in rented accommodation benefits from a connection to the public water system and to sanitation facilities, however supply is highly rationed and delivery is irregular in the summer months. Water access depends on the water storage capacity and water pressure at the household level. The water deficit (approx. 16 litres per person per day on average) is made up by people purchasing water from private tankers or water vendors at 20 to 46 times the price and representing a significant portion of refugee household expenditures (between 10 to 33%).	Oxfam (2013a; 2014c); Interview

	Type of intervention	Agency	Country	Context	Out of camp?	Modality	Detail	Source
5	Access to safe water through provision of kits for treating and storing water	CRS	Benin	Rapid onset	Yes (rural)	voucher	In 2013 heavy rains resulted in widespread flooding which reduced local population's access to livelihood sources, lost assets and contaminated the main water sources. CRS organised "humanitarian voucher fairs" to meet the immediate needs of households in So-Ava. This approach brought the market to the affected population and beneficiaries used vouchers to purchase essential food and nonfood items of their choice. The voucher system included vouchers for a kit to treat and store water.	CRS (2010)
6	Access to water through water vendors (water truckers)	ACF	Lebanon	Displacement	Yes (Urban and ITS)		In 2015 ACF started piloting the use of paper in delivery and monitoring of water to refugee populations living in host communities in Bekaa valley through water trucking companies. In 2016 ACF plans to pilot the use of e-vouchers in the delivery of these WASH services in the Bekaa, using their Kit for Autonomous Cash transfer in Humanitarian Emergencies (KACHE).	Interview
7	Access to water through water vendors (water truckers and small shops)	ACF	Philippines	Rapid onset	Yes (Urban and ITS)	voucher	In response to Typhoon Haiyan in Philippines, ACF distributed vouchers for affected households to access water. ACF provided tanks directly and vouchers for filling them. In most areas vouchers could be redeemed with water trucking companies; in more remote rural areas that trucks cannot reach agreements were made with small water vendors to accept vouchers for water sold by the jerry can and distributed by bicycle.	Interview
8	Repair and recovery of the piped water network	Multiple	Philippines	Rapid onset	Yes	CfW	In the response to Typhoon Sendong, the WASH Cluster worked with the Food Cluster and utilised "Cash for Work" programmes to help supplement the workforce of the water service provider to hasten the restoration of the water service. This additional labour undertook unskilled tasks such as the demolition and clean up of destroyed pump house sites. It also assisted the service provider in locating and terminating connections at totally destroyed houses, and excavating for piping repairs and clean up drives around the spring source.	WASH Cluster Philippines (2012)

	Type of intervention	Agency	Country	Context	Out of camp?	Modality	Detail	Source
9	Access to water through water vendors (small shops)	ACF	CAR	Displacement	Yes	voucher	For 9 months in 2015 ACF implemented a programme for emergency provision of safe water to communities around Bangui, Bimbo and Bégoua. Alongside activities to improve water supply, through rehabilitation of boreholes and water 43 kiosks, vouchers were given to 500 extremely vulnerable families that could be redeemed for water at the water kiosks.	ACF (2016)
10	Repair and recovery of the piped water network	Oxfam	Philippines	Rapid onset	Yes	CfW	In the aftermath of Typhoon Haiyan, Oxfam aimed to provide safe drinking water to the urban residents of Tacloban. An Emergency Market Mapping and Analysis looking at the drinking water market system found that the main issue was a supply side one, as the main operator was not in a position to rehabilitate the broken water pipeline due to a lack of capital and a lack of access to fuel. Rather than distributing water through water trucking, Oxfam oriented the Cash for Work activities within Oxfam's livelihoods programme sector towards the rehabilitation of the water pipeline.	Juillard (2016)

