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Thesis Title: Understanding the Transition in the Water and Sanitation Sector of Northern Ghana; the contribution of Civil Society Organizations (CSOs).

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Title

Understanding the Transition in the Water and Sanitation Sector of Northern Ghana: the Contribution of Civil Society Organizations (CSOs)

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Executive Summary

Northern Ghana, made up of Northern, Upper East, Upper West and parts of Brong-Ahafo and Volta Regions of Ghana has over the years suffered from under development. These regions enjoyed very limited economic attractions, unlike Southern Ghana, that is rich in cocoa and minerals and other natural resources. Focus of colonial and post colonial governments were therefore concentrated at the south to the neglect of the north and this invariably resulted in huge inequalities between the two sections of Ghana. Research shows that out of the 18% of Ghanaians who live in extreme poverty, 54% are from Northern Ghana.

These conditions of widespread poverty and neglect led to the proliferation and concentration of activity by all manner of Civil Society Organizations (CSOs) including both local and International Non-Governmental Organizations (INGOs) in Northern, Upper West and Upper East of Northern Ghana in various sectors including Water, Sanitation and Hygiene (WASH) to complement the efforts of government in the provision of services and human development. However, after twenty (20) years of NGO intervention in Northern Ghana, evidence rather show of increased poverty and an underdeveloped physical, human and financial infrastructure. This resulted in apathy, mistrust and a sense of un appreciation towards the third sector of the economy by residents of Northern Ghana.

Using the sector of Water, Sanitation and Hygiene and Tamale Metropolis as points of entry, the research objective was to explore into the transition over the 20 year period of CSOs involvement and describe the role of NGOs and CBOs to the process at different historical time phases. The research questions; what kind of strategies did NGOs and CBOs employ in the water and sanitation transition in Tamale Metropolis? How do these strategies impact in the transition processes? Which factors support and which factors hinder the strategies employed in the transition process? were asked to unearth data about their contribution to the field.

The method was qualitative as such relied heavily on in-depth interviews and observation of the NGOs and CBOs and their activities. The same instruments were used to validate the data from the communities that such NGOs and CBOs operated and experts from government agencies involved in WASH service provision. Secondary data was also collected from both the NGOs and CBOs and other governmental agencies.

The transition in the WASH sector related to the strategies employed including service delivery (physical infrastructure provision), capacity building, advocacy and the strategy of funding employed. These strategies impacted in the physical infrastructure increase, institutional and behavior change of actors in five historical time phases from 1994-2013. The findings revealed an increasing evidence of behavior change particularly at the community level. These changes took the form of household latrine construction, practices of disposal of refuse into designated refuse pits, practice of dig and bury of faecal matter, construction of soak-a-ways for waste water and institution of communal clean up days.

Institutional change was found to be directed at the policy level and therefore recognisable at the national level. The scraping of the 5% capital cost down payment by communities before water services were provided, the institution of the annual Mole Conference Series platform for sector-actor engagement, the joint representation of government and civil society representative at international conferences were some of the identified changes. Although these have a bearing on the activities of regional, districts and local level, the findings revealed very little behavior and institutional change at the district and regional levels even though these institutions particularly the district assembly or local authority serves as both the political and approval authority regarding development at the local levels.

It was finally concluded that the WASH sector transition was initiated by the landscape who in this case represent international actors such as the World Bank, CIDA and DANIDA and it took the path of a transformation where the international actors moderately pushed for change in the sector. Again the

extent and magnitude of contribution by NGOs and CBOs to the sector was determined by the kind and number of strategies employed. However, the general influence of NGOs and CBOs strategies on the transition process can was described as procedural and sensitizing where they participate in formal decision making and by raise public awareness to WASH related issues. This, coupled with other factors explains the reason for the widening case of inequality and poverty despite the several years of CSO involvement in the metropolis and the region at large.

Keywords

Acknowledgment

I give all glory to God for his strength, direction and guidance for my life.

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Dedication

This thesis is dedicated to my most loved son, Christian Yinime Amoah

Abbreviations

WASH – Water, Sanitation and Hygiene

NGOs – Non-Governmental Organisations

CBOs – Community Based Organisations

CSOs – Civil Society Organisations

UNICEF – United Nations Children's Fund

CLIP – Community Life Improvement Programme

UDS – University for Development Studies

I-WASH – Integrated Approach to Guinea Worm Eradication through Water Supply, Sanitation and Hygiene

SHEP – School Health Education Programme

CONIWAS – Coalition of NGOs in Water and Sanitation

SWA Compact – Sanitation and Water for All Compact

EPA – Environmental Protection Agency

WRC – Water Resources Commission

TUSWP – Tamale Urban sanitation and Waste Project

APDO – Afram Plains Development organisation

CRS- Catholic Relief Services

SIRDA – Savannah Integrated Rural Development Aid

INGO – international Non-Governmental Organisation

RCN – Resource Centre Network

NORST – Northern Region Small Town Water and Sanitation Project

OD – Open Defecation

ODF – Open Defecation Free

CLTS – Community-Led Total Sanitation.

RICCs – Regional technical Working Group on Sanitation

DRIFT – Dutch Research Institute for Transitions

CWSA – Community Water and Sanitation Agency

CWSD – Community Water and Sanitation Division

GWSC – Ghana Water and sewerage Corporation

GWCL – Ghana Water Company Limited

INTAGRAD – Integrated Action for Community Development

BIDO – Behasum Integrated Development Organisation

DWST – District Water and Sanitation Team

MLC – Multi-Level Concept

MPC – Multi-Phase Concept

MpC – Multi-pattern Concept

MDG – Millennium Development Goals

UN – United Nations

CCFC – Christian's Children Fund of Canada

PRONET North - Professionals Network Association

NCWSP - National Community Water and Sanitation Programme

WSMP Ghana – Water and Sanitation Monitoring Platform

IMF – International Monetary Fund

FIETS sustainability - Financial, institutional, Environmental, Technological and Social

MWST – Municipal Water and Sanitation Team

WSP – Water and Sanitation Programme

DANIDA – Danish International Development Agency

CIDA – Canadian International Development Agency

COM – Community Ownership and Management

MOM - Monitoring, Operation and Maintenance

DIMES - District Monitoring and Evaluation Systems

FLOW - Field Level Operational Watch

EHSD – Environmental Health and Sanitation Division

MWRWH – Ministry of Water Resources, Works and Housing

MLGRD – Ministry of Local government and Rural Development

MOH – Ministry of Health

MOE – Ministry of Education

WASH-NET – Water sanitation and Hygiene Network

DFID - Department for International Development

KVIPs – Kumasi Ventilated Improved Pits

NORRIP- Northern Region Rural Integrated Programme

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Chapter 1: Introduction

1.1 Background

Northern Ghana consists of Northern, Upper East, Upper West and parts of Brong-Ahafo and Volta Regions of Ghana. It is located within the savannah and transition zones of Ghana and inhabited by diverse ethnic groups. Unlike the southern parts of Ghana, Northern Ghana was included by the British Colonial government as a peripheral region known as a 'protectorate'. This move created two states in one nation, namely 'southern Ghana' and 'northern Ghana'. These regions with very limited economic attractions, unlike the south, which were rich in cocoa and minerals, attracted very little development as development activities by the colonialists were concentrated in areas where resources could be tapped (Saaka, 2001: 1 cited by Nikoi (2008). This resulted in huge inequalities between the two states. The World development report further explains that other factors also increased this inequality including the following; first, the geography of the North which is characterized by the lower rainfall, savannah vegetations, and remote and inaccessible location of much of the area; second, the colonial dispensation ensured that northern Ghana was a labor reserve for the southern mines and cocoa farms and the post-colonial government inability to break this established pattern. They further added that, the era of structural adjustment and liberalization which followed (between 1983 and present) could not compensate for the neglect of the north's economic plight. This was further worsened by the adept nature of independent Ghana at including northerners in the allocation of political and bureaucratic positions except the 'fruits of pork barrel politics' (Andrew, Gariba, et al., 2006). As an effect of this development, 50 years after independence, evidence still show an increase in endemic poverty in the rural savannah regions of Northern Ghana (Ghana Statistical Service, 2000) and an underdeveloped physical, human and financial infrastructure.

Research shows that out of the 18% of Ghanaians who live in extreme poverty, 54% live in Northern Ghana (Through Dan's Eyes, 2010).
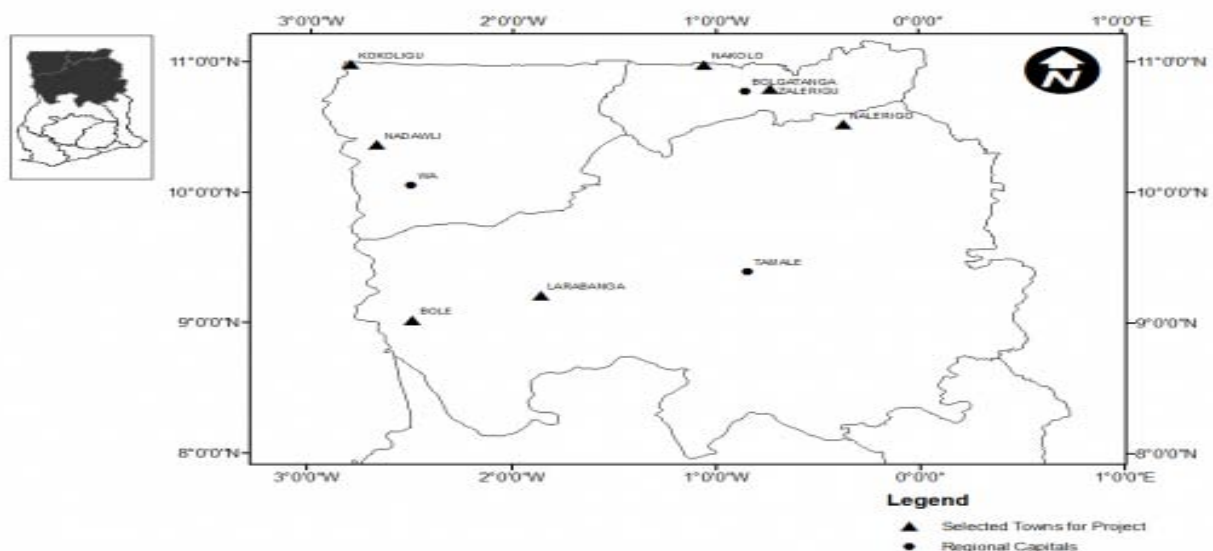
Figure 1: Map of Northern Ghana.

Source: Google map, 2013

These conditions of widespread poverty and neglect have led to the proliferation and concentration of activity by all manner of Civil Society Organizations (CSOs) including both local and International Non-

Governmental Organizations (INGOs) in Northern, Upper West and Upper East of Northern Ghana (Nikoi, 2008).

According to the Department of Social Welfare, the official government agency charged with overseeing CSO activities in Ghana, there were some 4,463 registered NGOs in Ghana as of 2009, the majority of which operate in Northern Ghana excluding all 'mushroom' NGOs and other forms of CSOs. This therefore means that, there are several thousands of CSOs present in Northern Ghana intervening in various sectors of the development discourse.

The Department for International Development (DFID 1998b cited by Mohan (2002) identified the following roles of CSOs: advocacy, capacity building and service delivery. World Bank explained that CSOs also play the role of fostering, inclusion and consensus.

> "They provide representation in aggregating the voice of citizens; they provide technical expertise; they provide capacity building for other civil society organizations; they deliver services and provide 'social functions' which foster collective recreational activities" (World Bank, 2000a: 6 as cited by (Nikoi, 2008).

Nikoi (2008) reiterates the point on advocacy that, it is aimed at influencing policy outcomes on issues as well as transforming power relations and structures to favor the poor, marginalized and vulnerable in society. Parker (1994) identified other roles as serving to mitigate the cost of developing countries' institutional weaknesses which most times include administrative shortcomings and an inability to efficiently carry out crucial development tasks such as providing social services or protecting the environment. In Ghana, CSOs have been working to enhance the national development assets of citizens by mobilizing resources (financial, material and human) at local and international levels in support of social and economic development that adequately includes the needs of grass root communities both urban and rural.

These evolving roles have endeared CSOs to individuals, groups and communities as well as government and the international community and are therefore considered as significant agents of development and democracy and an important ally in the development process.

1.2 Water and sanitation in Ghana

Following the declaration of The **International Drinking Water Supply and Sanitation Decade**, now known as **The First Water Decade** between 1981 - 1990 by the United Nations which was aimed at bringing attention and support of nations and governments to water and sanitation issues, the Ghanaian Government initiated a review of her policies on water and sanitation provision to keep pace with the changing conditions in the country and on the international scene and to ensure that by the end of the period, nations would have made significant strides in the delivery of water and sanitation facilities to their populace (CWSA, 2013). As a result, Community Water and Sanitation Agency (CWSA) was formed from the earlier status of a Division by an Act of Parliament, Act 564 in December 1998, with the mandate to facilitate the provision of safe drinking water and related sanitation services to Rural Communities and Small Towns in Ghana (Community Water and Sanitation Agency, 2009). Prior to this, the environmental health profile of most urban communities in Ghana was characterized by the prevalence of infectious and communicable diseases related to inadequate water and sanitation provision. Diseases commonly reported included diarrhoea, cholera, skin diseases of different kinds, malaria and intestinal worms, etc. One major objectives of the Agency was to maximise the health benefits by integrating water, sanitation and hygiene education intervention including the establishment of hygiene education and latrine construction capabilities at village level (CWSA, 2013).

To achieve this objective, public, private, individuals and non-governmental organisations came on board this sector to ensure that Ghana met the targets set in the declaration.

Water and sanitation consist of several components including potable or drinking water provision, solid waste disposal, excreta and waste water disposal and hygiene promotion. Available literature points to the fact that a transition (a long term process of change in structures, attitudes, behaviours towards the achievement of set objectives/goals) has occurred in each of these components. This was largely attributed to the involvement of CSOs who with their advocacy, service delivery and capacity building role and skills, supported communities and other stakeholders to achieve the change. For instance, in drinking water provision, WaterAid explains those communities in Northern Ghana relied on open and surface water for drinking such as water from rivers, streams and shallow dug wells making guinea worm, bilharzias, cholera and other water related diseases were very common to the extent that In 2003, Tamale was ranked as the most endemic region in guinea worm (http://www.cwsagh.org). However, through CSOs potable water service delivery, improved water facilities (dug out wells, bore holes, stand pipes, mechanized boreholes) were provided to communities.   In sanitation, public education/awareness creation, hygiene promotion, facility provision, trainings for communities were carried out across communities. By 2006, WaterAid explain that Ghana's water and sanitation supply coverage had reached 75%, (52 percent rural/small towns and 88 percent for urban areas but 37%household connections). For sanitation, coverage was 35% (32 percent for rural/small towns and 40 percent in urban). In Tamale alone, over a thousand household latrines had been constructed within Metropolitan area with some communities recording 100% coverage. In Nandom in the Upper West Region, a total of 851 new boreholes had been constructed between 1994 and 2007with 27 communal and 229 household latrines operating. Most communities had established management teams, trained local latrine artisans and had almost another 450 new communities coming on board within the same period (WaterAid, 2008).

CSOs such as NGOs and CBOs have not only been instrumental by being the driving force and forerunners of the transition in water and sanitation but also financed (in most cases) the process of the transition. They have also, according to the Multi-Level concept (MLC), identified society to be constituted of layers/levels in relating and attending to the needs of the different interests groups. Geels and Kemp (2000 cited by Rotmans (2005) explains that the MLC identifies three functional levels of society within which relationships between actors, structures and working practices are closely interwoven. Rotmans (2005) adds that the lower level is the micro level characterized by niches, new initiatives, new forms of culture and management, the Meso level is identified with regimes, systems of dominant practices, regulations and interests that are shared by actors with some potential to be resistant to change. The macro level is where landscape changes take place but with relatively slow progress and development. In a similar vein, CSOs recognize communities, district assemblies and regional and central government to fall within micro, meso and macro levels as earlier stated. This is based on the idea that the higher the level, the more aggregated the components and relationships and the slower the dynamics and ultimately, the change. This seems to explain the reason for the focus of CSOs on communities and local groups as the engine of change.

1.3 Problem Statement

Ghana has moved from use of open water such as river water and other shallow dugouts to pipe borne water supply. In the area of sanitation, Ghana has moved from open defecation to water closet usage. In this transition exemplified above, CSOs have been involved in various ways at different time phases. Nonetheless, CSOs did not employ a holistic approach towards the transition. This means their involvement in the process was either absent, out of place or not coordinated to the full realization of the purported/intended objectives.   Available literature shows that strategies of CSOs were partially

focused. Braimah and Fielmua (2011) noted that emphasis of CSOs was placed on increasing the provision of physical services/infrastructure - household latrines, communal latrines, septic tanks and soak-away pits, and improved environmental cleanliness around household compounds - to the neglect of attitudinal and managerial components such as the operation and maintenance of such facilities. Issues of unaffordable technology, inadequate logistics, no periodic trainings and periodic monitoring are concerns that are constantly shared by communities. Again the required attitudinal change to accompany the management of such physical structures was lacking. The responsibility however, was shifted to Water and Sanitation (WATSAN) committees, who did not have the capacity to manage, operate and maintain such infrastructure.

Taking on three pillars of CSOs interventions – participation, partnership and ownership – Townsend and Townsend (2004) writing on the ethical issues (in terms of consequence and motivation) of the practices both north and south NGOs in UK, Ghana, Mexico and India expressed that CSOs base much of their legitimacy on concepts as 'listening', 'participation', the 'local' and the 'appropriate', but employs techniques that tend to exclude these desirable goals. They identified that many of these CSOs both north and south do not find the time to listen nor to encourage full participation. What is carried from beneficiaries to donor are not the voices, ideas or the knowledge from community level but management information. They explain that there is a signal failure to share and exchange knowledge and this invariably results in misrepresentation of beneficiaries. In a similar event, Green and Silk (2000) who explored the case of Comic Relief, a British NGO that runs national fundraising campaigns for charities in the UK and the South based on a telethon of short, fundraising films and comedy explained that the organisation placed priority on the justification of such short, fundraising film in favour of the action that does most good (in this case raises most money for good causes) despite the means of partial and selective information with unknown impact.

Aryeetey (1998) in a review of the Northern Region Rural Integrated Programme (NORRIP) operating in Tamale makes the argument that though CSOs assume a participatory approach in its project delivery, the focus is placed on the process. He explains that beneficiary communities were hardly involved in the programme design or in any critical decision making rather they (beneficiary communities) are increasingly being alienated from the centres of decision making and replaced with what Pretty (1995) in (Braimah and Fielmua, 2011)) calls passive participation. He adds that in their rush to promote inclusion and equality, CSOs covertly endorse processes which further deepen the widespread inequality. This he further explained was evident in NORRIP that worked through simplistic notions of what constitutes community that need help and not groups of people with their knowledge, expertise and way of life that only needs a little push to realise their objectives.

In a similar situation, Braimah and Fielmua (2011) in a research into the concept of community ownership and management of water and sanitation facilities in Nadowli in the Upper West Region found that contrary to the role of fostering inclusion of people and activities, emphasis on management of facilities placed on CSO supported projects to the neglect of other projects. The research pointed out a high sense of responsibility towards the proper use of CSO supported water facilities, however, the same community recorded very poor community attitude towards public Kumasi Ventilated Improved Pits (KVIPs) constructed by the District, Municipal and Metropolitan Assemblies. Though such facilities were used by the community, it is considered the property of the assemblies and operation and maintenance should be the responsibility of the assemblies. This, they explained was linked to non-clarity and understanding of roles by community members.

On partnership (collaboration between a variety of actors), Townsend and Townsend (2004) mentioned that focus is shifted towards governance rather than meeting the needs of the poor through devolution of power and resource. This is because the aid system is a chain of dependency-inducing relationships

(from international donor to local project) where co-operation and solidarity are very hard to create and sustain, and partnership can be unequal, unfair and more of a master–servant relationship. Aryeetey (1998) adds his voice that the whole idea of partnership has been shrouded with political inequality which compromises the notion of an independent CSO such that within this set up, there exist very few transparent mechanisms for decision making and with limited methods for enshrining the principles of participation at all levels of the partnership.

Regarding advocacy, CSOs have limited this role to community public education and awareness creation on sanitation and hygiene issues with little or no attempts at vertical advocacy- influencing District, Municipal and Metropolitan Assemblies, regional and national government on policies or issues in water and sanitation as such efforts at community level are hampered by District, Municipal and Metropolitan Assembly and Regional level capacity deficiencies and unresponsive government policies.

William Easterly in his book, 'The White Man's Burden: why the west's efforts to aid the rest have done so much ill and so little good' explains that after fifty (50) years and more than $2.3 trillion in aid from the West to address the first tragedy of extreme poverty and limited opportunities, there is not much evidence to show for it (Easterly, 2006). This draws explanation from the fact that the focus of interventions is skewed to areas other than the core problem of poverty reduction. Griffin and Judge (2010) in a report commissioned by DFID into the policy and practice of CSOs noted that though CSOs are seen as crucial actors in bringing the notion of citizens' needs and rights to the national attention, the means for such representation are still in their formative years. Again such attempts either tend to favor CSO platform organizations, or results in a shift of the coordination role to the larger CSOs who may prioritize their own interests. This further compounds the problem of disjoint planning, non-integration of community plans and ideas and duplication of individualistic approaches and efforts.

These and many have resulted in gaps between construction and management of the facilities; hence the transition experienced was partial. This has roots in the fact that the transition only reflected in physical infrastructure whilst actual behavioural adaptation/change of both users and managers was not materialized because of these discrepancies. This gap in the transition between the 'hard' and 'soft' aspect has resulted in non-use, improper maintenance and doubts about the sustainability of the interventions.

Available literature provides a lot of information on the contribution of governments, the private sector and other sectors in the transition process but there is little or nothing documented on how CSOs are actually contributing to this transition particularly in water and sanitation. As noted by the Governance and Social Development Research Centre (GSDRC) that there is no consensus in background literature on civil society's overall performance in comparison with the public or private sectors – not even for NGOs in service delivery – let alone more diverse organizations involved in governance, human rights and other less easily assess able areas aside a few patchy evidence which shows that faith based organizations and traditional, community based voluntary organizations are sometimes more effective than public sectors in terms of quality, coverage, equity and to an extent, cost effectiveness, in the health and education sectors (Griffin and Judge, 2010).

This research is therefore intended to find how CSOs in the Tamale Metropolis actually influenced the transition process, what constitutes their contributions or role within the process at different historical time phases.

1.4 The Main Objective is

To explore into the transition process in water and sanitation in Northern Ghana and describe the role of NGOs and CBOs to the transition process at different historical phases.

Specific objectives
- To identify the main actors of water and sanitation transition process.
- To explain the roles of actors and analyze the network of actors in the transition process.
- Use the actor-network analysis to describe how actors influence the transition dynamics

1.5 Main Research Question

What is the role of NGOs and CBOs in the water and sanitation transition processes in Tamale Metropolis?

To this end, the following specific questions will be employed in the research;
- What kind of strategies did NGOs and CBOs employ in the water and sanitation transition in Tamale Metropolis?
- How do these strategies impact in the transition processes?
- Which factors support and which factors hinder the strategies employed in the transition process?

1.6 Significance of Study

Management of cities is not the responsibility of any single individual but an agglomeration of experts with different resources, capabilities, views, ideas. There are key actors at the realm of affairs to ensure that all experts with these different capabilities are brought in an efficient and effective manner. In Ghana, the city authority is responsible for mobilizing these actors such as the private sector actors, government level actors and actors from the CSOs platforms. These CSOs are considered as the third sector of development and their functioning or otherwise affects the overall development of any city. This necessitates a clear understanding of their role in the development process. This research when completed will catalogue and explain the role of CSOs and how their contributions have changed the behaviour and practices of community leaders and city managers for the understanding of policy maker and researchers.

Again, transition approach is an emerging field of discipline which has not been applied in developing countries except in Asia. Intuitively, this study will open doors for future research in the arena of transition dynamics in developing countries especially Africa and it will also contribute to existing literature on CSO performance.

1.7 Description of Study Area

According to World Development Report (2006) the origins of inequality in the north can be traced to (a) the geographical conditions of lower rainfall, savannah vegetation due to its proximity to the Sahel, and the Sahara, and its remote and inaccessible areas of much of the north. The vegetation consists predominantly of grassland, especially savannah with clusters of drought-resistant trees such as baobabs and acacias. Between May and October is the wet season. The dry season is between November and April. Economic activities revolve around farming which means that several months of the year are without many activities.

Pre-colonial relationships between kingdoms and tribes established a hierarchy of dominance which differentiates not only Akan (south) and Mole-Dagbani (north), but also within the north, the kingdoms from the a cephalous ethnic groups – this differentiation largely serves as the basis for most violent conflict in the north since the 1980s. Although these conflicts have been contained, the conditions leading to conflict have never been resolved, with the risk that re-awakened conflicts appear to deter investment in the north. Again, the colonial dispensation ensured that northern Ghana was a labour reserve for the southern mines and forest economy as such; government adopted a 'protective' attitude towards the population. This kept northerners from the development which colonialism brought elsewhere.

Further, post-colonial failure to break the established pattern increased this inequality. After independence, there were positive effects of the import-substitution model on regional development, especially through the 'rice revolution' and investments in cotton production in the 1970s. Government therefore invested in creating the necessary infrastructure –banking, marketing and processing as well as research and extension – which supported agricultural development and for the first time, saw an integrated labour market emerging in the north from rising real wages and tightening labour market. This was however short lived. Public deficits and hyper-inflation brought about an end to import-substitution policies such that the state could no longer sustain agricultural subsidy and the large scale, mechanized rice revolution.

Structural adjustment and decentralization could not avert this trend. Rather introduced conditions that allowed for CSOs to flourish through its market based principles.

The Tamale Metropolitan District is made up of 19 towns. Tamale is the capital of the Northern Region of Ghana and one of the three poorest regions in the country. The city has a population of 371, 351inhabitants from the 2010 Population and Housing census and is the 4thmost populous settlement in Ghana. It is also reputed to be the fastest growing city in West Africa (Ghana Statistical Service, 2000).

The Metropolis is poorly endowed with water bodies. The only water systems are a few seasonal streams, which dry up during the dry season. The other water bodies include dugouts and dams. Despite these, Tamale serves as a hub for all administrative and commercial activities in the region, doubling as the political, economic and financial capital of the region. The centre of Tamale hosts regional branches of Ghana's financial institutions and a considerable number of international non-governmental organizations (NGOs) like the Catholic Relief Services (CRS), CARE International, ActionAid and World Vision, so much so that Tamale is often referred to as the NGO capital of Ghana (UN Habitat, 2009).

1.8 Organisation of study

Chapter one describes the general background of conditions in Northern Ghana with a brief historical developments and the emergence of CSOs in the development arena. Provides a highlight on water and sanitation in Ghana and then further define the research problem, research objectives and questions and concludes with the significance of this to study to urban management as well as the scope and limitation of the study.

Chapter two discusses the theories, concepts and literature on the concept of transitions, water and sanitation transition. It then ties in the aspect of CSO evolution and practices to the transition dynamics. A case study on CSOs in sustainable energy transitions is used to illustrate the importance of the relationship and ultimately the study. These various literatures are then used to construct the theoretical framework for the study.

Chapter three explains the methodology that is employed in the study and identifies mainly in-depth interviews, questionnaires, observation and filming as the techniques used in the research.

Chapter four presents the findings and analysis of the research

Chapter five outlines the conclusions and policy recommendations from the study.

1.9 Scope and limitations of Study

The research will be carried out in the Tamale metropolitan district. It will focus mainly on the structural, institutional and attitudinal transition in the sector of water and sanitation. NGO and CBOs and their local level partners such as water boards and WATSAN role in the provision of water and sanitation services committees will be explored during the study.

The concepts of transition are new, coined from various disciplines and still in their formative stages as such, are not wide enough to capture all information using a single concept. Though the conceptual framework depicts the study that is to be conducted; it is inadequate in displaying all such information graphically. Much of the information is hidden and further review of literature is required to expand the concept in order to display such information. Time is however not on my side to delve into such deeper reviews.

Chapter 2: Literature Review

This chapter seeks to provide more insights into concepts and theories employed in the study. It focuses basically on transitions as a theory and the evolution of CSOs particularly in water and sanitation.

