

# Research Proposal

by UNDP Water Governance Facility at SIWI  
for MDG-F on

## **Towards Trans-cultural Transparency: Exploring the Interface between Modern and Traditional Institutions in Sanitation and Water Supply**

November, 2011

### *Summary:*

The purpose of this research project is to help overcome socio-cultural clashes between communities, service providers, development cooperation actors and local authorities, and the resulting ineffectiveness of the sanitation and water supply systems in selected indigenous areas. This is to be achieved by making the underlying rules, practices and value systems of different sanitation and water supply arrangement explicit and transparently documented, through an exercise of institutions-mapping. The sanitation and water related institutions of the four groups will thereafter be compared and contrasted, and discussed among them. With the same groups, ways of overcoming socio-cultural clashes, inefficiencies and inequities are to be devised.

The scope and methodology of the project are innovative within the field of indigenous institutions research in that it focuses on domestic water use and sanitation. Relating to the water and sanitation sector, the innovative feature is the focus on the insufficiently problematized values and rules related to practices. The project also differs from previous research in its recognition of the legitimacy of the institutions pertaining to all four studied groups and the emphasis on the interfaces between them. Furthermore the project aims to be highly participatory, with co-production of data, conclusions and products, and action-oriented by way of producing both scientific material and hands-on policy advice. Dialogue and networking at all levels will be central aspects.

The research will be carried out in provisionally two areas with mainly indigenous populations or ethnic minorities facing difficult access to sanitation and water services. Research collaboration will be established with universities present in those regions. Field research activities will involve semi-structured, video-taped interviews and self-documentation, with representatives from the four groups (communities, service providers, development cooperation actors and local authorities) taking part in the analysis of the conflicts and complementarities between the different institutions. They are also to be involved in the development of popular scientific reports, produced in local and national languages, on the rules, practices and values related to sanitation and water supply. Departing from this, meetings will be facilitated to devise ways for serving both traditional/indigenous needs and aspirations and the requirements of modern/bureaucratic service provision.

### *Research objectives:*

- 1) Map changing institutions: describe the present status and recent evolution of rules, practices and values relating to sanitation and water supply
- 2) Explore the transcultural interface: assess contradictions and complementarities of sanitation and water-related institutions of different groups relating to same geographic area
- 3) Suggest ways forward: analyse valuable experiences, find potential service options, management methods and behavioural changes that serve both traditional/indigenous needs and aspirations and requirements of modern/bureaucratic service provision

Implemented by WGF – the UNDP Water Governance Facility at SIWI

Programme period: 1,5 years

Total resources required: USD 320,000

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## Acronyms and Abbreviations:

CAALCA	Centro del Agua para América Latina y el Caribe
Cap-Net	Capacity Building for Integrated Water Resources Management
DEG	Democratic and Economic Governance (MDG-F thematic window)
DEG-KM	Democratic and Economic Governance Knowledge Management System
FGD	Focus Group Discussion
FLACSO	Facultad Lationamericana de Ciencias Sociales
GoAL-WaSH	Governance, Advocacy and Leadership – Water, Sanitation and Hygiene
JP	Joint Programme
KM	Knowledge Management
LA-WETnet	Latin American Water Education & Training Network
MDG-F	Millennium Development Goals Achievement Fund
MDG	Millennium Development Goal
SIWI	Stockholm International Water Institute
SWH	Swedish Water House
UNDP	United Nations Development Programme
UN-Habitat	United Nations Human Settlements Programme
UNICEF	United Nations Children’s Fund
WaSH	Water, Sanitation and Hygiene
WGF	UNDP Water Governance Facility at SIWI

## I. Introduction and Situation Analysis

Why is the water supply and sanitation coverage so low in indigenous areas? Could an improved, mutual understanding of the institutions (i.e. rules, practices and values) that underpin different water and sanitation arrangements help overcome ineffectiveness of existing investments?

The issue to be dealt with in the present project is the ineffectiveness of the scarce investments into water and sanitation services infrastructure in indigenous areas. Services do not adequately meet the needs of the users, and operations and maintenance falter so sustainability is poor. Particularly with regard to sanitation, low usage of sanitary toilets is coupled with prevailing high levels of infectious disease transmission. As suggested in the recommendations for action to reduce inequalities and promote social justice (te Lintelo, 2011, page 7), "the importance of social norms, practices and institutions in mediating access and provisioning" to services must be recognized.

To do this, the rules, practices and value systems which are implicit in different sanitation and water supply arrangement are to be made explicit and transparently documented, through an exercise of institutions-mapping of four inter-related groups. The groups are communities, service providers, local authorities and donor agencies as they are involved in relation to specific indigenous areas. The institutions will thereafter be compared and contrasted, and discussed among the groups. The aim is to help overcome socio-cultural clashes and misunderstandings in the development and use of sanitation and water services.

### *Background and Justification*

To halve, by 2015, the proportion of the population without sustainable access to safe drinking water and basic sanitation (MDG 7, target 10) is globally on track with regard to water, but will with current rates of progress not be achieved with regard to sanitation (WHO & UNICEF, 2010). Many of those who remain without sustainable access to water and sanitation are ethnic minorities and indigenous populations. The low coverage in such areas can only partly be explained by the lower income levels and at times challenging physical conditions for infrastructure. There are also cultural and political barriers that allow inequities in service provision to remain (Kabeer, 2010; UNDP 2006).

The MDG-F supports national governments, local authorities and citizen organizations in their efforts to reduce poverty and inequality. Marginalised populations are among the target groups of the Fund. The Joint Programmes (JPs) under the theme of Democratic and Economic Governance (DEG) hence work mainly in underserved remote areas in order to close the gap in the water supply and sanitation coverage in their respective countries. A major challenge coming out from their work relates to the issue of communication and differences of 'cosmologies' pertaining to indigenous areas and the central 'modern' hubs of policy formulation and implementation.

There is a need to understand better, not only the rules and values that underlie the present – always evolving – water services and sanitation practices in indigenous underserved areas; there is also a need to make the rules, practices and values that underpin the modern/bureaucratic complex of water supply and sanitation services visible. Making visible and explicit the rules, practices and values of other institutions (modern/bureaucratic) similarities and disparities will more easily be detected and dealt with. Unique for this project is the identification of indigenous rules, practices and values as one legitimate institution related to water and sanitation management among other institutions – in a field of research where indigenous institutions generally are seen as separate and fundamentally different from modern/bureaucratic institutions. To not focus on one institution at a time, but rather on the interfaces of several institutions, is also innovative for this field of research.

Greater clarity – transcultural transparency – of the rules, practices and values relating to traditional/informal institutions as well as modern/bureaucratic institutions should lead to: 1) better understanding of different water and sanitation institutions and the requirements for the systems to function, and consequently, 2) a better basis for voicing demands as well as to find compromises relating to attainable service options, and 3) more suitably devised services to meet local needs and aspirations.

This research will perform institutions-mapping, i.e. systematic documentation of the rules, practices and values, in relation to four different groups – communities, service providers, development cooperation actors and local authorities – in provisionally two selected areas. The mapping will rely mainly on semi-structured, video-taped interviews. The further exploration of the water and sanitation institutions – how they complement and/or contradict one another will draw on group discussions with representatives from the same four groups, providing also input on different perspectives from the interviews. This way, the communities, service providers, development cooperation actors and local authority representatives will themselves be involved in the drawing of conclusions on the different perspectives on water and sanitation arrangements. The project aims to serve as an action oriented link to facilitate the local discussion around contrasts and complementarities of different institutions that underpin the management of water and sanitation.

Popular scientific reports should be produced in national and local languages, as a feed-back to those involved in the research as well as an iterative way to ascertain how modern/bureaucratic and traditional/indigenous water and sanitation institutions prevail and co-exist. Moreover, with findings presented at international forums and to peer-reviewed journals, comparison, feedback and visibility should go well beyond the local case study areas. Possibilities to share with and disseminate results through the DEG JPs will be explored and promoted throughout the project.

*Effective intercultural approaches* is a theme which is being pursued through the DEG KM strategy, where JPs from Mexico and other Latin American countries share their experiences of working with indigenous populations. The present project will complement and cross-feed with the on-going KM strategy, to increase the understanding, and improve adequacy and progress of the activities of the DEG JPs.

WGF will lead the programme of research, provisionally relating to two locations, and each one involving close collaboration with suitable universities. Actual fieldwork should be carried out by local researchers and university students, if suitable in communities already connected to the DEG JPs.

The focus lies on 'sanitation and water supply', with the recognition of the inter-related complex of Water, Sanitation and Hygiene and its utter importance for human health in low-income settings. The water environments are also intrinsically linked with livelihoods, the broader environment as well as the economy, but the research focuses on the WaSH nexus because it has been comparatively less studied than other issues related to water governance and indigenous peoples. Furthermore, the relative emphasis of the project on sanitation is because of it often being ignored in connection with water, and that the MDG achievement of the sanitation target is highly problematic. Thus, within the area of research of water and sanitation the focus of this project is related to a part which has been little explored so far.

