

UNICEF Field Notes on Community Approaches to Total Sanitation

LEARNING FROM FIVE COUNTRY PROGRAMMES



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HAITI



PHILIPPINES



MALI



ZAMBIA



NEPAL

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KEY ACRONYMS

AfDB	African Development Bank
C4D	Communication for development
CATS	Community Approaches to Total Sanitation
CLTS	Community-Led Total Sanitation
CO	Country office
DfID	Department for International Development of the United Kingdom
DHIS 2	District Health Information Software 2
DINEPA	Directorate of Water Supply and Sanitation (Haiti)
EAPRO	UNICEF's East Asia and Pacific Regional Office
ECCD	Early childhood care and development
GON	Government of Nepal
GRZ	Government of the Republic of Zambia
M2W	Mobile-to-web
MoCTA	Ministry of Chiefs and Traditional Affairs (Zambia)
MoU	Memorandum of Understanding
NGO	Non-governmental organisation
NSBBSP	National Search for Barangay with Best Sanitation Practices (Philippines)
PhATS	Phased Approach to Total Sanitation (Philippines)
PSI	Population Services International
OD	Open defecation
ODF	Open defecation free
SACOSAN	South Asian Conference on Sanitation
SAG	Sanitation Action Group (Zambia)
SDG	Sustainable Development Goal
SHMP	Sanitation and Hygiene Master Plan (Nepal)
SLTS	School-Led Total Sanitation
VDC	Village Development Committee (Nepal)
WASH	Water, sanitation and hygiene
WASHE	Water, sanitation, hygiene and education
WinS	Water, sanitation and hygiene in schools
WSP	World Bank's Water and Sanitation Program

CATS PRINCIPLES

Community Approaches to Total Sanitation (CATS) aim to achieve 100 per cent open defecation free (ODF) communities through affordable, appropriate technology and behaviour change. Some of the key principles guiding CATS are:

- An emphasis on the sustained use of sanitation facilities by every community member, rather than simply the construction of infrastructure.
- The safe disposal of infant and young children's faeces in toilets.
- Broad engagement with diverse members of the community, including households, schools, health centres and traditional leadership structures.
- That communities lead the change process and use their own capacities to attain their objectives. Their role is central in planning and implementing improved sanitation, taking into account the needs of diverse community members, including vulnerable groups, people with disabilities, and women and girls.
- That subsidies – whether funds, hardware or other forms – should not be given directly to households. Community rewards, subsidies and incentives are acceptable only where they encourage collective action in support of total sanitation and where they facilitate the sustainable use of sanitation facilities.
- That communities are supported to determine for themselves what design and materials work best for sanitation infrastructure, rather than standards being imposed on them. External agencies provide guidance rather than regulation. Thus, households build toilets based on locally available materials using the skills of local technicians and artisans.
- A focus on building local capacities to enable sustainability. This includes the training of community facilitators and local artisans, and the encouragement of local champions for community-led programmes.
- Government participation from the outset – at the local and national levels – which helps ensure the effectiveness of CATS and the potential for scaling up.
- That CATS have the greatest impact when they integrate hygiene promotion into programme design: the definition, scope and sequencing of hygiene components should always be based on the local context.
- That CATS are an entry point for social change – and a potential catalyst for wider community mobilisation.

COMMUNITY APPROACHES TO TOTAL SANITATION

Eliminating open defecation involves three key components – demand creation, supply consideration, and strengthening the enabling environment. Successful implementation of Community Approaches to Total Sanitation leads communities to collectively abandon open defecation and create a new social norm of using toilets, reinforced by supply interventions and a supportive enabling environment. Thus, CATS programmes should take into account these three components as they develop their country-specific theory of change.

At the community level, creating demand for sanitation begins with changing or creating new social norms. The CATS ‘triggering’ process does this by creating empirical and normative expectations about latrine use within a community.¹ Although CATS was not initially derived from Social Norms Theory, the latter provides a framework to understand why the demand creation components of CATS are successful in many communities, as well as how to improve programme effectiveness.²

Supply-side interventions are also important for households to access durable and affordable sanitation solutions to sustain Open Defecation Free status. In addition, supply-side interventions are particularly important where there are difficult soil conditions that prevent households from constructing a toilet to end open defecation.

Activities to generate demand and facilitate supply must be supported by a strengthened enabling environment for

1 Empirical expectations are expectations about what we think other people in our reference network do. Normative expectations are expectations about what we think other people in our reference network *think we should do*.

2 For more on how Social Norms Theory can support CATS see: Dooley, T., Maule, L. & Gnilo, M. 2016. "Using Social Norms Theory to strengthen CATS impact and sustainability," in *Sustainable Sanitation for All: Experiences, challenges, and innovations*, edited by P. Bongartz, N. Vernon, & J. Fox. 299-314. Rugby: Practical Action Publishing Ltd.

Figure 1: CATS ‘triggering’ process and social norms concepts



sanitation. Most WASH sector actors are familiar with UNICEF’s five stated ‘building blocks’ of the enabling environment:

- 1) Sector policy and strategy;
- 2) Institutional arrangements;
- 3) Sector financing;
- 4) Planning, monitoring and review; and
- 5) Capacity development.³

Strengthening these building blocks is important for all CATS programmes. However they can become particularly critical in certain contexts: for example, in middle-income countries with high capacity, where government resources must be leveraged for CATS; or as programmes scale up, and prepare to transition the programme to full ownership and implementation by government.

3 UNICEF 2016. *Strengthening enabling environment for water, sanitation and hygiene (WASH)*. Guidance Note. New York.



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INTRODUCTION

CATS FIELD NOTES II

CATS is UNICEF's core strategy to eliminate open defecation, in line with Sustainable Development Goal (SDG) 6.2: to 'achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations'.⁴ CATS has scaled up rapidly since its 2008 inception, with implementation in over 60 countries: approximately 48 million people now live in open defecation free communities that previously did not.⁵ With these achievements come even greater challenges. Achieving universal basic sanitation coverage by 2030 will require an acceleration of progress to eliminate open defecation, to keep up with population growth and to reach the poorest households. Five country field notes examining the Haiti, Philippines, Mali, Zambia and Nepal CATS programmes were developed for this set of CATS Field Notes, to generate lessons for programming through exploring how each programme reached its current stage of development. The field notes capture CATS programmes at different stages of maturity, both in terms of total number of people that live in ODF communities and the adoption of CATS within government programmes and systems. At one side of the spectrum is Haiti, with its nascent but promising programme. In the middle of the spectrum are the Philippines and Mali programmes, with Zambia and Nepal representing more developed examples of CATS programming.

A flexible case study methodology was used to develop these field notes, which included a desk review and interviews with UNICEF staff. Where possible, field visits were conducted,

during which interviews and focus group discussions were held with key sanitation stakeholders who were identified for the specific purpose of developing these field notes. Rapid observation of communities and household toilets also occurred for some cases, where feasible.