2.1 Civil Society Organizations (CSOs) and Activities

2.1.1. Who are CSOs?

There is no one universally acceptable definition of a CSO. Green and Mathias (1995) explain that this is not an oversight but a reflection of the difficulty of developing an acceptable and comprehensive definition, which captures the essence of a diverse set of concepts such as the term CSO. As such different agencies and governments operate with different definitions depending on the country's historical development, economic status, and political ideology, as well as the influence of external factors. However, various scholars have attempted defining the concept from different viewpoints.

Green and Mathias (1995) defined the concept from the perspective of characteristics. They assert that CSOs possess identifiable characteristics that make them distinguishable or assume a common understanding as such bases their assertion on Andrew Green's definition. Green (1987) provides two of such characteristics as being 'not directly managed by and accountable to the state'; and as having "stated aims {that} are not explicitly in pursuit of profit maximization" (P. 317). they identified Cooperatives or savings group, Religious or spiritual groups, Neighbourhood/village committees, Community Based associations, Traders or business associations, Trade Unions, Sports associations, Women's groups, Environmental groups, Cultural groups, Political groups or parties, Hobby organisations, Farmer/fisherman, Professional associations, cooperatives Youth groups, NGOs to fall within this definition (also see Darkwa, Amponsah, et al. (2006)). Other scholars consider it from the perspective of 'pattern of work' (based on broad range of experiences). Goran Hyden points out that CSOs are viewed as the forum in which habits of the heart and the mind are nurtured and developed. This definition is premised on the basis that top-down approach of government as the rational instrument of controlling and promoting change does not work as such places developmental wisdom in local communities and institutions within CSOs dominate (Hyden, 1997). Dwayne Woods adds that CSOs are social phenomena that refer to the emergence of a new pattern of political participation outside of formal state and one party system. That within CSO, there is shift of attention from government and the elites towards social actors who are devising various strategies to survive (Woods, 1992).

Contemporary scholars such Adam Fagan defines CSOs from the point of view of power play. He explains that they are the vehicle for articulating alternative perspectives and opinions as well as for contesting power. To him, the ability to represent such interests within formal political systems/arenas or at least, connects with grass-root agendas serves as the basis for judging CSO effectiveness (Fagan, 2005).

Whichever point of view the concept of CSOs are viewed from, the central point is the issues of local community centred approach to tackling issues be it in politics, development or any social arena. Civil society organizations in this study incorporates all angles of the definitions and therefore refers to them as intermediary organisations/institutions that work for and with local communities to improve the welfare (participation in decision making, access to facilities and information) of such communities and receive some form of external funding. This research limits CSOs to NGOs and CBOs because these are most involved and recognized in the provision of water and sanitation services.

2.1.2. The Evolution of CSOs

The concept of civil society emanated from Europe. To Woods (1992), civil society development in Europe was the result of an imperial differentiation between public and private interests as well as the glorification of this separation. People met to discuss the developing phenomenon. Woods cites the example of Paris where 'the salons of Paris served as explicitly political arenas in which attitudes about the arbitrary nature of monarchical authority were developed and criticized for prominent individuals such as Condorcet who came to the defence of victims of the state, thereby turning their cases into cause clelbres" (quoted after Woods (1992)

In Africa however, Woods explain that some of the conditions that gave rise to the development in Europe are responsible for the African situation. For instance, Woods saw the rise of associational activities and the growing prominence of lawyers in African society in the 1990s as indicator of this development. In South Africa, Glaser (1997) attributes the rise of civil society to opponents of South Africa's apartheid regime who invested in the idea of civil society as their hope for a future that would be democratic, participatory and characterized by a spirit of solidarity. In Ghana, Gary (1996) attributes the rise to the activities and operations of charity and welfare by churches in colonial era but experienced an exponential growth in the 1980s and 1990s following the structural adjustment programmes backed upon.

Glaser (1997) summarizes that the development of an autonomous civil society stems from the successful implantation of democracy in developing countries. He argues that for many, including South African, civil society is the medium in which new kinds of non-statist and participatory socialism sought to flourish.

On recent developments, Anheier and Themudo (2002) explains that civil society have evolved from associational groups into full organizations with an organizational structural form more than formal organizational structure, and includes others such as resource types, governance, accountability, organizational culture, informal structures, and external relations. For instance, service provision and advocacy NGOs are both part of the larger category of 'non- profit organisations' and share similar governance and accountability structures, but they differ in terms of activities, output, cost and revenue arrangements, and, most likely, in their inter-organizational relations. Below shows the summary of CSO evolution.

Figure 2: Form and form characteristics of CSOs
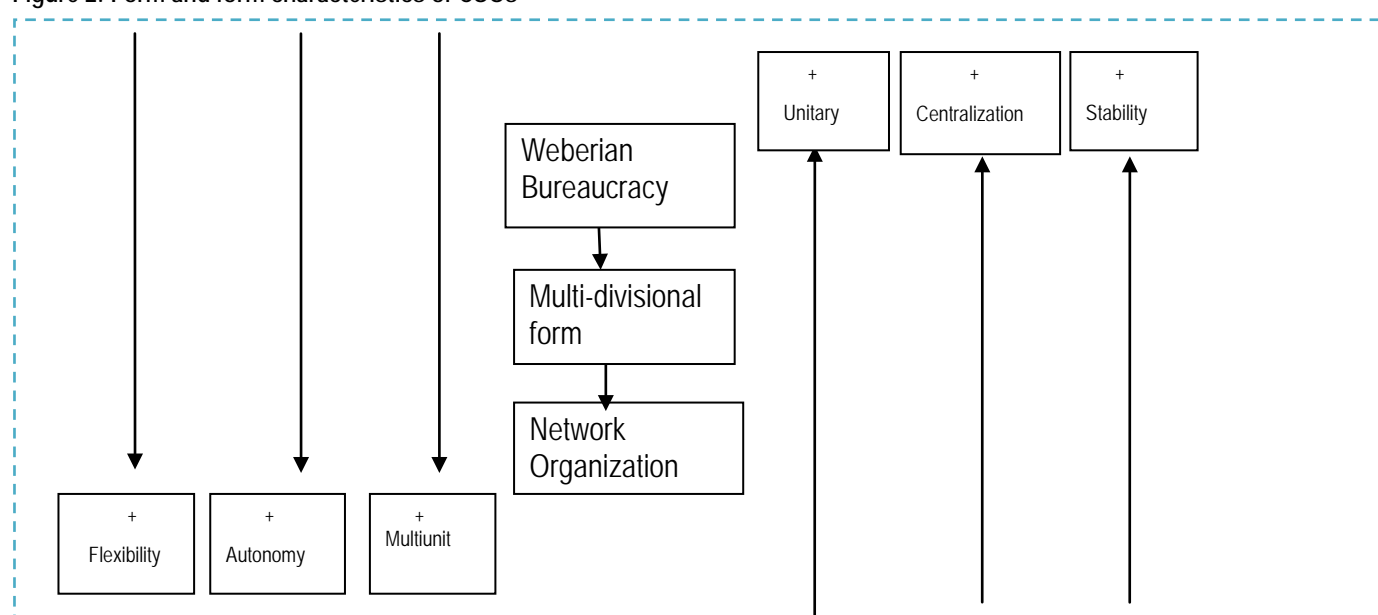
(Anheier and Themudo, 2002)

2.1.3 Classification of CSOs

Vakil (1997) classifies CSOs by order of their organizational attributes. His represents the summary of classifications by DAWN (1985), Fowler (1985), Korten (1990), Wolch (1990), Brett (1993), Smillie (1995) as well as his experiences in working with CSOs. Classification by this method, he points out, contributes to greater precision in identifying the types of CSOs and also takes into consideration the multi-dimensional nature of CSOs. It again attempts to address the need for comprehensiveness. As Green and Mathias (1997) points out, categorizing CSOs according to their roles is a useful way to examine the sector, though limited in its ability to categorize those CSOs which may be involved in several functions. Vakil outlines two broad categories of his classification as;

a) **Essential Descriptors** – these descriptors represent those attributes which need to be addressed in order to delineate the broad parameters within which discussions about and within the CSO sector can take place. These assist to identify units of analysis and facilitates the sorting of broad theoretical and empirical issues. Vakil further divided the essential descriptors into two subs descriptors as *based on orientation* and *the level of operation*. He explains the description based on *orientation* focuses on the type of activities that CSOs engage in. One distinction between orientation and level of operation is that level of operation tends to render mutually exclusive categories. Within orientation, six (6) other categories can be deduced from it. These, he identified to be;

   i) <u>Welfare CSOs</u> that delivers services to specific target groups. This category includes all CSOs that provide basic services to the poor.

   ii) <u>Development-oriented CSOs</u> that support activities with the ultimate goal of improving the capacity of a community or group of people to provide its own basic needs. Development oriented CSOs are either *membership organizations* where beneficiaries are members themselves and therefore includes all types of cooperatives and informal organizations or, *service organizations* who acts as intermediaries in providing services to other organizations or to the entire population.

   iii) <u>Advocacy-oriented CSOs</u> whose aim is influencing policy or decision making relating to particular issues and building social support both among like-minded organizations and the wider populations on issues of concern.

   iv) <u>Development Education CSOs</u> who focuses on educating the citizenry of such countries on major development issues, for instance, global inequality.

   v) <u>Networking CSOs</u> who operate at the national or regional levels serving to channel information and provide technical and other assistance to lower level CSOs and individuals. He explains that CSOs categorized here play the important role of bridging the information gap between organizations.

   vi) <u>Research-Capacity CSOs</u> which serve as a means of acquiring knowledge along with the pressing need for interventions based on sound information. He adds that this category emerged from the recognition of the importance of participatory research.

Vakil explains that with the exception of development-oriented CSOs that are located in industrialized countries, all other categories can be found in developing countries where the need for their presence is much stronger.

The second sub descriptors of *level of operation* help to distinguish between international, regional, national and community based CSOs. Within this categorization, international CSOs are located at the industrialized countries whereas national and community based CSOs are located in intervening countries. Regional CSOs represent CSOs that operate within for instance, the 'region of third world

countries'. He adds that regional CSOs are championing networking, research and advocacy functions whereas international, regional and national CSOs often are service oriented. Partnership between CSOs at various levels is possible where necessary.

The second broad classification is what Vakil termed as **Contingent/Secondary Descriptors** to stand for those descriptors dependent upon particular theoretical, disciplinary or policy perspectives. These are additional features that further support in distinguishing CSOs. He explains that this may not pertain to all CSOs unlike the essential descriptor which runs through all CSOs. For instance, whilst the sectoral focus of a particular policy NGO may be vital to policy analyst (elements of a housing policy) but may be of little importance to a political scientist interested in the relationship between NGOs and government. Vakil further provide two sub categories of contingent descriptors namely;

      i)   <u>Sectoral focus</u> which is sector specific such as health, education, housing, agriculture where CSO interventions influence the structure, operating procedures, resource requirements and management strategies of a sector. He highlights that this set of attributes is particularly important for policy field analysis.

      ii)   <u>Evaluative Attributes</u> which focuses on the efficiency and effectiveness of CSO intervention. He justifies that the importance of this classification is to determine whether CSOs are contributing to the practical or strategic needs of society. Therefore, evaluative attributes such as accountability/notion of transparency, efficiency, values and control over resources, gender equality and levels/types of participation are employed in any CSO are vital to the classification.

What is important about Vakil's categorization of CSOs is it offers an insight to the various forms of CSOs that exist. This is exhaustive and not clear cut. As he explains, CSOs operate in a mixture of these various forms and should be understood for the purpose of identification (Vakil 1997).

2.2 CSOs in Water and Sanitation Transition

This is intended to bring out the strategies and roles that CSOs employed in similar projects in the world over and the influence they possess.

2.2.1 CSOs Practices and Strategies in Water Transition

Available literature points to the fact that CSOs got involved actively in the provision of water and sanitation services in the early 1990s though prior to this, there were pockets of CSO activities dotted across the globe. Thompson and Bradley (2000) identified that these CSOs employed different strategies including; (a) the promotion of market based water development especially to developing countries to encourage private sector participation and competition in the sector, (b) creation of cooperative management arrangement for the benefit of people and the environment. This strategy brought to light the emergence of different group, i.e community/beneficiary groups, in the campaign and management of services (c) the strategy of partnerships with public sector agencies for networking and the provision of services(Thompson and Bradley cited by Seppälä (2002). Allison (2002) identified this strategy as the number one in literature around adopting a shared responsibility and ensuring sustainability. (d) Partnering with donor agencies to provide both political and financial assistance for water and sanitation service provision in developing countries constitutes another strategy of other CSOs (Thompson and Bradley (2000) cited by Seppälä (2002). In South Africa, CSOs operated through the strategy of 'heritage community development' employed in the context of colonialism, racism, apartheid and restricted programmes of government department. This gave birth to the now 'people-driven' or 'bottom-up' approach in the country (Allison, 2002). Other approaches include networking and collaborating with other CSOs to provide water and sanitation service and leading the process or campaigning for better services for poor as the case of Israel where proponents of human rights and

cooperation between health practitioners led villages unrecognized by the state to obtain access to safe drinking water (Allison, 2002). Notable among the CSOs in water and sanitation in Northern Ghana include WaterAid Ghana, NewEnergy, Professional Network Association (PRONET), Rural Aid, Catholic Relief Services. WaterAid explains that over the period of its involvement in the water and sanitation provision, the practice of establishing partnerships for project implementation, capacity building, networking with like-minded institutions, fundraising and provision of water facilities were employed in the potable water service delivery.

Sanitation saw the promotion of appropriate approaches such as the integrated water, sanitation and hygiene approach, provision of sanitation facilities, hygiene Promotion, promotion of pro-poor and affordable water and sanitation technologies in its delivery. Others included ensuring a balance in geographical coverage, reaching the remotest communities, promotion of gender mainstreaming in project design, influencing policy debate in favour of the poor and innovative project delivery approaches. For instance, WaterAid explains of a credit scheme for the construction of latrines instituted by PRONET North which resulted in an increase in demand for pit latrines in the Upper West Region by 500% over the last few years (WaterAid, 2005).

2.2.2 Civil society in Sustainable Energy Transitions

Adrain Smith, 2012

Smith makes the case for relating civil society activities in energy to socio-technical transitions and explains that literature today on transitions is mostly viewed as something done to communities, however, it is also worthwhile to scrutinize transition processes that emerge from the civil society; more specifically how civil society responds to the disruptions of transitions and what this means for policy making, businesses and other associations. He describes civil society as a source of (grassroots and mostly social) innovative activity contributing to a diverse, often hybridizing sustainable energy activities and asserts that all civil society have in common their un-coercive collective action around shared interests purpose and valves. He explains that civil society over the years has propelled governments and businesses into new dimensions of thought and most especially the thinking of energy efficiency through low carbon emissions in the energy sector. He cites the example of the long running debate on 'soft' and 'hard' energy paths from environmental activitists that is that has gradually taken shape in policy planning. He holds the view that civil society can either mobilize active resistance to low carbon technological innovation by fuelling protests, anti-wind farms or organized climate scepticism or rally round a particular community energy initiative thus, they can generate enough pressure to unsettle the existing energy regime or provide niche for sustainable energy services such as energy cooperatives. He argues that whether civil society may pursue different paths with regards to sustainable energy transitions such as Country Guardian campaign against wind farms; Friends of the Earth's preaching against unconstrained bio-energy, whereas others prefer decentralized energy solutions and campaign against carbon capture and storage, what is clear is that their influence on the choice is undoubtedly significant. His argument – the sheer scale and ambition implied by sustainable energy transitions framings means that civil society will and is already actively involved in the process. This he explains is because civil society engages and contributes to both the paths selected and in the policy selection process thus, sustainability transitions led by civil society operate in settings where the market and the state offer greater openings and support for these initiatives.

By this, Smith argues that social networks championing community owed, small scale renewable energy systems can be considered as a niche alternative. Through experimentation with novel business models, organizational structures, innovative technologies and infrastructures, the niche alternative aligns and constitutes new energy practices, performance and marketability which reinforces positive expectations. This allows for the niche to grow and compete more effectively with the established energy regime. This creates opportunities for niche solutions resulting in the destabilization of the

existing energy regime. He basis his argument on the work of Smith (2005) and explains for example that "the centralized production of fossil-fuelled electricity from private utility power stations in regulated markets has co-evolved into a mutually aligned structure of markets, infrastructures, regulatory institutions and consumption practices. Environmentalist protests and lobbying campaigns can be a destabilizing force working against regime path-dependency and lock-in. Instituting this societal concern within energy policies and market processes can serve to reorder the evaluative criteria of government policies, investor strategy and consumer behaviour and consequently unsettles regimes relative to niches, where the latter perform better against the revised criteria" (quoted from Smith, 2012 P.188). He further identifies that beyond the socio-technical regimes are broader, socio economic and environmental set of change processes termed as 'Landscape' which signifies a cultural and knowledge values producing change oriented towards an entire society or economy. He states that the landscape, sustainability values is expressed in relation to a number of regimes and provides the example of social concern over climate change and its implication on food security, transport, housing and other socio-technical regimes. He therefore concludes that the above makes it possible to relate civil society to sustainable transitions because the diversity of activities can be considered to be contributing to the set of transition processes which is helpful in understanding and generating new discussions about the roles and consequences of different civil society strategies. He underscores the fact that the potency of civil society resistance activities lies not in the immediate disruption of the regime but more especially in the symbolism and cultural pressure generated by such radical actions and their ability to bring these issues to the public attention, raise policy salience and test new principles such as liabilities for greenhouse emissions thus, altering the social norms by which different energy practices are valued and judged, redefining what infrastructures signify and mean in society and what is acceptable way of life for a community.

To him, resources available for mobilization, coupled with movement perceptions of opportunities determines which strategies are adopted and when. Nonetheless, when strategies realize opportunities successfully, then influence can manifest either as substantive (public funding for small scale renewable energy), procedural (civil society in formal decision making), structural (emphasis on low carbon emission in policy planning) or sensitizing (raising energy awareness).

He makes the case that the analysis of civil society within the multi-level perspective of socio-technical transitions identifies empirically: (1) the opportunities available to sustainable civil society. This can be assessed by investigating (i) the openness of energy systems to the activities of civil society, (ii) alliances made with other actors in the energy sector and the resources these networks bring on board, (iii) the ability of civil society to tap into public discourses on energy issues and (iv) tolerance within the energy sector towards civil society demands and activities; (2) the strategic activities civil society adopt for realizing their goals. These activities, he explains, whether classified, disruptive, influencing, lobbying, exploiting crises or alternatives can be identified relative to their destabilizing consequences for the energy regime. This will also depend on how the regime is framed and the kind of sustainability transitions that are envisaged which further depend on the material and social resources available to them and the interdependencies with other niches and regime actors in realizing their strategic actions; (3) the kinds of influence that activities hold in unsettling the existing regime.

Smith further makes the point that civil society serve to nurture niches through community projects. These projects involve local community groups developing sustainable energy solutions appropriate to local institutions. He stresses on the need to better understand the processes by which innovative local energy projects are established and diffuse and important to explore how niche and regime mutually adapt and contribute to sustainable energy system hybrids. Though there are challenges with community-led innovation, he suggests that niche analysis within this framework should be adapted in terms context, their driving force, the nature of the niche, the organizational forms and the resource base. He explains that the basic hypothesis behind civil society nurturing niches is that niches originating in these settings will grow through replicating such projects in different communities; that

strategic learning across replicated facilitates scaled-up adaptations; and that elements of these projects translate into new business models and markets. The energy, carbon, social and economic performance of projects, including failures inform learning processes in the development of subsequent projects and thus, niche development. They however do not serve as blueprints but reservoirs of ideas and practices such that dedicated work is needed to transfer and adapt in different locations, scales and context.

2.3 Transitions and Transition Dynamics

2.3.1 Definition of Transition

A transition can be described as "a long term continuous process of societal change during which the structure of society or sub-term system of society, fundamentally changes" (Rotmans et al; 2001 cited in Van der Brugge (2009). It is also considered a complex phenomenon of change, encompassing an array of interacting societal changes, operating simultaneously at different scales in the technological, economic, ecological, socio- cultural and institutional domains. Transitions centre on the change of the deep structure of a societal system which represents the dominant culture, structure and practice. (Rotmans et al;, 2005 cited by Van der Brugge (2009). Van der Brugge (2009), Nevens, Frantzeskaki, et al. (2012) widely accepts the above definition of transition. This definition therefore fits well in the context of this study and was employed in referring to transitions.

Grin, Rotmans, et al. (2010) further explained that transitions assume the following characteristics:

➢ They are co-evolution processes that require multiple changes in socio-technical systems or configurations and involve both the development of innovation through the application of new knowledge, science and artifacts in society.
➢ They are multi-actor processes entailing interactions between social groups such as businesses or firms, different types of user groups, scientific communities, policy makers, social movements and special interest groups etc.
➢ Transitions represent radical (i.e scope of change not the speed) shifts from one system to another which could proceed suddenly or in a slow step-wise fashion.
➢ Transitions are mostly long term processes(40-50 years) with possible fast breakthroughs (e.g 10 years) however; the innovation journeys through new socio-technical systems may take much longer (e.g20-30 years).
➢ Transitions are macroscopic. Meaning the level of analysis is at organizational fields. Organizations that constitute a recognized area of institutional life. This makes it easy to direct attention to the totality of all relevant actors.

Nevens, Frantzeskaki, et al. (2012) places a clarification on historical and transitions as viewed today and explained that the main essence of transitions today is carried out with a clearly defined objective and hope of achieving sustainable development compared to the historical transition which was without a clear objective. Similarly, Van der Brugge (2009) provides a distinction between transitions and incremental change or optimization. She argues that in terms of sustainability, transitions are more transformative or fundamental whereas incremental change produces suboptimal change and has no need for a more transformative change.

2.3.2 The Concepts of Transition

Prior to the discussion of the concepts of transition, it is important to precede it with the explanation of the dynamics in order to appreciate the complexity of the concept.

2.3.3 Dynamics of Transition

Transitions deal with system innovations, not only focusing on new technologies but also with changes in behaviours and attitudes of people. For instance changes in market systems, user practices, infrastructure, cultural discourses, policies and governing institutions. Underpinning these elements are continuous dynamic interactions between different structures and practices of the system and the subsystems (Kemp, 1994; Geels and Schot, 2007 in Nevens, Frantzeskaki, et al., 2012). Bosch (2010) explains that transition dynamics is concerned with understanding and describing how societal change occur and how they can be recognized by developing fundamental knowledge on the transition processes including past, on-going and the future.

2.3.4 The Concepts

Bosch (2010) identified three main concepts which explain more the transition dynamics as;
- The multi-phase concept
- The multi-pattern concept
- The multi-level Concept

2.3.4.1 The multiphase concept

The first concept in describing the dynamics of transitions is the Multi-phase Concept (MPC). Grin, Rotmans, et al. (2010) describes the MPC as the dynamic sequence of alternating phases occurring in time. The alternating phases is manifested in an S-curve which represents the actual transition from the successful adjustments made to internal and external circumstances which enables it to achieve a higher order of organisation and complexity. The dynamics could either be slow or fast but it ultimately forms a strong non-linear pattern and exhibits the following phases;

a) The pre-development phase characterised by a state of equilibrium and a changing status quo. They explain that the change is however not visible at this point.
b) Take-off phase signifying the point of ignition. Van der Brugge (2009) makes the point that this is where innovation break through occurs and then system transformation begins to manifest.
c) Acceleration point where structural changes become visible. To Van der Brugge (2009) new cultural, economic, environmental, ecological capital accumulates here.
d) Stabilization phase. At this point, a new dynamic state of equilibrium is achieved.

System indicators
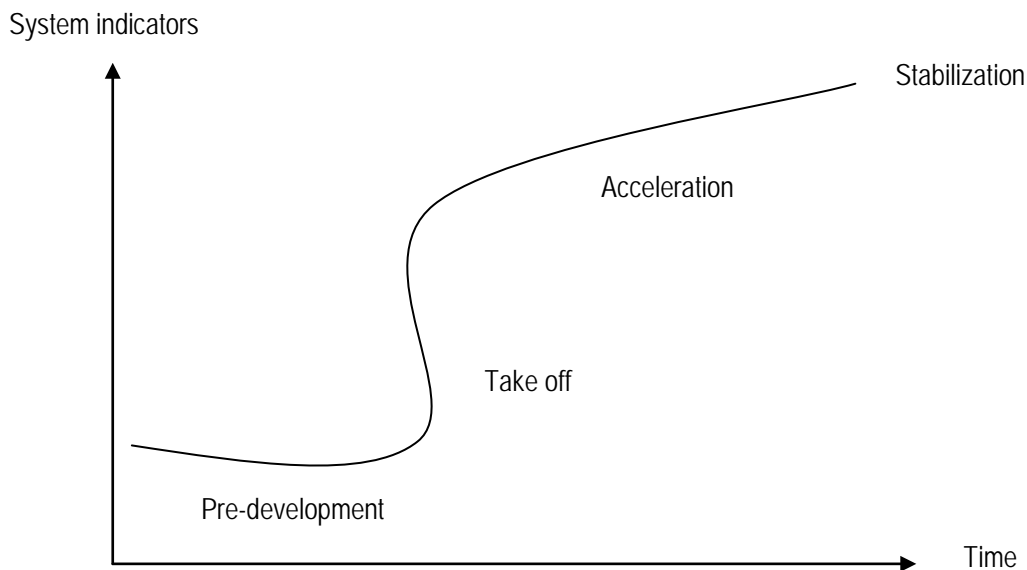
Figure 3: The different phases of a transition

Rotmans et al 2001 in (Grin, Rotmans, et al., 2010)

Van der Brugge (2009) noted however that, though the desired objective in transitions is to achieve sustainable development, the complexity of interactions and processes sometimes limit the control over societal development which may result in less desired path ways such as a lock-in, a backlash or total system breakdown. Grin, Rotmans, et al. (2010) referred to these less desired phases as alternatives phases for the S-shape curve as illustrated below.
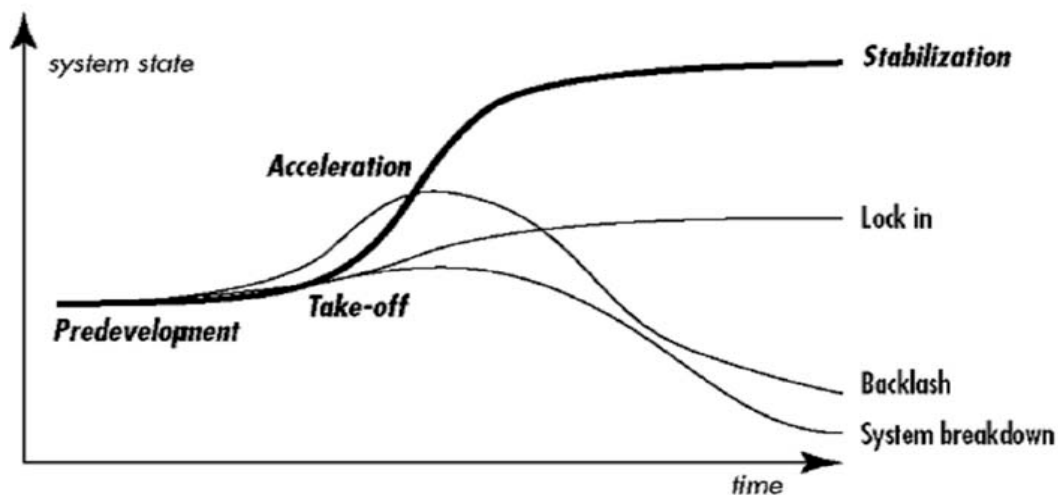
Figure 4: Alternative transition phase curve

Van der Brugge, 2009

Gersick (1991) provided further explanation into the transition phases with the suggestion that the disruption of the state of equilibrium from one phase to the other could be the result two reasons: "(1) internal changes that pull parts and actions out of alignment with each other or with the environment or

(2) environmental changes that threaten the system's ability to obtain resources" (Van der Brugge, 2009: p2 5).

MPC is useful in unravelling societal changes in different development stages by applying knowledge and from diverse disciplines. It is also used to describe the speed and size of transitions as well as the broader societal transformative changes in coherent and simplified yet communicative in nature (Grin, Rotmans, et al., 2010). To Van der Brugge, the concept suggests a cyclical pattern where the stabilization phase might actually be the pre-development phase of next or another transition therefore represents an adaptation to changing socio-environmental macro landscape (Van der Brugge, 2009).