The present research, apart from *Exploring the Interface of Modern and Traditional Institutions in Water Supply and Sanitation*, will also contrast and discuss those rules, practices and values with people in the local setting. The often hidden (implicit) cultural differences that may generate clashes in the implementation and sustainability of water supply and sanitation services should be (made explicit and) brought into the open for the mutual understanding of the parties involved. The long-term benefit of such *Transcultural Transparency* should be more

cost-effective water and sanitation services that are devised and operated in a way that sustainably meets the needs and aspirations of indigenous peoples.

### *Documented Knowledge on Contrasting Rules, Practices and Values in Water and Sanitation*

There are different sets of rules, practices and values – institutions – that apply to any given technology or system. Institutions as such constitute a huge area of research, mainly associated with institutional economics: Douglass North emphasises the rules in defining institutions as “the humanly devised constraints that shape human interaction” (1990). Emphasising the habits and practices, Elinor Ostrom relates to institutions as regularized behaviours that are turned into routines (2005). Combining both aspects Loftsson (forthcoming) stresses the need to also account for the institutional values that underpin and sustain the practices and rules.

While linked to the technology used – as emphasised by socio-technical systems thinking – institutions are all about the human relations. The present review of documented knowledge relates to the human relations or governance systems of water, sanitation and hygiene, primarily in relation to indigenous cultures. The interface to be explored in the present research is that between modern/bureaucratic governance systems and indigenous/ traditional, as experienced by communities, service providers, development cooperation actors and local authorities.

There is a significant body of research and debate around the clashes between Western and Indigenous perspectives on water. However, insights are skewed towards irrigation uses and the governance of water *resources*. There is a knowledge gap regarding water *services* in this regard. Although significant insight into the values that underpin approaches to water service provision has been generated through the so-called privatisation debate, this literature is skewed towards the operation and ownership of larger urban systems and is often politically charged.

There is a notable lack of knowledge about rules, practices and values (i.e. institutions) of different cultures in the area of sanitation and hygiene. With regard to indigenous cultures, public health literature provides insights relating to disease prevalence, but the actual sanitation habits and the systems of thought of these institutions are scantily documented.

### *Water*

Because of the extensive knowledge and long history of living in close relation with the nature indigenous peoples are central in the preservation of biodiversity and ecosystems necessary for maintained sustainable water resources (Peña, 2004). Yet, even if the close relation between indigenous peoples and the water resources has been recognized globally, e.g. the World Water Forums (UNU-IAS TKI, 2011-08-22; Water-Culture Institute, 2011-08-22), substantial gaps in the understanding and documentation of indigenous water management systems still exist (Reij, 2003). Often governments become aware of existing alternative water management systems first when conflicts and protests surface (Boelens & Zwarteveen, 2005).

Independently of geographical research area, studies point to two main issues of conflict between indigenous and government-led water management: 1) differences in values systems and 2) differences in property rights related to water. Most modern property right systems are based on private rights which are established through administrative processes of registration. Traditional water rights are generally collective and determined by cooperation and participation in maintenance of water systems (Adams et al, 1997; Benvenisti, 2008; Boelens & Doornbos, 2001; Jackson & Morrison, 2007; Singh, 2005; Tarwick, 2003).

Whereas many indigenous cultures ascribe spiritual and religious values to water, the Western values dominating water management strategies and laws view water as a resource to be used

for economic development (Boelens & Zwarteveen, 2005; Groenfeldt, 2003; Jackson & Morrison, 2007; Tarwick, 2003). Even if modern water management has opened up and now include concepts such as ecosystem services, values are still measured by economic standards (Groenfeldt, 2003). Traditional and/or indigenous water management systems often do incorporate utility based values (Singh, 2005), but they are also highly influenced by values not connected to economic benefits (Boelens & Zwarteveen, 2005; Garma Indigenous Water Declaration, 2009; Groenfeldt, 2003). Jackson and Morrison (2007) emphasize the integrated view indigenous communities hold of water, where the water management system cannot be separated from other socio-ecological systems.

As indigenous water management systems often have shown to be more responsive to local needs than large-scale government interventions many researchers call for a better understanding of and respect towards these systems (Adams et al, 1997; Benvenisti, 2008; Boelens & Zwarteveen, 2005; Groenfeldt, 2003; Jackson & Morrison, 2007; Tarwick, 2003). And according to IFAD (2009) there has to some extent been a revival of the traditional water management systems, even if much of the traditional knowledge has been lost. Yet, as Adams et al. (1997) showed in their study, the management systems are complex and multilayered, with both formally recognized rules and informal solutions and compromises working at the same time – especially for women informal activities were important to remedy some of the injustices of the system.

The literature on indigenous water management systems generally focuses on traditional irrigation systems, whereas water arrangements for domestic use have been much less explored. There is also the combination of various systems of use where realities on the ground are not aptly captured by research or development programmes. According to van Koppen et al. (2009), development initiatives aimed at water services have historically been segregated by type of use, e.g. domestic, agriculture or fishing, while the use of water in practice integrates many types of uses of water resources.

The values relating to modern water systems have mostly been scrutinized in the so-called water privatization debate. Finger & Allouche (2002) review the trend of increasing involvement of transnational corporations in water supply throughout the world. It responds to the need for new and more sophisticated investment in many existing systems, combined with the neo-liberal wave of thinking among many Western nations from the 1980s. The public-private divide in the water sector has been thoroughly reshuffled along with the stagflation and financial crises of many states since the 1970s (Swyngedouw et al, 2002).

The public-private shift has not only brought new actors onto the scene of water provision, it has also changed the mind-set of many providers: McDonald & Ruiters (2005) have shown, in relation to South Africa, how also public providers act in accordance with commercial imperatives and logics of private businesses. The issue of water charges, which is fundamental for the survival of a business, presents a fundamental clash with many indigenous perspectives (Groenfeldt, 2003).

In their General Comment No 15, the United Nations Committee on Economic, Social and Cultural Rights (2002, para 2) stated that the “human right to water entitles everyone to sufficient, safe, acceptable, physically accessible and affordable water for personal and domestic uses”. An important implication of this interpretation, that water should be affordable, is that it need not be provided for free (Björklund & Sjödin, 2010). Perspectives relating to charges for water services are expected to differ between different groups, depending on their role in the water provisioning process.

Communities and individual households – the rights holders in a human rights perspective – have their legitimate interests and perspectives. Governments are the duty bearers, and face significant constraints even in the so-called progressive achievement of the rights. The duty to

provide services is commonly delegated to local authorities, which are the ones who in practice face the responsibility of organizing services for local communities. Services may be provided through government departments or independent service providers. The United Nations Committee on Economic, Social and Cultural Rights (idem) asserts that States are obliged to pay special attention to those traditionally facing difficulties in exercising their rights, including indigenous people. Moreover, indigenous peoples' access to water resources on their ancestral lands is to be protected from encroachment and unlawful pollution.

With the privatization wave of the 1980s and 1990s, a much wider range of arrangement for public-private partnerships has come into being (World Bank, 2004; UNDP, 2006). Whereas the international water company involvements hit the headlines in the debates, the more common private involvement in water supply relates to informal solutions of water vending and small-scale schemes that are independent from government interventions (Kjellén & McGranahan, 2006). Water vendors often form part of the communities they serve, and their ways of reasoning and methods for sales and marketing tend to be more attuned to community perceptions. Still, they are often blamed for price-hiking, exploitation and poor quality of services (Kjellén, 2006).

### Sanitation, Health and Hygiene

Structural inequalities in access to sanitation systems and health care for minority groups have been documented and recognized (Kabeer, 2010; Ring & Brown, 2002). Yet, considering the severe situation the lack of studies and policies focusing on indigenous populations and sanitation is remarkable, according to Ross et al. (2004).

Generally, indigenous populations have lower access to sanitation facilities and infrastructure, which makes faecal contamination of their living environments more frequent, leading to higher prevalence of gastrointestinal infectious diseases and parasites (Ross et al., 2004). There are also intersecting effects from belonging to a socio-economically marginalized indigenous group and of living in remote areas (Kabeer, 2010; Ross et al., 2004). In Australia it has been concluded that many of the diseases common in indigenous communities are not so much related to the quality of water as to the quantity of water, as lack of access to water strictly restrains the possibilities to maintain home and family clean (Ross et al., 2004).

