



SWITCH Work Package 6.3 Socially Inclusive Urban Water Governance Case Study Writing Guidelines & Outline

I. SOCIAL INCLUSION CASE STUDY GUIDELINES

Purpose:

This document has been prepared to guide researchers/authors writing case studies for SWITCH Workpackage 6.3, Socially Inclusive Urban Water Governance.

Included herein are writing guidelines and a draft outline to guide and structure the development of the cases to ensure that the complex issues surrounding social inclusion, multiple stakeholder processes and urban water management are captured and that key experiences and lessons learned are conveyed as clearly as possible.

Aim:

The aim of these case studies is, through presenting existing local and international experiences with socially inclusive approaches to urban development, including slum upgrading, to capture local knowledge and share key lessons on challenges and successes about these complex and highly sensitive issues. Ideally, cases detailing experiences implemented using a multi-stakeholder platform approach with strong involvement of local government.

In the context of SWITCH, the cases serve as think pieces to inform not only the work of those involved in the work package 6.3, but also members of Learning Alliances and the wider SWITCH project. The objective is to provide them with inspiration about alternative, more inclusive and pro-poor, ways of working towards achieving a paradigm shift in integrated urban water management.

Document specifics:

- Recommended length: between 6 – 8 pages.
- Format: As far as possible, the outline provided on pages 2 – 4 should be followed to ensure the relevant issues are captured. However within these broad lines, authors are invited to include the locally relevant topics and issues relevant to the case. The list of issues provided are for inspiration, this is **not an exhaustive inventory** of possible 'hot topics'. Other, more relevant ones, may apply in different cases and should be documented and discussed as relevant to the local circumstances.
- Format Guidelines for references, images, tables & graphs are on page 5.

Methods for gathering information and data:

The case studies are based upon already existing, documented experiences available in secondary and tertiary information sources (primary may also be used where already available). The case studies are not based upon field research and primary data collection in the SWITCH project. Box 1 below gives an overview of information types.

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Box 1 Types of information sources

Primary Sources: original materials, not filtered through interpretation, condensation, or evaluation by a second party. These include: journal articles, monographs, reports, patents, theses, diaries, letters, photographs, poems.

Secondary Sources: information about primary, original information, which usually has been modified, selected, or rearranged for a specific purpose or audience. These include: grey literature (publications issued by government, academia, business, and industry, in print or electronic format, and not controlled by commercial publishing interests) biographies, histories, monographs, review articles, textbooks, any index or bibliography used to locate primary sources.

Tertiary Sources: information which is a distillation and collection of primary and secondary sources. These include: encyclopaedias, fact books, almanacs, guides and handbooks.

II. CASE STUDY OUTLINE

Title of Case Study

Author's name & organisation

Executive Summary: 150 words maximum.

Briefly describe the urban development issue being presented (slum upgrading, IUWM, etc) the approaches & methods taken, actors, their relations and roles, motivations, main results/lessons and conclusions.

I. Introduction & Background to case (½ to 1 page)

Introduce **briefly** the experience that the case study will discuss in 3 to 5 lines.

- name of the initiative
- when & where did it take place
- type of project, programme, initiative – how did slum upgrading, urban water management or other urban development issue, feature; what were the social inclusion or exclusion elements

II. Main Story – 3 to 4 pages

(Note: below some suggestions for issues to address are provided, but only those issues relevant to an individual case study should be addressed. Other issues can be added instead if required)

Description of the local context including:

- main population groups in the area
- livelihood strategies people rely upon
- who – what group – could be considered socially excluded or vulnerable the given context – slum dwellers, poorest, female headed households, etc.

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- describe the nature of social exclusion in the given context: based on where people live, ethnicity, gender, employment or economic status, (lack of) access to water services, other
- basic local and intermediate level political/administrative organisation and structure
- brief description of the existing situation before the initiative regarding basic urban water services (water, sanitation, hygiene, solid waste)

Further detail on initiative being presented in case study:

- type & scope of initiative
- aim, purpose and elements of the initiative
- who was involved in the initiative? what actors/stakeholders: e.g. NGOs & CBOs, local government, users, user committees, other community and popular organisations utilities, formal and informal small- and medium-scale private sector, educational and cultural organisations, media, local and popular leaders, etc.
- social inclusion efforts of the initiative

Details the multi-stakeholder platform approach:

- measures taken, structures or processes established to include or represent marginalised groups and their priorities in multi-stakeholder platform or other decision making platform related to urban water management
- what roles did these different actors / stakeholders play?
- what specific activities were undertaken (by whom)? (e.g. project or programme planning, training or capacity development, policy development, participatory evaluation, strategic planning, etc?)
- What was the role of the private (especially the small scale independent providers and small-/medium-scale entrepreneurs) and public sectors?
- Who was involved in priority setting?
- How were priorities translated into realistic and specific plans and programmes of action?
- What technical and information support was provided to this process?
- What were the mechanisms and institutions involved?
- What resources (financial, technical, material) were used in implementation? How did this compare to initial expectations and planning?