The MPC represents an aggregated picture of the dynamics as such focuses mainly on the outcomes of transition processes. It fails to capture the influences of the various factors/actors involved in the process and therefore will be applied to understand the various phases of the WASH transition.

2.3.4.2 The multi-pattern concept

According to Grin, Rotmans, et al. (2010), the multi-pattern concept provides an understanding on the dynamics of transitions in relation to generic patterns that result in irreversible changes to the system. The concept places emphasis of the societal processes (the regime) and how any particular pathway is selected. Here, Van der Brugge adds that the concept is concerned with how any transformative change takes place. For instance, whether through a bottom-up dynamic. Drawing on the work of Geels and Schot (2007), De Haan (2007) and De Haan and Rotmans (forthcoming cited by Van der Brugge, 2009), Van der Brugge explained that attempts have been made to identify approaches related with this concept including the Geels and Schot (2007) 'typology of transition paths' and the 'pillar theory' by De Haan (2007) and De Haan and Rotmans (forthcoming cited by (Van der Brugge, 2009).The typology of transition paths is based on two aspects of a database of case studies describing historical transitions namely the *timing* and *nature* of interactions between the niches, regime and landscape. The nature of interactions describes which form of relationship the niche and the landscape takes with the regime, whether to disrupt/pressurise the regime or relate symbiotically to it whereas the time focuses on the maturity levels of niches to take over the regime when macro development occur. Following this, Geels and Schot (2007 cited by Van der Brugge, 2009) identified four different paths as;

- Transformation path; this occurs when landscape moderately pushes for changes and niches are still at their infancy causing the regime to push for other actors stir up an awakening.
- The technological substitution pathway characterised by the presence of heavy landscape pressure and a sufficiently developed niche. Here the niches pushes out the existing regime and replaces it
- The De-alignment/Re-alignment pathway with a heavy macro level pressure but less matured niche resulting in a de-alignment of existing regime which creates opportunities for new niches. The actors eventually re-align themselves to form new regimes.
- The reconfiguration path during which niches are adopted and new niches emerge.

The work of De Haan (2007) and De Haan and Rotmans cited by Van der Brugge (2009) on the 'theory of pillars' suggests a transition can either be the result of an expanded niche that later replaced the regime or a large scale alternative imposed on the system. Therefore, this theory centres on how the regime responds to the changes through adaptation. Though the multi pattern concept is important in describing the transforming and reforming nature of the regime, it does not explain what it is in the regime that is changing (Van der Brugge, 2009). However, it will be useful in explaining the direction of the WASH transition path and the actor (s) that initiated the transition.

2.3.4.3 The multi-level concept (MLC)

Grin, Rotmans, et al. (2010) explains that MLC describes the dynamics of transitions as the interactions between three different functional scales levels: the micro-level, the meso-level and the macro-level. Transitions take place when developments on these three levels reinforce each other in one and the same direction. They explain that the scale levels are functional scale levels rather than spatial or geographical and it represents functional relationships between the actors, regime and niche-actors, each with its own structure, culture and practices. They note that the higher the level, the more amassed the components and the relationships, and the slower the dynamics between the actors, trends and developments.

The first (top) scale is the **macro level**; the level where landscape changes take place, trends with a relatively slow progress and developments and a highly autonomous character. Landscape can be understood as cultural values and knowledge change process oriented towards the general society or economy. This level is characterized by trends such as globalization, individualization, changes in the political arena etc. They explain that this level is not necessarily bound to the global level but includes universal trends that often function at the global level.

The middle or **Meso level** is characterized by regimes; systems of dominant structures, cultures and practices that are shared by groups of actors. Subsequently Van der Brugge (2009) refers to a regime as the system of government be it the formal laws and regulations or informal socio-cultural norms. Van der Brugge explains that central to a regime is the interconnectedness and interdependence of the entities that constitute the regime which creates rigidity and gives rise to barriers for radical innovation. This level is much resistant to transformative change and innovation because existing institutions, networks and organizations prefer to maintain the status quo.

At the lower or **micro level** is where short term developments occur through the activities of niches in rapid succession but can easily disappear as quickly it occurred. Schot (1998a in Van der Brugge, (2009) defines the niches as local alliances or networks that initiate new ideas or innovations. Within the niches are learning processes regarding innovations new practices and/or behaviour which allows for the development of ideas to alternatives paths or options. The micro level possesses processes of variation and selection of options. These variation and selection processes are dependent on the choices of the individual actors but also determined by developments at meso and macro levels. By this they explain that the existing regimes at the meso level and developments at the macro level could either power or slow the transitions. For instance, early in the transition process, the regime may act as an inhibiting factor, then once the niche-regime (an alternative regime originating from the developments at the micro level and lies between the meso and micro levels) unfolds and takes ground, acts as an unleashing factor. From the literature provided, it is unclear which actor are considered as niche but it can be deduced that the actors fall within the grass root level form the niche such as NGOs, CBOs and the community level management teams.
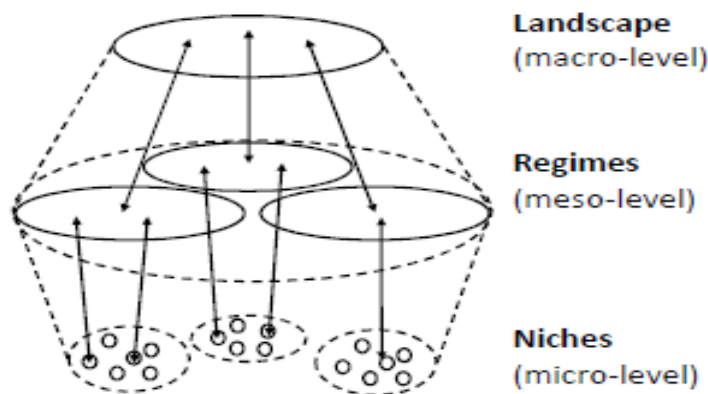
Geels (2005)
Figure 5: Multi-level concept framework

Change occurs when individual actors (so-called frontrunners) such as local governments, individuals, companies, create the stepping stone which makes it possible for the actors to function as a catalyst for supporting the transition process. Pressure from social surroundings about culture and practices results in a discussion and subsequent change of the regime structure or, a learning process of alternative options by niches can result in the formation of new actor networks which can produce bottom-up pressure to the regimes. These pressures cause regimes to take a defensive, a reactive, accommodating or an innovative approach or employ all approaches to the transition, thus regimes play a crucial, decisive role in transitions.

Grin, Rotmans, et al. (2010) argues that MLC is useful because;

❖ It provides a descriptive ordering framework for the functional changes of transitions at various scales,
❖ It unravels the dynamics of transitions by introducing discrete scale levels with different dynamics, from quasi-autonomous, slow change at the macro-level to fast changes at the micro-level
❖ It explains the origin of transitions; where and how a transition arises and offers desired targets and levers that influence the direction.

Bosch (2010) shares with the above view and adds that the MLC is an analytical tool that separates a societal system in three nested levels. The lower level is nested in a higher level that is more resistant to change and as such a transition occurs as a result of non-linear interactions between the three levels of the societal system.

Taking from the above discussion, the multi level concept was applied to analyse and provide more insight into the contribution of the actors involved in the process of change in water and sanitation. Within the MLC framework where society is stratified with both bottom-up and top-down influences. To provide a clearer understanding of the concept of the dynamics of the concept that is adopted for this study, NGOs, WASH sector and international summits on CSOs activities were used as niche, regime and landscape respectively. The purpose was to allow in describing the transition dynamics between and among these actors.

The discussion on case studies provides more clarity.

2.4 Case Studies

Various cases studies were used to further explain the concept of transitions which sought to provide a relationship with the WASH sector.

2.4.1 NGOs/CBOs as a Niche and Niche-regime

According to Van der Brugge (2009) niche-regime exhibits unique features namely the formation of a new structural component, formation of niche-group and framing of new policy thinking. The formation of a new structural component supports the initiation and development of new kinds of practices. This is accompanied with sympathisers who rally behind the new structures forming a niche-group, distinguishable from the niche. Van der Brugge explains that a new kind of framing occurs and this gives rise to the development of a new policy perspective. This can be applied in the '*modus operandi*' of NGOs who as explained by Gary (1996) employ such tactics as keeping a low profile, forming partner associations, reliance on international agencies to secure protection and credibility, selectively collaborating with certain sections of government or government to amass support, pursuing policy advocacy, working with media and public education making them a strong force capable of generating enough pressure to unsettle existing regimes and at the same time, providing a niche for the transition (Smith, 2012).

Following this, NGOs and CBOs were identified as niches in that their micro level activities produce best practices which were fed into district and national level planning and policy formulation. By organising themselves into networks and coalition, they formed a new agency through which the best practices are channelled to the national level

2.4.2 'The WASH sector as a 'regime'

Van der Brugge, (2009) explains that the regime addresses the dominant set of interconnected elements. This implies that the existing regimes (particularly the cultural and institutional elements) create barriers for innovation that are not compatible with itself. Further, the regime is a set of actors, engaging in different processes to influence existing structures to change and be influenced by same existing structures. Van der Brugge reveals that inside any particular regime are: (a) the actors, who have agency; b) the structures, which enable and constrain certain practices; and c) the processes, or the social practices, which change over time or reproduce the structures. Referring to the actors, Van der Brugge makes mention of a few as governments, companies, non-governmental organizations (NGOs)[1], expert centres, with different goals, ambitions and formal responsibilities. These actors engage indifferent processes to change existing structure. Within the state is where rules, regulations and constitution are enacted and this has a bearing on how activities are carried.
In light with the above view, Hyden (1997) concludes that the focus is on the nature of the regime and how rules can be made more democratic. He explains that the constitution by itself, no matter how creatively designed, no matter what commendable formal arrangements of checks and balances it contains, will not limit authoritarian rule. Therefore constitutions need to reflect the realities of life.

The WASH sector was the point where the interactions, activities and policy changes from the niche and niche-regime are felt. This therefore becomes the regime where changes occur and transcend to the local level.

2.4.3 International summits and CSOs

Several summits and international conferences have been held all over the world to foster the delivery of development interventions in developing countries. Notable among these are the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action because they sought to reshape the delivery of aid interventions in developing such as water and sanitation.

2.4.3.1 The Paris Declaration on Aid effectiveness; March, 2005

After the Rio Earth Summit, it was observed that the implementation of the international commitments with respect to environment and water was limited. This was attributed to the fact that the breadth of the challenge was not matched by strengthening of governance systems, investment and political commitment (Al Jayyousi, 2007).

Therefore, ministers of developed and developing countries responsible for promoting development and Heads of multilateral and bilateral development institutions, met in Paris on 2 March 2005. The aim was to reform the delivery and management of aid in preparation for the UN five-year review of the Millennium Declaration and the Millennium Development Goals (MDGs). Hyden (1997) claims that The Paris declaration serves as the new approach to assisting developing countries emphasize greater recipient control over the funds provided, thus confining donors' influence to point of the policy process, where the political aspects of development co-operation are given more emphasis.

Central to declaration are 5 core areas of attention; Ownership, Harmonization, Alignment, Results and Mutual Accountability.

- ➢ **Ownership**; where partner countries exercise effective leadership over their development policies, and strategies and co-ordinate development actions.
- ➢ **Alignment**; donors base their overall support on partner countries' national development strategies, institutions and procedures therefore donors' actions are more harmonized, transparent and collectively effective.
- ➢ **Managing for Results** focuses on managing resources, implementing aid and improvement of decision-making in order to achieve desired results.
- ➢ **Mutual Accountability**; donors and partners are accountable for development results where a major priority for partner countries and donors is to enhance mutual accountability and transparency in the use of development resources (Paris Declaration on Aid Effectiveness (2005) and the Accra Agenda for Action (2008), 2005/2008a).

This was a move in the right direction especially in the development field where duplications of efforts remains one of the major challenges faced, however, its implementation is faced with a lot of loop holes. (1) its adoption is voluntary; (2) the success or failure is dependent on the power structure of recipient countries who have the responsibility of directing the flow of funds; (3) in countries where bilateral relations exists with other donor countries or agencies, the power of such a declaration may be undermined as priority is given to the former; (4) the declaration didn't come with proposed sanctions for non-compliance. This assertion is supported by Goran Hyden in his article, 'After the Paris Declaration: Taking on the Issue of Power' argues that the declaration is based on presupposed relationship of trust and mutual accountability. To him, these propositions remain largely untested because it involves confronting issues of power, an understanding which demonstrates the challenges involved in transforming relations between donors and recipient governments as well as between governments and civil society organizations (Hyden, 1997).

2.4.3.2 The Accra Agenda for Action

As a follow up to the Paris Declaration, a meeting was held in 2008 in Accra dubbed: The Accra Agenda for Action (AAA) with the aim *to accelerate and deepen implementation and reaffirm the commitments made at the Paris Declaration on Aid Effectiveness of March 2005.* Below are two (2) of the actions reached at AAA which are of particular reference to work of CSOs at the national level.

- Commitment to deepen engagement as well as ensure the development of full potential of CSOs as independent actors who complement the efforts of government and the private sector. To this end:
a) CSOs are encouraged to apply the Paris principles of aid effectiveness from a CSO perspective in their discourse.
b) Proposes to engage in a CSO-led multi stakeholder process to promote CSO development and effectiveness to i) improve co-ordination of CSO efforts with government programmes, ii) enhance CSO accountability, and iii) improve information on CSO activities.
- "Donors recollect and reaffirm their Paris Declaration commitment to provide 66% of aid as programme-based approaches. In addition, donors will aim to channel 50% or more of government-to-government assistance through country fiduciary systems, including by increasing the percentage of assistance provided through programme based approaches". (Action 15e p.17)(Paris Declaration on Aid Effectiveness (2005) and the Accra Agenda for Action (2008), 2005/2008b)

These actions sought to have created a new positive dimension for CSOs in the participating countries which were not involving CSOs in their development process to reconsider their position. It also implies that CSOs would enjoy diverse sources of funding for project activities. However, it's unclear whether the CSOs have been actively involved in the activities as agreed by participating parties and to what extent they would make use of this opportunity and how these CSOs are utilizing the opportunities outlined in these agreements. Worthy of note is the influence of these agreements on the activities of CSOs. What is clear is that these declarations have shifted focus and deciding role to recipient governments in terms of resource allocation, which CSO to work with, where to concentrate efforts and more importantly, a seemingly less direct contact with the donor community. This invariably will affect the direction and concentration of efforts.

2.4.3.3 International summits as 'Landscape'

The landscape as explained by Grin, Rotmans, et al. (2010) is where the cumulative changes occur. Present here are relatively slow progress but with a highly autonomous character. In a similar vein, the Paris declaration and Accra Agenda represents a new dimension of focus at the donor community level and their activities, discussions and agreements hold a bearing on the activities of the regime and niches.

2.4.4 Transitions in Water and Sanitation

To understand the transition in the water and sanitation, there is the need to decouple the components of the water and sanitation into 'hard' component which comprises the physical infrastructure and the 'soft' which focuses on the behavioural and institutional aspects.

Water and sanitation transition in this study is explained to mean a long term process of structural (dominant culture, structures and practices) change in the sector of water and sanitation.

Historically, (Allison, 2002) explains that the public sector has been the sole provider of water and sanitation services. The local government was engaged in mobilization and acting as front-line contact person with communities. Government was responsible for mobilizing communities and providing

infrastructure. However, public sector through its simply provision of physical services could not keep pace with consumer demands hence a process of democratization at national level opened up the way for civil society organizations to assist the public sector to meet its demands. For instance, it was found that where responsibility lay with the local authority, as in the case of garbage collection, leaking buckets in latrines and water drainage, the level of hygiene was poor. Where the responsibility was private, as in the cleanliness of private yards and general status of the dwelling, hygiene was good ((Allison, 2002). To this end, (Al Jayyousi, 2007) adds that CSOs are crucial in addressing the needs of the vulnerable and marginalized persons in society through the provision of aid, distribution and management of water and sanitation facilities by engaging with relevant stakeholders to manage the underlying policy and institutional barriers to development. Empowerment of vulnerable groups with assets, rights and entitlements needed to improve wellbeing, encouraging dialogue with and among stakeholders on issues pertaining to water and sanitation constitute the other approaches by which CSOs operate. This was achieved by employing various strategies which will be discussed later.

The table below summarizes the transition in water and sanitation before 1950 to date centring on the milestones and the focal areas at each respective time period. It highlights the start of an era of water related deaths which stimulated the concern of policy about the water and sanitation related issues through the era where emphasis was placed on hard engineering as the solution to the problem and culminates in the period where attention and priority is given to community ownership and management, demand driven approach to water and sanitation. This information presented below explains the trend at the international (landscape level) regarding the transition in water and sanitation. Again it provides data on the period that CSOs got actively involved in the transition. This gives information on (a) the starting point of their involvement beginning in the early 1990s, (b) their role in the transition and how it has evolved since the 1990s, (c) the extent to which community involvement has evolved and progressed in time.

Whether this is the trend or different variations exist at the study area (micro level) is what the research aims to unearth.

Table 1: Description of the water and sanitation transition and focus areas at different times in history

Period	Overall description of existing condition	Activities commemorating the period	Emphasis on selected issues and aspects	Slogans characterizing the period	Point of tackling the problem
Before 1950	Human excreta was discharged into surface waters, cities removed excrement and other wastes through street gutters or dumped 'night soil' on vacant land and into nearby watercourses, health epidemics occurred, water borne diseases increased alarmingly, cholera became number one killer. Huge records of infant/child mortality rates from water related diseases.	Discovery and linking inadequate water and sanitation to the spread of cholera.	Hygiene campaign	'Pollution kills Fish' 'India is revolting and the Thames stinks''	End of the pipe line
1950–1960	Recognition of the critical role water and sanitation for good health and development	First bilateral donor agencies established	Health aspects		End of the pipe line
1961–1970	Series of water crises. Free or heavily subsidized water in many developing countries.		Technical aspects. Water production	Technology transfer. Intermediate technology	End of pipe line
1971–1980	Focus on public health, pattern of hard engineering solution to the problem of inadequate water and sanitation. Water at this point is	UN Water Conference (Mar del Plata, 1977). UNDP-WB Water and Sanitation Program established (1978).	Technical aspects. Project implementation.	Appropriate technology. Crash programs.	End of pipe line

	considered a social good.	UNCHS (Habitat) established (1978). Hydrology decade.	Social aspects. Rural water supply. Urban sanitation.		
1981–1990	Supply-driven approach (SDA). Introduction of low-cost affordable technologies, capacity building, and the realization that community participation is the key for sustainable projects. Decentralization. Water as an economic good. Notwithstanding, emphasis still placed on the public health aspects of water and sanitation.	International drinking water supply and sanitation decade(IDWSSD, 1981–1990). Global consultation on safe water and sanitation for the 1990s (New Delhi, 1990). UN General Assembly (1990). Water Supply and Sanitation Collaborative Council (WSSCC, 1990).	Technical aspects. Project implementation. Operation and maintenance. Social aspects. Economic value of water. Capacity building. Rural water supply and sanitation. Hand pump technology.	''Water and sanitation for all by 2000''. Sustainable development. Community participation. Cost recovery. Cost sharing. Willingness and ability to pay. Human resource development. Capacity building. Women in development.	End of the pipeline
1991–2000	A reduction in global investment in WSS though considered a priority area for UN and other bodies. Water and sanitation as a basic human need. Integration of the management and use of Water into environmental protection and sustainable development. Concern about water scarcity and pollution and the possible outbreak of diseases. Focus on local level water management. Customer orientation. A shift to Demand-driven approach (DDA) in water and sanitation management. Demand-responsive approach (DDA). Development of the World Water Vision until 2025.	Nordic Freshwater Initiative (1991). International Conference on Water and the Environment (Dublin, 1992). UNCED Earth Summit (Rio, 1992). Rio Declaration. Agenda 21. CSD. Drinking Water and Environmental Sanitation Conference & Ministerial meeting (Noordwijk, 1994). World Water Council (WWC, 1996) and Global Water Partnership GWP, 1996). First World Water Forum (Marrakesh, 1997). Second World Water Forum (The Hague, 2000).World Water Vision (2000). Vision 21 (2000).	Environmental aspects. NGO and CBO role gaining momentum. Role of women and gender issues. Water as an economic good. Institutional strengthening. Poverty alleviation. Urban and peri-urban water supply and sanitation.	Community management. Stakeholder participation. Demand management. Demand-driven Approach (DDA). Demand responsive Approach (DRA).	Beginning of the pipeline
2001-date	Increased responsibility to user communities, governments seen as facilitators. Networking and partnership approaches. Emphasis on advocacy. Focus on water scarcity in certain regions. Transboundary and cross boundary water resources and management. Emergence of Water conflicts on the global agenda. Water and sanitation as a basic human right.	International Conference on Freshwater (Bonn, 2001).World Summit on Sustainable Development(WSSD, Rio+10,Johannesburg, 2002).Third World Water Forum (Kyoto, 2003).International Freshwater Year 2003. Paris declaration on Aid Effectiveness, 2005, Accra Agenda for Action in 2008	Private sector. Hygiene and sanitation. Tradable water rights. Water allocation. Hydro solidarity. Water security. Water ethics. IWRM. Good governance.	Privatization. Public-private partnerships. 'People first'. Community ownership. 'Everybody lives downstream'.	Beginning of the pipeline.

Adopted from (Seppälä, 2002)) with inputs from (Czemiel Berndtsson and Hyvönen, 2002)) and (Hollm-Delgado, Gilman, et al., 2008))

2.5 Summary of Chapter and conceptual framework

In the course of the literature review, varied views from different literature were presented to highlight the transition concept and CSOs and their activities. The research employed the concepts of transitions as a basis to further explain the WASH transition in Tamale. Multi-pattern concept was used to explain

which actor initiated the transition process according to Geels and Schot (2007) typology of transition paths and whereas the Multi-Phase and Multi-level concepts were applied to describe the transition pattern that exists within the WASH transition and analyse the interactions between the functional levels particularly at the niche and regime levels.

The literature reviewed above also presented varied views on the CSOs, their strategies of work and the levels of contribution or impact in the general perspective. It further delved into the concepts of transition and how it has been applied in different circumstances. An example was provided on how these two concepts were combined in the area of sustainable energy transitions and the outcome of such. The literature was used to arrive at certain key variables and indicator that were considered relevant for the research (see table 2). These variables were used to arrive at the conceptual framework in two folds.

The first approach incorporated the literature on CSO activities and strategies within the transition framework as the backbone and this framework was applied as the variables and indicators for the field work.

Table 2: Summary of variables and indicators from literature review

Main Research Question	Associated Variables	Indicators	References
What is the role of NGOs and CBOs in the water and sanitation transition processes in Tamale Metropolis?	Capacity building	Training, skills to manage facilities, funding activities	Mohan (2002), Nikoi (2008), WaterAid (2005)
	Financial/technical support	Fund raising, financial support to communities and committees, boards or assembly, funding of activities, provision of spare parts, maintenance of facilities.	Nikoi (2008), WaterAid (2005), Smith (2012)
	Inclusivity	A balance in geographical coverage, promotion of gender mainstreaming in project design. Differently abled persons are considered in design of projects	Aryeetey (1998), WaterAid (2005)
	partnership and networking	Participation in coalitions and networks, partnership with existing institutions e.g, WATSAN committees, water boards, office/officer in community, number of networks and coalitions available	Townsend and Townsend (2004), Aryeetey (1998), Seppala (2002), Allison (2002), WaterAid (2005), Smith (2012)
	Advocacy	Hygiene education programmes on topical water and sanitation related issues, promotion of affordable and usable technologies, organisation of dialogue sessions between local government and community leaders, committees or boards, formation and participation in water and sanitation coalitions and networks. Production of policy briefs, publications on water and sanitation issues to increase awareness	Mohan, (2002), Nikoi (2008), Griffin and Judge (2010)
	Service Delivery	Provision of potable water facilities, sanitation facilities, maintenance of facilities.	Mohan, (2002), Nikoi (2008), WaterAid (2005)
	Availability of potable drinking water	Public water supply system, design of the home, collection point	WaterAid (2005)
	Available sanitation facilities.	Numbers of household pit latrine, public latrines constructed, numbers in use	WaterAid (2005)
	Community ownership	Proactive local government, community leaders, WATSANS, water boards, budget lines for w/s,	Braimah and Fielmua (2011)

		capacity building activities for municipal water and sanitation team (MWST), participation in water board meetings.	
	Influencing Institutional change	Adapting policies and management to accommodate new/changing demands	Parker (1994), Smith (2012)
	Influencing Behavioural change	Use of pit latrines or public latrines, avoidance of open defecation, use of water from boreholes and stand pipes for drinking, waste bins for solid waste disposal,	Smith (2012)

Conceptual framework of variables incorporated in the transition framework
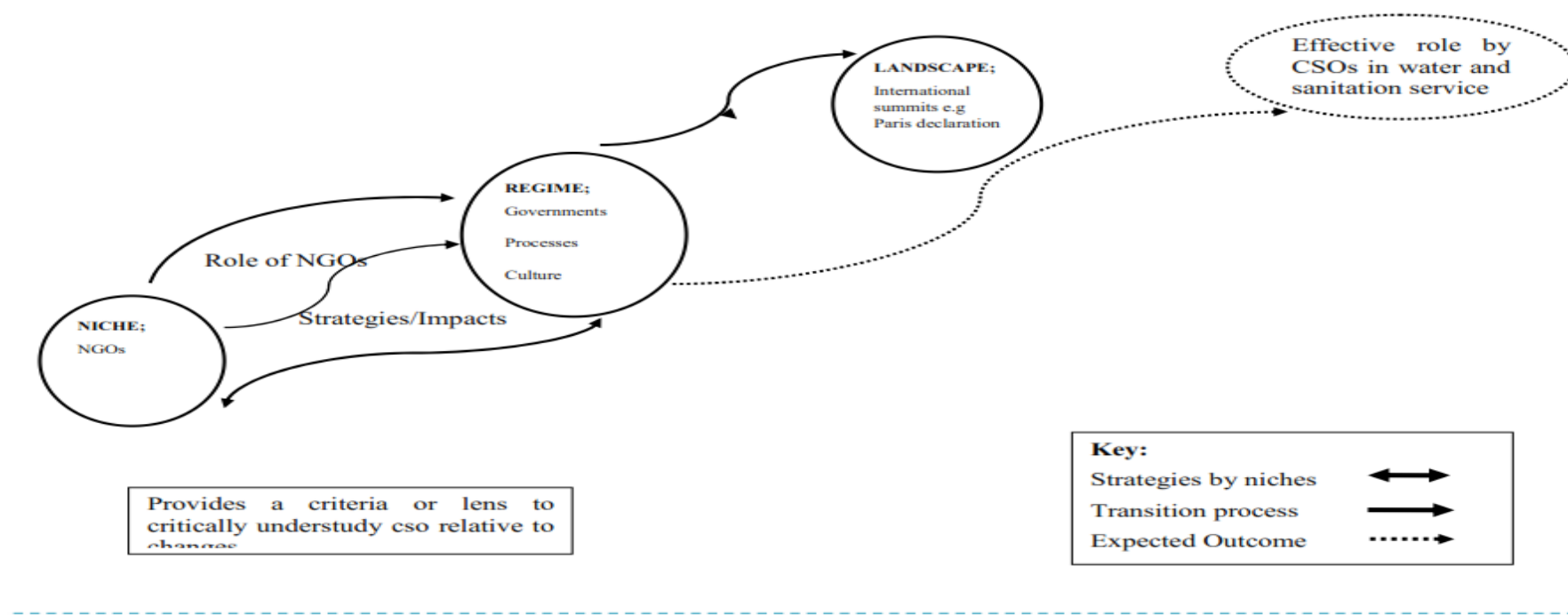
Figure 6: Theoretical Framework

Within the multi-level framework which incorporates the variables from other literature, the niches (NGOs and CBOs) employ varied strategies in the process of interaction with the existing regime coupled with the influence of the landscape either unsettles the existing regime or forces it to respond by changing its dynamics.

This conceptual framework was streamlined for the purpose of the research into the framework below.