The importance of *sufficient water* for hygiene and health for low-income people living in dense settlements, contrasts with the demand for *higher quality water* of many better-off population segments. Commercially, it makes greater sense to respond to the *quality* demands of those that are able and willing to pay for such improved services (Kjellén and McGranahan, 1997). However, better health of the population is more effectively achieved, as manifested by the influential meta-studies by Esrey (1994) through interventions that improve sanitation and water together, including the increased quantities for hygienic use of water. Dowset et al. (1999) add close contact, crowding and lack of hot water as factors which increase the spreading of diseases in indigenous communities, pointing to the important nexus also with energy access for adequate hygiene uses of water.

Bartram & Cairncross (2010) confirm the overwhelming evidence on that ill-health associated with poor household-level sanitation and water is borne by the poor and disadvantaged in the developing world. Mara et al (2010) continue on the line that government agencies have typically built sanitation infrastructure, but sanitation professionals are now concentrating on helping people to improve their own sanitation and to change their behaviour. Indeed, sanitation services cannot be rolled out in the same manner that water may be done, in principle. They are even more sensitive to local customs and ideas about health and cleanliness.

Along with the increased attention to the backlog in sanitation, more studies and a range of popular scientific writings (e.g. George, 2008) and historic overviews (e.g. Lofrani & Brown,

2010) have been generated. Notwithstanding, ethnographic research on the local practices and values ascribed to sanitation is still lacking (Morrison, 2011-09-05). And similarly to that of water it is plausible to assume that part of the sanitation backlog and lack of progress towards the sanitation target of MDG7 has been attributed to the clash of perspectives.

### Consequences of Clashing Sanitation and Water Supply Institutions

As the majority of studies on indigenous water management systems have been carried out on irrigation systems it should be pointed out that the effects of the conflicts with central value and rights systems on other types of water uses and management is relatively unknown. Yet, it is plausible to assume some general similarities.

The negative effects documented are related both to the interventions and to the indigenous management systems. According to several authors the close connection between organisation, social relations and technology makes changes in any of these aspects affect the whole water management system. Thus, interventions that do not take cognizance of the rules, practices and values of a system can severely damage or disrupt it, creating a situation where structures previously managing water in an efficient and sustainable way are lost (Adams et al., 1997; Boelens & Zwarteveen, 2005; Tarwick, 2003). To instead foster and strengthen the local traditional systems and values, through for example mapping, have shown to be an effective way to make the use of natural resources much more sustainable and effective (IFAD, 2009).

Lack of understanding of indigenous water management systems can also lead to inability to motivate efficient water use. Tarwick (2003) highlights how the small scale of many indigenous systems make economic incentives inadequate, whereas the traditional system linking efficiency to increased frequency of water access is much more suited.

According to the International Fund for Agricultural Development's paper on gender and water, lack of understanding of existing water management systems can lead to development projects exacerbating gender inequalities (Wahaj, 2007). Adams et al. (1997) agrees and claims that if indigenous management systems are not well understood the informal rules mediating for example gender inequalities might be disturbed leaving vulnerable groups with less possibilities to obtain water.

The lack of accordance between interventions and the multiple uses of the affected populations has led to waste of resources, as efforts are done in parallel instead of jointly, and unsustainably, since equipment is used for purposes for which it was not designed (van Koppen et al., 2009). Socio-culturally inadequate technology also leads to unsustainability in infrastructure investments as the population does not have the technical skills to perform maintenance (Tarwick, 2003).

Further, in the area of sanitation, notions about purity and pollution, along with cleansing habits and cultural or religious traditions will greatly affect the way different sanitation solutions are taken up – or not – in the local setting (Douglas, 2002; Movik & Mehta, 2010).

## II. Project Purpose and Design

The purpose of this research project is to help overcome socio-cultural clashes between communities, service providers, development cooperation actors and local authorities, and the resulting ineffectiveness of the sanitation and water supply systems in selected indigenous areas. This is to be achieved by institutions-mapping of the underlying rules, practices and value systems of different sanitation and water supply arrangement, making the institutions explicit and transparently documented.

The underlying assumption, as detailed in the preceding section, is that the different worldviews and values that underpin water supply and sanitation rules and practices among different parts of the population and different spheres of a society give rise to inefficient services and ineffective investments in indigenous areas. This partly explains the inequitable distribution and access to water supply and sanitation services. It is also assumed that the mutual understanding of the different institutions would contribute one step forward towards the overcoming of differences, inequalities and inefficiencies in service provision.

### *Objectives*

Research objectives:

1. Map changing institutions: describe the present status and recent evolution of rules, practices and values relating to sanitation and water supply
2. Explore the transcultural interface: assess contradictions and complementarities of sanitation and water-related institutions of different groups relating to same geographic area
3. Suggest ways forward: find potential service options, management methods and behavioural changes that serve both traditional/indigenous needs and aspirations and requirements of modern/bureaucratic service provision

### *Methodology*

The project design contains three research objectives to be pursued one after the other. The core research, however, will be preceded by a preparatory inception phase, and accompanied by a networking and dissemination track, which continues even after the present project has technically ended.

**Inception:** Literature and project reviews, scoping of field area.

The research will be initiated with a review of available literature on rules, practices and values relating to sanitation and water and particularly to what extent they have been included in studies relating to indigenous areas. (From the literature, scholars to be invited to serve on the advisory panel – see below – should be found.)

In parallel, a scoping exercise will be initiated to get an overview of primarily UN-supported programmes related to indigenous areas and the extent to which they address issues of sanitation and water supply. (From the production of this catalogue of projects, further persons to be invited to serve on the advisory panel may be found.)

In close consultation with the MDG-F, its secretariat and the JPs supported by the Fund primarily in the area of Democratic Economic Governance – Water Supply and Sanitation, suitable locations for field research and local partners for the implementation of field research are to be identified.

The first task envisaged in the agreement with the local collaborator is to scope the context and issues related to sanitation and water in the selected area. The scoping exercise will provide information about the local situation, previous research and on-going projects. It will serve primarily as a reference for further in-depth studies/reports, and help define (or modify) the four groups to take part in interviews & video documentation, focus group discussions (FGDs) and eventually facilitated meetings.

The reviews suggested above are viewed as inception work as they provide a point of departure for the ensuing field studies. Whereas their use should be primarily internal, they may also be made available to a wider audience, see products and dissemination strategy below.

**Research objective 1:** Map changing institutions: Describe the present status and recent evolution of rules, practices and values relating to sanitation and water supply.

The rules, practices and values around water, sanitation and hygiene at the individual and community levels will be mapped, explored and juxtaposed among four groups of people in provisionally two selected research locations. Those sites should be areas with mainly indigenous populations or ethnic minorities, with generally poor access to water supply and sanitation services.

The four groups are

- communities (individuals, households and leaders)
- service providers (small informal or larger formal actual service producers)
- development cooperation actors (international development agencies and/or NGOs)
- local authorities (or entity officially responsible for water and sanitation provisioning)

The different institutions of the four groups are initially to be mapped through semi-structured, video-taped interviews with key informants and individuals from the four groups. The water and sanitation institutions are to be mapped, based on the expressed rules, stated practices and values. At least five interviews in each group should capture majority views and some contrasting opinions. Purposeful sampling will gather two to three more influential persons in each group, and two or three persons representing basically themselves.

Interviews may be carried out by university students under the supervision of a more experienced field researcher. It is important that the partner institutions, to be in charge of the field work, have pre-established links with the research location, and are able to establish trust and mutual respect in the respective groups.

The use of video cameras will enable mapping of institutions and worldviews that are constantly evolving, even if they are described in languages without written language. Certain practices, which may be in breach of official rules, may be difficult to capture in a recorded interview. However, video documents may also be produced on (de-personalised) traces of practices. Nonetheless, where sensitivities so demand, recording will stop. As appropriate, as much self-documentation as possible will be facilitated, i.e. the interviewees themselves manage the recording. The video notes will also serve to document evolving beliefs and stated practices of institutions, in a way that is accessible to all stakeholders.

The results of the institutions-mapping will feed into the next step in the research process. Summary reports from the institutions-mapping, along with clips from the interviews, will be used as input material for FGDs within the same groups. The summaries will also provide the basis for a research report, which in turn should provide the basis for a journal article to submit to an international journal.

**Research objective 2:** Explore the transcultural interface: Assess contradictions and complementarities of sanitation and water-related institutions of different groups relating to the same geographic area.

The second stage of the research will involve focus group discussions drawing on people from the same four groups that have been interviewed. Most participants may in fact have been involved in the previous stage. The exploration of the 'transcultural interface' is to involve discussions of commonalities and contrasts between the rules, practices and values of the own and the other groups, including ideas for overcoming the differences. As mentioned, summary reports from the institutions-mapping, along with clips from the interviews, will provide inputs for such discussions.