Developed primarily for UNICEF staff and its partners, these field notes can be used to learn about specific aspects of CATS programmes in different contexts. For example, learning on CATS monitoring was captured in the Zambia and Mali cases, while the Philippines and Nepal have good experiences on strengthening sub-national governance for sanitation. The Haiti and Mali cases meanwhile capture lessons on improving and maintaining CATS effectiveness (defined as the number of communities 'triggered' that went on to become ODF). The issue of what happens beyond ODF certification is addressed in Mali and in the Philippines. In addition, application of components of Social Norms Theory to strengthen CATS programming was also captured in some of the cases – notably in Nepal and Zambia. Experiences on implementing CATS after humanitarian crises can be learnt from the Philippines and Haiti. With regards to equity, Mali has experience in working to leave no community behind, while Nepal has developed a programme that resulted in mobilising support for the most vulnerable households.

Aside from understanding experiences and lessons on specific aspects of CATS programming, sanitation staff working in any of the countries profiled will gain rich understanding the CATS programmes in these countries – particularly useful for staff new to a country programme. With this in mind, a guide is included after the field notes, to enable country offices to develop their own CATS field note, in order to continue consolidating and sharing learning on CATS programmes globally.

4 United Nations Development Programme. 2016. *Sustainable Development Goals (SDGs)*. Available at: <http://www.undp.org/content/undp/en/home/sdgoverview/post-2015-development-agenda.html>.

5 UNICEF. 2014a. *Evaluation of the WASH Sector Strategy 'Community Approaches to Total Sanitation': UNICEF Evaluation Brief*. New York.



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OVERVIEW OF FIELD NOTES

As of 2016, progress in achieving ODF status across the countries included in the field notes studied has grown significantly. In Zambia for example, the number of ODF communities increased more than tenfold in a span of six years, from 751 ODF communities in 2010 to 10,081 ODF communities in 2016. Meanwhile, in the Philippines, 1,026 communities were declared ODF in a span of less than four years, reaching approximately 1.1 million people. Results as of 2016 from the other countries and other key field results are displayed in the table below. ODF declarations beyond individual communities to larger catchment areas are now common.

CATS programming also supports the strengthening of the enabling environment for sanitation. Although there are still varying degrees of government investment in the approach, political will to adopt CATS exists. Governments in the Philippines, Nepal and Zambia allocate financing for sanitation – but it is still partial. Institutional arrangements are often developed for CATS service delivery, which also serve as platforms for delivering other sanitation initiatives. These arrangements vary per country, but all aim ultimately to put governments in the lead for CATS and the elimination of OD. All cases show that harmonised verification and certification systems are in place, though in Nepal and Haiti, the process varies across district or programme area and data consolidation at the national level is still ad hoc. Meanwhile, the Governments of Mali and Zambia are supported for national CATS monitoring. It is in this context that CATS appears to be a good entry point for strengthening the overall enabling environment for sanitation.

LEARNINGS AND IMPLICATIONS FOR CATS PROGRAMMING

Several learnings were captured through the field notes to accelerate the elimination of OD.

Apply Social Norms Theory to improve programme effectiveness

CATS conversion rates appear higher where components of Social Norms Theory have consciously been applied. Application of the various concepts of social norms from the start, in the demand creation process for CATS, is critical to ensuring programme fidelity and effectiveness. When the steps of CATS are applied throughout, social norms change is more likely to happen and programme effectiveness increases. In the programmes that stuck closely to the steps of the process, the rates of effectiveness appear higher. This was found in Haiti; it was when they focused on going back to the original form of CATS that their programme effectiveness rates increased. Meanwhile, in Mali the programme remained true to the steps of CATS triggering, hitting all key areas of changing social norms and consistently achieving high effectiveness rates over the years. Once CATS programme effectiveness is assured, scale becomes easier and sustainability is also increased. Beyond programme effectiveness, reinforcing the newly created social norm of ODF also supports sustainability. The conscious application of these elements supports effectiveness; at the very least, improving the quality of all steps of the CATS process and engaging relevant reference networks is important. ODF slippage

Table 1: CATS programme results to date across field note countries

INDICATORS	HAITI	PHILIPPINES	MALI	ZAMBIA	NEPAL
Number of communities certified ODF	34	1026	2007	10,380	2388
Number of districts/municipalities certified ODF	0	16 (nationwide 20)	0	4 (and 40 ODF chiefdoms)	16 (nationwide 38)
Population living in ODF communities	15,000	1,100,000	1,540,000	1,740,000	Over 8,000,000
ODF Success rate (number of communities triggered that have achieved ODF status)	18%	82%	86%	34%	87%
Sustainability (% communities with ODF status sustained)	Not available	Not available	76%	81%	76%

and partial use of toilets in some cases show that further work is required to strengthen the social norm.

Planning for actions 'beyond ODF' is important from the start of CATS programmes

Planning beyond ODF includes planning for sustainability and moving communities up the sanitation 'ladder'. ODF sustainability is a challenge that must be addressed from the start of the programme, keeping in mind the three dimensions of sustainability – physical and technical, social and behavioural, and enabling conditions. Without sufficient planning for post-ODF activities, communities are at risk of being left behind and reverting back to their previous habits. It is therefore important to have a strategy from the start on what happens after ODF is achieved. The field notes of the Philippines and Mali provide examples of approaches that are being tried to sustain ODF and move towards higher levels of sanitation services.

Decentralising to local bodies for rapid scale

Institutional arrangements, specifically in the form of decentralised planning and implementation, played a role in translating national targets and political commitments into manageable 'sub-programmes'. In Nepal, micro planning occurs at the district level, in the Philippines at the municipal level, and in Zambia it occurs at the chiefdom level. In cases where decentralised leadership has occurred, entire districts, chiefdoms, or municipalities have been declared ODF. Decentralising ownership and implementation for ODF is important for faster diffusion and scale.

Invest in strengthening local monitoring systems

Local monitoring systems at decentralised levels of governance, in district or local municipalities and in communities, are important for programming. Local level monitoring is critical as it enables implementers to understand the progress on their work, and to take action where gaps are seen in order to course-correct. It also enables accountability towards delivering on plans, to the programme and to community members. In Mali for example, a strong monitoring system enabled the programme to revisit communities that have not yet reached ODF and to re-mobilise these communities to achieve it. Meanwhile in Zambia,

the monitoring system developed allows chiefs to understand the progress of their communities towards ODF and focus their attention to communities lagging behind.