ii) Meeting sanitation needs

	Type of intervention	Agency	Country	Context	Out of camp?	Modality	Detail	Source
11	Provision of household sanitation facilities (labour costs)	UNHCR	DR Congo	protracted crisis (refugees)	Yes (Rural)	Cash	In 2016 UNHCR are piloting use of cash transfers for the construction of household level sanitation facilities for families affected by long term displacement. The project will follow the CLTS methodology whereby families will contribute their own labour for the latrine construction. The cash will be given to households to allow them to purchase those materials that can be readily purchased through local markets. The concrete slab still given in kind as there is limited means for households to procure the materials for this locally.	Interview
12	Access to desludging services	Oxfam, ACF, MedAir	Lebanon	Displacement	Yes (ITS)	voucher	In 2014 and 2015 a number of humanitarian agencies in Lebanon have been piloting the use of vouchers to improve sanitation for refugees in informal settlements through desludging of holding tanks connected to household latrines. Most agencies have been issuing vouchers with printed bar codes to households to allow them to access desludging services. The vendors collect vouchers from beneficiaries for each service completed (desludging of 200 liters of sludge). These are then redeemed with agency staff in field offices and during field visits, who scan bar codes by means of a mobile phone or tablet installed with an open data kit (ODK) application. In the settlements latrines are shared between 2-3 families. Oxfam worked directly with small groups of families who share household latrines. This is compared to MedAir who distribute vouchers to the shawish or WaSH community focal point within the settlement. In some cases these are then distributed to the households and in other cases they have been retained by the focal point who is responsible for calling the desludging contractor when needed by several latrines.	Interviews

	Type of intervention	Agency	Country	Context	Out of camp?	Modality	Detail	Source
13	Provision of household sanitation facilities (material costs)	CRS	Philippines	Rapid onset	Yes (Urban and rural)	CCT	In the recovery phase following Typhoon Haiyan, CRS's Integrated Shelter/WASH Recovery Program used cash transfers to support 20,000 families to rebuild their household shelter, and 23,000 families to reconstruct or repair their household sanitation facilities. Conditional cash transfers were given to those families able to rebuild on their own, alongside technical assistance. Households were categorised into 4 grades according to the level of damage, and received one of four cash transfer values. In some cases these were given as several installments, with the next installment conditional upon completion of work in the previous phase. The cash could be used by beneficiaries to buy their own materials and hire their own skilled labor to reconstruct or repair their shelters, and to buy materials for toilet reconstruction. This was one of the largest postdisaster responses to use a cash modality for shelter and toilet construction. For extremely vulnerable households including femaleheaded households, people with disabilities, the elderly or families with very young children, a directbuild support package was offered.	Ahmed and Hrybyk (2016)
14	Provision of household sanitation facilities (labour costs)	Solidarites International	Bangladesh	Rapid onset	Yes (Urban and rural)	Cash transfer	In 2009 in the aftermath of Cyclone Aila in Bangladesh, Solidarités International implemented a project to improve access to latrines at household and community level. Latrine materials were distributed in kind and grants were given (either to the household or to the community latrine committee) for the labour cost of the latrine construction.	Juillard and Opu (2014)
15	Drain clearance and community latrine maintenance	CCCM Cluster agencies	Philippines	Rapid onset	Yes	CfW	Following Typhoon Sendong the Camp Coordination and Camp Management Cluster was responsible for management of drainage facilities in the camps and affected communities. The CCCM cluster utilised cash for work programmes and "weekly clean up drives" to clear the drainage systems of debris. This was predominantly coordinated through the Livelihood and Food Clusters who ensured that food insecure families were targeted. Ecosan toilets that were installed in the camps were also maintained by IDPs through the government of Philippines' Cash for Work programme.	Wash Cluster Philippines (2012)