This way, researchers will discuss all findings with each of the four groups, which will provide their own perspective and conclusions, and thus co-produce the conclusions regarding the 'transcultural interface' of the different institutions relating to sanitation and water supply in the selected geographic area. The findings will be written up into popular scientific reports – containing numerous photos and graphics – documenting the differences and similarities as analysed by the four groups.

The popular scientific reports will be produced in local and national languages as a way to feed back the conclusions in an accessible way for those involved. The reports will be an important point of departure for the next step in the research process.

**Research objective 3:** Suggest ways forward: Analyse valuable experiences, find potential service options, management methods and behavioural changes that serve both traditional/indigenous needs and aspirations and requirements of modern/bureaucratic service provision.

Researchers will continue to work with the four groups, in a more action-oriented manner. In order to find potential ways forward that overcome differences between the values, practices and rules of the four groups, meetings will be facilitated between them.

In preparation, each group will also meet among themselves and discuss questions like:

For communities:

- What types of services actually meet our needs and aspirations?
- How can we act in order to have such services sustainably provided?
- How can service providers and/or development cooperation actors adapt their ways of managing services to more sustainably meet our needs and capabilities?
- In what ways can local authorities and/or development cooperation actors support these endeavours?

For service providers:

- What type of services are needed, aspired for and demanded in the present area?
- How can we better respond to the local needs, aspirations and demands?
- In what ways can local authorities and/or development cooperation actors support these endeavours?

For development cooperation actors:

- What type of services are needed, aspired for and demanded in the present area?
- How do we act to understand and adapt our activities to the needs, aspirations and demands of the communities?
- In what way could the collaboration with local authorities and service providers be improved to make our activities more effective and sustainable?

For local authorities:

- How do formal or informal service providers and/or development cooperation actors respond to the needs, aspirations and demands from communities?
- How can we help make services better targeted and more sustainable?
- In what way can local authorities most effectively live up to their (delegated) responsibility towards communities, either directly or through independent service providers and/or development cooperation actors?

An issue which is connected not only to the institutional contexts and the socioeconomic conditions of many indigenous areas is the (uneasy) relation between costs for infrastructure investments and the right to water. How to handle this complex issue should be discussed in all four groups, since it is fundamental for the equity and sustainability of water service provision.

Discussions will be guided around questions like

- What does the human right to water and sanitation imply, in theory and practice?
- How can access to public services become more equal?
- How can quality / sustainability of sanitation and water services be improved?

Two or three meetings between the four groups are to be facilitated by the researchers. The actual suggestions for ways forward will need to be picked up through different forums: An expected outcome of the research is for support networks and lines of communications to have been established. It is hoped that the contacts established will serve as avenues for acting on the (agreed) findings of the (action) research.

A journal article will also be submitted to an international journal, responding to findings of initial literature review of lessons learned, suggesting service options, management methods and behavioural changes that serve traditional or indigenous needs and aspirations as well as the requirements of modern or bureaucratic service provision.

**Networking and Dissemination:** Continuous sharing of findings, dissemination of reports and products.

The research project will through its networking endeavours synthesise suggestions and feed back to programme implementation primarily of the DEG JPs, but also of selected UNICEF, UN-Habitat and UNDP financed programmes (as identified in initial review of on-going programmes).

To a great extent, this networking will be part of the regular contacts with the project's advisory panel and steering committee. Advisory panel meetings are envisaged as webinars, where findings, progress and obstacles from the research process are presented orally as well as through written material, are presented for the discussion, feed-back and advice from the panel.

WGF and local researchers will also participate in conferences and meetings in order to share findings and receive feedback, as appropriate. The project will also arrange seminars, two of them identified, where the Stockholm International Water Institute (SIWI) acts as a hub towards international work or international audiences directly. The Swedish Water House (SWH) will provide the forum for one mid-term seminar of the project, and a larger final seminar will be held during the Stockholm World Water Week.

A website will be set up for the project, through which written material and selected videos will be accessible. The more detailed dissemination strategy related to the different research products is outlined in the dedicated section below.

### Field Research Methods

In the project several different methods will be used, but with the commonality of a strong focus on participation. To make the people in the communities and the other groups become involved and co-steer the documentation and problem-solving will be a central aspect of the research process.

The mapping of rules, practices and values related to water and sanitation of the different groups will not only make the institutions more visible and transparent – the institutions-mapping will also serve to make otherwise often neglected indigenous/traditional institutions explicit and recognised as valid and existing references in the water management dialogues, both to the communities themselves and to other actors. Experiences from Peru have shown that the mapping of activities and practices do not only hold great acceptance among the Andean farmers, but it has also strengthened the pride and appreciation of the own systems in the indigenous communities (IFAD, 2009).

Related to its methodology, this project has two innovative aspects: 1) the mapping of institutions (practices, rules and values) rather than focusing solely on practices, and 2) to view

all four groups as social groups with their own, although related, institutions, as a way to bridge perceptions of 'them and us'.

As mentioned, a range of field research methods will be employed. Each of which will contribute to various research products, as specified also further below. The research process will include a scoping exercise, data collection and analysis, writing and dissemination:

1. Scoping. Field research will be initiated with a scoping report. It is meant to be produced by the local research partner, and to outline the context of the more general socio-economic conditions, and broadly define the issues relating to sanitation and water in the selected research area. It should gather official documents and previously published research in relation to the locality in question. The report should serve as a baseline and reference for the ensuing research, and though it may be web-published, its primary audience is the group of researchers involved or interested in the present project.
2. Video notes will form the base of the institutions-mapping and involve self-documentation of semi-structured interviews, using e.g. video-cameras, where people themselves (typically younger members of the community) document important rules, practices and values related to the management of water and sanitation. Thus, being both creators/subjects and objects in the research process.

The method will be used as a way for community members to present their own view on their management systems as well as to express themselves regarding the need for adapting services, or how the local practices can be modified to accommodate more sustainable ways of service provision. Video notes will be collected from all four groups to provide their varying perspectives and inputs. Here for example Creswell (2007) and Kvale and Brinkmann (2009) will provide inspiration for how to use and facilitate semi-structured interviews and video notes.

Video clips from interviews will, apart from constituting inputs to the ensuing research process, also be a basis for producing a short video from the institutions-mapping. It should be made available to participants in the research process, and also via internet.

3. Participant observation will complement the video interviews and focus groups to provide more *en vivo* information about the practices, rules and values of the different institutions (Creswell, 2007; Mack et al., 2005). Together with the information from the two previously mentioned methods the participant observations can be further analyzed and edited to produce policy relevant messages to be presented within communities as well as to national authorities.
4. Focus groups will be used to further explore the findings which have surfaced during the video-taped interviews. In the focus groups the participants will discuss both the perspectives of their own group as well as the perspectives present in the other three groups. (Summary reports from the institutions-mapping, along with observation notes and clips from the interviews, will be used as input material for FGDs within the same groups.) Focus groups allow the researchers to investigate attitudes in a freer and more natural setting, which encourage dialogue and interaction among participants (Barbour & Kitzinger, 1999; Creswell, 2007; Marshall & Rossman, 1999) and are therefore more suitable for problem-solving exercises.
5. Facilitated meetings will provide a forum for service provision authorities, service providers, development cooperation actors and communities in the local area to meet and discuss water and sanitation management. Together the parties can define possible solutions and alternatives for joint efforts.

## Analysis and Quality Control

The analysis of the information about rules, practices and values – and related issues – will to a great extent be carried out with the four groups involved (as 'objects' and 'subjects') in the research. That is, the discussions will relate to the meaning of what has been stated by the people in the 'own' group as well as in the others. Moreover, the joint discussions with the groups together, will be the primary basis for drawing conclusions about the way forward.

An important part of the analysis relates to the selection of quotes and thematic threads to pursue. Such selection will be involved in producing the material to feed back to groups for further discussion as well as in the selection of materials on which to build conclusions and evidence. The purpose – overcoming socio-cultural barriers and to improve equity and efficiency of services – will guide the thematic pursuits which moreover should be meticulously documented in order to be able to transparently trace the research process.

Overarching concerns to be integrated in all the work relate to the cross-cutting issues of 1) water access as a human right and 2) inequality issues, and how the two concerns relate to one another. An additional goal will be to link up with the MDG-F JPs in a way so that concerns of those programs can be related to in the context of the present research.

Further, partial write-ups will be produced at various stages. These should provide a synthetic view of the institutions relating to the different groups and aim to explain the reasons for the actual situation with regard to sanitation and water service provision and use in the specific area. Moreover, specific consideration will be given to issues of human rights (to water and sanitation), equality (or intersecting inequalities), and sustainability of solutions.