Learning and course correction

Systematic learning and course correction when needed are important elements for success. Where learning initiatives were genuinely applied for course correction, CATS progress was accelerated. In Haiti, years of disappointing results drove the process of review and reflection, leading to revisions in programme design, which significantly increased effectiveness. The Zambia and Mali programmes have annual review meetings, while the Nepal programme has district and regional conferences that serve as learning and advocacy forums. The Philippines office embedded learning into their programme theory of change, using learnings globally and within the country to inform their strategy and improve effectiveness. 'Horizontal' learning mechanisms between municipalities were also facilitated in the Philippines, which opened opportunities for learning exchanges based on comparative advantages; through these exchanges, rapid capacity building of facilitators occurred. Including learning as part of the programme theory of change and as a systematic process within programme activities strengthens CATS – and overall sanitation strategies.

Utilise humanitarian crises as windows of opportunity

Humanitarian crises can open windows of opportunities for CATS. In Nepal, a serious diarrhoea outbreak mobilised actors around the goal of eliminating OD. The 2010 earthquake in Haiti and subsequent cholera epidemic resulted in funding allocation for CATS initiation. Now, the elimination of OD is widely acknowledged as a key component of ending the cholera epidemic. The large-scale emergency response to Typhoon Haiyan (2013) in the Philippines also mobilised significant funding and human resources for the response, which supported mass capacity building and the implementation of CATS in over 40 municipalities. Thus, humanitarian responses can kick-start a CATS programme, accelerate progress, and generate lessons for ongoing development programmes. Adaptations to the approach are necessary for the response and recovery contexts.



HAITI FIELD NOTE



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Key CATS indicators

HAITI CATS SUMMARY INDICATORS - UNICEF PROGRAMME AREAS			
Status	1	Start of UNICEF CATS programme	2010
	2	Total number of people practicing OD	2 million
	3	CATS spread: % of country where CATS is being implemented	9%
	4	CATS in urban areas (Yes/No)	No
	5	CATS coverage: number of major organisations	6
	6	Population living in ODF communities	15,000
	7	Number of communities mobilised for ODF	185
	8	Average number of households in communities mobilised	Not available
	9	Number of communities certified ODF	34
	10	Number of districts/municipalities certified ODF	0
	11	Is CATS integrated with other sanitation approaches?	No
Enabling environment	12	Sub-national/micro-planning for ODF implemented & led by local government	No
	13	Harmonised ODF verification and certification system in place	Yes
	14	Number of active, master trainers/facilitators for CATS	0
	15	CATS in government policy	Yes
	16	National strategy in place to achieve ODF (eliminate OD)	Yes
	17	Target year for nationwide ODF	Not available
	18	CATS financed by government (Yes, no, partially?)	No
	19	Presence of harmonised monitoring system (at national level)	No
Effectiveness	20	ODF success rate (number of triggered communities that have achieved ODF status)	18%
	21	Sustainability: % of communities with ODF status sustained	Not available

Source: UNICEF Haiti

Sanitation coverage estimates

HAITI	SANITATION COVERAGE ESTIMATES					
	Urban(%)		Rural(%)		Total(%)	
	1990	2015	1990	2015	1990	2015
Improved facilities	33	34	11	19	18	28
Shared facilities	38	38	8	13	16	28
Other unimproved	16	20	18	33	18	25
Open defecation	13	8	63	35	48	19

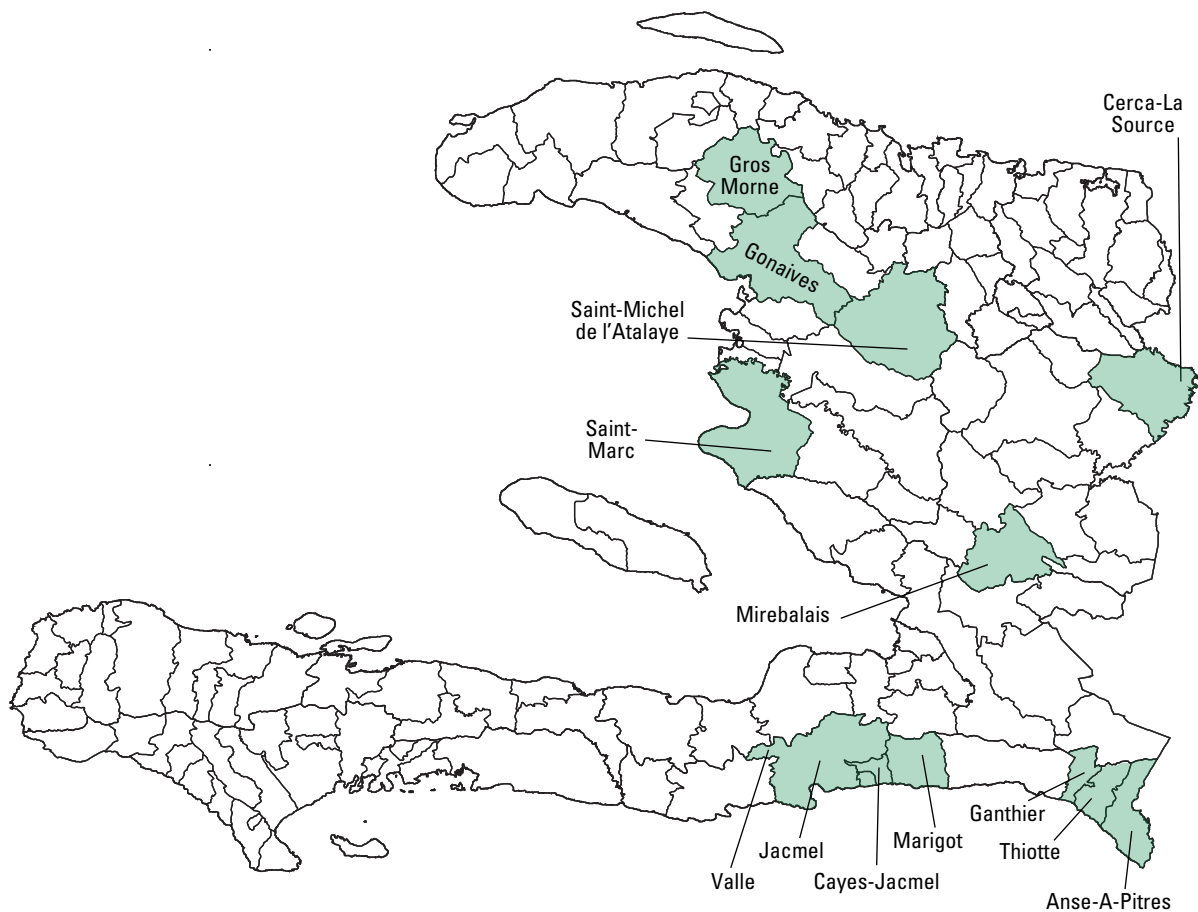
Source: JMP (2015)