	Type of intervention	Agency	Country	Context	Out of camp?	Modality	Detail	Source
16	Provision of community sanitation facilities	ADESO (previously Horn Relief)	Kenya	drought	Yes (rural)	CfW	In 2010 and 2011 ADESO implemented an Emergency Livelihood Recovery Intervention (ELRI) in Garissa County to address the immediate food security needs of the drought-stricken population in NE Kenya. The goal of the project was to reduce the effects of the drought by enhancing the purchasing power of the most vulnerable households through Cash for Work (CfW) activities, and thereby increase accessibility of the community to safe water and sanitation facilities that were created through the CfW projects.	Schira (2011)
17	Rehabilitation of sub-standard housing including WASH infrastructure	Multiple including Save the Children; DRC; NRC; PU-AMI	Lebanon, Jordan	Displacement	Yes	CCT or vouchers	In the Syria response countries some WASH hardware provision is included as part of Shelter sector interventions aiming to improve sub-standard living conditions for refugees. Sub-Standard Buildings include houses and apartments in poor condition as well as structures that were not originally intended for human habitation but that are currently occupied. These projects are providing either cash or vouchers to households (either building owners, or refugee residents) alongside technical assistance, to enable them to make improvements to the living conditions, including where there is a lack of adequate access to safe water and sanitation facilities, unhygienic conditions and inadequate connection to municipal infrastructure and services (water supply, waste-water collection, solid waste collection). Payments are made in a phased manner based on progress against the agreed contract and Bill of Quantities (BoQ).	Interview
18	Provision of household sanitation facilities (material costs)	ACF	Philippines	Rapid onset	Yes	voucher	In response to the earthquake in Bohol, ACF's project to restore household access to sanitation facilities was delivered through vouchers. In line with the CLTS methodology, households contributed their labour to complete the construction and received vouchers that they could exchange for the materials for the superstructure with local suppliers. On the basis of this success the approach was replication in response to Typhoon Haiyan.	Interview

iii) Meeting hygiene needs

	Type of intervention	Agency	Country	Context	Out of camp?	Modality	Detail	Source
19	Access to hygiene items	Solidarites International	DR Congo	protracted crisis (IDPs)	Yes (rural)	voucher	North Kivu province has been affected by waves of population displacement and return since the early 2000's. In 2009 and 2010 Waikale territory experienced multiple waves of Internally Displaced Persons (IDPs) from conflict-affected areas further south. Families were forced to flee with few possessions. All displaced families stayed with host families. Solidarites wee implementing partner of UNICEF's RRMP project to support basic needs of displaced families and provided assistance through vouchers. Each family received a sheet of 14 vouchers totaling \$60-75 - the total cost of a standard UNICEF family relief kit including transport costs to eastern DRC. This total included the cost of WaSH items (water containers and soap). Families could spend the vouchers according to their needs at participating traders.	Solidarites International (2012)
20	Access to hygiene items	ACF	Ukraine	Displacement	Yes	voucher	In 2015 the population in Ukraine affected by the civil conflict had lost their income sources and depleted their savings. ACF assessment found that for these households the cost of hygiene and cleaning supplies are an additional financial burden. Complementary to ACF's voucher programme improving access to food through improving the purchasing power of beneficiaries, ACF also implemented provision of restricted vouchers for hygiene items. Vouchers of \$10 per month per household could be redeemed at participating traders for a range of personal, menstrual domestic and baby hygiene items as well as bottled water.	Deniel (2015)

	Type of intervention	Agency	Country	Context	Out of camp?	Modality	Detail	Source
21	Access to hygiene items	Oxfam	Haiti	Rapid onset	Yes	voucher	Following the Haiti earthquake, to improve health conditions in the area of Carrefour Feuilles Oxfam's Public Health Promotion team used a commodity voucher programme to provide 440 vulnerable households with essential hygiene items through local shops. The vouchers could be exchanged through 7 contracted shops for a fixed quantity of specified hygiene commodities. The voucher system was chosen so that beneficiaries could access hygiene items in a normal and dignified way and support recovery of the local market.	Brady and Creti (2012); Julliard and Opu (2014)
22	Access to hygiene items	Oxfam	jordan	Displacement	Yes	voucher	In late 2013 in response to the Syria crisis, Oxfam started a project to cover Emergency WaSH needs for refugees in Jordan, including the provision of hygiene kits through vouchers to 3,000 households. The voucher value was 21 USD and could be redeemed in 11 contracted shops against a selection of hygiene items, including soap, buckets and baby diapers.	Interview; Julliard and Opu (2014)
23	Access to hygiene items	Oxfam	Lebanon	Displacement	Urban and ITS	voucher	Oxfam has implemented vouchers for access to hygiene items for refugees in host communities as well as those living in the informal tented settlements in the Bekaa valley.	Interview