In relation to quality, issues of rigor and reliability as well as reflection on the position of the researcher must be made explicit and considered at all stages of the research. Recapitulating the words of Baxter and Eyles (1997) "questioning how things are done - an essential component of self-reflection - allows qualitative research to demonstrate the relevance of the single case (credibility) and to move beyond it (transferability) with a degree of certainty (dependability and confirmability)." In line with this, specific attention will be paid to the credibility and authenticity of the representations through the triangulation of interviewing / documentation / observation methods and 'peer debriefing'.

Thus, as a way to reduce the risks of misinterpretation of meanings, research material are to be shared openly and, in particular, findings are both co-produced and fed back to communities and the groups in focus of the research. The popular scientific summaries are a prime example of this type of quality control.

Research, review and scoping reports will also be subject to a loose form of peer review, by way of circulating draft reports to the advisory panel of the project and potentially others interested or particularly knowledgeable on the topic. Comments, suggestions and critique will be seriously addressed and acknowledged. Similar discussions may be maintained around manuscripts being developed for journal publication.

In sum, the production and sharing of written material will serve both to document the process and the findings, as well as an internal verification and reflection on the findings. Summary and popular scientific reports will be produced and brought back to the four groups to be further discussed there. All materials will be shared with the steering committee and advisory panel, whose reactions and feedback provide an important part of quality assurance. Synthetic articles of the institutions-mapping and of the whole project serve to check the academic quality through peer review and will, given publication, provide the most sustainable form of documentation and make experiences available to other actors far beyond the contact net of the project.

### III. Results Framework

#### Project title:

Towards Trans-cultural Transparency: Exploring the Interface between Modern and Traditional Institutions in Water Supply and Sanitation

#### Project Purpose:

To help overcome socio-cultural clashes between communities, service providers, development cooperation actors and local authorities, and the resulting ineffectiveness of the sanitation and water supply systems in selected indigenous areas by institutions-mapping of the underlying rules, practices and value systems of different sanitation and water supply arrangement, making the institutions explicit and transparently documented.

#### Partnership Strategy:

WGF works with local research partner institutions in provisionally two selected areas, in a context of further international networking with universities and implementation programmes focussing on trans-cultural issues in water supply and sanitation.

Research Objectives / Project Phase	Indicative Activities	Tangible Outputs (being <i>work material</i> and/or <b>outputs</b> for dissemination)	Implementing Parties
<u>Inception</u>	<ul style="list-style-type: none"> <li>Literature review</li> <li>Review of on-going projects</li> </ul>	<ul style="list-style-type: none"> <li><b>Reports</b> of reviews</li> </ul>	WGF
	<ul style="list-style-type: none"> <li>Scoping study</li> </ul>	<ul style="list-style-type: none"> <li><b>Scoping reports</b></li> </ul>	Local Partner
(1) <u>Map changing institutions</u> : describe the present status and recent evolution of rules, practices and values relating to sanitation and water supply	<ul style="list-style-type: none"> <li>Interviews with key informants and individuals from communities, service providers, development cooperation actors and local authorities</li> </ul>	<ul style="list-style-type: none"> <li><i>Video-taped notes</i></li> <li><i>Brief reports (summary transcriptions)</i></li> </ul>	Local Partner supported by WGF
	<ul style="list-style-type: none"> <li>Mapping of rules, practices and values</li> </ul>	<ul style="list-style-type: none"> <li><b>Research Report</b> and Article submitted to journal</li> </ul>	WGF & Local Partner
(2) <u>Explore the transcultural interface</u> : assess contradictions and complementarities of sanitation and water-related institutions of different groups relating to the same geographic area	<ul style="list-style-type: none"> <li>Focus group discussions among service providers, communities, development cooperation actors and local authority representatives – contrasting rules, practices and value systems</li> </ul>	<ul style="list-style-type: none"> <li><i>FGD video notes and summary transcriptions</i></li> </ul>	Local Partner supported by WGF
	<ul style="list-style-type: none"> <li>Further analysis of contrasts and complementarities</li> </ul>	<ul style="list-style-type: none"> <li><i>Draft research write-up</i>, as input for:</li> </ul>	Local Partner
	<ul style="list-style-type: none"> <li>Co-production of popular scientific material</li> </ul>	<ul style="list-style-type: none"> <li>Manuscript with photos</li> </ul>	Local Partner, WGF & groups/interviewees
	<ul style="list-style-type: none"> <li>Translation of popular scientific material into</li> </ul>	<ul style="list-style-type: none"> <li><b>Translated reports</b></li> </ul>	Local Partner

Research Objectives / Project Phase	Indicative Activities	Tangible Outputs (being <i>work material</i> and/or <b>outputs</b> for dissemination)	Implementing Parties
	local and/or national languages		
	<ul style="list-style-type: none"> <li>Dissemination of co-produced report to local audiences</li> </ul>	<ul style="list-style-type: none"> <li><b>Printed reports</b></li> </ul>	Local Partner
(3) <u>Suggest ways forward</u> : analyse valuable experiences, find potential service options, management methods and behavioural changes that serve both traditional/indigenous needs and aspirations and requirements of modern/bureaucratic service provision	<ul style="list-style-type: none"> <li>Facilitated (separate and joint) meetings between groups</li> </ul>	<ul style="list-style-type: none"> <li><i>Records from meetings</i></li> </ul>	Local Partner supported by WGF
	<ul style="list-style-type: none"> <li>Analysis and comparison with reviews of literature and on-going projects and processes</li> </ul>	<ul style="list-style-type: none"> <li><i>Draft findings</i> as shared and discussed in networks of researchers or development projects</li> </ul>	WGF & Local Partner
	<ul style="list-style-type: none"> <li>Collecting &amp; complementing video material</li> </ul>	<ul style="list-style-type: none"> <li>Short synthesis <b>video</b></li> </ul>	WGF & Local Partner
	<ul style="list-style-type: none"> <li>Review of means for overcoming socio-cultural differences in water and sanitation service provision</li> </ul>	<ul style="list-style-type: none"> <li><b>Research Report</b> and <b>Article</b> submitted to journal</li> </ul>	WGF & Local Partner
Networking and Dissemination	<ul style="list-style-type: none"> <li>Networking with advisory panel and other interested parties</li> </ul>	<ul style="list-style-type: none"> <li>Webinars</li> </ul>	WGF & Local Partner WGF
	<ul style="list-style-type: none"> <li>Presenting progress, findings and final products over internet</li> </ul>	<ul style="list-style-type: none"> <li>Dedicated <b>project website</b> under watergovernance.org</li> </ul>	
	<ul style="list-style-type: none"> <li>Presenting progress, findings and final products over internet</li> <li>Presentation of results at local/national/regional event(s) or forums, as appropriate</li> </ul>	<ul style="list-style-type: none"> <li><b>Presentation / report / proceedings</b></li> </ul>	Local Partner & WGF
	<ul style="list-style-type: none"> <li>Presentation of results at international event(s) or forums, as appropriate</li> </ul>	<ul style="list-style-type: none"> <li><b>Presentation / report / proceedings</b></li> </ul>	WGF & Local Partner
	<ul style="list-style-type: none"> <li>Arrange seminars for discussion and dissemination of findings for large audiences of practitioners</li> </ul>	<ul style="list-style-type: none"> <li><b>SWH</b> and <b>WWW seminars</b></li> </ul>	WGF

Note: several products relating to the actual field research will be one per research site.

## IV. Research Products and Dissemination Plan

Dissemination will be an integral part of the proposed research, with sharing or dissemination activities accompanying basically each research product. First, the list of research products to be produced by the present project is reiterated here:

<b>List of Research Products (in chronological order – starting date)</b>			
<b>Product</b>	<b>Description</b>	<b>Language</b>	<b>Target timing (end)</b>
<b>Literature Review</b>	Review of available, mostly published, literature on rules, practices and values relating to sanitation and water and particularly to what extent they have been included in studies relating to indigenous areas	Report in English	3 <sup>rd</sup> quarter
<b>Review of on-going project</b>	Scoping of primarily UN-supported programmes related to indigenous areas and the extent to which they address issues of sanitation and water supply	Report in English	3 <sup>rd</sup> quarter
<b>Scoping report(s) – one per field location</b>	Initial scoping of the local situation in the field research area. Should cover previous research and on-going projects, and, in particular, describe the local political, economic and socio-cultural context and pertinent issues relating to the sanitation and water situation.	National language, provisionally Spanish	2 <sup>nd</sup> quarter & 3 <sup>rd</sup> quarter
<b>Research Report(s) from institutions-mapping</b>	Analytic reports from first tranche of field-work, reporting on outcomes and findings from video notes / interviews / observation (summary notes produced for all four groups), drawing heavily on scoping reports and literature review	National language, provisionally Spanish	3 <sup>rd</sup> quarter & 4 <sup>th</sup> quarter
<b>Article submitted</b>	Drawing on (selected feature of) research report(s), manuscript submitted to peer reviewed journal	English or Spanish	4 <sup>th</sup> quarter
<b>Popular Scientific Report(s)</b>	Summary findings from the exploration of the trans-cultural interface – comparing and contrasting the institutions-mapping results with four groups. Same report for all four groups, but in different languages.	National and local language (vernacular of field site)	4 <sup>th</sup> quarter & 5 <sup>th</sup> quarter
<b>Short video(s)</b>	Utilising and complementing the research material (self-documentation, filmed interviews), a short film that summarises research in accessible way to be produced	As recorded (local and national, with sub-titles in other languages)	6 <sup>th</sup> quarter
<b>Research Report on 'overcoming socio-cultural barriers'</b>	Report and analysis drawing on meeting records and suggested ways forward, also summarising whole process from institutions-mapping to final outcome of research and process	Spanish or English	6 <sup>th</sup> quarter
<b>Article submitted</b>	Drawing on research report, forward-looking manuscript submitted to peer reviewed journal	English or Spanish	6 <sup>th</sup> quarter

The products described above are the most tangible products. There will also be a wealth of field material generated in the form of video material, interview transcriptions, observation records and notes from FGD and facilitated meetings. Such material is also taken into account in the dissemination plan below, which includes feed-back to communities in research area and less tangible oral presentations.