Country context

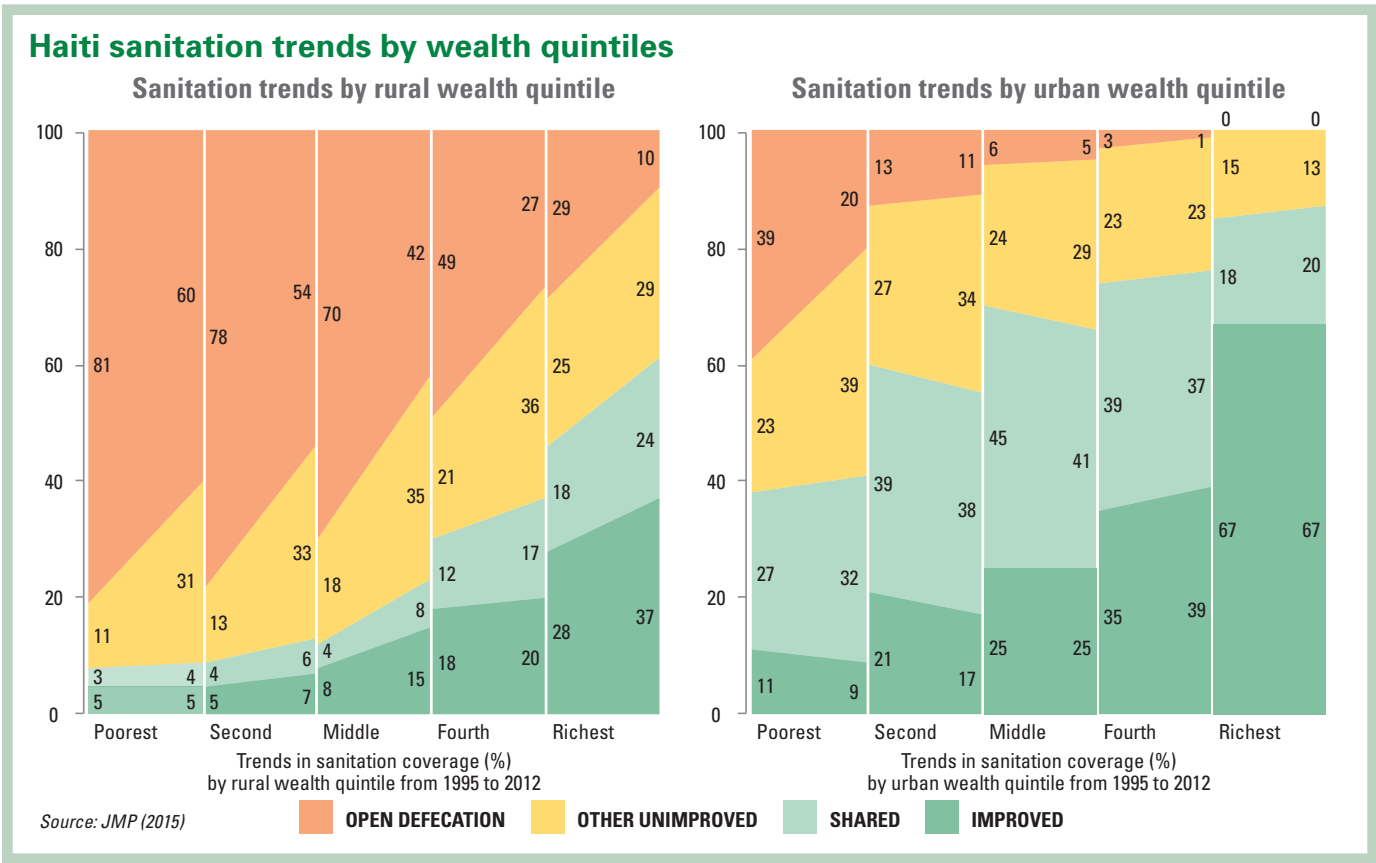
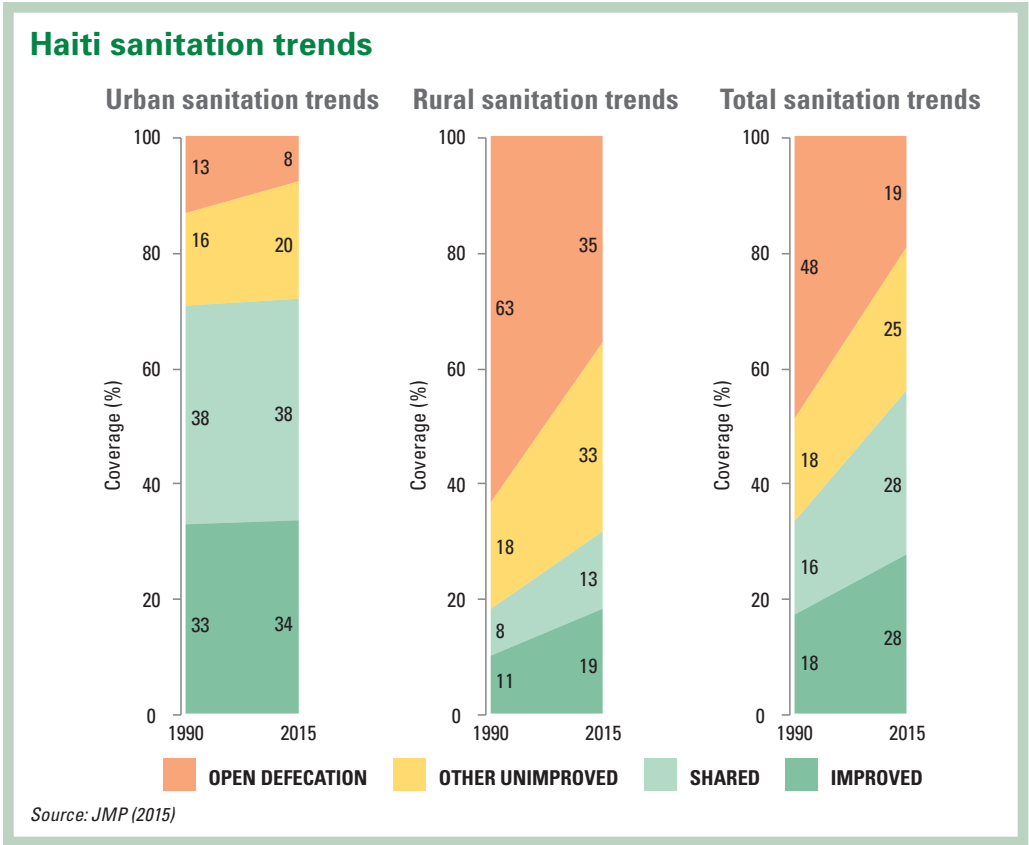
HAITI COUNTRY CONTEXT	
Region	LACRO
Total population	10.8 million
Urban population	59%
Urban population growth (per year)	2.30%
Population density	389
Gini co-efficient	43
GNI per capita (US\$)	820
Income classification	Low income
Population living on US\$ 1.90 per day	54%
Stunting	22%
Under-5 mortality	69
Life expectancy at birth	63
Hazards	Hurricanes; cyclones; tropical storms; torrential rains; floods; earthquakes; periodic droughts