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Conceptual framework for the thesis
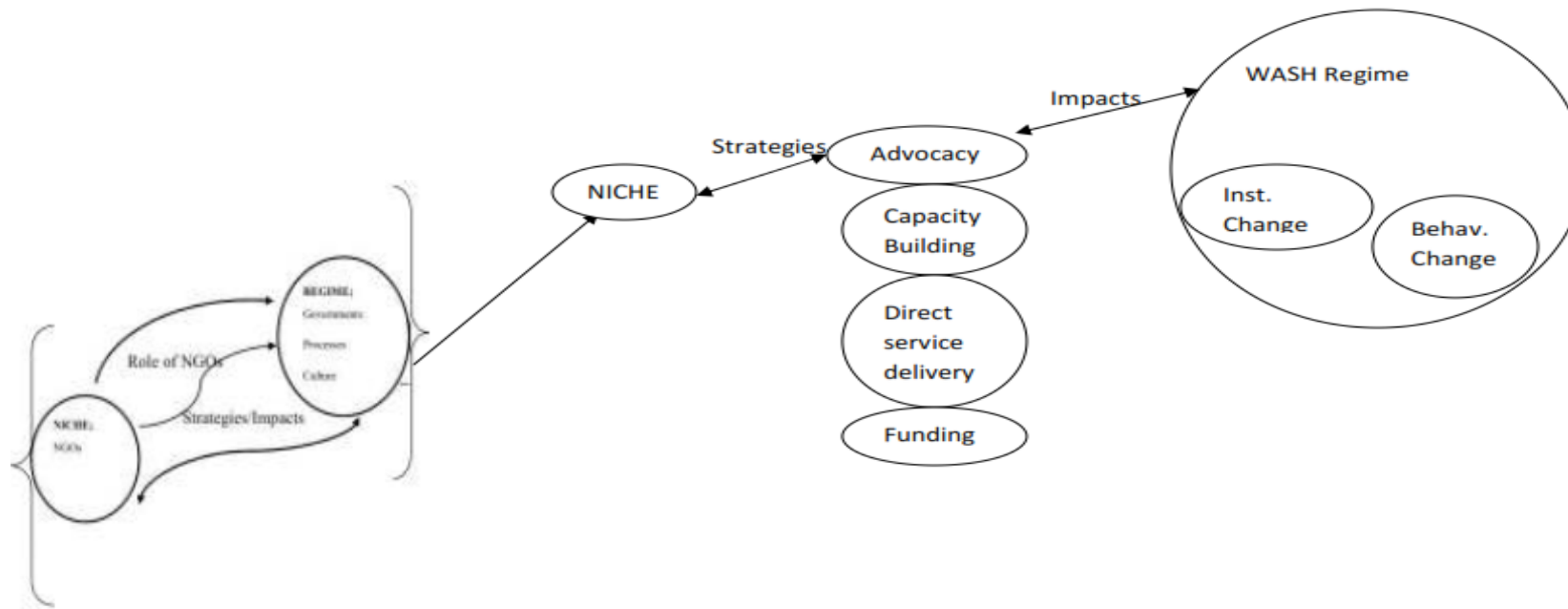
Figure 7: Conceptual framework for thesis

From the first framework, this second framework was teased out as the conceptual framework for this thesis. This was developed to understand the actions of the niches and their impact on the WASH regime. Niches, which in this case are the CSOs and a form of agency, employ various strategies to interact with the existing regime. The impacts of such strategies are felt within the regime. The interaction within the regime again informs the kind of strategy that should be applied.

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Chapter 3: Research Methodology

3.1 Introduction

This chapter of the thesis sought to explain the methodology that was be employed in the research and highlighted the, sampling techniques/methods and operationalize variables and indicators that was adopted in the data collection instruments.

Though the study area was the Tamale Metropolis, upon reaching the metropolis, I realized the same organizations were working not just in Tamale Metropolis but the whole of Northern Region. The findings therefore constitute the contribution of NGOs/CBOs to WASH in Northern Region of Ghana. These were analyzed using ATLAS-ti to draw together the statements from interviewees.

3.2 Justification of the Study

Adrian Smith's article on civil society in sustainable energy transitions provides a critical lens through which to view and understand the role that civil society plays in change processes, arguing strongly that the scale and ambition sought after in transitions signifies civil society will and already are involved in the process since they hold broad set of values and visions for change, mobilizing skill and diverse activities for realizing such visions (Smith, 2012). This is crucial for Ghana that has, in many ways, served as a 'development laboratory' for structural adjustment and free-market policies from international agencies like the International Monetary Fund (IMF), World Bank and other bilateral and multi lateral agencies that fund all manner of civil society to intervene in development agenda, to have an in-depth analysis of the role of these actors in the transition process (Gary, 1996).

Civil society as defined in this thesis referred to the intermediary organizations/institutions that work for and with local communities to improve the welfare (participation in decision making, access to facilities and information) of such communities and are funded by external organizations. These organizations encompasses Non-governmental Organizations (NGOs), Community-Based Organizations (CBOs), traders or business associations, trade unions, sports associations, women's groups, environmental groups and cultural groups. However, CSOs in this study was limited to NGOs and CBOs for the reason that they were the most renowned organizations in the provision of water and sanitation services in Tamale and Northern Ghana as a whole. Again, these were more formal and organized unlike other types and therefore were involved in the transition process at local, regional, national and global level.

3.3 Timeline for Analysis

The time line for analysis was from 1994-2013. This was further divided into 4 phases into a five year period analysis and the purpose was to capture the changes clearly within each historical time phase. This period followed the UN declaration of the decade of water and sanitation and hence its selection. It also saw drastic efforts taken by the Ghana government and her local authorities to meet the targets set in the declaration. This period saw the launching of the National Community Water and Sanitation Programme (NCWSP) in 1994 and the subsequent establishment of the community water and sanitation agency largely to decentralise the provision of these services. It also marked the time when NGO involvement in water and sanitation provision became pronounced.

Tamale Metropolis, the selected study area witnessed several changes in the area of water and sanitation. First as a region that was highest hit with cases of water related diseases arising from the scarcity of potable water, then again had an intensified NGO activity in the sector (WSMP, 2010; also

see Osumanu et al, (2010). This makes it a typical case worthy of study and the time line therefore helps to capture the contributions of these NGOs before, during and after these occurrences.

Table 3: Time line for analysis of NGO contribution to transition

Phase	Period	Events to track
Phase 1	1994 – 1998	Inefficiency of government's provision & management of water and sanitation. Government was the sole provider of water and sanitation services with some international NGOs including World Vision, CRS and Water Aid and few local NGOs such as ISODEC and New Energy. These partners were mainly involved in the project initiation and launching of National Community Water and Sanitation programmes. The Water Resources Commission and the Public Utility Regulatory Commission came into being as the first steps at demarcating rural water supply from urban water and full cost recovery respectively. Toilet management and maintenance was formally privatized in 1994, on the basis that only registered local companies which had the requisite capacity could be given contracts for installing and running public toilets which included a revenue sharing agreement.
Phase 2	1999 – 2003	NGOs and other partners involved to improve the efficiency. More NGOs especially the local ones got involved in the water and sanitation by either the government or the international partners. Government saw the need to separate rural water supply from the urban so as to increase access to water in rural communities. Preparation of the National Water Policy in 2002 Integrated Action for Community Development (INTAGRAD), Savannah Integrated Rural Development Aid (SIRDA), SONGSIM Integrated Development Association, establishment of SIMLI AID network, CONIWAS coalition was established.
Phase 3	2004 – 2008	Growing focus on an integrated approach by NGOs. Working in networks, coalitions, consortia to consolidate the individual efforts and avoid duplication of functions.
Phase 4	2009 – 2013	Current situation

Source; Osumanu et al (2010), WSMP (2010)

3.4 Research Techniques and Data Collection

This research was largely exploratory in nature. It sought to unearth the strategies that NGOs employ in the provision of water and sanitation services and identify the actors in the water and sanitation transition. The research however included aspects of explanatory and descriptive components. The aspects of explanatory focused on explaining the reasons for the gap between the desired transition and the existing situation particularly in the water and sanitation sector whilst the descriptive component seeks to trace the transition in water and sanitation from 1994 to 2013.

The approach was basically qualitative because it captured the perceptions of beneficiaries on the impacts of strategies implemented and afforded interviewees the opportunity to express their views that

will otherwise not be captured in the quantitative approach. However, an aspect of quantitative approach was included especially in assessing the number of infrastructural projects constructed. A case study technique was applied and more specifically, a single holistic case study. It sought to study the strategies of NGOs in one sector of the economy (water and sanitation).

The simple random and purposive sampling was employed in the data collection. This is because the research is purposely structured to gather particular information from a target groups, in this case, NGOs and their related partners, therefore, the sampling technique is purposive in nature. Purposive sampling and snow balling was applied to NGOs and CBOs whilst simple random technique was applied in the case of WATSANs and water boards.

The main methods that was applied was in-depth interviews to capture the strategies and impacts of NGOs activities and also for the validation from the management teams at the community level the interviewees were carried out along with observation. I had the opportunity to sit in the meeting of regional technical Working Group on Sanitation (RICCs) where proceedings were observed and had first hand information on the progress on sanitation. Focus group discussions could not be held for time constraints.

3.5 Sample Size and Selection Criteria

The research was largely purposive directing specifically to particular actors within the sector of water and sanitation. The goal therefore was to interview people within the positions of project officers or programme coordinators and/or officers responsible for water and sanitation activities at the NGO and CBO level.

The justification was that they were a group with a specific profile that understood the strategic role and operation of NGO and CBO activities. They plan, strategise and have an overall picture of what the NGOs and CBOs were doing. These were however limited in number in terms of how many of them exist in the actor group which explains the interviewed size.

An additional criteria was developed to arrive at the various organisations interviewed in the course of the research

- Must be based and operating within the study area (Tamale Metropolis).
- Must be involved in water and sanitation activities
- Must have some external support in funding
- Must be working with management teams

At the community management level, the executives of the management teams specifically the chairman and/or secretary was interviewed because they worked with and maintained a contact touch and understanding of plans and activities of the NGOs and CBOs. *(See table 3)*

Table 4: Research Methods/Techniques employed

Actors	No. of people interviewed	Various Positions of Actors	Information Acquired	Data Collection Method	Instruments	Data Analysis Technique
NGOs	15	Project officer or programme coordinator and officer responsible for water and sanitation activities	Roles of the various CSOs in water and sanitation sector, Strategies employed, Transition in water and sanitation at the different historical phases, Changes in structures(institutional, physical), Changes in attitudes/behaviour, factors of influence in the transition process.	In-depth interviews, FGD, observation.	Interview guide, FGD points	Atlas-Ti, Network Analysis
CBOs	8	Project officer or programme coordinator and officer responsible for water and sanitation activities	Roles of the various CSOs in water and sanitation sector, Strategies employed, Transition in water and sanitation at the different historical phases, Changes in structures(institutional, physical), Changes in attitudes/behaviour, factors of influence in the transition process.	In-depth interviews, FGD, observation.	Interview guide	Atlas-Ti, Network Analysis
Management Teams	17	executives and specially the chairman and/or secretary	Validation of various Strategies employed, Transition in water and sanitation at the different historical phases, Changes in structures (institutional, physical), Changes in attitudes/behaviour.	Interviews, observation, FGD.	Interview guide, observation list.	Atlas-Ti, Network Analysis
CWSA	1	officers	Information on guidelines pertaining to the provision of WASH services particularly pertaining to rural sector.			
Metropolitan Assembly	1	DWST/ MWST	Identification of CSOs in water and sanitation within Tamale metropolis, Roles of the various CSOs in water and sanitation, Strategies employed, Transition in water and sanitation at the different historical phases, Changes in attitudes/behaviour, factors of influence in the transition process.	interview	Interview guide	Atlas-Ti,

In all 42 interviewees were reached comprising of 15 NGOs, 8 CBOs, 17 management teams, 1staff of the Community Water and Sanitation Agency (CWSA) and 1 DWST of the metropolitan assembly.

3.6 Operationalization: Variables and Indicators

The concepts of strategies, roles/contribution, impacts and factors of influence were operationalized in simple language which enhanced the data collection process. These have been summarised in the table below.

Table 5: Operationalization of variables

Main Research Question	Research Question	Associated Variables	Indicators	Interview Questions
What is the role of NGOs and CBOs in the water and sanitation transition processes in Tamale Metropolis?	What kind of strategies did NGOs employ in the water and sanitation transition in Tamale Metropolis?	Capacity building	Training, skills to manage facilities, funding activities,	What capacity building mechanism does your organization have for beneficiary communities? What informs the choice of your mechanism?
		Financial/technical support	Fund raising, financial support to communities and committees, boards or assembly, funding of activities, provision of spare parts, maintenance of facilities.	What type of support do you provide to project communities?
		Inclusivity	A balance in geographical coverage, promotion of gender mainstreaming in project design. Differently abled persons are considered in design of projects	What do you consider before providing the services? what about issues of inclusion, Especially in relation to user friendliness, location and gender?
		partnership and networking	Participation in coalitions and networks, partnership with existing institutions e.g, WATSAN committees, water boards, office/officer in community, number of networks and coalitions available	Which other NGOs and CBOs do you collaborate with in the provision of water and sanitation services? In which areas of services/activities do you collaborate? Why do you choose this NGO/CBO to partner with/ join forces How long have you been in partnership? In which areas are they influential? How has this collaboration impact/influence/what changes did it bring / the existing situation?

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		Advocacy	Hygiene education programmes on topical water and sanitation related issues, promotion of affordable and usable technologies, organisation of dialogue sessions between local government and community leaders, committees or boards, formation and participation in water and sanitation coalitions and networks. Production of policy briefs, publications on water and sanitation issues to increase awareness	What are the specific activities that are carried out by your organization? How have your activities influenced the behaviour of: - Communities - Community leaders, - Local government - National government
		Service Delivery	Provision of potable water facilities, sanitation facilities, maintenance of facilities.	What services does your organization provide in the area of water and sanitation? How are you involved in maintaining the facilities?
	How do these strategies impact on the transition process?	Availability of potable drinking water	Public water supply system, design of the home, collection point	How many potable drinking water facilities has your organization constructed since its involvement in water supply? How many households have access to safe and clean drinking water today? How has this situation changed over time?
		Available sanitation facilities.	Numbers of household pit latrine, public latrines constructed, numbers in use	How many in-household toilets have been provided over the past 5-10 years? How many are currently in use of these facilities? How many public toilets have been provided over the past 5-10 years? How many are currently in use of these facilities?
		Community ownership	Proactive local government, community leaders, WATSANS, water boards, budget lines for w/s, capacity building activities for municipal water and	Who is responsible for the management of such facilities? What role does recipient communities play in

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		sanitation team (MWST), participation in water board meetings.	the management of facilities? For facilities managed by communities, can you tell me how long they have been managing those facilities?
	Institutional change	Adapting policies and management to accommodate new/changing demands	What are changes in institutional structures and organisation as a result of your intervention in the provision of water and sanitation to the following groups? i) Project communities; ii) District assembly; iii) WATSANs; iv) Water Boards; v) specify other
	Behavioural change	Use of pit latrines or public latrines, avoidance of open defecation, use of water from boreholes and stand pipes for drinking, waste bins for solid waste disposal,	Describe the changes you observed in behaviour resulting from your intervention to the following groups? i) Project communities; ii) District assembly; iii) WATSANs; iv) Water Boards.
	Critical events and milestones	Changes at different time phases of 1994-1998, 1999-2003, 2004-2008 and 2009-2013. Behaviour change, infrastructural and institutional change. Critical events intermesh of new policy or some substantial funds or large impacts.	Generally, what changes has occurred in the area in the water and sanitation sector from 1994-2013?
What factors support and which factor hinder the strategies employed in the transition process?	Cultural factors Financial factors	Religion, beliefs, norms and traditions. income, employment status and savings	What factors support the success of your intervention? Which factors hindered the process?

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3.7 Validity and Reliability

Different research techniques and approaches (triangulation) were employed to increase the validity of the research. It combined in-depth interviews with observation and analyzed using qualitative data analysis.
Again, secondary data was collected from various departments and offices to aid the interviews.

To ensure reliability of data, the instruments will be pre-tested before actual data collection commences so as to reduce the incidence of errors and biases.

Chapter 4: Presentation of Data and Analysis

4.1 Introduction

This chapter presents the findings of in-depth interviews guide administered to NGOs and CBOs working in the WASH sector within the Tamale Metropolis and Northern Region at large. It also presents information gathered from the management teams from the beneficiary communities and who work closely with these organizations in their intervention process. This information was further supported with secondary data and information from observations.

4.2 Overview of Interviewees

The provision of services in WASH involves two (2) aspects; the hard component which comprises more of the provision of physical facilities such as bore holes, stand pipes, latrines and the soft ware aspect. This soft ware aspect deals with the human development and mobilization of beneficiaries.

Data from the interviews reveal that all 23 NGOs and CBOs were involved in the provision of soft ware aspect of WASH services. Out of the 23, 4 are solely into the provision of the soft ware aspects of the services in the metropolis. 19 of them were involved in both hard and soft ware aspects of the service provision. None was identified to be solely into hard ware provision. The interviewees explain that there is collaboration between NGOs and CBOs solely into the soft ware service provision and those in both hard and soft ware service provision. Responses were summarised into the table below.

Table 6: Overview of NGOs and CBOs interviewed

ORGANIZATION	YEAR ESTABLISHED	YEAR INVOLVED IN WASH IN STUDY AREA	FOCUS IN WASH
NGOs			Hard and soft aspects
Catholic Relief service	1958	2005	Hard and soft aspects
Northern Region Small Town Water systems (NORST)	2004	2006	Hard and soft aspects
Integrated Action for Community Development	Founded in 1999 but registered in 2003	2009	Hard and soft aspects
Care International	1994	2008	Hard and soft aspects
Afford Foundation	1996	2006	Soft aspect only
Afram Plains Development organization (APDO)	1986	2007	soft aspects
UNICEF	1958	2001	Hard and soft aspects
Christian Children's Fund of Canada		1996	Hard and soft aspects
WaterAid		1994	Hard and soft aspects
NewEnergy	1994	1995	Hard and soft aspects
Community Life Improvement Programme (CLIP)	1997	1997	Soft aspect only
CBOs			Soft only
SIRDA	2006	2006/2007	Hard and soft aspects
Northern Presby Water Project		2005	Soft aspects only
BIDO	2000	2000	
Network Organizations			
CONIWAS	2003	2003	Hard and soft aspects
Ghana WASH Alliance	2011	2011	Hard and soft aspects
Consortium of NGOs/NR WASH Programme and her five (5) partners		2010	Hard and soft aspects

Source: field data, 2013

From the table above, most NGOs and CBOs interviewed though were in existence, ventured into WASH activities during the third phase of the time line used in this analysis. Out of the 23 NGOs/CBOs 14 of them got involved in the provision of WASH facilities from 2004.

Upon further interaction with interviewees for this massive involvement of NGOs and CBOs at the third phase of the transition, they explain that the period was characterized by the era when water related diseases especially guinea worm was endemic in ten (10) districts of Northern Region of Ghana and therefore needed all hands on board to avert the situation. They explain that even though Tamale Metropolis was not one of the endemic districts, the metropolis was not without her own records of guinea worm cases.

4.3 Transition in WASH in Tamale Metropolis

The transition recorded below represents a shift in practice and policy from one approach of need based during the pre-development phase of the transition to the right based approach under the acceleration phase According to interviewees, the transition occurred as a result of years of practice which has proven some approaches to be ineffective through learning and sharing. This came largely as a result of landscape pressure and change in agenda which forced the existing regime to adopt measures to adapt to the new focus.

The time period for the analyzing the transition spans from 1994 to 2013. However, for clarity and appreciation of the period selected for this research, the analysis begins with efforts that had begun in the WASH sector prior to this period.

4.3.1 Drinking Water Supply Transition

From 1965 to 2010, the focus of interventions in the WASH sector was targeted at drinking water supply. Sanitation and hygiene issues were minimised until in 2008 when the UN General Assembly declared the year of sanitation that it became prioritised. In Tamale, it was in 2011 that critical measures were adopted to tackle sanitation issues. This is worthy of note because whilst water supply had achieved some amount of stabilization according to the transition phases, sanitation and hygiene were identified to be at the pre-development phase.

4.3.1.1 The Pre-Development Phase; 1965-1993

Pre-development Phase 1

In 1965, Ghana Water and Sewerage Corporation (GWSC) under the Ministry of Works and Housing was established to among other things ensure that water supply and sanitation services were provided to both rural and urban communities, conduct research on water and sewerage as well as produce engineering surveys and plans, ensure the construction and operation of water and sewerage facilities and set the standards and prices and collection of revenues (GWCL, 2012). This marked the phase of pre-development for the sector. According to Van der Brugge (2009), during the pre-development phase, the system dynamics do not change visibly however; the macro level circumstances changes. In the water supply, the establishment of state owned corporation signified a major step in the macro level activities. From 1965 to the early 1990s, government placed the full role of planning, construction and maintenance of urban and rural water supplies in GWSC with little private sector involvement except for

foreign consultancy firms who were hired to run projects and international contractors to drill boreholes. Most of the staff and resources of GWSC were devoted to the urban sector and only about 3 staff handling rural water supply (CWSA, undated). These conditions characterised the prevailing status quo in the water sector.

According to GWCL (2012), between the late 1970s and early 1980s however, the operational efficiency of GWSC had declined to very low levels. The result was that by early 1990, 33% of the water supply systems had deteriorated greatly or completely broken down owing to illegal pipeline connections and deteriorated pumping systems coupled with inadequate funding to carry out maintenance and rehabilitation. This, together with heavy government subsidies on water, increasing demand for drinking and the global water crisis (as presented in table 1) further affected the general efficiency of GWSC. These issues were further compounded for GWSC because of the supply side approach to solving water crisis. Table 1 described the period 1970 and 1980 as a time when attempts at solving water crisis were targeted at 'the end of the pipeline' where emphasis was placed on technical aspects, appropriate technology and a focus on increasing water production. The demand side of tackling issues of illegal connections and paying for the true costs of services were completely unthought-of. The outcome of these on GWSC was that, the corporation experienced a system breakdown. This is where the system is unable to support the increasing demand and goes into a state of collapse. Van der Brugge explains that the ultimate desire of every transition is to achieve sustainability, however, due to the complex interaction processes that emerge, sometimes exert a limitation on the control over societal development and this may result in less desired pathways such as the system breakdown (Van der Brugge, 2009) as was the case of GWSC. This is illustrated in the diagram below.

The transition curve at pre-development phase 1
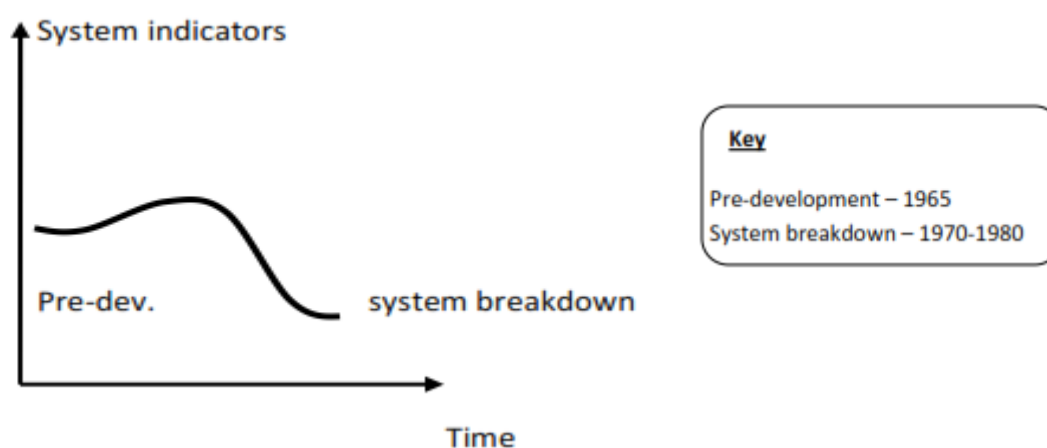
Figure 8: The transition phase from 1965 to 1980

Source: author, 2013

Pre-development phase 2

In 1981, the UN General Assembly declared the International Drinking Water and Sanitation Decade from 1981-1990 with the aim of improving substantially the water-supply and sanitation services for the populations in developing countries (UN General Assembly, 1981). Following this, the few International Non-Governmental Organizations and multilateral organisations such as World vision Ghana, CIDA, World Bank, DANIDA who were involved in the provision of WASH services pressed on government to

review her WASH policies and take steps to de-regularize the sector particularly the rural sector (WaterAid, 1992). A policy review was conducted by the Ghana Government in the sector so as to meet the targets as well as take steps that would support GWSC in the provision of water services to both urban and rural areas. Subsequently in 1987, the first sector wide donor conference on water and sanitation was held in Accra mainly to invite pledges from donors. This action by government began a new transition pathway.

4.3.1.1.1 World Bank Induced Strategy

Following the 1987 call, World Bank implemented its Water and Sanitation Program (WSP) in Ghana between 1989 and 1990. Under the program, the bank worked with the government of Ghana to test community-managed hand-pumps. From the program, the bank spearheaded the process of drafting a sector policy by commissioning a series of background reports on the sector. These reports were based on the activities of the banks findings on the community managed hand-pumps, WaterAid community project management and catholic organisations community cash contributions. The analysis of such reports fed into a draft sector strategy in 1991(CWSA undated).

Between 1992 and 1993, after four (4) successive deliberations by representatives from the ministries, local government, the private sector, NGOs and external support agencies, the draft strategy was refined and adopted. These policy dialogues and experiences from other pilot projects culminated in a new national policy for rural water supply and sanitation (CWSA undated).

In this new policy contained three major areas of restructuring. These areas were administrative re-organisation, delegation of responsibilities and involvement of private sector.

4.3.1.1.1.1 Administrative Re-Organization

World Bank supported the implementation of the new policy through a project dabbed Community Water and Sanitation project by mid 1993. This project was implemented in 26 districts out of the then 110 districts nationwide in four (4) regions. Under the project, local authorities and community organizations of the 26 district constructed 1,288 water points and 29 pipe schemes (CWSA undated).

4.3.1.1.1.2 Delegation of Responsibility

Under the new policy, certain core responsibilities were delegated to the local authorities and the various communities. The responsibility of processing and prioritizing community applications for water supplies, award of contracts for hand-dug wells and latrine construction and running of latrine subsidy programme were transferred to the local authorities.

The communities were responsible for establishing their own management teams[2], preparation of plans that should include how they finance the supply and contribute cash equivalent of 5% of the capital cost and pay for all maintenance and repair costs (CWSA undated).

4.3.1.1.1.3 Private Sector Involvement

This aspect of policy made provision for private sector provision of goods and services to an unprecedented extent. CWSA under the World Bank project contracted four drilling companies, thirty-two private hand-dug well contractors, three piped schemes consulting firms and four hundred and eighty-one household latrine artisans. Thirty-two NGOs and CBOs were also mobilised to support the

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[2] The WATSAN committees and water Boards at the community level are now referred to as management teams

project with the community mobilization aspect whilst several other international NGOs were contracted to build capacity of the 32 NGOs and CBOs (CWSA undated).

By 1993, there were signals of change particularly from the World Bank projects and initiatives. This phase of the transition process marked a new pre-development phase. With the enactment of the policy on water supply services and the further policy recommendation of delegating more responsibilities to the local level authorities, including more the private sector and need for organisational restructuring all indicated major changes at the macro level. These changes however had not transcended to the local level as such were not visible on the ground

Data from the field supported these events. Some interviewees explained that though there were signs of change at the national level, provision of water supply services were championed by multi lateral, INGOs and national level actors such as World Bank, World Vision Ghana and GWSC. Justification for the provision of WASH services, they add, was based on need; one needed to have water facilities or public latrines and such were provided. Therefore, planning for services were done in-housed with the focus to implement as many of such plans as possible. The need for change and private sector participation in service provision had taken centre stage at the national level but the end user appreciation and recognition in process of service provision was not considered. Beneficiaries of such services therefore demonstrated a lack of interest in the use of such services. For instance in Gushiegu, one interview mentioned that some household latrines constructed during the era of need based approach were locked up and used as storage bins for farm produce whilst other were used as water storage points.