The dissemination strategy directs itself to sanitation and water sector practitioners and researchers worldwide, but also locally to the communities, service providers, development cooperation actors and local authorities that are the objects – and subjects – of the research. Thus, dissemination (locally) will to some extent form part of the research process.

#### **Sharing and feeding back of field material and summary reports**

Field materials, e.g. video clips, interview transcriptions, observation records and notes from FGD and facilitated meetings, as well as summary reports of these, will – as part of the research process – be fed back to communities or groups taking part in study.

There are several reasons for sharing; 1) as a way of validation of the selection and interpretation of materials/clips, 2) as input into further discussions forming part of the ensuing research process, and 3) as memorabilia of the process in which they formed part. Modalities for sharing clips and texts will be worked out in iteration between field researchers and group participants.

There will also be an openness with field material, examples of which may be shared in reporting to advisory panel, steering committee and others interested.

Files are to be maintained on a server or 'dropbox' function for file sharing directly accessible by the researchers involved in the project. On a selective basis, certain material deemed to be of general interest may also be posted on the web-site without processing.

#### **Popular Scientific Material – Translated Reports and Video**

Popular scientific reports in simple (though attractive) format with many pictures will be printed in appropriate languages, envisaged as national language and local vernacular. Again, dissemination also forms part of the research process, as discussed in box above, and modalities for distribution will be discussed between field researchers and research participants.

The printed reports should also have some limited distribution outside of project area, e.g. in the country and shared with similar projects or initiatives. However, by way of web-publishing of pdf-versions, the reports will be available for all interested.

The short final video film may, depending on internet connections, be distributed on CD to certain groups.

#### **Dedicated website for 'Towards Trans-cultural Transparency' Project**

A website will be set up for the project. It should informatively display the intentions, structure and progress of the project, and make all finalised products as well as selected written materials and videos accessible for a wide audience.

The site will be maintained by the project management team at WGF, with assistance from SIWI Communications department. The core information is envisaged to be in both English and Spanish, with products displayed in their language of production.

#### **Circulation of intermediate products: Review, Scoping and Research reports**

The literature and projects review, scoping reports from field locations and the research reports that synthesise the research at mid- and final stages will in draft form be shared with

the advisory panel for review and comments. Suggestions/critique will be thoroughly addressed. Some reports may also be presented and discussed at webinars as envisaged for advisory panel meetings.

Finalised reports will be given an attractive albeit simple edit and be web-published in their language of production. No centralised print is envisaged, but colouring and lay-out will ensure easy print of pdf-files for those interested.

While reports will not be distributed as such, the links for downloading will be widely publicised through available channels, including newsletters by WGF/SIWI and similar organisations.

### **Journal Publication**

Manuscripts will be developed by drawing on selected themes from the longer research reports and connecting these to international debates and literature. The manuscripts will be submitted to international peer reviewed journals (to be identified at a later stage). Preference will be given to open source journals in order to enhance accessibility of published articles. Links to any articles published will be contained on project web-site.

Articles are envisaged on 'institutions-mapping' (one per site) and the 'overcoming of socio-cultural barriers' presenting the final conclusions of the whole project.

Local partners, i.e. local universities leading the field research, will also be encouraged to present findings and results at national and regional forums. This could also lead to joint publications in local or regional journals, as led by local partners.

### **Seminars and Conference Participation**

Further international, regional and local dissemination will occur orally via conferences and meetings. The forums presented by SIWI, particularly the Stockholm World Water Week, is one of few global events that gather practitioners, policy makers and scientists around water issues. Also, SWH seminars under the same roof will be used to present and discuss results mainly with water-related audiences and NGOs working with similar socio-cultural challenges.

The project envisages:

- local / national / regional conferences to be attended mainly by local field research partners. To be defined later (ad hoc).
- SWH seminar with NGOs and water practitioners (in Stockholm)
- Side event or Seminar at Stockholm World Water Week – bringing local partners also to help present final outcomes of research project.

Apart from being open to a huge audience, the Stockholm WWW also maintains records, reports and presentations from events on their dedicated website for two years after the event.

Results, findings and challenges will also be shared very informally, through email discussions and the circulation of draft reports through a network of persons and organisations working on similar issues. In particular the DEG JPs and the selected UNICEF, UN-Habitat and UNDP-supported programmes (covered in review of on-going programmes) that show interest in keeping in touch with the project will be regularly updated on progress and findings. These write-ups will also constitute the information regularly sent to the project's advisory panel, see below.

In all products shared, disseminated or published, the support of the MDG-F will be duly acknowledged. With the fund also being an active partner in the implementation of the project, the MDG-F secretariat will be involved (principally through representation on steering

committee and advisory panel) in the review and dissemination of research products and findings.

## V. Work Plan and Resources

This research project is an endeavour of eighteen months. The preceding sections have outlined the objectives, methodology and activities, including details of the research products and their dissemination. The present section outlines the overall plan for getting the work done, first an indicative time table followed by some explanation of the tasks involved.

Indicative Time Table – 18 months					
Q1	Q2	Q3	Q4	Q5	Q6
<b>Inception</b>					
<b>Reviews</b>					
<b>Field Research 1: scoping, interviews, focus groups, facilitated meetings</b>					
<b>Field Research 2: scoping, interviews, focus groups, facilitated meetings</b>					
<b>Report writing...</b>	<b>'Mapping'</b>	<b>... ..</b>	<b>Pop. rep</b>	<b>... ..</b>	<b>Video &amp; 'way forward'</b>
<b>Dissemination: local feed-back / international meetings / journals</b>					
<b>Seminars... to be determined ...</b>					<b>WWW<sup>1</sup></b>
<b>Networking: maintain links with related research and development programmes (advisory panel and beyond)</b>					
<b>Legend: Q= quarter of year</b>					

Each phase contains several tasks (many of which have been outlined also above):

### Inception

- Formation of steering committee and advisory panel
- Exploration of university relations and potential field study sites through on-going DEG-KM *Effective intercultural approaches* work (WGF, with JPs)
- Visits to potential sites and potential partners (WGF)
- Negotiation and contracting of partners (WGF & Local Partner university)

Reviews of existing knowledge and challenges (mainly WGF, with network) – also part of 'inception'

- Literature review to establish knowledge and lessons learnt on indigenous as well as modern/ bureaucratic institutions relevant for selected areas
- Review of on-going programmes for further insight into main challenges faced by (primarily DEG JPs and selected UNICEF, UN-Habitat and UNDP) programmes targeting sanitation and water for in indigenous areas, as well as why and how some development actors have been successful or not in their activities

Field research – location 1 & location 2 (main actor: Local Partner university)

- Scoping report (Local Researcher)
- Establishment of detailed research protocol (WGF & Local Lead Researcher)
- Institutions-mapping through video (self-)documentation & interviews on institutional change
- Iterative analysis with community/service providers/development cooperation actors/local authorities & co-production and dissemination of popular scientific report in relevant languages
- Facilitated meetings for finding "way forward"

<sup>1</sup> Stockholm World Water Week takes place in August each year. The main presentation of results at this forum will hence take place just after the present research has technically ended.

### Writing up of results (WGF and Local Partner university)

This will be a near-continuous activity, as indicated by the range of research outputs in the preceding section. Important reports included in indicative time plan are

- Research report and article on institutions-mapping – one per research site
- Popular Scientific Report – one report – in different languages – per research site
- Video account of project, research report on overcoming socio-cultural differences, and forward-looking article

### Dissemination and Networking (WGF, Local Partner university, MDG-F Secretariat)

- Dissemination starts as soon as there are any findings to report, and includes local participants as well as reports made through presentations (or presence) at regional or international conferences. Beyond reports published (as detailed in dissemination plan) potentially published article should remain accessible long after project and eventually its dedicated website have ceased to exist.
- The major final reporting of the project will be through a seminar/side event at the World Water Week in August 2013 (after all activities are finalised in June 2013).
- The main work content of the networking involves frequent reporting and making good use of the advisory panel.