Source: UNICEF Haiti

Spread of CATS in the country



Source: UNICEF Haiti



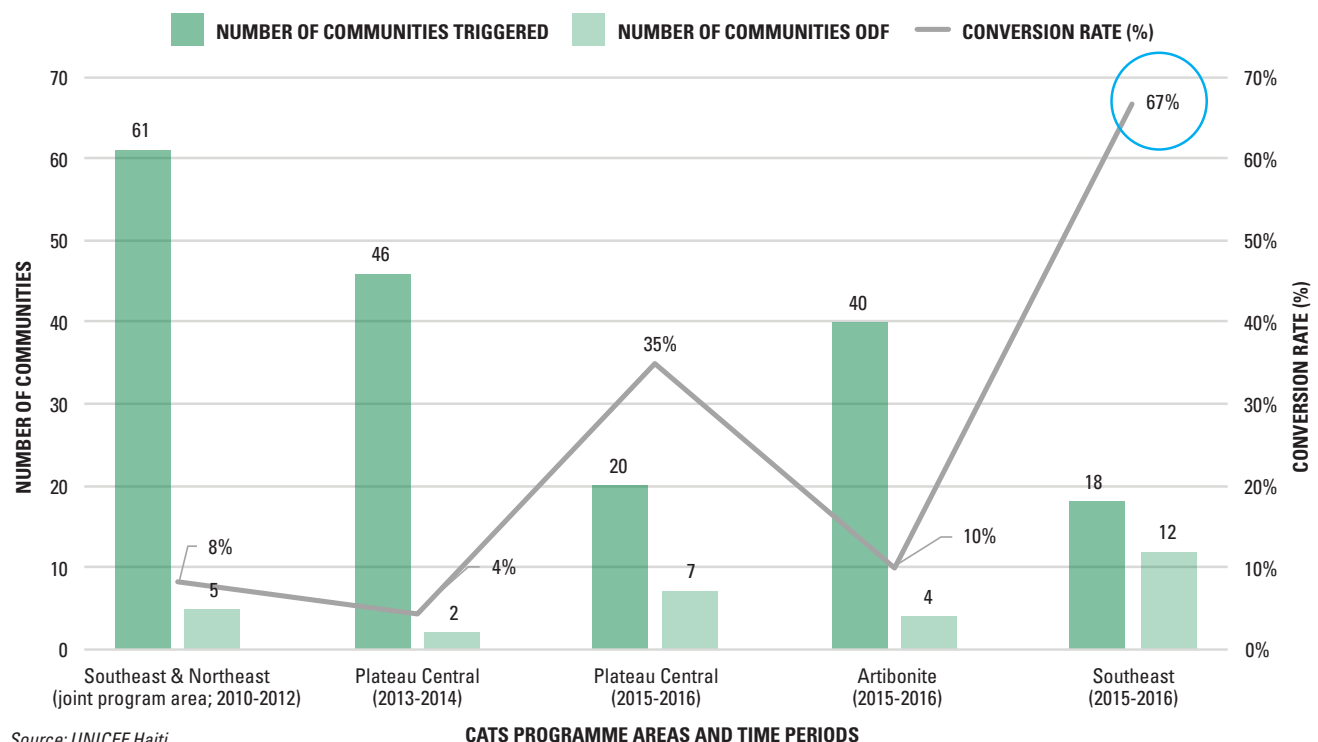
The Haiti CATS programme is based on the successful programme model developed in the southeast region of the country. In regions outside the southeast between 2010 and 2016, the rate of conversion – by which triggered communities become ODF – were low (between 4%-35%). However, in the southeast during the same period, they achieved a 67% conversion rate. Using the southeast model as a platform, progress for CATS is now starting to accelerate, which is important given that eliminating open defecation is one of the key priorities in the National Sanitation Strategy (2014-2018) as well as being a key part of the national plan to eliminate cholera.

CATS in the southeast programme area of Haiti was implemented as part of the Kore Fanmi initiative, which started in July 2015. The Kore Fanmi initiative is an integrated, community-based approach to programming that includes the interlinked policy areas of WASH, nutrition, social protection, and health. It aims to improve the lives of communities through local means. The programme prioritises the poorest and most vulnerable families, using an equity-based approach. The programme has been

extremely successful in Haiti; much can be learnt from the Kore Fanmi approach on how to develop a successful CATS model.

The nascent Haiti programme is developing its model based the southeast programme’s more effective community selection and triggering process. It is becoming apparent already that the Haiti CATS programme is empowering and motivating community members to work on sanitation. The sense of achievement sanitation committees (developed through CATS) felt upon achieving ODF status has given them the motivation to lead additional change. In the community of Radar, for example, the local committee developed a post-ODF action plan without prompting, showing their aspiration for continuous improvement. Community members who work as field workers in the southeast have also been inspired by the approach, with CATS viewed as a template for improvements in other programme areas, including nutrition and health. And success itself is motivational: as one UNICEF employee stated, CATS “... reignited the [southeast] program. The results achieved... motivated the local agents to continue with their work.”

Figure 2: Haiti triggered and ODF rates per programme area (2010-2016)



The recent success of CATS in the southeast also meant the establishment of CATS ‘champions’ in government. A water technician employed by the Directorate of Water Supply and Sanitation (DINEPA) in the local government of Thiotte has prioritised ODF verification among his various activities, which is rare as they usually only allocate time for water-related activities. A senior sanitation officer from the Ministry of Health and Population has also been established as a CATS champion. Upon seeing the results achieved in the southeast, he has been inspired to utilise the approach for other public health challenges, such as vector control.