iv) Meeting water, sanitation and hygiene needs through multi-sectoral programme

	Type of intervention	Agency	Country	Context	Out of camp?	Modality	Detail	Source
24	Access to basic needs including water and hygiene items	UNHCR and Cash Consortium INGOs (Save the Children International; IRC; ACTED, Care, Solidarité, and World Vision)	Lebanon	Displacement	Yes (Urban and ITS)	MPG	In 2014 a number of agencies came together in Lebanon to harmonise approaches for providing cash transfers to refugees to meet a variety of current basic needs (so called 'Multi-Purpose Cash Assistance). Agencies worked together to establish a monthly cash transfer of 174 US\$ per household, irrespective of the household size. This transfer value was based on a calculation of the cost of the Survival Minimum Expenditure Basket comprising food needs, hygiene items, drinking water, rent, communication and transport costs and taking into account what refugees could be expected to cover from other sources including WFP food assistance and their own resources. Cash grants are transferred via ATM cards. By May 2015, 12,807 families were receiving the multipurpose cash assistance through ATM cards issued by CSC.	ERC (2015); Battistin (2015)

Annex B

Case Studies of WASH Programmes

Utilising CBIs

1. Water voucher programme for refugees in Gaza

In 2013 as part of their response in Gaza supporting vulnerable households affected by the blockade to access their basic needs, Oxfam implemented a water voucher programme. Commercial water truckers operate in the area and Oxfam identified two vendors to partner with on the project. Households received water vouchers that could be redeemed for water with two service providers. During evaluation it became clear that a limited understanding of the water market had led to some unintended negative impacts for households and market actors.

- Three other companies that previously operated in the programme's zone of intervention but were not selected to partner on the voucher programme. These companies withdrew their services from the areas of intervention which would create some gaps in service provision for residents when the programme ended.
- 10% of households interviewed preferred to have a choice between different vendors.
- Previously households would also access water from small shops who resell water by the jerry can. These vendors had not been considered for partnership and during the project it was found that such local shops lost their customers.

The evaluation recommended that a market analysis would lead to a better understanding of the water market system. An EMMA was undertaken, which recommended i) increasing water storage capacity at household level as well as their purchasing power, especially in under-served neighbourhoods; and ii) supporting independent water tanker drivers whose income depends on regular service delivery throughout year.

In Gaza, 98% of residents are actually connected to the water network, but they do not rely on it for safe drinking water due to quality issues in the municipal network. 87% of the population continues to purchase water from private vendors who own medium-scale desalination units, at a significant cost. Oxfam found that, despite an existing frame for water quality regulation in Gaza, the water vendors' supply water with a high variation in quality. Most treatment plants did use chlorine but didn't see the need to include residual levels in their post treatment tanks. Oxfam therefore implemented a three-month water voucher programme for poor households alongside financial incentives and training to water vendors. Oxfam partnered with water vendors and provided technical training in how to maintain residual levels of chlorine, alongside grants for purchase of chlorination apparatus in order to improve the quality of water to households. This was a challenge, as the population did not like the taste or smell of the water. The four months project therefore included an intensive software component focusing on behavioural change (drinking chlorinated water). This comprised a comprehensive awareness campaign on water quality and treatment including sign boards, hygiene promotion sessions and household monitoring and water testing.

This successfully influenced changes to community and household practices through knowledge and awareness raising on the mid-term of the project 91% of water tests conducted at household level, showed residual chlorine

and water free from faecal contamination, at mid-term of the project, whilst 90% of adults interviewed knew the importance of and how to undertake chlorination treatment and practices for the safe handling and storage of drinking water. More than 90% of adults were reportedly satisfied with the water quality and attributed chlorination to enhance better health. Enabling factors included strong expertise within OXFAM on public health promotion and a strong monitoring system testing chlorination levels at community and household level.