Important of note here is that the enactment of water sector policy had spark up a whole movement which resulted in an institutional reorganisation and a take-off to the next phase of process.
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4.3.2 Take-off Phase; 1994-1998

Van der Brugge explained that during the phase of take-off, innovation breakthrough had occurred as such the system begins to transform. She further points out that the take-off is considered to be a crucial phase because it is assumed that it is during this phase that the system 'chooses' new directions (Van der Brugge, 2009). In the water transition process, the take-off phase took the form of institutionalization and decentralization through organizational development and diversification of the sector and its offices.

In 1994, Community Water and Sanitation Division (CWSD) was established under the World Bank support project to further strengthen the work of the local authorities and support them implement the project. This is described as a regime response to the recommendations of the sector policy. As a result all accounts, records keeping and other functions relating to community water supplies were transferred from GWSC to the division. The new direction chosen was to separate the operations of rural water supply to be managed by CWSD. Eventually, after 4 years of successful operation, the division was transformed by an act of parliament, Act 564 into **Community Water and Sanitation Agency (CWSA)** in 1998 with the mandate to facilitate the provision of safe drinking water and related sanitation services to rural communities and small towns in Ghana. Through this, CWSA became a sector leader and the focal point of inter-agency and donor collaboration for the implementation of the Community Water and Sanitation Programme.

In the same year of 1994, the National Community Water and Sanitation Programme (NCWSP) was launched. The programme which was in line with government's decentralization policy had the objectives of improving access to water and sanitation services for rural communities and small towns.

It was also to ensure the sustainability of water and sanitation facilities and maximize the health benefits by integrating water, sanitation and hygiene promotion (CWSA undated).

After 1994, the management of WASH supplies to both rural and urban communities became an interplay of several organizations and no more the responsibility of single institution. For instance, The Environmental Protection Agency (EPA) was established in 1994 to ensure that water operations would not cause any harm to the environment, the Water Resources Commission (WRC) established in 1996 was charged with overall regulation and management of water resources utilization. Other organizations include the Ministry of Health, Education, Finance and Economic Planning, Local Government and Rural Development, Ghana Statistical Authority and Water Research Institute (CWSA undated). In 1997, the Public Utilities Regulatory Commission (PURC) came into being with the purpose of setting tariffs and quality standards for the operation of public utilities (GWCL, 2012).

In terms of responsibilities, WRC supported with the provision of licenses to drillers. CWSA provided the guidelines for rural water and sanitation service provision, the district assembly acted as the implementing institution for WASH related services. CSOs assisted with community mobilization and the provision of services whilst beneficiary communities took up the responsibility for complete ownership and management facilities. Data in Table 1 supports this finding by relating the period to time of integrating the management and use of into environmental protection and sustainable and a recognition of the importance of local level water management. It further describes this period as tackling the water issues at 'the beginning of the pipeline' which focuses on the demand side.

One key characteristic of the take-off phase as elaborated by Van der Brugge (2009) is the cross pollination and clustering of various niches into a larger compatible network. In the water transition, because of the challenges experienced during the pre-development phase, the multi lateral and INGOs began to fund local NGOs who had an understanding and appreciation of the local context to take the provision of services which resulted in a growth of the water related NGOs and a destabilization of the provision function of GWSC and CWSA by these NGOs who took up actively the role of providing the services. However, this was at a small scale due to few local NGOs available at the time in WASH in the metropolis.

By 1997, CSOs in the sector had made considerable influence in the direction of policies and programmes. This was achieved mainly through the annual Mole Conference Series which begun in 1989; a platform that brought together both government agencies and sector CSOs to discuss issues relating to WASH. The focus of the conference by 1997 had shifted towards considering partnership and networking among the various sector players to achieve a greater impact and reduce the incidence of duplication of efforts that the sector was challenged with (PRONET North and WaterAid Ghana, 2011).

This breakthrough in institutional set up and reorganisation impacted on the approach to implementation. The results based approach was introduced. Here, emphasis was placed on outcome; how many facilities are in use. It also included a component of Community Ownership and Management (COM) to address the challenges complete neglect to issues of community ownership and management and the subsequent non patronage of services experienced under the need based approach. The limitation in communities' ability to manage such facilities particularly with respect to access to spare parts further necessitated a redesign of the approach hence; the right based approach came into effect. The approach focuses on the access to services as a fundamental human right but recognized beneficiary contribution and dialogue as key to success. As part of the components, the approach made room for upgrading, controlling and change of infrastructure whereas under need based approach, it was more of implementation where services were provided, it breaks down, then another organization comes and builds a new infrastructure and the chain continues. Though COM was

still practiced under this approach, it stressed more on sustaining the perceived benefits of time, health and wellbeing over time.

Over time, the rights based approach has opened up to include other dimensions of multi stakeholder participation and the concept of theory of change with a shift from linear planning to a global outlook in focus. These activities ushered in a more complex interaction process among the many actors in the sector.

4.3.3 Phase of Acceleration; 1999-2008

This phase signified a time when structural changes became evident. New cultural and institutional structures had begun to spring up through partnership and networking. On the ground, CWSA had intensified its partnership with the other institutions. Data from CWSA indicates that after its establishment, 120 water supply systems serving small towns and rural communities were transferred to the District Assemblies and Communities to manage under the community-ownership and management scheme. Further in 1999, GWSC was transformed into a limited liability company known as the Ghana Water Company Limited (GWCL) with the sole responsibility of overseeing to urban water supply (GWCL, 2012) whilst CWSA took up the role of providing water supply to provide rural and small town. This networking, partnership, delegation of responsibilities to the local authorities and the further institution of management teams at all points is what Van der Brugge explained as the reallocation and investment of large amount of capital in new economic infrastructure and institutional structure or capital.

Centring on NGO activities, in 2002 during the 13th conference of the Mole Series, a plan was put in place to form the Coalition of NGOs in Water and Sanitation (CONIWAS). CONIWAS was subsequently launched in 2003 as a platform for sector engagement, policy influence in favour of the poor and capacity building to member organisations (PRONET North and WaterAid Ghana, 2011). One interviewee expressed that CONIWAS represents the strongest platform through which CSOs in WASH push for policy changes in the sector. An example of which is the success in getting the government to scrap the initial mandatory 5% capital cost down payment by communities for the provision of water services.

In 2005, following the Paris Declaration on Aid Effectiveness and the 2008 Accra Agenda for Action, a redesign of programmes and projects took effect in line with the agreements of the declaration. Data from the field showed that the project Northern Region Small Town Water System Project (NORST) was designed and rolled in line with the aid effectiveness arrangements, although the greater impact of central government direction of aid affected all CSOs in the sector.

The twist however was that though this concept was herald as the new wave to development aid to southern countries including Ghana, at the donor platform, donors had not come to terms with the 'modus operandi' of the concept and its effects on their individual and respective objectives. This probably explains why after eight (8) years since the declaration, donor organisations and local NGOs/CBOs have continued to work as before and NORST was the only identified first generation project of the aid effectiveness summit.

However, by late part of 2006, spare parts were also prepositioned at communities so that management teams can easily access them for repairs and replacements. Even though this is still practiced, new approaches are being piloted by various organizations to find out the best strategy that best solves the challenge experienced under operation and maintenance. For instance, Monitoring, Operation and Maintenance (MOM), District Monitoring and Evaluation Systems (DIMES), water pump mapper and Field Level Operational Watch (FLOW) are piloted to correct the issues with supply chain and

challenges relating to operation and maintenance whereas Village Level Operation and Maintenance (VLOMs) is piloted to ensure that benefits over time are sustained at the community level. Some NGOs explain that as the issues emerge from the implementation of activities at the local level, the individual organisations channel such issues to the network platforms for further action who enjoy the support of numbers and greater voice. The example of the 5% capital cost signified a case in point where the platforms succeeded in getting an amendment to that policy component after they demonstrated to government that, that policy component was an additional burden to communities. These steps identified under this phase further accelerated the phase of the transition.

4.3.4 Phase of Stabilization; 2009-2010

By mid of 2010, the transition in water supply had attained some amount of stabilization. Grin and Rotmans et al. (2010) citing Rotmans et al. (2001) described the phase as the point where a new dynamic equilibrium is achieved. The stabilization was mainly seen in the eradication of guinea worm coupled with a shift from water infrastructure provision to rehabilitation of broken down facilities. One interviewee mentioned that one of the purposes of the 'Water Fund' was also to revamp all broken down facilities. Van der Brugge (2009) supports the finding with the explanation that at the phase of stabilization, the large scale transformation slows down and incremental change takes over as the new regime is built up which represents a totally new but also different dynamic equilibrium.

The different phases of the water transition from 1981 to 2010 in a curve.
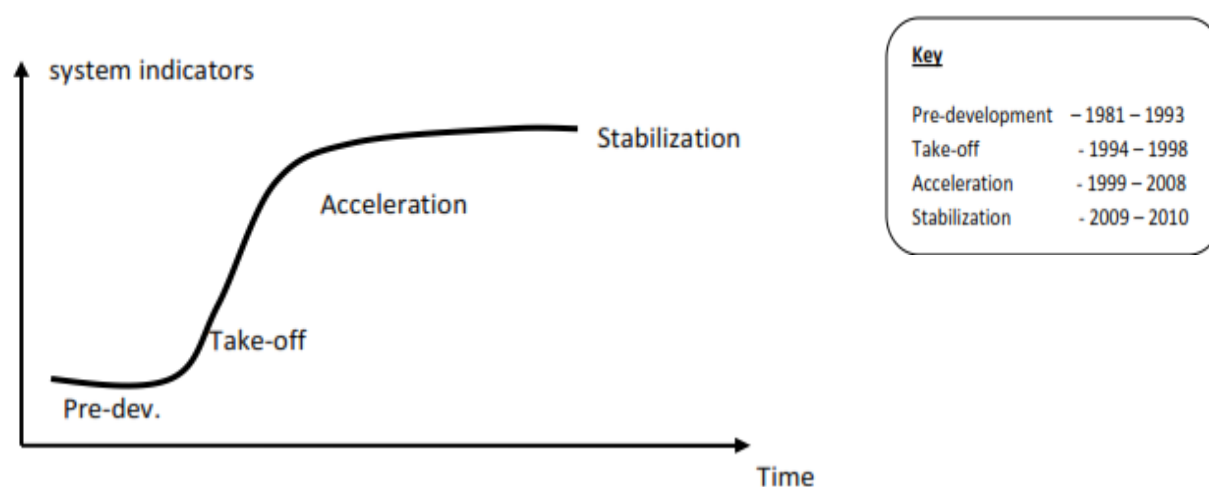
Figure 9: The water transition from 1981 to 2010

Source: author, 2013

Other steps taken during the last phase of the water transition centred on the increased organisation of individual NGOs and CBOs into networks and alliances within the metropolis. Some interviewees report that between 2003 and 2010, several other networks and consortia such as the Ghana WASH Alliance, the Northern Sector Alliance, WASH-NET came into being to consolidate the various individual gains in the sector following the increased numbers of CSO involvement in the sector.

The Water supply transition from 1965- 2010
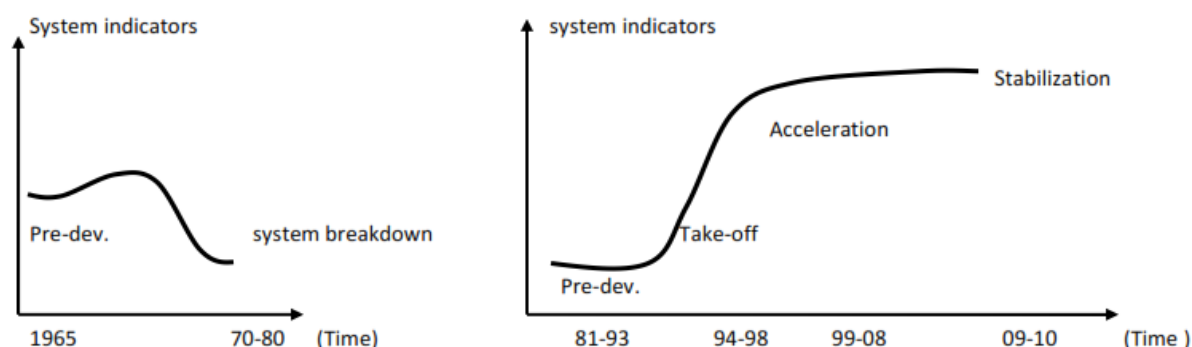
Figure 10: The transition in water supply from 1965 to 2010

Source: author, 2013

Due to the system breakdown of 1980 through GWSC inefficiency and inability to meet demand, a whole new transition began in 1981 with the declaration of the decade of water and sanitation. This prompted the implementation of strategic measures in the sector including the enactment of the water policy. This gave rise to a diversified structural arrangement, increased actor involvement and interaction processes that finally culminated in the stabilization of water supply in 2010.

4.3.5 The Sanitation and Hygiene Transition; 2008-2013

Prior to this, sanitation and hygiene issues were sidelined. The focus on sanitation and hygiene mainly were on general hygiene practices of the safe handling of water and hand washing in schools. The broader picture of waste disposal both liquid and solid was sidelined. These areas did not receive in commensurate terms the amount of energy, campaign and resources that was devoted to improving drinking water sources. The current approach of ownership, mutual support and local solutions for sanitation based on behaviour change communication strategies represents a shift in the 1991 strategy of subsidy provision to community.

However, the event that sparked up the transition in direction of sanitation was the declaration of the Year of Sanitation by the UN in 2008. The goal was to raise awareness to issues of sanitation and accelerate progress towards the Millennium Development Goal (MDG) 7, target 10 (UN General Assembly, 2000) which aim at reducing by half the proportion of the 2.6 billion people without access to basic sanitation by 2015. This external landscape pressure pushed for a change in agenda towards prioritising sanitation and hygiene forced the existing regime to respond by adopting the Community Led Total Sanitation (CLTS) as an innovative approach for empowering communities to completely eliminate open defecation (OD) and to begin the journey towards a sustained improvement in public health. The approach further focuses on igniting a change in collective hygiene behaviour, which is achieved through a process of collective local action stimulated by NGOs/CBOs working in the various communities. Data from the field indicates that most communities benefiting from this intervention were either at the pre-triggering stage or had been triggered off to begin the construction of individual/household latrines. This momentous step coupled with the changing status quo of construction of household latrines places the efforts under sanitation at the phase of pre-development according to Rotmans et al (2001) multi- phase concept.
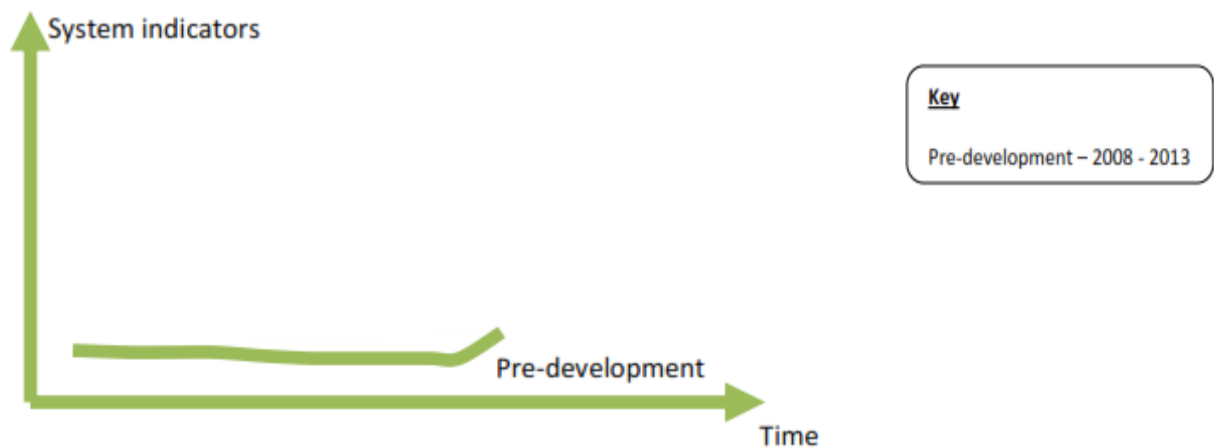
Figure 11: The sanitation transition curve

Source: author, 2013

Notwithstanding, other sector wide efforts were continued. Following the completion of the World Bank project in the year 2000, the bank followed up with an adjustable program loan project to ensure that the responsibility for contracting was transferred from CWSA to the local authorities[3] and communities (CWSA undated). Interviewees explain that this second project served as the basis for the enactment of the new Legislative Instrument 2007 of 2011 which establishes the local authorities as the approval authority of all WASH facilities. Under the new arrangement, CWSA supports the local authorities with technical expertise. An interviewee further reveals that the current focus regarding CWSA centres on *negotiating with government to upgrade it to the status of an authority".*

In 2011, CSOs took up the discussion on aid effectiveness issue at the 22st Mole Conference Series centring particularly on aid effectiveness and governance and what CSOs were to expect in the coming years (PRONET North and WaterAid Ghana, 2011). Following that discussion, the aid effectiveness arrangement has resulted in changes in the delivery of sector NGOs/CBOs. This, some explain came as a result of the shift in practice towards results based contracting of NGOs/CBOs which means that NGOs and CBOs were not assured of funding unless project delivery meets certain objectives. The expectation therefore is that under the aid effectiveness "the charlatans will fold up" and only NGOs and CBOs who are results oriented will stay.

Interviewees further explain that on the method of implementation, *"the earlier single in focus approach to service delivery where projects are carried out without regard to the interconnected nature of the social issues has given way for the integrated approach to project implementation. Here, activities draw into other sectors of development and tries to solve societal problems in a holistic manner. In response, funding for project activities has moved from direct budget funding arrangements to individual organizations to the sector wide funding arrangements".*

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[3] Local authorities is the same as district, municipal and metropolitan assemblies

The different curves of the WASH sector transition
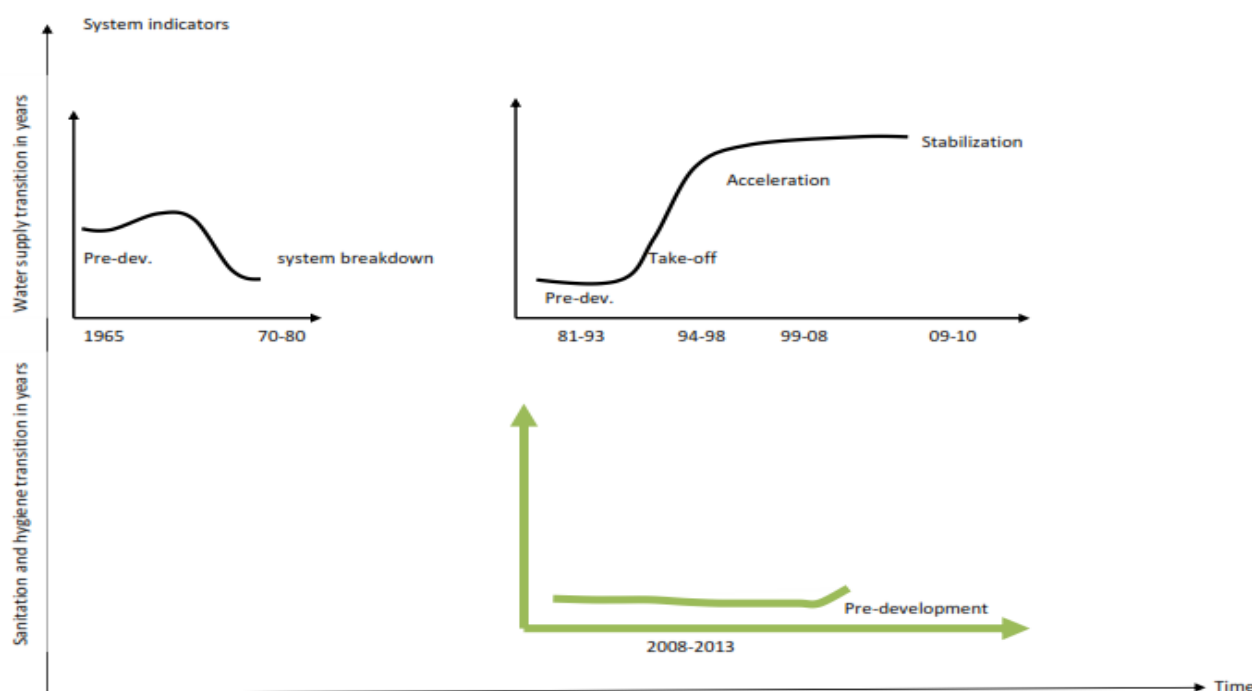
Figure 12: The transition curves for both water and sanitation over time

Source: author, 2013

As a regime response yet again to another landscape pressure and change in agenda through the declaration of the year of sanitation in 2008, there was a shift in focus which saw the prioritization of sanitation and hygiene issues in the metropolis. This macro level change in circumstances places sanitation and hygiene issues at the phase of pre-development.

4.4 The Strategies of WASH NGOs/CBOs in Service Delivery

Each NGOs and CBOs engaged in different aspects of WASH service delivery. As indicated in table 5 above, two NGOs and two CBOs were solely involved in the 'soft' aspect of WASH which basically centres on community mobilization, formation of management teams and other preparatory ground work that does not involve construction. The 19 others were engaged in both 'hard' and 'soft' aspects of service delivery. These implemented activities on behaviour change of communities, mobilization as well as the physical facility provision. The four NGOs however explained that they were in partnership with some of those who implemented both soft and hard components. For instance, BIDO works closely with INTAGRAD to provide WASH service. Under the arrangement, BIDO is responsible for the soft aspect of community mobilization and sensitization whilst INTAGRAD provides the physical infrastructure. They added that the terms for such arrangements were determined by the funding agency.

Six strategies and approaches were identified in the course of the research as capacity building, inclusion, advocacy, funding/subletting of funds, partnership/networking and service delivery. Of the six, three main strategies were identified to be applied in project delivery. These were capacity building, advocacy and service delivery. Inclusion and partnership were identified as the approaches used in implementing the strategies. Funding was categorised as both a strategy and an approach. In situations where organizations fully funded the plans of other organizations, that is NGO to NGO relationships; it was seen as a strategy. However, at the vertical situation where funds were sublet to other

organizations to run activities, it was considered more of an approach than a strategy. Table 6 summarises the components of each strategy as applied by NGOs and CBOs interviewed.

Table 7: NGOs/CBOs and the Different Strategies Employed

ACTORS	STRATEGY OF		
NGOs	**Capacity Building**	**Advocacy**	**Service Delivery**
Catholic Relief service	Training on use of cloth filters and point of source filtration	Mobilization of school children and teachers to form an army of early identification of guinea worm cases	Supply of pipe filters Treadle pumps Provided bore holes, hand dug wells.
Northern Region Small Town Water systems (NORST)	Training on water and sanitation, gender and financial and operation and maintenance (VLOM system). Financial capacity to partner CBOs	Awareness creation on sanitation issues	Provide small town water systems
Integrated Action for Community Development	Training on operation of water kiosks, hand pump care and latrine construction. Formation and training of management teams	Awareness creation on sanitation issues	Provide hand dug wells, mechanized boreholes, small town water systems, rain water harvesting tanks Provision of institutional latrines Provide communal pits Provide institutional hand washing facilities
Care International	Training for DWST to monitor activities Training for management teams	Awareness creation on sanitation issues	Solar water systems, boreholes, merchandised water systems, latrines. Provide logistics such as computers and motor bikes
Afford Foundation	Form and train management teams Training to natural leaders on construction of household latrines	Public interface sessions/dialogues with local authorities Public education Feed CONIWAS with issues of usage, access, sustainability, maintenance and ownership of interventions at local level.	Provide rain water harvesting tanks, hand dug wells and pipe line extensions
Afram Plains Development organization (APDO)	Train management teams to sustain projects	Encourages communal contribution to purchase filters Awareness creation on sanitation issues Community drama on topical issues including hand washing and household water treatment	-
Christian Children's Fund of Canada	Train management teams Support DWST and other units to monitor activities	Awareness creation on sanitation issues	Provision of hand dug wells
NewEnergy	Form and train management teams, health and hygiene volunteers on operation and maintenance, financial management and technical aspect of facility maintenance	Organize citizen engagement and interface sessions at community district levels	Provision of hand dug wells, boreholes, mechanized water systems, pipeline extensions and rain water harvesting tanks. Provide institutional latrines
Community Life Improvement Programme	Form and training community water advocacy teams on lobbying skills and drafting of action plans	Interface dialogue sessions between local authorities and communities Engages in policy advocacy	
CBOs			
SIRDA	Form management teams and train them areas such as fund raising and latrine construction Exposure trips	-	-
Northern Presby Water Project	Training of management teams Trained local based artisans on latrine construction	Encourage communities to bury or compost solid waste Use community drama on sanitation issues	Provide household and institutional rain water harvesting systems,
BIDO	Form and train management teams on roles and responsibilities and operation and maintenance	-	-

International Organizations UNICEF	Fund construction of institutional latrines Intuitional capacity in the form of seminars and workshops from community to national level in the form of funding	Promotion of sanitation and hygiene	Provide hand pumps, boreholes and pipeline extension to communities **through its partners**
WaterAid	Funding of project activities	Promotes behaviour change with community engagement tools	Provision of hand dug wells, boreholes, mechanized water systems, pipeline extensions and rain water harvesting tanks. Provide institutional latrines **through its partners**
Network Organizations CONIWAS	Provide information to member organizations on the direction of aid, sources and opportunities	Sector engagement to influence policy direction Organize policy dialogues Budget tracking n WASH, encourages learning through annual WASH conferences, lobby international community for fair trade Encourages constituency building from members. E.g Association of water boards	-
Ghana WASH Alliance	Provide funds to partners	Advocacy on waste reuse, media in WASH to publish issues, production of monthly WASH policy briefs, local authority bye-laws enforcement	-
Consortium of NGOs/NR WASH Programme and five (5) partners	Regular meeting to share ideas on project activities	Promotion of sanitation and hygiene Public interface sessions/dialogues with local authorities	-

Source: field data, 2013

4.4.1 Capacity Building

As indicated above in table 6, all 23 NGOs and CBOs carried out activities relating to capacity building at various stages of project implementation. Capacity building took the form of training or meeting where there is transfer of knowledge and ideas and in a few cases, funding. The focus of capacity building differed in water facility provision and sanitation and hygiene sector. However, in both cases, emphasis was given to operation and maintenance, record keeping, financial management issues and group management issues, The data revealed that networks and the coalition were much present at the regional and national level in terms of capacity building activities whereas the consortia and individual NGOs and CBOs work within the metropolitan and community levels *(see table 6).* From the table, different components of capacity building activities were conducted for different persons at the various levels of society from national (policy formulation level) through to regional, district (service authority level) and community (service delivery) levels. For instance, whilst facility management training was conducted for teams at the local level, funding support was provided for the WASH units at the local authority level.

The mechanism for building the capacity of any group depended on the needs identified. Capacities of district assemblies (DWST members) were built to support the delivery of the communities by monitoring activities and projects and providing further support to management teams.

From the data, some of the NGOs and CBOs indicated that capacity building was used as an immediate strategy to achieve behaviour change which ultimately results in health wellbeing of recipient communities. Most of the management teams interviewed acknowledged that various capacity building

activities were organized for them. Most made reference to the facility management trainings and a few of them mentioned the training on the operation of 'water kiosk' or 'pay as you fetch' system. This bit, training on water kiosk, was unique to areas where the system was operated.

Under sanitation, capacity building was strongly identified in the training for natural leaders to take up the role leading the community to an ODF status and training in latrine construction. Issues of operation and maintenance are almost negligible because the latrines constructed are personal and beholds on the individuals to maintain their facilities.

Table 6 presents a picture of the varied understanding and application of the concept capacity building. While some of them refer the term capacity building to encompass training, others think it is a broader term which includes meetings and any kind of exposure where there is transfer of ideas and knowledge. This probably explains why most NGOs/CBOs claim to be rolling out capacity building as a strategy in their project delivery because it doesn't refer to a specific activity.

4.4.2 Service Delivery

Data from the field shows that 14 of the 23 NGOs/CBOs interviewed were engaged in direct service provision of WASH facilities. The objective basically lies on increasing the numbers of potable water sources and sanitation facilities therefore; service delivery took various forms under both and sanitation. Facilities such as hand dug wells, boreholes, mechanized water systems, rain water harvesting tanks, extension of GWSC pipelines to communities, supplying pipe filters to communities, provision of treadle pumps were delivered under water supply. Care International further mentioned the provision of logistics such as motor bikes for monitoring activities and computers and office space to the local DWST to aid the functioning of the unit *(see table 6)*.