Evolution of the Haiti CATS programme

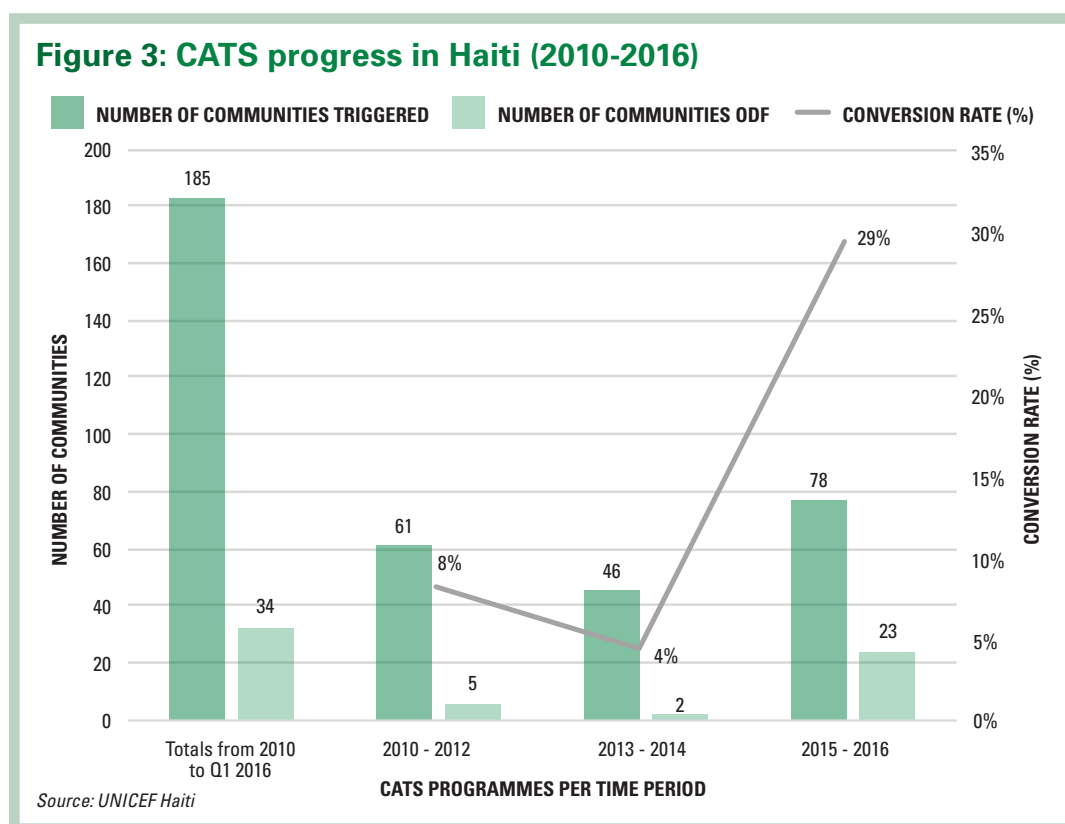
In 2010, a major earthquake with a magnitude of 7.0 struck Haiti, killing 300,000 people, injuring another 300,000 and displacing approximately 1.6 million people.⁷ This was followed by a cholera outbreak, which is still ongoing.⁸ The earthquake

brought an influx of funding that was utilised to initiate Community-Led Total Sanitation (CLTS) programming.

The country faced several challenges in the initial implementation of the programming. In the first place, the government had very little involvement in the process. Indeed, it did not accept many of the triggering tools (for example, the so-called ‘shit and food’ demonstration, during which faeces and food are left near each other so that people can observe flies moving between the two, or the ‘walk of shame’, during which community members visit open defecation areas in the community). Secondly, the communities selected for CLTS were based on the criteria for provision of water access, which meant that large communities were selected that often had less social cohesion. Thirdly, follow-up support after triggering and the project period was limited, meaning that data on progress and the effectiveness of the approach was often unavailable. Lastly, the projects were implemented in areas

7 UNICEF Haiti. 2011. *UNICEF Annual Report for Haiti 2010*. Port-Au-Prince.

8 United Nations in Haiti. 2015. *Haiti Cholera Response: January to March 2015*. Port-au-Prince.



that were used to receiving subsidies from the earthquake relief efforts. Community members used to the practice of subsidies may hold out, hoping for free sanitation provision – or see such provision as a government responsibility. Households and non-governmental organisations (NGOs) thus frequently rejected the CLTS no-subsidy approach. These challenges were clearly significant: only seven communities under the UNICEF programme achieved ODF status prior to 2015.

Despite these challenges, it was eventually accepted by the WASH sector in Haiti that CLTS was in line with the recently established National Sanitation Strategy and the efforts of the Government to eliminate OD. A review of CLTS experiences was conducted in 2013, and in 2014, a slightly revised approach was launched. The newly revised guidelines remain in draft form, but they are being tested to determine their effectiveness in the field: scepticism on the appropriateness of the approach still exists.

In 2015 UNICEF started implementing their renewed version of CATS in the southeast region, based on lessons from past implementation. The results in the southeast were impressive: communities achieved ODF status within a matter of weeks. These sorts of results are greatly helping to demonstrate that CATS can be a feasible approach for other suitable communities in Haiti – for example, smaller, socially cohesive communities without a history of subsidised sanitation.

Elements of success

CONTINUOUS LEARNING AND ADAPTATION OF THE CATS APPROACH

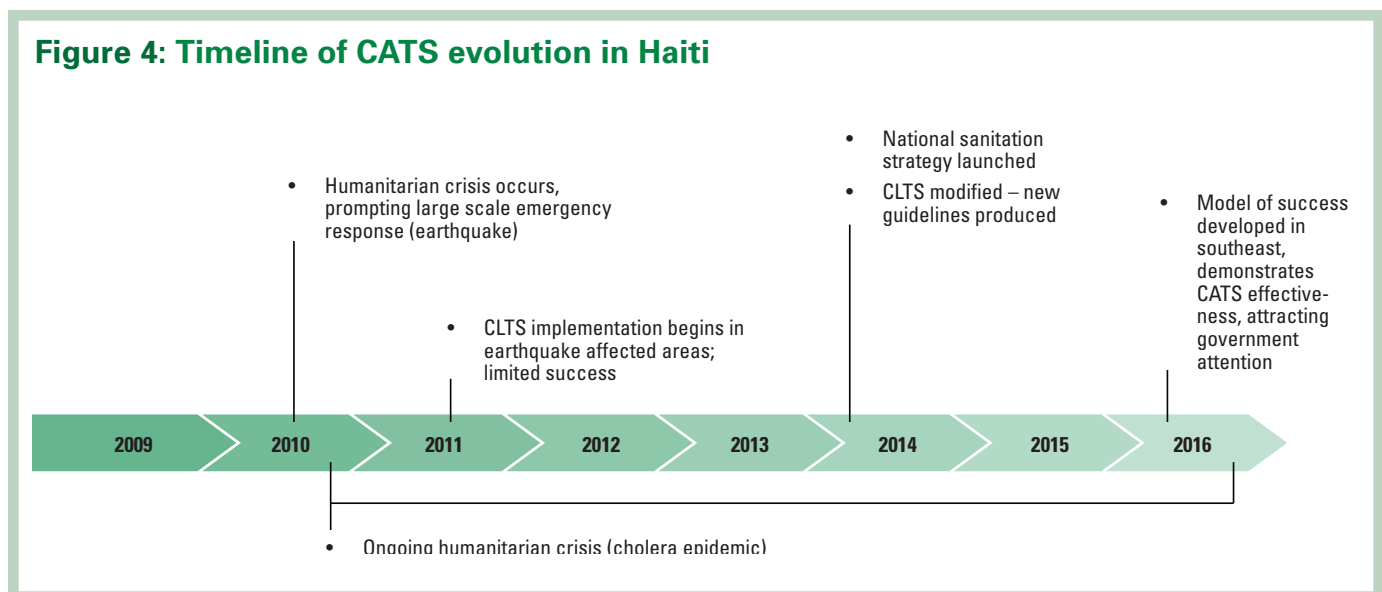
The development of a successful model for CATS in Haiti came from a continued effort to learn the lessons of previous approaches. The success in the southeast came from consciously taking stock of past experiences and making changes to the approach based on past learning. For example, this meant beginning by working with smaller communities – focusing on a few communities to achieve ODF status and consolidating learning from that experience before expansion. There was also ongoing support provided (beyond the initial training) to improve the capacity of facilitators. Going back and focusing on communities that met the favourable conditions, as outlined in the original CLTS guide⁹ was another a key change that helped improve implementation.