Source: Juillard and Opu (2014) Oxfam (2013b); Interview

2. Water vouchers for refugees in Jordan

Jordan is a water scarce country and ensuring adequate provision of water to meet basic needs of refugees has been one of the major humanitarian challenges of the Syrian crisis. Oxfam's water market assessment identified a complex water market system including municipal pipelines; water trucking vendors; and small shops treating and bottling water for sale. The assessment found that the local population and refugees prefer to purchasing drinking water from private sources as they don't trust the quality of water in the municipal network. This is despite the fact that a 2010 WHO study found this water to be excellent quality (97.8% compliance with international standards) and even though water from kiosks is around one hundred times more expensive.

Oxfam provided vulnerable households with vouchers to purchase water from water kiosks. Shops were identified in each catchment area and families were instructed about which shops they can call for services. The shop then distributed the water to the household. Beneficiaries expressed their satisfaction about the water vouchers, which was convenient for them and prevented them from needing to spend a significant portion of their income on water, meaning they had more income available for other basic needs such as payment of their rent – another huge outgoing for refugees living in urban areas. 30% of the voucher beneficiaries were poor families in host communities, which helped to build good relations with government and communities.

Alongside provision of vouchers to Syrian refugees for purchase of water, Oxfam undertook a number of activities to ensure the quality of water consumed through the programme. Guidelines for selecting participating water bottling vendors included criteria on water quality, price, trader's capacity and location. Voucher distributions also sensitised the vendors and the population on the need for safe water storage. Oxfam engaged the beneficiaries by inviting them to share their feedback on drinking water through a hotline set up to receive and address complaints. This feedback revealed water quality issues with one selected filtered water bottle shop and in response the engineering team strengthened the water quality monitoring at shop and household level.

Continual provision of vouchers for expensive water is not a sustainable solution. Oxfam's exit strategy for households with access to the network was to provide them with filters in order to improve the quality of water from the pipeline. A mid-term study found that only 15% of filters were in use. When asked, 65% of participants believed that the filtration wouldn't remove impurities. Furthermore in interviews with beneficiaries Oxfam found that the water kiosk owners had contributed to this perception, as they were concerned about their loss of business. More awareness-raising among beneficiaries of the benefits of the filtration units did improve uptake. However a major lesson here is the need to take into account rather than bypass the private sector providers as a legitimate player in the provision of quality water, especially where people have preferred suppliers and are willing to pay.

Source: Oxfam (2014c); Bauer and Wildman (2014); Interview

3. CCT for reconstruction of latrines in Philippines

In the recovery phase following Typhoon Haiyan, CRS's Integrated Shelter/WaSH Recovery Conditional cash transfers (CCTs) were given to those families able to rebuild on their own, alongside technical assistance. Households were categorised into 4 grades according to the level of damage, and received one of four cash transfer values. Cash could be used by beneficiaries to buy their own materials and hire their own skilled labour to reconstruct or repair their shelters, and to buy materials for toilet reconstruction.

The nationally-endorsed "Philippines Approach to Total Sanitation" (PhATS), cash transfers or "subsidies" are intended to cover the costs of materials for the construction only, whereas the labour is expected to be the families' contribution - considered essential in order to promote beneficiary learning and ownership. Therefore cash grants for the latrine construction component were used for the materials only so as not to risk undermining sustainable long term use and maintenance of the facilities. Ground excavation for septic tanks, transportation of materials and actual construction were all implemented by beneficiaries.

A review found the cash programme more cost efficient and scalable than the in kind 'direct build'. For every \$100 spent on the beneficiary, it cost \$18.50 for CRS to deliver the cash transfer against \$23 to deliver using the direct-build approach. This difference was primarily due to the time it took to procure large quantities of materials and hiring of skilled labour. CRS was able to complete 20,000 targeted shelters and toilets within 20 months over a large geographic area largely due to the scalability of the cash-transfer approach.