The provision of water supply facilities were categorised into the traditional water source provision and the innovative forms. Interviewees indicated that the traditional forms were the hand dug wells, boreholes and stand pipes. The innovative forms include the small town water systems, mechanised boreholes, rain water harvesting systems and pipe line extensions. These were classified as innovative because such facilities represent a diversion from conventional boreholes and possess several fetching points yet from the same source. Interviewees indicated that the introduction of the water kiosk system with the small town water systems and the mechanised boreholes ensure ready funds for maintenance and payment of bills. Again, this way of providing water serves more people at the same time and reduces crowding and time wasting at water points (*see picture 1 and 2 for examples of innovative water system and traditional form)*.

Picture 1: Innovative form of small town water system

Source: field data, 2013

Source:(INTAGRAD, 2008)

Under sanitation, institutional latrines, hand washing facilities and in rare cases, communal pits and latrine construction materials were the services directly provided under sanitation. Construction of household latrines is the responsibility of each household though in some cases, NGOs and CBOs support with construction materials (see picture3 for details).

Picture 3: Example of the institutional and household latrines

source: (NewEnergy, 2012)

Source: field data, 2013

4.4.4 Advocacy as a Strategy

Data from the field revealed that advocacy activities differed from one level to the other. Again different organizations pursue the different activities at the various levels *(see table 6)*. This means individual NGOs/CBOs are more engaged with community and metropolitan level advocacy whilst the networks, partnerships and coalition are responsible for the regional and national level advocacy. Community

engagement sessions on topical issues bordering on both water and sanitation, community dramas to promote behaviour change, community and local authority interface session were some of the identified advocacy activities.

At the regional and national levels, the networks and coalition engage in dialogues with government on policy promises. Through the budget tracking activities, sector NGOs and CBOs demonstrated to government about the skewed nature of funding to water to the neglect of sanitation and hygiene which has resulted in a rethinking of the direction of funding and the allocation of extra budget for solely sanitation and hygiene activities aside the national budget allocation to WASH activities.

Such efforts at the national level are producing results. The government platform on national dialogue on critical issues called New Years School this year focused mainly on sanitation under the theme 'in water, sanitation and hygiene'. Two of the network platforms noted that the new year school did not only take the message of WASH to the door step of every Ghanaian but also created an avenue for practitioners and scholars alike to suggest more innovative solutions to the challenges of WASH in Ghana. Again government has agreed to establish a Water Fund solely to finance the activities of WASH in order to relieve it from the heavy reliance on external funding.

However, little was found on advocacy activities targeted directly at the WASH units within the local authorities or district and metropolitan assemblies. Efforts were more on management lobbying and advocating for support from local authorities and at the national in influencing policy direction. One interviewee made reference to a situation where thirty-three households in Accra were sanctioned for not providing toilet facilities and explained that as one of the results of the advocacy campaigns but was quick to add that such efforts and campaigns would soon reach the Tamale metropolis and her districts. Such huge gaps might create opportunities for persons in decision making positions to thwart the efforts of teams.

Data from field pointed to the case of specific project driven advocacy campaigns. Interviewees explain that under the I-WASH project implemented from 2006-2010, the initial research findings revealed that open defecation was a common practice in schools and communities and majority of people did not wash their hands with soap/ash at critical times. Following the advocacy campaign which was rolled out during the period, 68% and 84% regularly use school latrines to defecate at baseline and evaluation respectively, while 16% defecate at other places including bushes, gutters and uncompleted buildings at time of evaluation. Knowledge on the importance of washing hands with soap/ash increased from a baseline of 87% to 94% while the practice of washing hands with soap/ash at critical times: before eating and after defecation had increased from a baseline of 26% to 80% at evaluation. 24% and 45% at baseline and evaluation respectively dump rubbish into pits, while those who burn waste decreased from 41% to 36% and those who throw the rubbish anywhere on the school compound also decreased from 19% at baseline to 8% at the time of evaluation respectively (UNICEF and CRS, 2012).

Currently, CLTS constitutes the major sanitation advocacy strategy that is sector NGOs and CBOs are implementing under which the urban sanitation dialogues on tackling the solid waste menace in tamale are organised.

4.4.5 Financial/Technical Support

Indicators such as Fund raising, financial support to communities and committees, boards or assembly, funding of activities, provision of spare parts, maintenance of facilities were used to assess this strategy. Data from the field indicated difference in application. From the field, 4 organizations were found to be subletting funds to other NGOs/CBOs to implement activities. Funding as a strategy was used more by the international development organisations to fund the activities of partners. They funded the capacity building, advocacy and service delivery activities of partners and support the local authorities with fund to conduct community level monitoring of activities. However, local NGOs and

CBOs applied it in fund raising. 1 CBO supported their communities to carry fund raising activities to provide boreholes and construct institutional latrines.

Again spare parts were prepositioned at vantage points in all communities for access by management teams who are responsible for maintenance of facilities with funds from either 'water kiosks' or community contributions. However, none of the NGOs and CBOs interviewed Sublet funds to management teams for activities. Management teams relied on funds from the 'water kiosks' to finance activities.

4.5 Approaches in Project Delivery

Findings from the field indicates that in the delivery of project interventions, certain approaches were applied which serve as the enabling mechanisms that support or foster the smooth implementation of the various strategies. Two of such approaches were identified as inclusivity, partnership and networking.

4.5.1 Approach of Inclusivity

Three (3) indicators were used to measure how inclusive the NGOs/CBOs were which centred on Geographical inclusiveness, gender mainstreaming and disability friendliness. Information from interviews revealed that at best NGOs and CBOs considered disability friendliness and gender mainstreaming in their delivery process. The aspect of geographical situation was determined by the district assembly and therefore outside the prerogative of the NGOs and CBOs. In terms of gender mainstreaming, interviewees explained that *"we includes women and other minority sections in the decision making process. For instance, we make conscious effort to make disabled persons in charge of the 'water kiosks' (pay as you fetch system) at the various communities. Again issues of inclusion are considered in the construction process where separate latrines are constructed for boys and girls".*

Other marginalized sections of society and persons such as Fulani headsmen, women and children were also given space in the decision making process. Interviewees explain that inclusion is *"crucial to ensure full patronage of facilities and services and the achievement of set objectives whether under service delivery, capacity building or advocacy"* so efforts are put in to ensure that women, minority factions of society and other vulnerable persons are considered in planning process (*see picture 4 showing efforts by NGOs to consider the needs of boys and girls in the provision of institutional latrines*).

Picture 4: Separate latrines for boys and girls at Dungu, Bolga Road

Source: field data, 2013

4.5.2 Partnership and Networking

From the field, evidence existed of a strong networking and partnership base. Various partnerships existed between the governmental agencies such as the metropolitan assembly, the regional coordinating council, CWSA, GWCL and other specialized agencies in WASH and the NGOs and CBOs. Further, the NGOs and CBOs had organized themselves into networks, consortia and coalition to collaborate to ensure greater impact in the WASH sector. Four different networks including one coalition were identified and interviewed. Further interaction revealed that the basis for forming networks and alliances were either according to the funding arrangements as in the case of Ghana WASH, WASH-NET, consortium of NGOs; government driven through the partnerships with the state agencies; or initiative of NGOs as evidenced in CONIWAS. Interestingly, members who belonged to other platforms or networks ultimately were members of CONIWAS. This was because CONIWAS signifies the lead actor of all networks and every network, partnership or collaboration feeds into CONIWAS. The representative of CONIWAS indicated that *"because government recognizes CONIWAS as the 'mouth piece' of all NGOs in WASH".* Again, it has become increasingly unattractive for NGOs/CBOs to work independently of networks because the donor community recognizes working in partnership and networks as the means to consolidate the gains of individual organizations and erase the challenge of duplication of efforts

These networking ground foster the campaigns on advocacy by creating the opportunity of a greater voice that exists in numbers. Most of the advocacy issues at the local level are articulated to policy makers through these platforms. The amendment to the policy component on 5% capital contribution from communities was one of the advocacy campaigns voiced through CONIWAS. Through CONIWAS, CSOs are represented with government at international fora particularly international sanitation conferences. Representation at such fora offers them the opportunity to weigh the performance of the country and also take notes on promises made at such platforms".

The Ghana WASH Alliance provided the example of the Tamale Urban Sanitation and Waste Project (TUSWP), a multi stakeholder partnership to manage waste at two levels; service and management level and valve addition level in the Tamale Metropolis. Under the partnership, various aspects are handled by different bodies both at service and valve addition levels including educational institutions in

charge of waste research, private entrepreneurs for marketing and sale, the district assembly who provide the political support, private cooperation for collection of waste and the alliance that coordinates the partnership.

Table 8: Various strategies employed over time

Time Phases	1965-1993	1994-1998	1999-2003	2004-2008	2009-2013
Strategies a)General Project Delivery	Direct service delivery	Advocacy, infrastructure provision, capacity building	Advocacy, infrastructure provision, capacity building, Funding	Advocacy, infrastructure provision, capacity building, Funding	Advocacy, infrastructure provision, capacity building, Funding
b)Approach to Implementation	Implementation based approach. (Construct as many of such facilities as possible)	Results/outcome based approach, rights based approach	rights based approach Networking and partnership inclusion	rights based approach Networking and partnership Integrated approach	Rights based approach Networking and partnership Integrated approach CLTS approach
c)strategy Justification	Need based	Rights to access to services but with some form of commitment (contribution in labour and 5% capital contribution)	Rights to access to services but with some form of commitment (contribution in labour and 5% capital contribution)	Rights to access to services but with some form of commitment (contribution in labour)	Community driven
Actors	World Bank, DANIDA, CIDA, World Vision Ghana, GWSC	CWSA/GWSC, EPA, WRC, PURC. Beneficiary communities, local authorities (MMDAs), Ministries of Health, Education, Finance and Economic Planning, Local Government and Rural Development. World Bank, World Vision Ghana, WaterAid, CRS, NewEnergy, ISODEC, CCFC, CLIP.	CWSA, GWSC, EPA, WRC, PURC. Beneficiary communities, local authorities (MMDAs), Ministries of Health, Education, Finance and Economic Planning, Local Government and Rural Development. World Bank, World Vision Ghana, WaterAid, CRS, NewEnergy, CCFC, CLIP, CONIWAS, UNICEF, BIDO, INTAGRAD,	CWSA, GWSC, EPA, WRC, PURC. Beneficiary communities, local authorities (MMDAs), Ministries of Health, Education, Finance and Economic Planning, Local Government and Rural Development. World Bank, World Vision Ghana, WaterAid, CRS, NewEnergy, CCFC, CLIP, CONIWAS, UNICEF, BIDO, NORST, SIRDA, Northern Presby Water Project, APDO, Afford Foundation, Care International.	CWSA, GWSC, EPA, WRC, PURC. Beneficiary communities, local authorities (MMDAs; RICCs, Environmental Health Unit, Community Development) Ministries of Health, Education, Finance and Economic Planning, Local Government and Rural Development. World Vision Ghana, WaterAid, CRS, NewEnergy, CCFC, CLIP, CONIWAS, UNICEF, BIDO, NORST, SIRDA, Northern Presby Water Project, Consortium of NGOs, Ghana WASH Alliance, Project, APDO, Afford Foundation, Care International

Source: field data. 2013

4.6 Impacts of Strategies on the Transition Process

Data from the field revealed a number of impacts and changes emerging as a result of the implementation of the different strategies by NGOs/CBOs in the transition process in WASH. These changes were categorized into increased numbers of water and sanitation facilities, growing community ownership as well as behavioural and institutional change. The changes could not be attained in years

as per the transition phases, but were described based on themes. This notwithstanding, behaviour changes became more visible through the sanitation activities which begun at the last phase of the transition and have been recorded as such.

4.6.1 Increased Numbers of Facilities

Interviewees explained that one of their major contributions to the field of WASH in the Tamale Metropolis has been the provision of physical facilities in both water and sanitation which has drastically increased the number available. In terms of providing potable water facilities, several hand dug wells, boreholes, rain water harvesting tanks, mechanized water systems, pipe stand and pipe line extensions have been constructed for various communities under their projects. Though providing figures of facilities was difficult to obtain, the interviewed NGOs/CBOs reported that cumulatively, such facilities run into their thousands over the years of their existence in the WASH sector. The massive support from actors contributed to the achievement of over 80% of MDG 1 on water nationwide. This was 5% above the UN target of 75%. .

This increase in potable water source resulted in the reduction of water related diseases such as diarrhoea and the successful eradication of guinea worm in the Tamale Metropolis and Northern region at large. Though Ghana is yet to be certified as a guinea worm free country, the last 8 cases were recorded and treated in June 2010 in the region. Since then, there has been no record of cases of guinea worm in the northern region. as A caretaker of mechanized water system observed that *"if not for the support that these NGOs have brought, guinea worm would still be a problem in this region not only because they provided us with more boreholes and water systems such as this but made us to understand that diseases such as guinea worm were not as a result of curses as we earlier believed".*

Under sanitation, several household and institutional latrines were constructed in the metropolis and the region at large. Households constructed their own latrines whilst the NGOs and CBOs provide the institutional latrines. Some interviewees noted that this was largely realised from the support of the CLTS approach employed.

4.6.2 Impact on Ownership

The main strategy of NGOs/CBOs in their effort to ensure community ownership of facilities was by working with established community leadership. As part of the guidelines for the operations of NGOs in WASH is to work through the management teams established in all communities. These management teams are trained and given the responsibility of ensuring the continual functioning of facilities. Some communities have separate management teams for water, sanitation and hygiene whilst others have one management team overseeing to all the areas of WASH services.

In the area of water services, some teams with the support of the NGOs/CBOs have instituted the 'pay as you fetch' or water kiosks which ensures that there is continual available funds to maintain the facilities. Communities that do not have the water kiosks structures instituted depend on contributions of members to repair facilities when there is a breakdown. Though in both cases, there is evidence of community members taking up the operation and management of the water facilities, further interaction with management teams revealed that communities with water kiosks system were more responsive to repairs and maintenance than communities that depended on contributions. The ability of management teams to be responsive to repairs ensured continual functioning of facilities which further reinforced the trust and acceptance of the facilities as theirs. This further translated into their readiness to pay for the water fetched. The teams are also linked up with the district assembly where they can lobby for more services and/or support.

In the case of sanitation, facilities constructed are individual and maintained at the family level.

One interviewee explained that they had sensitized management teams to take up advocacy issues at the local level to lobby district and metropolitan assembly, Members of Parliament (MPs) and other support agencies for WASH facilities. He cited the example of Sognayili community who initially had only one stand pipe but with intermittent supply. This forced community members to resort to drinking water from unwholesome sources. Headed that but with the intervention of their advocacy activities, members of the community reorganised themselves and purchased three extra pipe extensions to cover the other sections of the community without the support of any NGO, CBO or the local authority. He explained that the interesting aspect of this community was the fact that instead of contacting the local authority to get the pipelines extended to the community, community members purchased independent lines.

4.6.3 Behavioural Change

These changes became more visible at the last the last phase of the transition. Management teams that were interviewed explain that the general attitudes, understanding and perception of community members had changed. For instance the myth that men and women cannot defecate in the same place was fast changing. There was an increasing awareness of community members to the health benefits of hand washing and safe sanitary practices which resulted in a conscious effort by community members at reducing open defecation and devising more appropriate ways of handling human excreta either by 'dig and bury' or use of latrines. NGOs and CBOs also reported that some community had instituted regular clean up exercises to raid communities of bushes and dirt which serve as breeding places for mosquitoes.

The evaluation report of the I-WASH project also indicated to a growing attitude of hand washing at schools and homes from a baseline of 26% hand washing in 2006 to 86% by 2010. Management teams provided other examples such as filtering of dam and well water before use ((UNICEF and CRS, 2012)).

The community development officer of an NGO interviewed explained that *"at Zagyuri, the community had access to one stand pipe that got disconnected for non-payment of bills. In 2010, the intervening NGO negotiated for a reconnection and then established a management team to be in charge of the facility. Currently, the management team through the implementation of the water kiosk system, have been able to pay off of the arrears, bought 30 pipelines and extended to the whole community and schools. GWCL are using this community as a success story to demonstrate to other communities".*

Under sanitation and hygiene, the picture has not been encouraging as for water. According to Multiple Indicator Cluster Survey (MICS), 2011, the achievement of MDG for sanitation in Ghana stood at 14% (Ghana Statistical Service, 2012) as against the UN target of 52% by 2015. For Northern Region, the figure for sanitation stood at 9%. This casts doubts on the possibility of achieving the targets set for sanitation. Nonetheless, frantic efforts were being rolled out by NGOs/CBOs in the area of sanitation and hygiene.

Through CLTS, an innovative approach for empowering communities to completely eliminate open defecation (OD) and to begin the journey towards a sustained improvement in public health and further focuses on igniting a change in collective hygiene behaviour, which is achieved through a process of collective local action stimulated by facilitators from within or outside the community, NGOs/CBOs have supported the various communities in the metropolis and the region at large to climb the sanitation ladder by stopping open defecation and constructing their own household latrines.

They explain that of the target of achieving 550 communities as ODF for 2012, 437 of such was achieved for the region. A massive advocacy campaign of musicians, chiefs, religious leaders, the media, civil society organizations including NGOs/CBOs and other relevant actors has been put in

place to support in the sanitation drive to achieve the target of 390 communities for 2013 for Northern Region as contained in the national sanitation strategy.

Following from this, some interviewees mentioned that various households constructed their individual latrines which represented a critical behaviour change from reliance on open defecation and public toilets. From the perspective of community members' behaviour change in sanitation and hygiene, management teams provided examples such as disposal of refuse to pits, practice of dig and bury of faecal matter and construction of soak-a-ways for waste water. At Dungu-UDS, Vitim South, Kamonaayili and Taha, the management teams mentioned of the institution of regular community clean-up days.

4.6.4 Institutional Change

By institutional change, the researcher wished to understand how, through the strategies implemented by the NGOs/CBOs, the project communities, the district assembly, the management teams, other agencies involved in WASH activities and the national government were adapting to new and changing demands in the WASH sector. This was considered from the contribution of donor organisations, government initiatives, the network platforms, individual NGO and CBO, the management teams and communities.

Interviewees from NGOs and CBOs reported that the contribution to the transition process was largely possible as a result of continuous provision of funds by the donor community. Through the funding support, NGOs and CBOs are able to participate in the provision of WASH service. Some NGOs and CBOs identify that not necessarily the provision of physical infrastructure but more especially the establishment of necessary institutions to man such facilities. Institutions such as the community level management teams, RICCs, DWST, environmental health and sanitation unit among others, were equipped with the skills and other material support to ensuring the continuity of the transition.

Government has made a lot of changes to her WASH policies. Over the years, more agencies have been established to support the existing once with the example of the Water Resources Commission to manage the utilization of water resources in the country and upgraded the existing once to tackle the changing demands in the WASH sector as in the case of CWSA. Notable among her policy changes has the scraping of the 5% capital contribution by communities before they can be provided with water facilities. The new policy recognizes labour, provision of sites as the contribution from communities. Certain initiatives of government have also resulted in an institutional change. The Sanitation for All (SWA) compact constitutes one of such initiatives that resulted in the proposal for the establishment of an independent fund from a percentage (%) of national budget for WASH activities dabbed the 'Water Fund'. Though this is yet approved by parliament, some interviewees were optimistic that this it would help relieve the sector of its heavy reliance on donor funding and ensure that there is continuous funding for the implementation of WASH activities.

Through the activities of CONIWAS, there is a wide recognition that CSO input is important for development. This has prompted government to diversify her conservative thinking and embrace more innovative means in the delivery of water and sanitation services and has led to the adoption of the concept of private public partnership based on the multi stakeholder approach to development delivery. As part of this, government contracted the CLTS to provide training on the concept to implementing NGOs and CBOs as well certain units within the state organisations involved in the implementing process. These units include the environmental health and sanitation unit of the regional Coordinating Council, the department of community development and the platform of NGOs and state institutions called the Regional Technical Working Group on Sanitation (RICCs). RICCs serve as the coordination unit of sanitation and hygiene issues at the regional level.

At the regional and district levels, it came to light that at the local authority level where political and administrative functions are carried out, there was a very minimal activity targeting intuitional change. At best NGOs and CBOs organised joint interface sessions mostly between the local authority/district assembly and some other actor(s) and also funded the monitoring activities of particularly the DWST and it was interesting to see that almost every NGO visited, there was a file coded 'support to DWST' but to witness that the amount energy, effort and attention with which NGOs and CBOs strive for change at the national level was missing at the district level. This gap affected the ability of the district and team to sustain the gains after the various NGOs and CBOs pulled out. Despite this mention, interviewees point to the growing recognition of the need to work more closely with other organizations and units in WASH. RICCs, the regional technical working group on sanitation and the Northern Regional learning alliance platform are examples of dialogue platforms for government agencies and private sector partners to discuss WASH related issues. DWST mentioned of the creation of an office space for the team through the support of UNICEF. Also, following pressure by CONIWAS on enforcement of bye-laws at the district, municipal and metropolitan assemblies, 33 households in Accra were sanctioned for not providing latrines. Though outside the jurisdiction of this study, it proves that district, municipal and metropolitan assemblies are waking up in the call to enforce the various bye-laws.

One of the major platforms for NGO and CBO input to institutional change prior to the establishment of CONIWAS was through the Mole Conference Series. The aim of the Mole Conference Series was to bring together NGOs and other stakeholders in the Community Water and Sanitation sector to increase their participation in policy making and support NGO/CBO advocacy in Water supply, Sanitation and Hygiene Promotion as well as act as a network that would present a forum for coordinated NGO campaigns on Water, Sanitation and Hygiene. The conference in 1991, advocated for the separation of rural water and sanitation sector from the urban water and formation of an autonomous organization to handle rural water. Subsequently in 1994, Community Water and Sanitation Division was established to oversee to the provision of water supply to rural and small towns (PRONET North and WaterAid Ghana, 2011).

In December of 1992, Mole conference series brought together practitioners and researchers to shape a national policy for effective delivery of WASH Services in the Country on the theme: The Transition to Community Managed water Systems: the challenge to NGOs. This meeting also being the 4th of the Mole series was for sector players including NGOs and CBOs to discuss among themselves how to the make the concept; community management work within the time frame set in the national strategy (PRONET North and WaterAid Ghana, 2011). Subsequently, the results of the four previous Conferences provided inputs into the formulation of the New National Community Water and Sanitation Strategy which was launched in 1994.

In 2001, The Mole 12 reviewed the performance of the Community Water and Sanitation Programme in terms of NGOs participation and contribution to the water and sanitation related targets. At the conference, a proposal was made for clear, forward looking strategies and concrete actions for the implementation of the programme. By 2005, the conference had developed and adopted a framework for monitoring and measuring the gains. In 2008, Recommendations from the conference centred on fast-tracking the development of sanitation policy and investment plans as part of strengthening the capacity of Environmental Health Division to provide leadership to the Sector (PRONET North and WaterAid Ghana, 2011). Some interviewees pointed out that the MDG Acceleration Framework on sanitation in 2011 and the subsequent adoption of CLTS approach were products of the 2008 conference recommendation.

The formation of CONIWAS in 2003 sought to further strengthen the institutional change. One interviewee from the network platforms mentioned that it served as the platform for sector engagement. Its activities among other resulted in the rebranding of the sector from 'water and sanitation for all' to

'sanitation and water for all'. The establishment of management teams at the various communities by the individual NGOs and CBOs also contributed to institutional change in that such teams assumed the management of WASH issues at the community level. According to some interviewees, the mechanisation of boreholes was an innovation that was started by individual organisations and later adopted by other sector NGOs and CBOs.

At the community level, the evidence of change is demonstrated in teams that have instituted the water kiosks structure particularly for communities that operate the mechanized water systems. The fee paid is used to settle bills and for general management of facilities.

4.6.5 Summary of Strategies and Impacts

Table 9: Summary of strategies, impacts and actors in the transition

Time Phases	1965-1993	1994-1998	1999-2003	2004-2008	2009-2013
Strategies					
a)General Project Delivery	Direct service delivery	Advocacy, infrastructure provision, capacity building	Advocacy, infrastructure provision, capacity building, Funding	Advocacy, infrastructure provision, capacity building, Funding	Advocacy, capacity building, Funding
b)Approach to Implementation	Implementation based approach. (Construct as many of such facilities as possible)	Results/outcome based approach, rights based approach	Rights based approach Networking and partnership Inclusion	Rights based approach Networking and partnership Integrated approach	Rights based approach Networking and partnership Integrated approach CLTS approach
c)strategy Justification	Need based	Rights to access to services but with some form of commitment (contribution in labour and 5% capital contribution)	Rights to access to services but with some form of commitment (contribution in labour and 5% capital contribution)	Rights to access to services but with some form of commitment (contribution in labour)	Community driven
Impacts	Donor constructed facilities Apathy towards such facilities by community members	Increase in number of facilities, increase in number of WASH related institutions established to support GWSC in management of WASH activities.	Increase in number of facilities Increased community ownership, growing institutional change	Scraping of policy on 5% community capital contribution Increase in number of facilities	Increasing community awareness to the health benefits of hand washing and safe sanitary practices. Reduction in open defection and appropriate ways of handling human excreta either by 'dig and bury' or use of latrines. Institution of regular clean up exercises.
Actors	World Bank, DANIDA, CIDA, World Vision Ghana, GWSC	CWSA/GWSC, EPA, WRC, PURC. Beneficiary communities, local authorities (MMDAs), Ministries of Health, Education, Finance and Economic Planning, Local Government and Rural Development. World Bank, World Vision Ghana, WaterAid, CRS, NewEnergy, ISODEC,	CWSA, GWSC, EPA, WRC, PURC. Beneficiary communities, local authorities (MMDAs), Ministries of Health, Education, Finance and Economic Planning, Local Government and Rural Development. World Bank, World Vision Ghana, WaterAid, CRS, NewEnergy, CCFC, CLIP, CONIWAS, UNICEF, BIDO, INTAGRAD,	CWSA, GWSC, EPA, WRC, PURC. Beneficiary communities, local authorities (MMDAs), Ministries of Health, Education, Finance and Economic Planning, Local Government and Rural Development. World Bank, World Vision Ghana, WaterAid, CRS, NewEnergy, CCFC, CLIP, CONIWAS, UNICEF, BIDO, NORST, SIRDA, Northern Presby Water Project, APDO, Afford	CWSA, GWSC, EPA, WRC, PURC. Beneficiary communities, local authorities (MMDAs; RICCs, Environmental Health Unit, Community Development) Ministries of Health, Education, Finance and Economic Planning, Local Government and Rural Development. World Vision Ghana, WaterAid, CRS, NewEnergy, CCFC, CLIP, CONIWAS, UNICEF, BIDO, NORST, SIRDA, Northern Presby Water

		CCFC, CLIP.		Foundation, Care International.	Project, Consortium of NGOs, Ghana WASH Alliance, Project, APDO, Afford Foundation, Care International

Source: field data, 2013

4.7 Influence of NGO/CBO strategies on transition process

The strategies presented above constituted the means by which NGOs and CBOs generate enough pressure either through active resistance or support of a particular WASH initiative to unsettle the existing WASH regime as argued by Smith (2012). The influence of these strategies was significant to the path of adaptation to landscape agenda changes by the sector regime because NGOs and CBOs engaged and contributed to both the paths selected and in the policy selection process. According to Adrian Smiths' classification of manifestation of influence from the strategies employed by civil societies, the influence is either manifested as substantive (public funding for small scale renewable energy), procedural (civil society in formal decision making), structural (emphasis on low carbon emission in policy planning) or sensitizing (raising energy awareness) (Smith, 2012).

In the WASH sector Smiths' Structural influence would be described as emphasis on maintenance and institutional functionality, Procedural influence as participation of NGOs/CBOs in formal decision making, sensitising as the creation of awareness on WASH related issues whilst substantive influence will be described as public funding or budget for WASH activities. This manifestation of influence combined with the strategies clearly illustrates the contribution of NGOs and CBOs to the WASH transition process. Explained in more detail, the manifestation of influence as illustrated by Smith constitutes the 'what is the impact' whilst the strategies explains the 'how' aspect of NGO/CBO operations.