CONTINUED ADVOCACY

Continued advocacy to include the approach in the national sanitation strategy has helped to keep CATS and ODF policy on the Government’s agenda. The revision of the approach from CLTS to CATS helped pave the way for a gradual acceptance of the approach by government. The demonstration of results in

9 Kar, K. & Chambers, R. 2008. *Handbook on Community-Led Total Sanitation*. Plan UK

Figure 4: Timeline of CATS evolution in Haiti



the southeast, with data available as evidence of success, has also supported the advocacy efforts of UNICEF. It has meant that CATS is under consideration for inclusion in the national package of sanitation interventions, currently under development by the Directorate of Water Supply and Sanitation.

EMPLOYING FIELD WORKERS FROM TARGET COMMUNITIES

Field workers in the southeast programme come from the communities they work in. They therefore have a deep understanding of the communities they are working with, and are already trusted by many households. In many cases, this has helped identify which community members are most influential, and therefore who to involve in CATS. It has also helped to build good working relationships with the sanitation committees formed after triggering. Their ongoing presence in the community, as well as their more 'official' follow-up visits, also serves as a constant reminder for communities to strive towards ODF.

In addition, these workers have been shown to be less costly than field workers for CATS in other programme areas. This is because there is no need to provide them with transport, and their multi-faceted role means that their cost can be shared across other sectors.

Intervention description - developing a model of success

LEARNING FROM PAST EXPERIENCES

UNICEF Haiti modified their approach in the southeast through a conscious effort to learn from the successes and challenges they had faced in previous years of CLTS implementation. They led a review, convening sector meetings and commissioning evaluations of their CATS programme to better understand

the key barriers faced to reaching ODF. Based on the lessons from these reviews, the key changes made for the southeast programme included: an increased emphasis on local capacity building, to ensure more effective delivery and sustainability; a more strategic selection of which communities to support; and the employment of field workers who come from the target communities.

CAREFUL SELECTION OF COMMUNITY-BASED FIELD WORKERS

The 98 local 'community agents' employed by the Kore Fanmi initiative come from their target communities. Their role is a multi-faceted one, involving behaviour change initiatives and referral to basic services. Working with approximately 150 households each, the community agents work with each household to prioritise a set of objectives and a plan for how to achieve them. The workers were pre-selected through consultation with influential leaders who referred them for the recruitment process, which included exams and interviews.

STRATEGIC SELECTION OF COMMUNITIES

A local review of past CLTS and CATS implementation, and experience from other countries, showed that the approach is most appropriate for small communities, often in rural areas. It also showed that it is important to start implementing the programme in areas where the practice of OD is high, and where communities have little to no experience of receiving subsidies for sanitation.

Until 2015, communities containing 250 to 1000 households were triggered – with limited success. The communities in the southeast however have a much lower average number – 65 households. Additionally, most communities had little to no experience of previous sanitation programmes – and virtually no experience receiving subsidised sanitation.

Table 2: Cost comparison of field workers across programme areas

	PROGRAMME AREA		
	Southeast	Plateau central	Artibonite
Cost/month (US\$)	200	150	1000*
Responsibilities	WASH/Nutrition/Health/Protection	WASH	WASH

* The 'community mobiliser' (field worker) covers one local government area, which usually includes around ten communities with approximately 500 households in each community. Source: UNICEF Haiti



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VULNERABILITY ANALYSIS AND FOCUSED FOLLOW-UP

A thorough baseline survey is conducted in each community at the start of the programme, followed by an analysis to rank households by their level of vulnerability. This focus on vulnerable households is a key component of the Kore Fanmi initiative, which previous implementation models did not include. The most vulnerable households are prioritised for follow up by the field workers and provided with additional support as needed.

ONGOING CAPACITY BUILDING TO IMPROVE THE QUALITY OF FACILITATION

The southeast programme focused on starting small; solidifying the quality of delivery and the capacity of the CATS team before expansion to other areas. This differed from their past programme experiences. An initial set of 18 communities was chosen, with the intent of developing the skills of the facilitators,

and learning how the implementation of the programme works in the field prior to triggering more communities. These facilitators were also provided additional capacity building support, which differed from the past approach of conducting only an initial five-day training. The initial training was held in July 2015, followed by a ‘refresher’ training in March 2016. These trainings are complemented by ongoing coaching support from the local agent supervisors and peers. Supervisors also accompany agents to the field for triggering, for quality assurance.

Challenges

The CATS programme in Haiti currently faces several significant challenges.

A FRAGMENTED SANITATION SECTOR

The sanitation sector remains fragmented, despite the efforts of DINEPA, the water supply and sanitation directorate, to consolidate relevant roles and programmes. Some mechanisms

for sanitation coordination exist, such as the national coordination platform, but a similar platform does not exist at the local government level to coordinate actors in the field. This fragmentation and limited coordination with government has contributed to prevailing practices of subsidising household toilets, significantly affecting progress in some communities where CATS is implemented. Because of a lack of coordination, particularly with local government, there is a perception that CATS implementation is NGO- rather than Government-led.

LIMITED LOCAL GOVERNMENT CAPACITY AND INVOLVEMENT IN CATS

Government capacity to implement CATS is severely limited. DINEPA does not have adequate field staff – employing only two water technicians per local government area. Sanitation is technically included in their responsibilities, but it is often not prioritised. Although the Ministry of Health and Population has senior and junior sanitation officers, who sometimes carry out sanitation activities, they are not based in communities – and not all the posts are filled due to limited Government funding. Financing for sanitation is also reliant on external rather than Government support; field staff are often paid by the NGOs that deliver most of the services to communities. Since staff from DINEPA and the Ministry of Health and Population are already limited in numbers, they have limited availability to go to the field, making it difficult to organise the currently centralised ODF verification process. Meanwhile, local authorities, including the mayor, the local assembly and its advisors play a primarily ceremonial role, with most lacking interest in sanitation. This limited local government involvement is a key obstacle for the programme, making it extremely difficult to go to scale.

VARIABLE IMPLEMENTATION QUALITY

While the southeast programme has seen tremendous success, the quality of implementation remains variable in other UNICEF supported programme areas. The programme in Artibonite region for example is far less successful, with an ODF conversion rate of only 15%. The challenges in these areas include inadequate breakdown of communities into smaller components for triggering, inadequate engagement of influential leaders, and limited participatory monitoring and community ownership. The skills for facilitation have also not been as developed as in the Southeast, and further support to develop quality facilitators is required.