In order to ensure attainment of accepted standards of the facilities constructed, CRS technical advisers selected four types of toilets that were suitable for flood-prone, high water table, high-population-density conditions. Detailed environmental site assessments were conducted at each qualifying household in order to assign the appropriate septic tanks and sub-soil infiltration systems and technical assistance was provided. The cash transfer was generally disbursed in two to three tranches and households were required to complete each stage of construction before the next cash tranche was disbursed. Beneficiaries also had to provide proof of residency and attend trainings on "build back safer" principles. This was successful for those households who needed to complete minor repairs or reconstruct cubicles.

Midway through the project CRS changed the approach for households with Level 1 "totally damaged" toilets from cash transfer to direct build, to ensure quality. This was due to the complexities of ensuring safe disposal of waste in this context due to high water tables and was found to require specialist input.

A lessons learned report recommended that as a best practice, environmental site assessments should be conducted before implementation of any similar programme so that guidance and training on the most resilient shelter and toilet designs can be given to beneficiaries. Staff also recommended that the cash amount should be increased for any reconstruction needed in high water table/flood-prone areas to ensure the quality of build. Another lesson was for agencies to ensure they have enough engineering staff for constant monitoring throughout the construction process, if cash grants are to be used to support full construction in environmentally challenging areas.

97% of funds transferred to beneficiaries were used correctly to build shelters and toilets. Over 600 beneficiaries (507 shelter beneficiaries and 139 toilet beneficiaries) were considered not to have used the first tranche of funds effectively to complete the construction task and they were therefore dropped from the programme. The 'lessons learned' review highlighted that the majority of dropouts were from the "totally damaged" housing category and that these beneficiaries were some of the worst affected and may have found it difficult to take on such a large construction project and complement the CCT with their own funds or labour. Most latrine drop outs were dropped because of this inability to comply on the shelter component. The review considered that this was a potential weakness in the programme design because it did not adequately respond to the needs of poorer beneficiaries and that perhaps instead of simply dropping them from the project the cash amounts should have been increased

to better mitigate this risk. It also points to the need for joined up needs assessments so that programme staff can be confident that other household needs are covered.

Source: Ahmed and Hrybyk (2016)

4. Vouchers for desludging latrines for refugees in Lebanon

In Lebanon as part of the Syrian refugee crisis response, Oxfam piloted the use of vouchers for latrine waste collection for families living in informal tented settlements (ITS) in Bekaa valley. Oxfam engaged the services of private vendors offering desludging services and agreed upon the price for their services. Oxfam then distributed vouchers to households which could be redeemed with the service provider in return for the emptying of their household latrine. The service provider would then redeem these vouchers with Oxfam.

However the pilot encountered some difficulties. Each latrine has a pit capacity of only 1m³ – whereas the desludging tank has a capacity of 16m³ (which was the basis for price negotiation with Oxfam). This meant when the programme started the service provider was reluctant to visit a settlement without sufficient demand for the service (i.e. that the truck would be filled). In large settlements beneficiaries could organise fairly easily so that the desludging service could be provided to numerous households on a single visit - but some communities did not have enough beneficiaries to make this possible. The increase in fuel costs for the vendor caused by repeated visits to each settlement increased the vendor's rates. Another difficulty faced by families was being able to check that the service had been completed and that the pit was actually empty.

Agencies in Lebanon and Jordan have experienced similar problems with the water storage capacity at household level meaning water truckers are reluctant to visit certain settlements. This problem has been solved by increasing the water storage capacity at household level and so increasing the household's bargaining power. In this context there is no comparable solution for household sanitation because of legal and political barriers. Landlords providing the land for the informal settlements have stipulated that no larger pits can be dug, whilst the government of Lebanon do not allow construction of permanent structures or connections to the sewage network.