### *Staffing*

To manage the contacts, guide and contribute to fieldwork, analysis and writing, a project manager is to dedicate, on average, 25% of full-time during the full project period. A research assistant is to work 50% of full-time with more hands-on work with reviews, fieldwork assistance, analysis and writing. Both posts are based at WGF.

During the fieldwork periods, the local collaborators are to dedicate a part-time field researcher and assistants to the actual data production and feedback with communities and selected groups. Field researchers are to work jointly with WGF staff with the analysis and production of research products. The management and related governance structure for the project are explained further below.

Several persons will also be requested to give their time to the project, i.e. the members of the Steering Committee and the Advisory Panel. This time is expected to be provided pro-bono. Thus, while all necessary expenses for their participation will be refunded by the project, the time dedicated to reviews and meetings will not.

### *Budget*

The total budget requirements for the planned 18 months research project are USD 320,000. The resources will be used for project management and research assistance as well as field researchers, as explained above. Further, allocations are made to cover requisite logistics for local and international travel, field research and dissemination and networking activities.

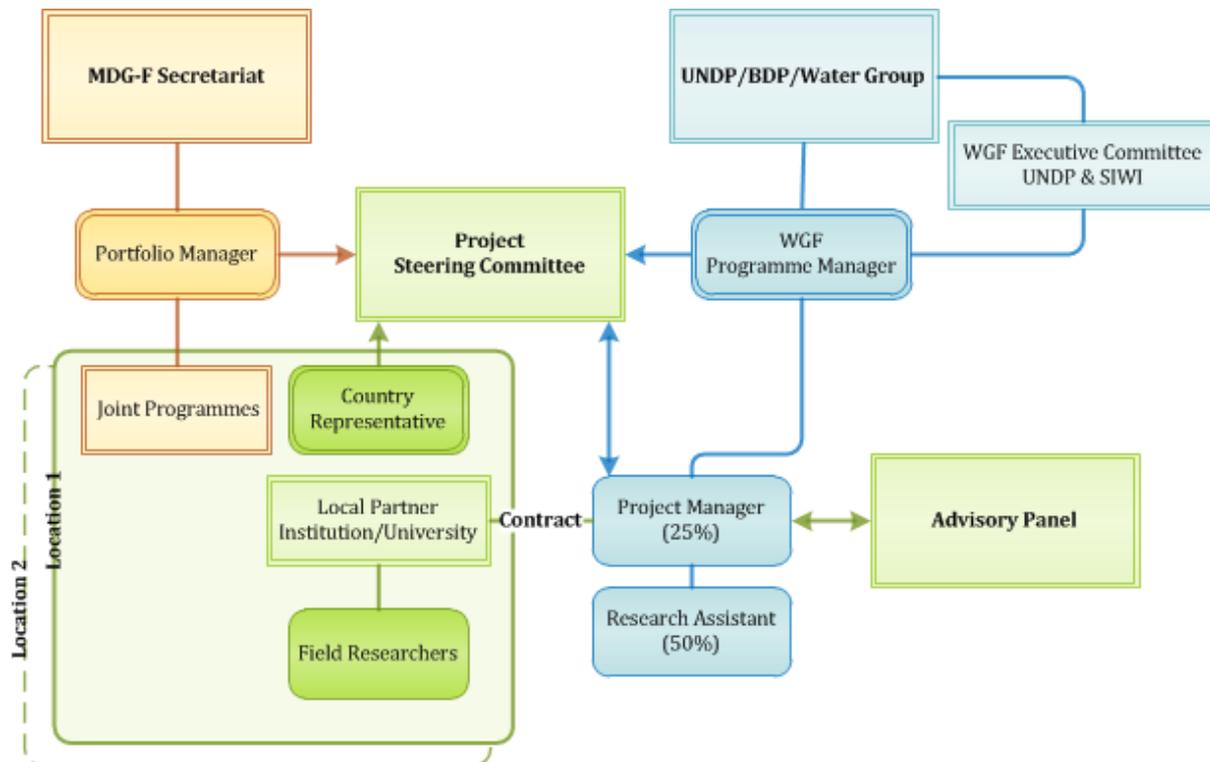
Because of the importance of the World Water Week in the water and sanitation scientific community, but the relatively high cost of participating, the initially proposed budget of USD 300,000 has been exceeded by USD 20,000 to cover this specific dissemination opportunity.

Programme Budget (all amounts in US Dollars)							All quarters (1,5 years)
Budget item/quarter:	Q1	Q2	Q3	Q4	Q5	Q6	
<b>Researchers SIWI</b>							
Programme Manager - 25%	9,900	9,900	9,900	9,900	9,900	9,900	<b>59,400</b>
Research Assistant - 50%	10,100	10,100	10,100	10,100	10,100	10,100	<b>60,600</b>
<b>Local Partner Institutions</b>							
- field researchers, students (time & administration)	1,500	12,000	18,000	18,000	18,000	12,000	<b>79,500</b>
Logistics, local travel	1,000	2,000	5,000	5,000	3,000	2,000	<b>18,000</b>
International travel (exploration, research, dissemination and presentation)	6,200	5,900	5,900	5,800	5,800	5,800	<b>35,400</b>
Dissemination (translation, printing, copying, distribution)			2,500	6,700	3,000	5,000	<b>17,200</b>
Stockholm WWW seminar with partner participation						18,800	<b>18,800</b>
Communications, sharing, networking, website	900	900	900	900	900	900	<b>5,400</b>
Materials (equipment & software)	1,000	1,500	2,000	2,000	500	587	<b>7,587</b>
Administration, SIWI (6%)	1,836	2,538	3,258	3,504	3,072	3,905	<b>18,113</b>
<b>Totals by quarter/ grand total:</b>	<b>32,436</b>	<b>44,838</b>	<b>57,558</b>	<b>61,904</b>	<b>54,272</b>	<b>68,992</b>	<b>320,000</b>

## VI. Governance of the Research Project

The proposed project will be implemented by the UNDP Water Governance Facility at SIWI (WGF), which forms part of UNDP's Water and Oceans Governance Programme and is based within the Stockholm International Water Institute (SIWI). WGF provides strategic technical and policy support to governments for improved water governance to advance water resources and water services in relation to the MDGs and works to enhance the water governance knowledge base. WGF is the focalpoint for MDG-F's Democratic and Economic Governance Knowledge Management strategy (DEG-KM).

The project implementation will be governed by a project steering committee and the research process will be guided by an advisory panel. Fieldwork activities will be carried by a local partner institution. The links are illustrated in the organization chart, and the roles and arrangements are explained further below.



**MDG-F Secretariat and portfolio manager:**

The secretariat manages the financing of the present project. Through the relevant portfolio manager (or designated representative) it forms part of the steering committee. Apart from the formal governance through the steering committee, the secretariat will have full access to project information and be seen as an active partner in the review and dissemination of products as well as the networking contacts with the Joint Programmes.

**UNDP/BDP/Water Governance Group:**

Provides funding to WGF; approves annual work programme and progress reports from WGF and provides overall guidance to WGF.

**WGF Executive Committee:**

Committee consists of UNDP Senior Water Advisor based in Stockholm and the Director of SIWI. It approves new activities that are not part of annual work programme; approves procurements and budget re-allocations. SIWI hosts and executes WGF, and thus carries overall responsibility for WGF implementation; signs agreements and contracts related to WGF; hires staff; along with general oversight and quality assurance.

**WGF Programme Manager:**

Responsible for WGF implementation according to work plans; prepares annual work programmes and reports; ensures quality control; negotiates contracts and agreements; assures monitoring and coordination of WGF activities; assures follow-up and monitoring of agreements and contracts; and, delegates work to and supervises WGF staff and consultants as appropriate. Forms part of project steering committee.

**Steering Committee**

The project will be governed by a lean and flexible Steering Committee, convening (in person or via electronic means) at least every six months. The main task of this Committee will be to approve work plans and budget as well as the choice of field work location and local partner.

The steering committee will be formed as early as possible at the onset of project operations. At the start, the committee will have two members, the MDG-F portfolio manager and WGF programme manager. One of the first tasks of the committee will be to make decisions on

suitable location(s) for field research. As soon as field study area(s) has/have been selected, the committee should be expanded to integrate also member(s) to represent the selected country(ies). Thus, the steering committee is envisaged to eventually include three to four persons.