An analysis of the Strategies and Impact Indicators on form of Influence in the WASH Sector during the pre-development phase 1 (1965-1980)

Influence (What)		Sensitizing	Structural Influence	Substantive Influence	Procedural Influence
Strategies (How)	Advocacy				
	Capacity Building				
	Direct Service provision				
	Funding				
Impact Indicators		Institutional Change	Increase In Numbers Of Facilities Provided	Behaviour Change	Ownership

Table 10: Outcome of strategies and impacts on form of NGO influence at pre-development phase1

Source: author, 2013

For the phase of predevelopment from 1965 to 1980 where the focus was mainly on implementation, present was the impact indicator identified was increasing number of water facilities provided through the strategy of service provision or physical infrastructure service provision as highlighted in the table above. All other strategies and impact indicators were completely absent. As a result, no form of influence was manifested. This is because a single strategy is not significant enough to result in any form of influence.

An analysis of the Strategies and Impact Indicators on form of Influence in the WASH Sector during the Pre-development Phase 2 (1981-1993)

Influence (What)		Sensitizing	Structural Influence	Substantive Influence	Procedural Influence
Strategies (How)	Advocacy				
	Capacity Building				
	Direct Service provision				
	Funding				
Impact Indicators		Institutional Change	Increase In Numbers Of Facilities Provided	Behavior Change	Ownership

Table 11: Outcome of strategies and impacts on form of NGO influence at pre-development phase 2

Source: author, 2013

For the second phase of predevelopment from 1981 to 1993, a second strategy was introduced in addition to service provision. The advocacy was mainly seen in World Bank, DANIDA, CIDA and World Vision Ghana push for a diversified water sector from single state managed GWSC. This push resulted first sector water conference in 1987 and the subsequent enactment of water policy in 1993. The impact indicator still visible at this point was the continuous provision of water facilities by these multilateral, bilateral and INGO. However, a form of influence had emerged. This was the influence of sensitizing where awareness was created on WASH related issues and the need for government action.

An analysis of the Strategies and Impact Indicators on form of Influence in the WASH Sector during the Take-off phase (1994-1998)

Influence (What)		Sensitizing	Structural Influence	Substantive Influence	Procedural Influence
Strategies (How)	Advocacy				
	Capacity Building				
	Direct Service provision				
	Funding				
Impact Indicators		Institutional Change	Increase In Numbers Of Facilities Provided	Behaviour Change	Ownership

Table 12: Outcome of strategies and impacts on form of NGO influence at the phase of take-off

Source: author, 2013

At the stage of take-off, the sector had begun to witness changes. Three strategies were employed at during this phase namely advocacy, capacity building and service provision. Also the indicator; institutional change, had strongly emerged through institutional reorganization and decentralization. Many other water related institutions had been formed to ensure that WASH related issues were tackled with uttermost importance. The form of influence however still was sensitizing and awareness creation.

An analysis of the Strategies and Impact Indicators on form of Influence in the WASH Sector during the phase of Acceleration (1999-2008)

Influence (What)		Sensitizing	Structural Influence	Substantive Influence	Procedural Influence
Strategies (How)	Advocacy				
	Capacity Building				
	Direct Service provision				
	Funding				
Impact Indicators		Institutional Change	Increase In Numbers Of Facilities Provided	Behaviour Change	Ownership

Table 13: Outcome of strategies and impacts on form of NGO influence at the phase of acceleration

Source: author, 2013

At the point of acceleration, all four strategies were being employed. Funding of local organizations that had an understanding and appreciation of local context were preferred to the multilateral and bilateral organizations. Advocacy for policy change in favour of the beneficiaries took the centre stage via the network platforms. Local level Management institutions had also been instituted at the communities to ensure community ownership of interventions. These institutions and the district assemblies or local authorities were provided skills to manage such facilities. As a result of the focus of advocacy, another form of influence emerged. The procedural form of influence where NGOs/CBOs through the network platforms was seen strongly at the national level by participating in formal decision making processes

that affected the lives of the beneficiary communities. This was seen in the policy inputs particularly with the scraping of the 5% community contribution as capital cost on construction of facilities. Interviewees mentioned that through the activities of CONIWAS at the national, the sector NGOs and CBOs had become a key WASH sector management member. The procedural influence was visible at the national level whereas the sensitizing influence of awareness creation was more visible at the community and to an extent the district levels. In the water sector, behaviour change was less visible. Of prominence was management of facilities by the various teams which bordered more on ownership.

An analysis of the Strategies and Impact Indicators on form of Influence in the Water Supply Sector during the Stabilization phase (2009-2010)

Influence (What)		Sensitizing	Structural Influence	Substantive Influence	Procedural Influence
Strategies (How)	Advocacy				
	Capacity Building				
	Direct Service provision				
	Funding				
Impact Indicators		Institutional Change	Increase In Numbers Of Facilities Provided	Behaviour Change	Ownership

Table 14: Outcome of strategies and impacts on form of NGO influence at the phase of stabilization

Source: author, 2013

The stabilization phase experienced similar characteristics as acceleration phase. The proposal for the Water Fund serves as form of substantive influence from NGO/CBO strategies but this is yet to be implemented. Though NGOs and CBOs during the stabilization phase shifted attention from providing facilities to revamping and rehabilitating dilapidated ones, only one of the 23 NGOs and CBOs interviewed had a sustainability plan in place. This plan was at its infancy stage and still undeveloped to make any impact. As such, this laudable intention does not fall within the definition of a structural influence.

An analysis of the Strategies and Impact Indicators on form of Influence in the Sanitation and Hygiene Sector at the Pre-development phase (2008-2013)

Influence (What)		Sensitizing	Structural Influence	Substantive Influence	Procedural Influence
Strategies (How)	Advocacy				
	Capacity Building				
	Direct Service provision				
	Funding				
Impact Indicators		Institutional Change	Increase In Numbers Of Facilities Provided	Behaviour Change	Ownership

Table 15: Outcome of strategies and impacts on form of NGO influence at pre-development phase in sanitation

Source: author, 2013

At the phase of pre-development in sanitation, the indicator behaviour change had taken the centre stage. The focus had shifted from providing and constructing facilities to ensuring and facilitating community members to construct their own facilities. Only in very few cases of institutional services did NGOs/CBOs provide directly. The institutional set had also changed because the focus had shifted from water supply to sanitation which demanded a different approach to implementation. The main form of influence exerted here was the sensitizing influence to get communities to accept the new concept of CLTS which demanded community mutual action and local solutions to sanitation issues and very little external provision support.

4.8 Analysis of the Network of Actors in WASH Transition Process

This network analysis presents the ideal situation and though many other relationships exist among the various actors, they are negligible or nonexistent. Therefore, for simplicity, the most pronounced connections were identified.

The network situation that was identified was an interconnected one involving all actors. In the network analysis were four identifiable groups of actors made up of the sector NGOs and CBOs, the government and her parastatal agencies, the international donor community and the communities and their management teams. Each actor group actions and decisions influenced the transition process differently. Each actor group network was therefore analysed separately and then combined into one sector wide actor network.

4.8.1 Community level actor group network
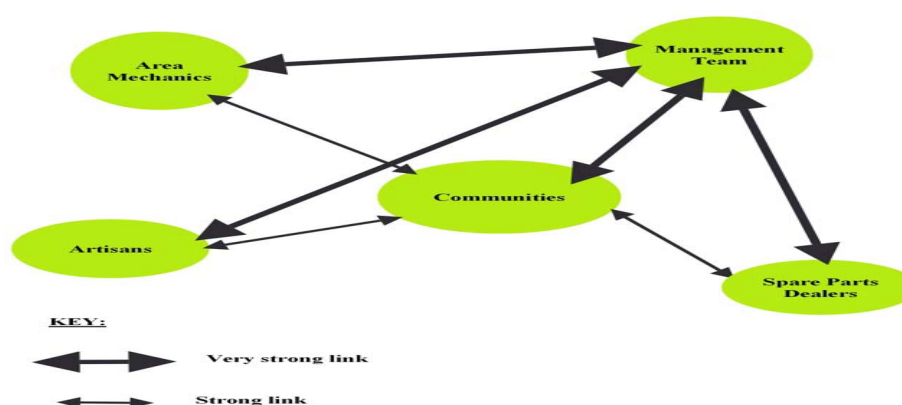
Figure 13: Community level network

Source: author, 2013

Within the community are several WASH players who interact with each other to from a network. The spare parts dealers, area mechanics and artisans collaborate very strongly with the management teams who constitute the pillar of community level WASH activities. This network group constitutes the end user and therefore influences on the transition process largely through the acceptance or rejection of interventions or policy. Their choice of action either hastens the transition process or slows it all together.

4.8.2 NGO/CBO actor group network
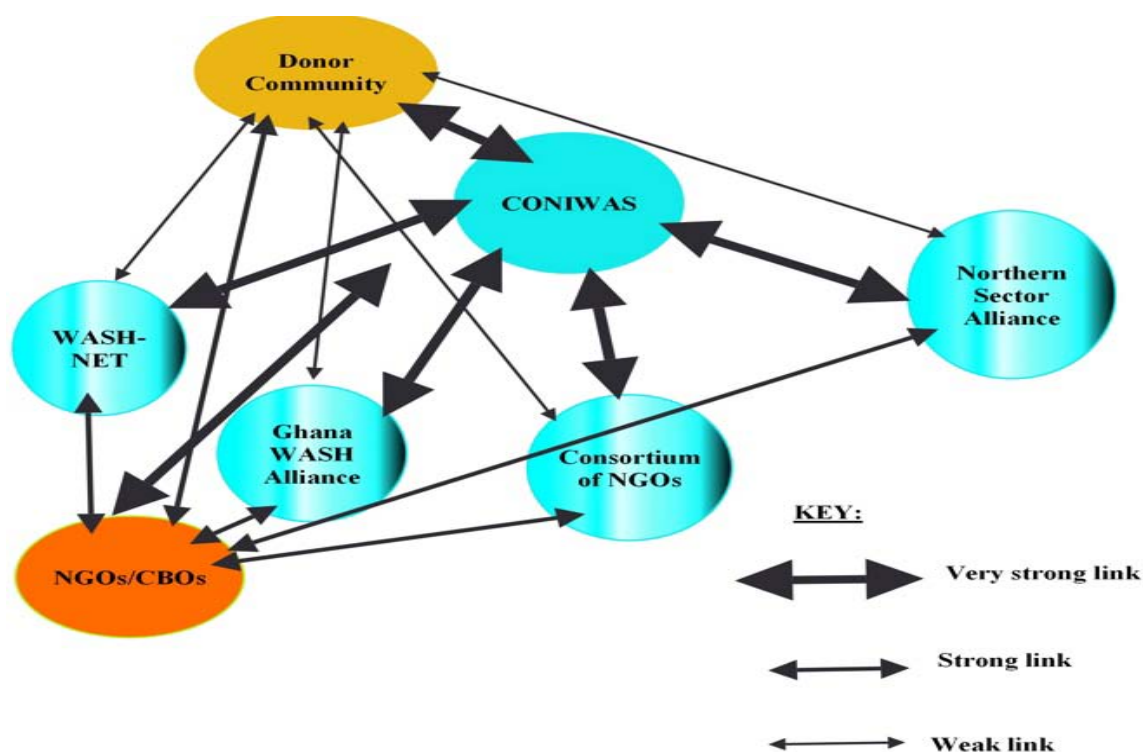
Figure 14: NGO/CBO actor group network

Source: author, 2013

Within the civil society circus, the relationships that exists between the individual NGOs/CBOs and the alliances, consortia and coalition is very strong. As a matter of fact every alliance, consortium or coalition is made up of the individual NGOs/CBOs. Interviewees identified three different smaller groups within this network such as the individual NGOs/CBOs, the alliance and consortium and the coalition. Relationship between NGOs/CBOs and the coalition was either direct or through the alliance but which ever was selected was a matter of choice and not bureaucratic hierarchical flow.

The sector NGOs/CBOs who work more closely with communities influenced the process by way of advocacy for policy change in favour of appropriate conditions that supports the delivery of project interventions and mobilizing community support or rejection of policies or strategies. Some interviewees explained they identify gaps or best practices and through the advocacy platforms depending on the magnitude of the issues are shared with the district or metropolitan assembly which represents the government authority at the local level for action to be taken or to the central government through the ministries which are taken up by the government in the form of enactment of new policies for the sector.

4.8.3 Government sector network
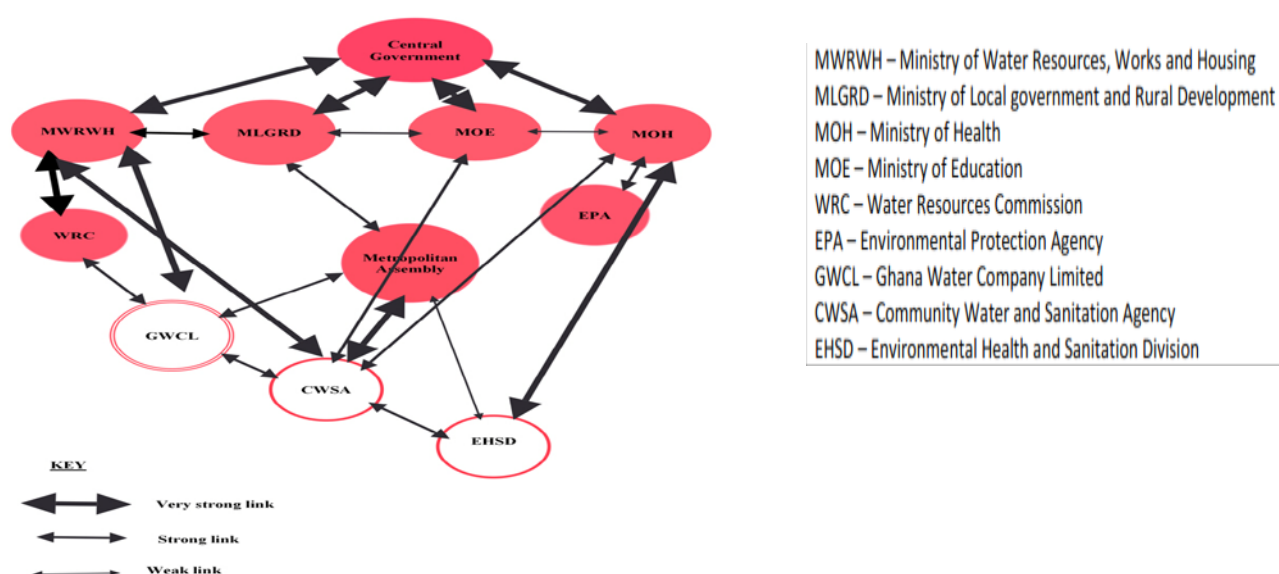
Figure 15: Government sector network

Source: author, 2013

With the government sector network, the Ministry of Water Resources, Works and Housing (MWRWH) was identified to be the body responsible for setting all water policies and strategies which includes resource management and the supply of drinking water. WRC, GWCL and CWSA were the public institutions that implemented the ministry's programmes, policies, plans and strategies regarding water resource management and supply. These key sector institutions collaborate with MLGRD through the district and metropolitan assemblies, MOH and MOE in the delivery of water services. The metropolitan and district assemblies were responsible for the management and coordination of water and sanitation programmes at the community level as such a very strong link/connection existed between it and CWSA. The relationship between the key sector institutions and MOH and MOE was to ensure a reduction in the incidence of water related diseases and the through School Health Education Programme (SHEP) in implementing sanitation and hygiene promotion activities and other activities at the basic schools respectively (CWSA, undated). The influence of this actor group stood largely in determining the sector policy direction and which policies, programmes, plans and strategies should be enacted.

4.8.4 WASH sector network
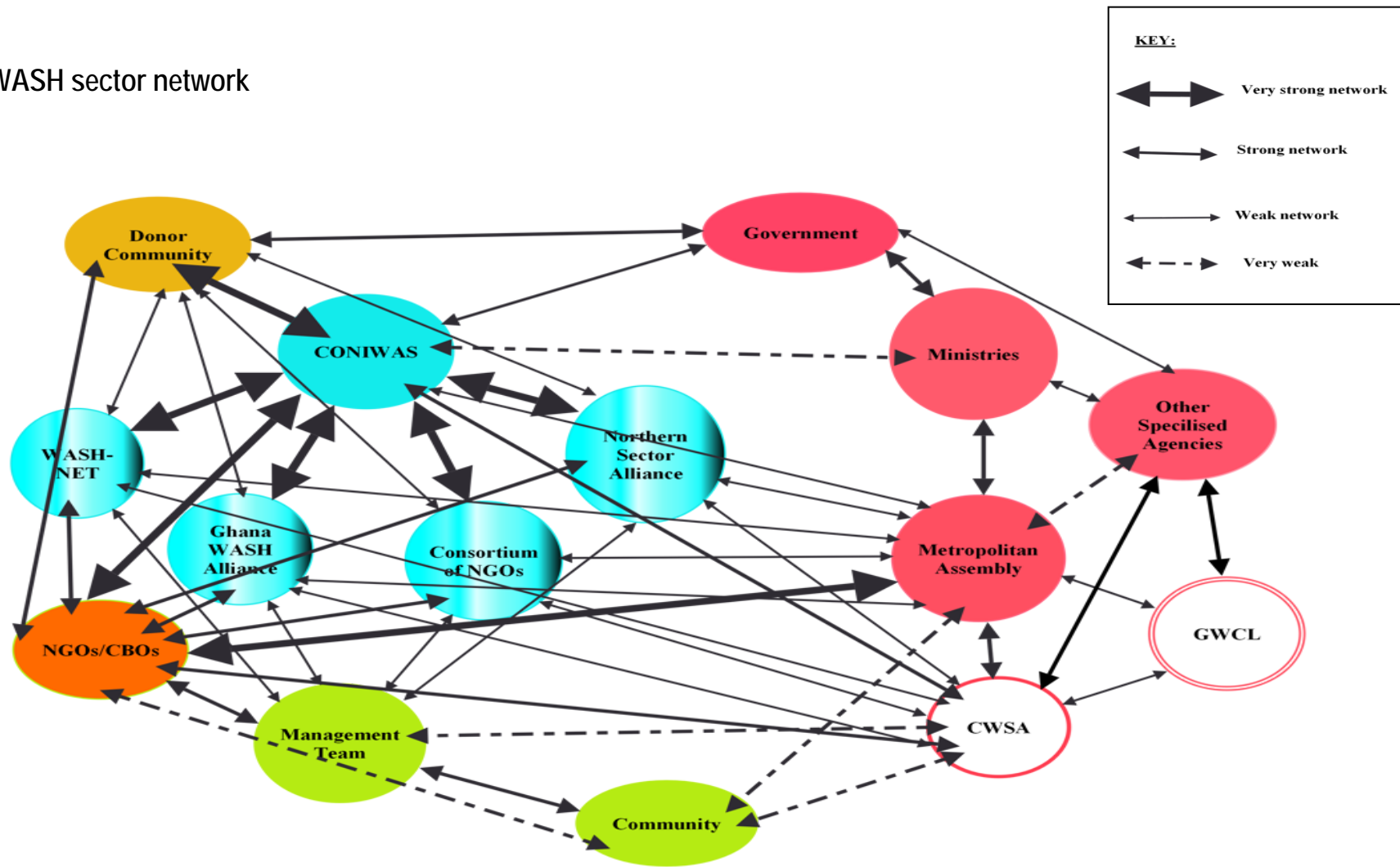
Figure 16: Analysis of network among actors in WASH

Source: author, 2013

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The NGOs/CBOs it was identified are connected more strongly to the local level management teams. Such relationships, some interviewees explained existed in the formation and training, information flow from wider community. As a result, individual NGOs and CBOs exerted more influence on the management teams and community members than government sector network. This was so because NGOs/CBOs instituted the teams and held more close contacts with them than the government sector.

The alliance and coalition though had a relationship with the management teams, depended on the reports of individual NGOs and CBOs who held a more direct contact with the various teams at the community level.

Though her relationship with the ministries was weak, some of the interviewees explained that the metropolitan assembly held a very strong connection with all individual NGOs/CBOs and to an extent the networks and alliances. First, the metropolitan assembly approved and authorized the activities of all sector NGOs/CBOs. Secondly, all projects were again handed over to them when projects phased out and thirdly, the assembly solely decided on the geographical distribution of interventions. This made them a very strong force as far as development work at the local level was concerned. This was further translated into the type of relationship that exists between the assembly and the management teams. Projects handed over to the assembly were to be jointly managed by the assembly and the management teams. However, the assembly had little influence on the activities of the management teams because of the loose contact that existed. The meeting of the assembly and the management teams depended on the decision of the NGOs and CBOs who funded the monitoring visits of the DWST to the communities. This further explains the challenge that sector faces in terms of sustaining the gains because both the assembly and the teams at the community level depend largely on the support (be it financial and capacity) to function.

At the national level, it was explained that CONIWAS remained the main channel of communication with other networks, alliances and the individual organizations. Any NGO/CBO that wanted to remain in the sector and provide service particularly under the aid effectiveness arrangements had to be a member of CONIWAS to be recognised. As such individual NGOs and CBOs and less strong networks at the national level are considered to be under CONIWAS. The recognition and representation of CONIWAS representative at international fora further strengthened the kind of influence that it had over the other platforms and individual NGOs/CBOs in the sector.

The relationship between the assembly and CWSA was identified to be very strong owing to the new legislative instrument, 2007 which entrusts the implementation of projects at the district level to the metropolitan assembly but with technical support from CWSA. As a result, the relationship between CWSA, the NGOs/CBOs and CONIWAS was explained to be strong. However, the relationship between CWSA and the consortia and alliances was identified to be relatively weak due mainly to two reasons; (1) the huge recognition given CONIWAS which constitutes the lead network organisation at the national level and (2) the very strong link which already existed with the individual organisations at the metropolitan level. This means that all sector NGOs and CBOs must be prepared to adhere to the guidelines of CWSA and GWCL which includes working with the district assembly no matter how challenging the collaboration may be.

The donor community exercised a very strong network with the coalition (CONIWAS) and networks or alliances that fall within their funding spheres, some of the interviewees identified. However, influence over other networks and individual NGOs/CBOs outside their sphere remained very weak or non-existent. The influence of the donor community was explained bordered around the form of the funding dynamics. The objective determined the direction of funding which ultimately forced national government and sector NGOs and CBOs to fall in line by developing programmes and plans that were inline.

In the transition process, it was identified that the sector NGOs and CBOs and the government largely determined the direction of change but depended on the information from the communities and/or donor community to decide on the policy direction to take.

4.9 Factors Influencing NGOs/CBOs Delivery

The factors of influence were further divided into the supporting factors and hindering factors experienced in the delivery process. These factors either supported the adoption and acceptance of strategies by the beneficiaries which sped up the transition process or hindered acceptance as such slowed the process to the next phase of the transition.

4.9.1 Supporting Factors

Interviewees explain that some of the success factors to the achievement in the WASH sector include the willingness of both communities and partner NGOs and CBOs to effect a change in the WASH. This was largely achieved through the strong community entry that established the right relationship. These relationships aided in the delivery process of NGOs and CBOs.

The added that the learning and sharing of best practices at network and coalition platforms as well as from organizations ensured that only approaches and practices that assured the greatest benefits were implemented. Such platforms reinforced the partnership that existed between members and enhances collaborative working environments to tackle a common agenda. Reference was made to the water kiosks, the mechanization of boreholes into small towns water systems as a few of such best practices that had been adopted by other organizations and scaled up to cover more communities and districts. Another factor that was mentioned referred to government policy on private sector which allowed for a more active play of NGOs in the development sector. In addition, the policy on decentralization particularly at the district levels where NGOs are located has allowed for prompt action and decision making on issues relating to WASH.

Again, the strength in numbers has been another factor. Registered membership of CONIWAS nationwide is over eighty (80). In Northern, the figure stands at about twenty-one (21) members. This has given them a voice that other sectors do not have.

The support from donor community in form of grants and aid and capacity to run project activities was also identified as one of the key factors that contributed to the success in the WASH sector over the years.

4.9.2 Hindering Factors

NGOs and CBOs interviewed expressed that the factors that has over the years hindered the delivery of interventions relate to;

The frequent cases of conflicts in partnerships, and petty rivalry among partners were mentioned as one of the hindering factors which affected the rate of delivery. Some interviewees from the network platforms mentioned of the many disputes that platforms had resolve among the individual partners. This slowed down the implementation process and sometimes disrupted the transition process.

Weak capacity in terms of skills, logistics and number of personnel and commitment particularly district assemblies which affects the ability of district level staff to effectively monitor the activities of management teams.

Another as identified by some interviewees lingered on inadequate coordination and harmonisation of NGOs and CBOs efforts. in partnerships where the arrangement is for some organisations to oversee to the direct service delivery whilst others handle the soft aspect which boarders around community mobilization and sensitization and other preparatory ground work for the physical facility construction, requires that the ground work of mobilization and sensitization is done before the construction of facilities but sometimes, the reverse is the case. This seriously affected the ownership of such facilities by community members.

Communities, especially in Northern Region have over the years been used to the culture of receiving development interventions for free. However, current approaches in the development sector are pushing for community commitment. Under CLTS, communities are expected to take up the whole process from appraisal to construction and NGOs/CBOs only provide the capacity needed. As one interviewee puts it, "*these people were used to getting everything for free then you come with new approach of CLTS that says from now we identify the problems, support you with training and you construct your own latrines and cater for the rest, this is challenge to us*". Another interviewee supports that "*what we frequently have to deal with is the influx of delegations from various communities asking that we support them with building materials for the latrine construction*". Important of note here is that the changing role of NGOs and CBOs from providing and servicing communities to facilitating activities and engaging communities had affected the adoption of the new approach which stresses on community led solutions to development issues.

Chapter 5: Conclusion and Recommendations

The basis for this research was premised on the assumption that the development interventions of NGOs and CBOs in the Tamale Metropolis, the Region and Northern Ghana at large were partial and skewed to a few areas in WASH. This partiality in focus resulted in an unholistic sector wide intervention and has over the years culminated in worsened social and human conditions and a reduced confidence of the populace in the ability of civil society organisations to effectively complement government's efforts in the achievement of various development objectives.

The findings of the research have not only helped to understand how NGOs and CBOs operate and have over the years influenced the transition process but also helped unearth the reasons explaining why the less cumulative impact of their interventions. This chapter therefore presents the conclusions reached and attempts to relate such to existing literature. A few recommendations are included for sector practitioners to consider.

5.1 The WASH Transition in the Tamale Metropolis

The WASH transition can be described as a socio-cultural transition that is slowly developing. The sector cannot be combined in analysis because the two components of water supply and sanitation and hygiene where water supply has attained or achieved stabilization and sanitation is yet at the phase of pre-development. It is therefore argued that the transitions as identified in the forgone analysis pertains to water supply and sanitation as separate entities and not the whole WASH sector as components that are inextricably linked.

The analysis presents the WASH transition as basically a regime response to landscape changes in agenda and pressure. This invariably induced community movements which ignited the transition at the different time phases.

Data on the transition indicates that World Bank with support from CIDA and DANIDA induced a process of change with the commissioning of the background series reports in the WASH sector which subsequently fed into the first water policy. Based on this, it can safely be concluded that the transition as recorded in the WASH sector in the Tamale Metropolis was landscape induced along the pattern of transformation path. According to Geels and Schot (2007) typology of transitions paths, this pattern is recognised when the landscape moderately pushes for changes in a structure or institutions because the niches are still at their infancy and the regime responds by amassing support from other actors to stir up an awakening.

The influence of any actor group to the transition process depends on the level of involvement and contact with the other actor groups. The more contact and interaction that an actor group holds with the rest, the more influential it is on the process. Based on this, it can be concluded that NGOs and CBOs actor group is more influential in the transition process because of their diverse contacts with the other actor groups. However, the level and type of influence differ from one actor group to the other.

From the network analysis, it became evident that NGOs and CBOs strategies of advocacy and capacity building at the local level were centred on behaviour change and improved management practices whilst at the national level, the focus was on policy inputs that favoured the beneficiaries or end users. Therefore, it can be concluded that the influence of NGOs and CBOs influences the transition process at the local level in the form of sensitization or awareness creation whilst at the national level; the influence takes the form of procedural where NGOs and CBOs participate in formal decision making processes that affect the end user or beneficiary. This conclusion is further supported by the analysis of the strategies and Impact Indicators on form of Influence in the WASH sector at the different phases of both transitions. This finding is in accordance with Adrian Smiths' classification of manifestation of influence from CSO strategies in sustainable energy transitions. Smith (2012) identified

four forms of influence from the strategies of CSOs such procedural, substantive, structural or sensitizing.