Describe the results, in terms of outcomes:

- What group(s) benefited (or bore the costs)?
- Were there impacts on the poor, on women, or otherwise vulnerable groups?
- what, if any, were key weaknesses of this initiative? E.g.:
 - o weak / no links built between multi-stakeholder platform and vulnerable groups
 - o other negative results?
- what, if any, were main achievements of this initiative? E.g.:
 - o New services provided
 - o New opportunities for vulnerable or marginalised groups
 - o New capacity built
 - o Changes to policy/strategy to address needs of poor / vulnerable
 - o Formalising of links between informal sector and government?
 - o Other positive changes as a result of the process?

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III. Key Lessons (2 pages)

Summary of the key lessons that emerged from the experience with a focus on:

- **challenges** faced in taking a multi-stakeholder approach to socially inclusive urban water management
 - o what factors hindered the process?
 - o were some groups affected more than others?
 - o were certain objectives not reached, why not?
 - o what obstacles did different stakeholders have to deal with?
- **opportunities** presented by taking a multi-stakeholder approach to socially inclusive urban water management – what new ways of working worked well?
- **key factors** that influenced outcomes of the process
In brief, what factors influenced the way the process worked out in practice? To what degree are these factors open to control and modification, and how?

Factors that may be considered (both positive and negative) include:

- Sustained political support
- Active involvement and support of most of the important actors and stakeholders
- Public awareness, promotion/marketing/publicity, popular support
- Role of NGOs, educational institutions, CBOs, private sector, small-/medium-scale entrepreneurs and their associations, etc
- New sources and/or uses of technical information
- Attitudes, expectations of principal actors in key technical, administrative and managerial positions
- Training, education and awareness of principal actors
- Degree of simplicity or complexity of the process
- Stimulation and effective application of private resources
- Financial incentives, clear understanding of potential benefits
- Unofficial political and financial influence (corruption, nepotism, powerplay)
- Impact and influence of external development assistance and support
- Impact of disasters, emergencies, other unforeseen events
- Public attitudes and ability to pay for services

IV. Conclusion (1/2 page)

Briefly summarize:

- the heart of the experience this case study set out to present
- the main results of the experience – positive or negative
- key messages or lessons of the experience and their relevance to achieving socially inclusive urban development objectives using a multi-stakeholder approach.

Contact Person (for more information): author's name & email

LINKS ½ page

Additional information supporting the case study can be included as links.

Guidelines for Referencing, Images, Tables and Graphs, etc

If applicable & available, statistics, tables, graphs, maps, charts and other such material should be included to support key points in the text. These items should therefore be placed as close as possible to the relevant text and not as stand-alone content.

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References: These should be to accessible sources. Please ensure that all references cited in the text are included in the reference list (dates and authors to match)

References format:

For citations in the text: Surname of author and year of publication, e.g. Jones (1982)
OR (Jones, 1982).

For entries in Reference List:

Jones, P. (1982). Waste Water Engineering for Tanzania. Longman, London.

Figures and Tables:

- Figures and tables should be numerically ordered, described in the body of the text and be positioned close to where they are first cited.
- Ensure all figures and tables fit inside the text area, not outside the margins.
- Photographs can be colour or black and white and must be sharp and well contrasted.
- Because figures may be resized in the course of production, scale bars, not magnification values, should be used where applicable.

An example of a diagram is given in fig. 1.

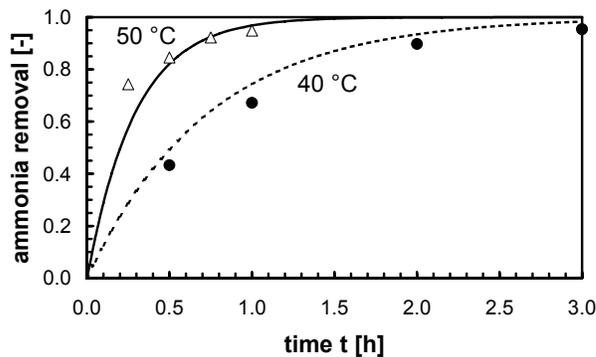


Figure 1: Example figure.

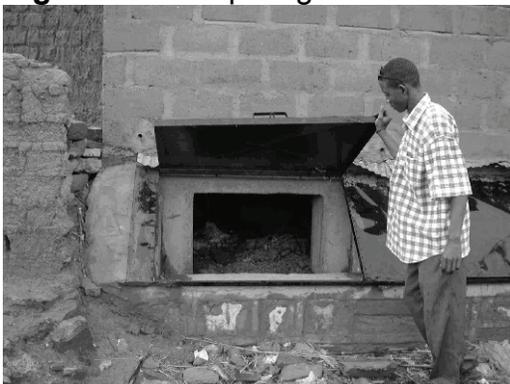


Figure 2: Example of an photograph

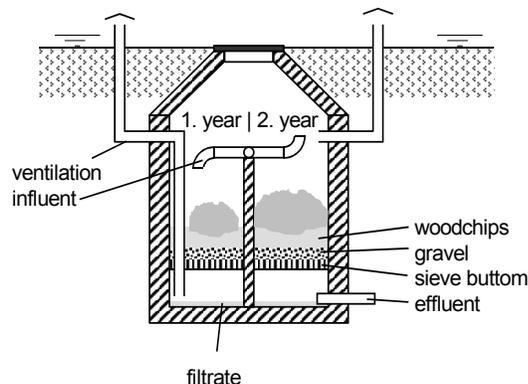


Figure 3: Example of a sketch