The steering committee will focus mainly on operational strategic choices to be made in the project execution. This work will be complemented by the advisory panel, which is to provide guidance on research methodology, interpretation and conclusions.

### *Advisory Panel*

An advisory panel will be formed to help guide the research process and discuss findings and outcomes. The panel will be constituted by researchers or project managers with insights or particular interests in the socio-cultural issues surrounding the provision of services to marginalised populations. Suitable scholars to invite will be identified during the inception phase, forming part of the process of reviewing existing literature. Similarly, the review of on-going projects of relevance to the present project will help identify interested and/or experienced person who can contribute their insights or learn from the findings of the present projects. Provisionally, representation from UNDP, UNICEF as well as the MDG-F secretariat is envisaged.

The advisory panel should involve some five to seven members. It is to be formed during the inception period (the first six months) of the project.

The project manager will furnish the advisory panel with draft research protocols and eventually draft results for their review and comments. The panel should meet, provisionally through webinars, at least every six months. The role of the panel is to review methodology and findings, give advice and contribute with their experience, but will not need to approve any products.

Both the steering committee and advisory panel will be given detailed insight in the management of the research process. While the steering committee will formally approve (overall) work plans and field location selections, the advisory panel should comment on the detailed methodology and preliminary conclusion. Both the steering committee and the advisory panel will be provided with brief and regular progress updates.

### *Implementation of Research Project – WFG and Local Partner*

A senior Water Governance Programme manager will be dedicated on a part time basis (25%) to lead the implementation of the present research, including the management and oversight of collaborative arrangements and the execution of field research, analysis and the production and dissemination of research outputs. A Research Assistant will work on a part time basis (50%) to assist with programme management and research tasks, including literature reviews, collaborator coordination, field research, analysis and the production and dissemination of research outputs. Both are based at the WGF.

Direct responsibility for field research, initial analysis and production of research reports will rest with the collaborating local partners, to be contracted through the present project. Fieldwork is to take place in provisionally two locations. The local partners are envisaged as university departments with demonstrated experience of work in the selected regions.

The present field research plans counts with an experienced lead field researcher, under whose supervision university students should be involved in the scoping as well as interviews and observation work. The local analysis and discussion relies on a moderator experienced in focus group discussions.

The detailed field research protocol will be reviewed with the local collaborator in order to establish a mutual agreement on the respective roles and responsibilities in the research process, and how to go about and report from the fieldwork.

### *Joint Programmes*

The original ideas behind the present research project stems from the challenges encountered by the JPs of the DEG thematic window, in their quest to equitably extend water and sanitation services to marginalised, often indigenous, populations.

Further, the inception phase of the present research will draw upon the knowledge management strategy for the DEG thematic window, in its exercise of knowledge exchange around effective intercultural approaches (see next section).

The research should also maintain contacts with JPs and report back any results that may be of help in the project implementation, both directly and through the MDG Secretariat, being a party of the relationship with the JPs.

The field work location, moreover, is most likely to be in a country with an ongoing JP in the DEG area. This will also make the incumbent JP an even closer ally and possible channel for the present research.

### *Networking and Partner Identification*

The proposed research project will maintain links with a range of related actors, many of which may become involved in the advisory panel or, in up to two cases, as field work implementers.

Among these actors there are research organisations that study similar issues, e.g. the United Nations University-Institute of Advanced Studies: Traditional Knowledge Initiative in Australia or international NGOs working on with "First Nations" and the fostering of indigenous rights. Such networking will be on an entirely informal basis, as a way to keep in touch with international discourses on inter-cultural approaches. Such contacts will also be an important part of the literature review.

Further networking (sharing of information and ideas) will involve programmes working with water and sanitation in remote or disadvantaged areas. This will partly be covered in the initial review of innovative approaches and lessons learned through (mainly UN funded) development programmes. Here, not only the MDG-F-sponsored JPs but also GoAL WaSH and similar programmes will be reviewed (desk study) in order to summarise approaches taken and the constraints that are faced. Selected on-going programmes, by for example UNICEF, UN-Habitat and UNDP, will be an important target group for research findings, networking and also for review of preliminary results. Hence, members of the advisory panel should be searched for in this group, as appropriate. In any case, suggested ways forward from the research should be circulated among interested managers of on-going programmes, and in particular those of the DEG JPs.

The incipient DEG-KM knowledge management track of "Effective Intercultural Approaches" will serve as the major vehicle for exploring contacts and collaborative arrangements for local field research (both communities and universities). This knowledge process entails the setting up of a network between selected JPs in the DEG thematic window for the exchange and cross-learning in relation to existing and potential intercultural and participatory approaches. The process builds on a 'mini-proposal' spear-headed by the Mexican JP at the DEG-KM workshop in Manta in March-2011, but also the explicit interest in experience exchange expressed by several other JPs during the same workshop. Mapping of resources has been initiated the network should be set up towards the end of 2011 and early 2012. The results from the research carried out in this project will of course be fed into the on-going dialogue and will

serve to deepen and broaden the knowledge base of the DEG JPs in their interaction with the indigenous communities in their programme areas.

Several of the JPs collaborate with local universities. Whereas the present research is to be seen as independent from existing JPs, it will seriously consider the following potentially interesting cases and research sites:

- Southern parts of Mexico, where the DEG JP has developed close links to the University of Chiapas and the Intercultural University of Tabasco. Both have expertise in specific approaches and in adapting knowledge to indigenous visions
- Northern Panama, where the DEG JP has very advanced work in regard to gender issues and close links to indigenous governance structures
- Eastern Nicaragua, where the DEG JP is working to bring indigenous organizations and leaders to become represented in regional and national governance structures.
- Paraguay, to build on DEG JP work on finance and investment mechanisms that are being developed to suit needs in indigenous areas
- The DEG JP in Guatemala is to work specifically with indigenous populations and has a whole outcome area directed towards knowledge management
- Philippines, where the DEG JP has expressed an interest in pursuing more targeted communications and engagements with different socio-cultural groups

Moreover, twinning arrangements between countries should be considered. Preliminary contacts (in August, 2011) suggest that there are possibilities to work with students, primarily from Mexico and Ecuador, enrolled in water-related studies at CAALCA (Centro del Agua para América Latina y el Caribe) based at TEC Monterrey in Mexico, a programme supported by the FEMSA Foundation. Regional university cooperation and networking may also be pursued through the Latin American Social Science Faculty agreement (FLACSO) based in Costa Rica and represented throughout the region.

Suitable research partners should be universities with a research record in indigenous areas and preferably a long-term engagement in emancipatory research. Administrative capabilities and the ability to arrange for interviews, group discussions and facilitated meetings in specified areas, as well as to arrange for translations, production and distribution of popular scientific reports and video in a cost-efficient manner are also required.

A major part of SIWI's relations with academic institutions are mediated through the UNDP-supported capacity building network Cap-Net and its Latin America-specific Latin American Water Education & Training Network (LA-WETnet). Thus, the networking through JP contacts will be complemented with existing relations through LA-WETnet in order to find suitable locations and partner organisations for the present research as well as members for its advisory panel.

A potential spin-off from this research collaboration could be exchange studies between different universities. Swedish universities (e.g. the Department of Human Geography or the Institute for Latin America Studies at Stockholm University) could potentially draw on existing mechanisms for student and lecturer exchanges.

Further networking resources related to SIWI is the SWH which provides face-to-face and virtual meeting places for innovative thinking on emerging issues, knowledge dissemination and multidisciplinary policy development concerning the global water situation. At least one seminar should be organised under the SWH umbrella, reaching out also to activist groups and development assistance organisations working with indigenous rights or special needs in the area of sanitation and water supply. As mentioned in the dissemination strategy (above) the Stockholm World Water Week is another platform for organising outreach and communication with a broad set of actors on the global water and sanitation scene.

Moreover, the project financier will act as a partner during the implementation process. Hence, steps like the identification of case studies and actors, products outlines, field research agenda, methodology and coordination, as well as dissemination event at the WWW will be developed in agreement with the MDG-F secretariat. (See steering committee and advisory panel work above, and reporting plans below.) The Secretariat will also be involved in the review of written reports and dissemination products, as well as the continued contacts with interested JPs.

### *Project Reporting*

Plans and budgets will be submitted to the steering committee for advice and approval. Further, all draft research outputs will be shared with the advisory panel for quality review and critique. The further substantive reporting of progress will be constituted of the production of the research outputs and their dissemination as specified above.

Operational performance will be reported in accordance with the MDG-F Knowledge Management Plans progress reporting format, or as particularly specified by the MDG-F. Regular reports (annual and semi-annual, or as specified) will be provided on the status and evolution of:

- purpose/goals/objectives,
- results: activities, outputs, and outcomes
- finances resources: expenditures and budget status
- obstacles encountered and strategies for overcoming them, further plans and adjustments

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