5.2 NGOs/CBOs Contribution to WASH Transition

NGO and CBO contribution to water and sanitation development in Tamale is determined by the kind of strategies adopted. The kind of strategy adopted therefore tells the extent or magnitude of contribution to the sector. This means, the contribution from an NGO who adopts to fund other NGOs operation records different contribution to the sector from one who employs advocacy as its strategy. This makes it difficult to out rightly conclude that advocacy as a strategy contributes more than service delivery or capacity building without a standard indicator of measurement.

Within each strategy, the quantum of the components employed determines the magnitude of impact. For instance, training on behaviour change has a more direct impact on attitudinal change than training on book keeping. However, at the level of society (community, district, regional and national), whilst one component doesn't result in behaviour change, employing the same component at a different level affects behaviour. This means whereas the component of publication under advocacy may be no effect at the community level, at the regional and national levels, it becomes a strong tool for change. Therefore strategies are target group specific.

By strategies, capacity building and advocacy contribute to institutional and behaviour change than funding and service provision. At the extreme levels of community and national, advocacy produced more institutional change at the national level and capacity building produces behaviour change at the community levels. This falls in line with Smith (2012) finding in relation to sustainable energy transitions that the resource available for mobilization coupled with movement perceptions and opportunities determine which strategy to adopt and when.

Interventions from the donor community through local NGOs and CBOs were implemented without any sustainability plan in place and therefore signified plugged in solutions that cannot be considered as structural interventions but incidental interventions.

Mismatch between where action (at the district level) is needed and where capacity is needed. This is because, funding was assigned to the national level from the agreements of the Paris Declaration and the Accra Agenda for Action but not with the action function. More so because at the donor level, there is not a common understanding of how the Paris Declaration should be brought to the ground as such the donor community seem silent on it yet require the national government to act in accordance to the declaration.

Institutional change as described above took the form of creating more institutions and offices (institutionalisation) to support the management of sector. At the local level, it witnessed the institution of management teams. The regional levels saw the RICCs team to oversee to sanitation issues. No such efforts were seen at the district level. This lack of attention at the district in terms of institutional change meant that sustainability of infrastructure service was undoubtedly problematic considering their role in the sustainability of interventions as the main body that should ensure infrastructure functionality at all times at the local level.

5.3 Sustainability in the WASH Transition

It came to light in the course of the research that intervening NGOs and CBOs had no sustainability plan for the facilities that they provided. Sustainability here refers to the continuous existence and functioning of WASH services even after the intervening NGO or CBO had phased out. Some of them expressed that their role in the sector was to construct the facilities and hand over to assembly who had the responsibility of ensuring the continuous functioning of such facilities. The only organisation that

was identified to have a plan in was the Ghana WASH alliance that operated the Financial, Institutional, Environmental, Technological and Social (FIETS) sustainability plan. However this plan was at its infancy stage (barely two years in existence). These issues had over the years created a situation and cycle of construct, phase out, break down and the cycle continuous. This irregular pattern of service provision and gap in sustainability coupled with the gap of institutional change at the district level resulted in increased inequality and worsened human conditions in communities.

Other factors were espoused that further escalated the challenge of sustainability of these interventions and attempted to explain the reason for case of widened poverty and the sense of less impact of NGO/CBO interventions in the region despite the many years of existence in the WASH sector. These factors were categorised into the skewed nature of development interventions, the challenge of sustaining the gains at the local level and short term nature of funding.

5.3.1 Skewed Nature of Interventions over the Years

It came to light that NGO intervention over the years in the WASH was and still is skewed to a few areas. From 1965 when Ghana established GWSC to over to provide urban and rural water, attention was given to urban water with little focus on rural water. Sanitation and hygiene were largely sidelined and the least of the issues 'except that it was grouped with water' in the same sector. The enactment of the water policy in 1991 and subsequently CWSA in 1998 could not reverse this trend. It was not surprising that the sector was called WATER and SANITATION. Specialized agencies established later were all tagged with water such as the Water Resources Commission, the Water Research Institute. At this point, sanitation and hygiene was reduced to the cleanliness of the water facilities. The insurgence of the guinea worm pandemic in the early 2000s highlighted the important role of sanitation and so a few steps were taken to tackle sanitation. The environmental health and sanitation unit of the Regional Coordinating Council took up the aspect of implementing sanitation and hygiene measures and NGOs handled the water delivery aspect. Of the 6 components of hygiene which includes personal, food, environmental, water and general hygiene, though food hygiene is ensured by the Food and Drugs Board, it was environmental, water and general hygiene aspects that was taken up during the by the environmental health unit under the I-WASH project.

It was not until 2008, after the declaration of year of sanitation by the UN that concrete measures were taken to tackle it. Approaches such as CLTS were introduced and sector level NGOs took up the challenge of ensuring total sanitation at the rural and urban settings. However, of the 2 components of sanitation being liquid and solid waste disposal, current approaches give more attention to appropriate liquid waste disposal practices. Across board, sector NGOs and CBOs are facilitating the constructing of household latrines and 'soak a ways' pits for waste water but less of seen in solid waste. Of all 23 NGOs and CBOs interviewed, there was only one solid waste project run by the Ghana WASH Alliance termed Tamale Urban Sanitation and Waste Project (TUSWP), a multi stakeholder partnership project to manage waste at two levels; service and management level and valve addition level in the tamale metropolis. Though this signifies a step, the amount of solid waste generated is far too much for a single project to adequately manage considering the short term nature of funding.

It's therefore not surprising that achievement of MDG goals for water had been exceeded by 5% from 75% as the UN set target to over 80% as a country whilst sanitation stands at 14% as a country and 9% as a region.

5.3.2 Challenge of Sustaining the Gains at the Local Level

Another explanation stemmed on challenge of sustaining the gains of the NGO and CBO interventions. This was explained to be a result of myriad of reasons. First was the inability of beneficiary communities and management teams to manage and maintain the facilities provided after such NGOs and CBOs

had folded up operations. Interviewees explained that the commitment with which management teams operate and functions during the operation years of NGOs and CBOs dies and teams dissolve once NGOs pulled out from such communities and life returned to normal awaiting another NGO/CBO intervention. It was expressed by some management teams that the acceptance of interventions to communities depended largely on the presence of such intervening NGOs/CBOs to either settle disputes around such projects or bring sanity to the whole intervention.

This was coupled with the fact that the district assemblies or local authorities to whom such interventions are handed to were yet to take up the full responsibility of ensuring the continuous functioning of all facilities and management teams across the metropolitan area. This was because, over the years the effective functioning of the DWST had been depended on the support of the NGOs and CBOs subsequently lost touch with communities on the basis of lack of funds for monitoring after the NGOs had exited. Interactions with the district assembly representative revealed that most of the management teams established were not functioning but how many of such, where they were located, why they were not functioning, he could not say. He further explained that the assembly had no designated budget for the activities of the DWST which explained their reliance of donor support. As such their major role was restricted to providing new NGOs and CBOs with information on which communities to direct support.

My observation revealed out of the many mechanized water systems provided by NGOs and CBOs within the metropolis alone only two (Jisonayili and post office) were functioning. A visit to 2 others at a suburb of Tishigu and Dohanayili revealed 'white elephants' and residents of Tishigu had gone back to drinking the same unwholesome water before the water facility was provided. A further interaction with residents of the defunct water facilities expressed that the intervening NGOs had pulled and the facilities encountered problems which the residents could not solve so there were abandoned. The intervening NGO explained that they had lived by the guidelines of establishing a management team for such facilities and had handed over the responsibility to the district assembly who were to support such communities revive such defunct facilities.

Picture 5: Two defunct facilities provided with support of NGOs and CBOs.

Source: field data, 2013

Picture 6: A hand dug well

A hand dug well that was mechanized into a small town water system but had an electrical fault to which the management team could not fix, the community members resorted back to their old source of water which is this open hand dug well.

Source: field data, 2013

This presents a picture of the number of defunct facilities doted across the region following several years of intervention. This further casts a doubt on the true reflection of figures achieved for water. One interviewee expressed her fears in the following statement "*I don't know whether the over 80% achievement in MDG goal for water is a true reflection because most water facilities are defunct yet in the national figures are counted as water assets*".

5.3.3 Short Term Nature of Funding

Throughout the course of field work, it was identified that the longest project ran by all NGOs and CBOs interviewed was two years. Most NGOs and CBOs therefore had several funding sources for WASH activities which is also a way of ensuring survival in the sector. However, the issues under WASH boarder more on attitudinal and behaviour change which is almost impossible to achieve in two years coupled with the challenge of intermittent funding. Intervening in this manner tends to be selective in approach instead holistically tackling the WASH sector challenges and by the time beneficiaries begin to accept the principles of such intervention, the project pulls out. One director of an NGO interviewed expressed; "*A lot of the work we is short, a year or two,, nobody changes behaviour in one year, you need time to change behaviour especially aspects that deal with attitudes, when you pull out, in the first two or few months, the management teams will work but afterwards, they get relaxed and eventually die off. The soft aspects need to be more than one or two years so that it becomes part of the people because behaviour change is expensive and people need constant reminders to adopt to change. You organize one day or two day training sessions for the teams and you expect them to know everything and implement, it's not practical. So you organize training once and within two or three weeks, they forget everything not because it's intentional but these are additional responsibilities to their already socially pressured life so a well designed programme with frequently visit and reminders is what is needed but because of the funding structure, we are forced to stick with the one day or two day training.*"

5.4 Final conclusions

Finally, it can be concluded that NGOs and CBOs have contributed to the transition through the strategies that are employed. The influence of NGOs and CBOs strategies on the transition process can therefore be described as procedural where they participate in formal decision making and sensitizing by raising public awareness to WASH issues. This means that the contribution of NGOs and CBOs to the WASH transition in the Tamale Metropolis has largely been procedural and awareness creation.

The focus of the manifested influence coupled with the other factors of skewed development intervention, challenge of sustaining the gains at the local level and the inability of government agencies particularly the district assembly or authority to take up the full responsibility of managing the interventions of NGOs and CBOs explains the reason for incidence of widened case of poverty in Tamale Metropolis and Northern Region at large.

5.5 Recommendations

The following recommendations are proposed for sector actors to consider;

➢ Create more ownership organisations and platforms like RICCs to organise and facilitate networking and sharing of knowledge in both water supply and sanitation at all levels of society.
➢ Key staff of the district assembly should be part of the working teams WASH projects at all the levels. This will serve as a step towards achieving institutional change at the district level.
➢ Though the sanitation transition is currently at the phase of pre-development, it is already seriously challenged particularly with through the approach of engaging and facilitating not as providing and servicing as communities are accustomed to, it is recommended that innovative steps be considered alongside the new role to increase the adaptability of the approach otherwise, the transition might end in a backlash mainly due to low interest and adaptation by communities.

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Annex 1: Classification of CSOs
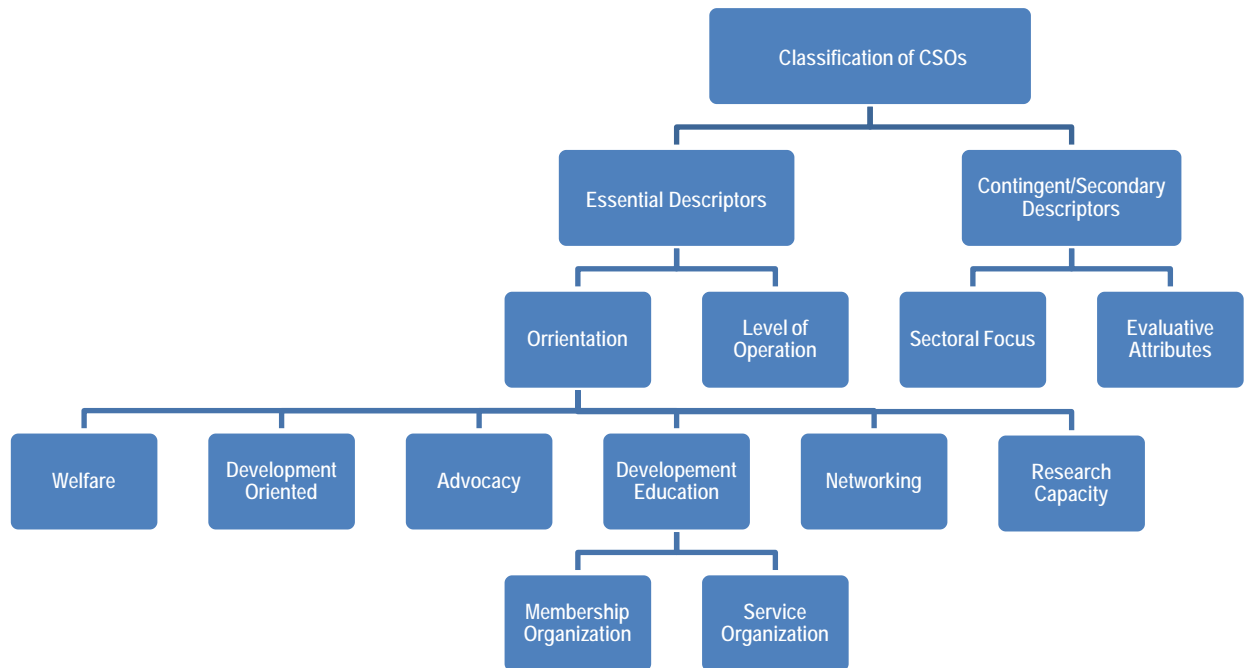
Source: Vakil, 1997

Annex 2: interview guide

ERASMUS UNIVERSITY, ROTTERDAM, THE NETHERLANDS

INSTITUTE FOR HOUSING AND DEVELOPMENT STUDIES (IHS)

MSc. URBAN MANAGEMENT AND DEVELOPMENT (UMD 9), June/July 2013

Interview Guide for NGOs, CBOs, WATSANs and Water Boards and Metropolitan Assembly

Research Topic: *"Understanding the Transition in Water and Sanitation in Northern Ghana: the Contribution of CSOs".*

Name of respondent:

Name of community:

Category: a) NGOs, b) CBOs, c) WATSANs d) Water Boards e) Metropolitan Assembly

Position:

Date:

WATSANs and Water Boards

1) Can you give me a brief description of the committee or board?

....

2) Who established the committee or board?

....

3) What led to formation of your committee or board?

....

4) What are the sources of domestic water for your community?

....

5) How about that of sanitation facilities?

....

6) Who provided such (domestic water and sanitation) facilities?

....

7) Were you in involved in the provision of such facilities

....

8) How were you involved?

....

Metropolitan Assembly

9) What is role in relation to water and sanitation provision in the assembly and metropolis?

....

10) How many water and sanitation units and committees are within the assembly?

....

11) How often do these committees interact with NGOs and CBOs in water and sanitation?

....

NGOs/CBOs

12) Please give a brief profile of your organisation.

....

13) What is the thematic area of your organisation?

....

14) Can you describe your water and sanitation projects and project communities?

....

15) How long have been involved in water and sanitation?

....

16) How did you get involved in water and sanitation?

....

17) What type of support do you provide to project communities?

....

18) What do you consider before providing the services? Especially in relation to user friendliness, location and gender?

....

All categories

19) Please describe landmark events that occurred in your provision of water and sanitation from 1994 to present?

....

20) Which other NGOs and CBOs do you collaborate with in the provision of water and sanitation services?

....

21) In which areas of services/activities do you partner?

....

22) How long have you been in partnership?

....

23) In which areas are they influential?

....

24) How has this collaboration improved the existing situation?

....

25) What capacity building mechanism does your organization have for beneficiary communities?

....

26) What informs the choice of your mechanism?

....

27) At the various levels of advocacy (community, local and national government), what activities are carried out by your organization?

....

28) How has these changed the behaviour of community members and leaders, local and national government to issues of water and sanitation?

....

29) What services does your organization provide in the area of water and sanitation?

....

30) How do you deal with the aspect of maintaining the facilities?

....

31) How many potable drinking water facilities has your organization constructed since its involvement in water supply?

....

32) What numbers of sanitation facilities has been provided to communities and households?

....

33) How many of such facilities both for water and sanitation are currently in use?

....

34) Who is responsible for the management of such facilities?

....

35) What role does recipient communities play in the management of facilities?

....

36) For facilities managed by communities, can you tell me how long they have been managing those facilities?

....

37) What are changes in structures (physical and institutional) as a result of your intervention in your and sanitation to the following groups? i) Project communities; ii) District assembly; iii) WATSANs; iv) Water Boards; V) specify other

....

38) Can you describe the changes in behaviour and attitudes resulting from your intervention to the following groups? i) Project communities; ii) District assembly; iii) WATSANs; iv) Water Boards.

....

39) Generally, what changes has occurred in the area in the water and sanitation sector from 1994-2013?

....

40) What factors support the success of your intervention?

....

41) Which factors hindered the process?

....

42) Can you tell me some of your success stories since your intervention in the area of water and sanitation in the metropolis?

....

43) Do you have any other comment or question?

....

Annex 3: Time Schedule of Research Activities

Activity	Time				
Research planning and preparation	April-June (2013)				
Fieldwork (data collection)	June-July (2013)				
	Week1	Week2	Week3	Week4	Week5
First contact (study area)	▓				
Contact with key informants	▓				
Contact with various interview groups	▓	▓			
Interviews with NGOs and CBOs	▓	▓	▓		
Interviews with WATSANs		▓	▓	▓	
Interviews with Water Boards and metropolitan Assembly			▓	▓	▓
Data processing				▓	▓
Analysis, conclusion and recommendation	July-September (2013)				
Submission	September (2013)				

Annex 4: Validation of NGO/CBO strategies from Management teams

Name of community	Name of team member interviewed	position	Data on committee	Data on WASH facilities	Form of Participation	No of NGOs/CBOs in community	NGOs/CBOs strategies	Impacts on team and community	How maintenance is ensured	Factors of influence	
										supporting	hindering
Vitim South	Hashim Zuwera	Treasurer	9 member committee, 5 women, 4 men	main water source is mechanized borehole, open defecation	Provision of labour	1	Capacity building	Closes water containers, regular community clean up. burying faeces, burning of rubbish	Proceeds from pay as you fetch (water kiosks) is kept and used to maintain facility.		Uncompromising attitude of members
Dungu-UDS	Alhassan Abdul - Rauf	Chairman	9 (5 men, 4 women)	Small town water system, rain water harvesting system and dam, one public latrine and some household latrines	Provision of labour	3	Capacity building and sensitization	People clean surroundings, stopped drinking from dam, reduction in open defecation, hand washing with soap	Proceeds from water kiosks for maintenance	Presence of NGO, eradication of guinea worm	Uncompromising attitude of members, lack of tools for labour
Nyeshe	Hamza Fuseini	Chairman	11 (5 men, 6 women)	3 stand pipes, hand dug wells, dams, open defecation	Were not involved	3	Community mobilization, training on latrine construction	Disposal of refuse into pits, burying of faeces,	NGOs support		
Zagyuri	Danaa Stephen	Secretary	10	Pipes,	Provision of	2	Capacity in the	Residents	Proceeds	Support of	The

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	Neindoo		(3women, 7 men)	wells and dam, 1 toilet	labour		form of link to GWCL, advocacy in the form effective management practices	patronize toilet use, people do not throw refuse indiscriminately, well and dam water is boiled before use, more pipelines have been bought by community, willingness of community to provide labour	from water kiosks for maintenance	community	mysterious death of the former chairman brought everything to a standstill
Wayamba	Asuro Yakubu	secretary	5(2 women, 3 men)	Stand pipe and dam, open defecation	labour	1	Training on community mobilization, supported with information on where to get what, provided stand pipe	Boil water before, bury faecal matter, communal cleaning	Proceeds from water kiosks to maintain the pipe	The training received	Uncompromising attitude of some individuals in paying for water
Cheshe	Iddrisu Abukari	Chairman	9 (4men, 5 women)	6 nuzzle Stand pipe, dam and stream, open defecation	labour	1	supported with information on where to get what, provided stand pipe, training on latrine construction	Some individuals have constructed their latrines, bury faecal matter	Proceeds from water kiosks to maintain the pipe	The presence of NGO	Uncompromising attitude of some individuals in paying for water
Sognayili	Abdulai Abass	Chairman		6 nuzzle Pipes and dam	labour	4	Education on environmental cleanliness, provided stand pipes	Water from dam is filtered before use, refuse and faecal matter are buried, one individual has constructed person latrine, communal clean up	Proceeds from water kiosks to maintain the pipe	The presence of NGOs and CBOs and the hard work of the community members	Uncompromising attitude of some individuals in paying for water

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Community	Name	Role	Members	Infrastructure	Contribution	No.	Activities	Sanitation practices	Funding/Resources	Support	Challenges
Gbalahi	Alhassan Seidu	Secretary/ assembly man	11(6men, 5 women)	Stand pipe and dam	labour	5	Training on latrine construction, community mobilization and advise on use of local materials, provided stand pipe	Dam water is boiled and filtered before use, no open defecation, construction of soak-a -ways, 5 households have constructed latrines		Training received from NGOs and CBOs	Access to community members at certain times of the year
Tishigu	Mohammed Awal	chairman	7(4men, 3 women)	Pipe, wells and boreholes	labour	2	Support on where to access spare parts, provided stand pipes	Boiling well water before use, hand washing practices	Communal contribution	Presence of NGO	Uncompromising attitude of some individuals
Dohini Yapala BLK B	Sulemana Alhassan	chairman	11(6 women, 5 men)	Dam and open defecation	Community was levied	1	Training on latrine construction and community mobilization	Some individuals have constructed private latrines, dam water is filtered before use, regular communal clean ups, bury faecal matter	Communal cleanup around the dam	Support of community members	Uncompromising attitude of some individuals
Taha	Mahamudu Sugri	Chairman/ assembly man	15 (10 women, 5 men)	Pipe and dam	labour	4	Support with information as to where to get what, regular meeting of team, sensitization on environmental cleanliness	Regular meetings, dam water is filtered, 5 individuals have constructed private latrines	Proceeds from water kiosk	Unity of community and support of general meetings	Difficult nature of some individuals
Kamonaay ili	Abdulai Yussif	secretary	5 (3 men, 2 women)	Dam, stand pipe, boreholes, open defecation	labour	3	Training on management of water kiosk system, provided stand pipe	Water from dam is filtered, hand washing, some individuals have constructed	Proceeds from water kiosk	Cooperation between community and NGOs/CBO	Difficult nature of some individuals

Understanding the Transition in the Water and Sanitation Sector of Northern Ghana; the contribution of Civil Society Organizations (CSOs)

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								soak-a-ways and 10 household latrines communal clean up		s	
Dungu (Bolga Road)	Mahammud Yahaya	chairman	7(4men, 3 women)	Dam, 4 stand pipes, open defecation	Land for stand pipes	7	Training on water system management and how to sustain it	Regular clean ups, 2 or 3 persons have constructed household latrines, organizes frequent visits to CWSA to make enquiries	Proceeds from water kiosk for maintenance and purchase of spare parts		Intermittent supply of water which forces residents to use dam water during such periods
Vitim	Karim	chairman		Stand pipe and small town water system, dam	Labour and land	1	Training water kiosk system management, providing the pipelines	Water from dam is filtered, hand washing, regular communal clean ups	Proceeds from water kiosk		Intermittent supply of water which forces residents to use dam water during such periods
Nyohini south East	Idi Abdul Rahaman	chairman	13 (7women, 6 men)	3 boreholes and 3 stand pipes		1	Training on maintaining the pipes	Regular clean up, 3 persons have constructed household latrines	Proceeds from water kiosk		CWSA tank is small to serve the community when water isn't flowing. The component of community members constructing their own facilities is deterring them

Understanding the Transition in the Water and Sanitation Sector of Northern Ghana; the contribution of Civil Society Organizations (CSOs)

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Post office	Issah Abdulai	caretaker		Mechanized borehole	Space and management of the facility	About 7	Training on water kiosk system management, mechanized the borehole	Prompt payment of bills, community members are ready to pay for water	Proceeds from water kiosk	The presence of the intervening NGO	Difficult nature of some individuals
Jisonayili	Alhassan Musah	chairman		Small town water system	space	6	Training on water kiosk system management, provided the water system	Reduction in open defecation, some individuals have constructed their latrines, management and ownership of the water facility, community prepared to pay for water	Proceeds from water kiosk	Support of intervening NGO	

Understanding the Transition in the Water and Sanitation Sector of Northern Ghana; the contribution of Civil Society Organizations (CSOs)
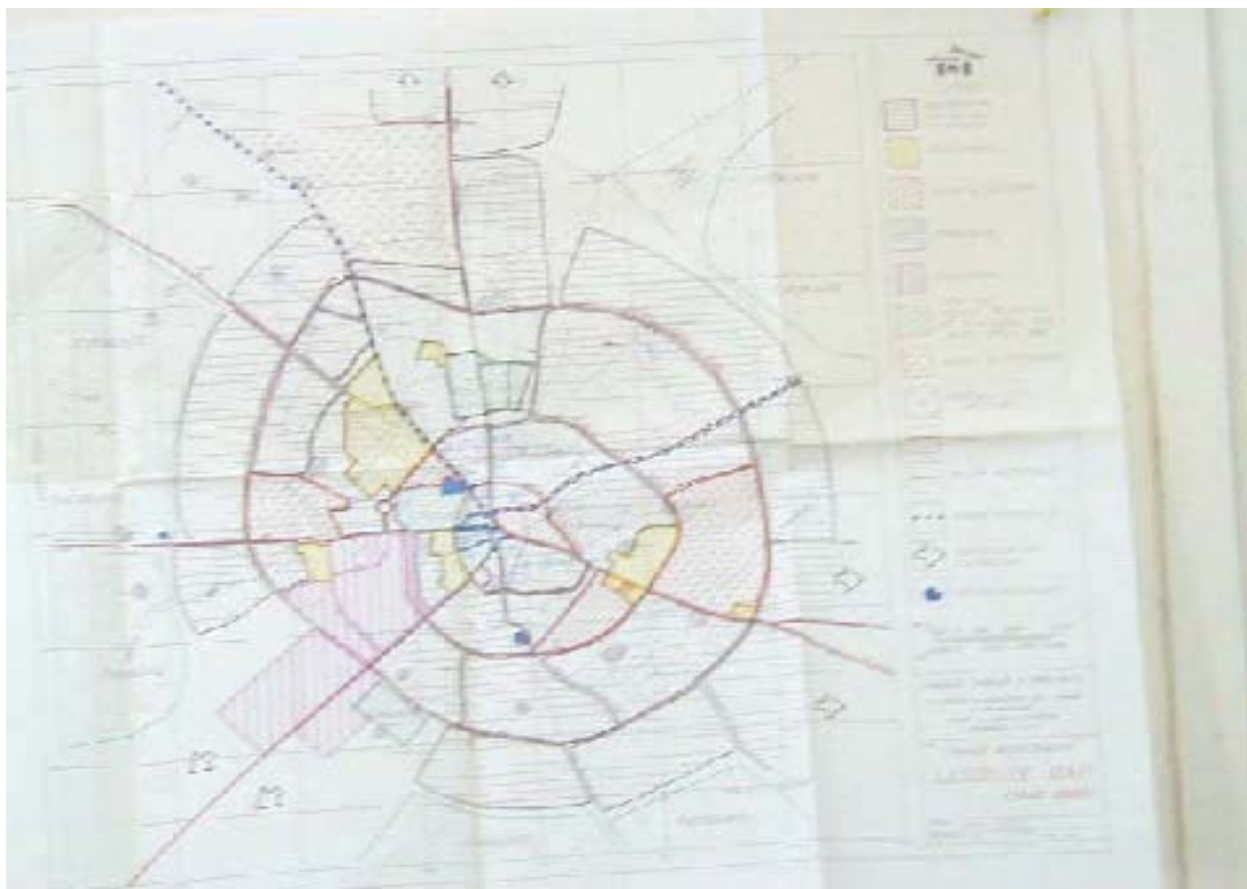
95

Annex 5: map of Tamale Metropolitan Area

Figure 17: Map of Tamale Metropolis

Source: UN Habitat (2009)