Oxfam reported that there had been insufficient consideration, by Oxfam and the service providers, of the technical specifications of desludging, the logistical challenges and associated costs. However such an approach could work in other contexts where this issue of volume isn't such a challenge.

There was also a concern from agencies that truckers were not disposing of the waste safely and legally but rather selling it to farmers or dumping it. This is in part a problem created by the regulatory environment in Lebanon. Legally vendors are supposed to treat this waste however it remains illegal to reuse treated waste water for activities such as agriculture. This creates an incentive for truckers to dump it, with negative effects on ground water. The combination of the need to monitor disposal and rising costs on the voucher programme led Oxfam to revert to blanket desludging at scale. ACF plan to make use of GPS technology and installation of flow-o-meters on the carts to improve accountability.

Source: Interviews

5. Experience with hygiene vouchers for refugees in Lebanon

In Lebanon, Oxfam switched to a voucher approach to meet hygiene needs of Syrian refugees because of refugee's lack of satisfaction with the hygiene kits' items. There was evidence that beneficiaries were selling the hygiene items provided in the kit. The voucher system was well received by beneficiaries since it allowed purchase of a broader range of hygiene items. It reportedly required reduced staff and logistics requirements compared to direct distribution and reduced tensions between the refugees and host community. There were some challenges identified. It was difficult for Oxfam to find sufficient traders to work with (those who satisfied the conditions of Oxfam for a partnership: being formally registered and with capacity to stock a variety of items and deal with large numbers of customers). There were some cases of suppliers not abiding by the items or the prices that were specified in the contract. Some beneficiaries were noted to have a need to purchase food items, which were not included in the list. Finally vouchers were challenging to administer in a context where there is fluid movement of beneficiaries and so traders are not necessarily convenient for them to reach.

Source: Oxfam Lebanon (2015b); interview

6. Use of MPGs to meet WaSH needs of refugees in Lebanon

Multi-purpose grants (MPG) have been given to refugees in Lebanon and Jordan to meet a variety of basic needs including WaSH needs. In Lebanon a value of \$175 per household per month was calculated based upon an understanding of the average monthly Survival MEB for urban dwellers comprising food, rent, water, NFIs, transportation, clothes and communication needs and the average gap in household income to meet these needs.

In Lebanon WaSH needs were factored into the Survival Minimum Expenditure Basket (SMEB) which forms the foundation for calculation of the MPG transfer value including costs of purchasing various hygiene items and purchasing water from private vendors.

An evaluation measured the difference in physical and material wellbeing of refugees who were MPG beneficiaries and a control group of refugees. This defined physical wellbeing as meeting survival needs (food, water and health) and material wellbeing as satisfaction of other needs (housing, personal hygiene and clothing). Wellbeing-related indicators were measured through proxies of "consumption", through changes to expenditure data.

MPG recipients had higher consumption levels on living essentials, reflected in significantly greater expenditures in indicators for both physical and material wellbeing especially food and gas for cooking. Total monthly expenditures in food, water, housing, health and hygiene were on average 20.8% higher than those of a non-recipient household with the same vulnerability level and similar characteristics. This included some expenditure on water and hygiene items however the major increases related to food. The study considers that this is a finding to be expected, if we assume that, in a state of major economic stress, the consumption of certain services may be deprioritized as compared to that of food, water or rent.

The study showed the strong effect of MPG in determining a sense of happiness amongst beneficiaries that they were able to meet their households' needs. It concludes that it is this overall picture of increased wellbeing, including mental wellbeing (or 'happiness') of beneficiaries that is a major validation of the MPG approach as a means to deliver basic assistance to refugees in this context.

Another study assessed the impact of MPGs on housing quality and provided some evidence in terms of sanitation. They found a general improvement in the shelter types that households resorted to after the cash intervention. This included the increase in the use of flush toilets from 13% to 17.4%.

Source: Foster (2015); Battistin (2015); El Asmar and Masterson (2015)



Cash Based Interventions for WASH Programmes in Refugee Settings