LACK OF HARMONISED, NATIONAL MONITORING SYSTEM

It is currently not possible to know how many communities have been triggered in Haiti, how many are ODF, or how many people are living in ODF communities. Although DINEPA attempts to consolidate information from partners, they are not always aware of who is implementing which programme in which area, and what results have been achieved. The provision of progress reports to DINEPA or to local government authorities is often driven by NGOs: it is not requested by Government for the clear purpose of making or deciding policy. A lack of focus on the importance of monitoring information makes it difficult to understand the progress towards eliminating OD – and perhaps more importantly, which areas are lagging behind and may require further support.



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Lessons learnt

Multiple lessons have been learnt from the Haiti CATS programme.

DOCUMENTATION FOR ADVOCACY AND LEARNING

As described above, the limited availability of data has made it difficult to understand the progress of CATS implementation. The lack of evidence available on the various outcomes of the programme made it harder to garner support from Government. UNICEF Haiti has increased efforts towards documenting their work, starting with the programme in the southeast. This documenting will not only support advocacy for government buy-in, but also enable the dissemination of good practice and learning, in order to improve effectiveness in programmes across the rest of the country. UNICEF is also supporting DINEPA and the national sanitation platform to develop a monitoring system for all partners working on CATS, which will contribute to understanding the effectiveness of the approach throughout the country, as well as demonstrating which programme areas are achieving good results for the sector to learn from.

TRANSFERRING OWNERSHIP TO COMMUNITIES

Sanitation committees, formed after each triggering, are key drivers to achieving ODF – but they have not always taken the lead in CATS. In many instances, it is the NGO field workers that have driven communities towards ODF achievement. Although field workers create the community action plan and draw the community map with committee members, most committees do not possess the action plan themselves or update it regularly; instead, they rely on their field worker to oversee the plan and provide them with direction. Additionally, although committee members follow up with households, the results are simply reported to the field worker; the community map, for example, is not updated or displayed for the entire community to evaluate their progress. Gaps like this in participatory monitoring, and the transferring of ownership to the community have been identified as an area for improvement. UNICEF Haiti is in the process of clarifying the role of committee members, and is providing technical support to field workers to better transfer ownership of the ODF process to community members themselves. UNICEF Haiti also plans to organise exchange visits between different programme areas to share lessons and good practice. Community pride in their achievement grows when they receive

visitors from other regions who are keen to learn from them and replicate their success; it is a virtuous circle that motivates them to keep moving forward and supports ODF sustainability.

IMPLEMENTATION OF CATS IN FAVOURABLE CONDITIONS

A major learning with CATS in Haiti is to carefully select communities to support that are appropriate for CATS. Initially, the programme was implemented alongside water infrastructure projects to support the relief and recovery phase after the 2010 earthquake. The size of the communities, as well as the presence of subsidies nearby severely hindered progress, and failed to develop the capacity of actors in CATS facilitation. After reviewing past programmes, UNICEF Haiti changed its approach, becoming more strategic in their selection of communities. They are also focusing on smaller segments of larger communities, in order to implement CATS more effectively. This will not just make the process more manageable from an administrative perspective; it is also hoped that the smaller sub-sectioned communities will have more social cohesion among households, further increasing the likelihood of success.

Next steps

The Haiti CATS programme's next priorities will be to focus on developing the supply side for sanitation, as well as reinforcing the ODF verification process, and supporting DINEPA to develop a national monitoring system.

In terms of the sanitation supply side, the current options for improved toilet designs available for households are severely limited. Although locally available materials exist for construction of pit toilets, most households would rather wait and invest funds at a later date, in order to build an improved toilet made from cement, which is more expensive and more difficult to come by. The options for toilets with little or no cement do not appear to be widely understood. A lack of money is often cited as a key constraint to building a toilet, and households perceive that only more expensive toilets made with cement are desirable.¹⁰ This may have some truth; where local materials are used to build a simple pit toilet, the consolidation of the materials are not durable

¹⁰ Noël, J.R., Delienne, D., Lindor, W. & Brutus, N. 2015. *Formative Research for the Implementation of a Sanitation Response*. Oxfam. Port-au-Prince.



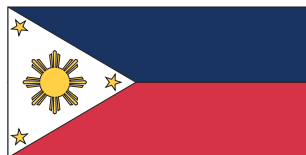
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and the toilets have been known to be susceptible to collapse. It is these sorts of supply side issues that the programme aims to focus on in the future; for example promoting innovation on toilet design, as well as identifying and promoting effective low-cost options. Developing the supply side will also create opportunities to improve on the temporary toilets built after triggering, in order to sustain the practice of using a toilet.

The CATS programme in Haiti cannot move forwards effectively if everyone involved does not have faith in the results. Although DINEPA has endorsed a national ODF verification protocol, staff conducting the actual ODF verification do not always follow it. Indeed, some of the staff are not aware of the verification

protocols or criteria. UNICEF Haiti plans to work towards reinforcing the ODF verification system to ensure that the process is harmonised in the field and that all communities and staff are aware of the criteria.

The lack of a national monitoring system for CATS is also a key challenge. The programme must be able to demonstrate its successes – and also where more support is needed. To this end, UNICEF is already working with DINEPA and the national sanitation coordination platform to develop a national monitoring system. They also plan to work towards setting up an accompanying system to collect and consolidate the data on a regular basis from all CATS implementers across the country.



PHILIPPINES FIELD NOTE



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Key CATS indicators

PHILIPPINES CATS SUMMARY INDICATORS - UNICEF PROGRAMME AREAS			
Status	1	Start of UNICEF CATS programme	2012
	2	Total number of people practicing OD	7.4 million
	3	CATS spread: % of country where CATS is being implemented	18%
	4	CATS in urban areas (Yes/No)	Yes
	5	CATS coverage: number of major organisations	21
	6	Population living in ODF communities	1,118,775
	7	Number of communities mobilised for ODF	1249
	8	Average number of households in communities mobilised	337
	9	Number of communities certified ODF	1026
	10	Number of districts/municipalities certified ODF	16 (nationwide 20)
	11	Is CATS integrated with other sanitation approaches?	Yes
	11a	Which approaches is CATS integrated with?	Sanitation marketing, mason training, WASH in Schools and in early childhood care and development centres, hygiene/handwashing
Enabling environment	12	Sub-national/micro-planning for ODF implemented & led by local government	Yes
	13	Harmonised ODF verification and certification system in place	Yes
	14	Number of active, master trainers/facilitators for CATS	220
	15	CATS in government policy	Yes
	16	National strategy in place to achieve ODF (eliminate OD)	Yes
	17	Target year for nationwide ODF	2022
	18	CATS financed by government (Yes, no, partially?)	Partially
Effectiveness	19	Presence of harmonised monitoring system (at national level)	No
	20	ODF success rate (number of triggered communities that have achieved ODF status)	82%
	21	Sustainability: % of communities with ODF status sustained	Not available

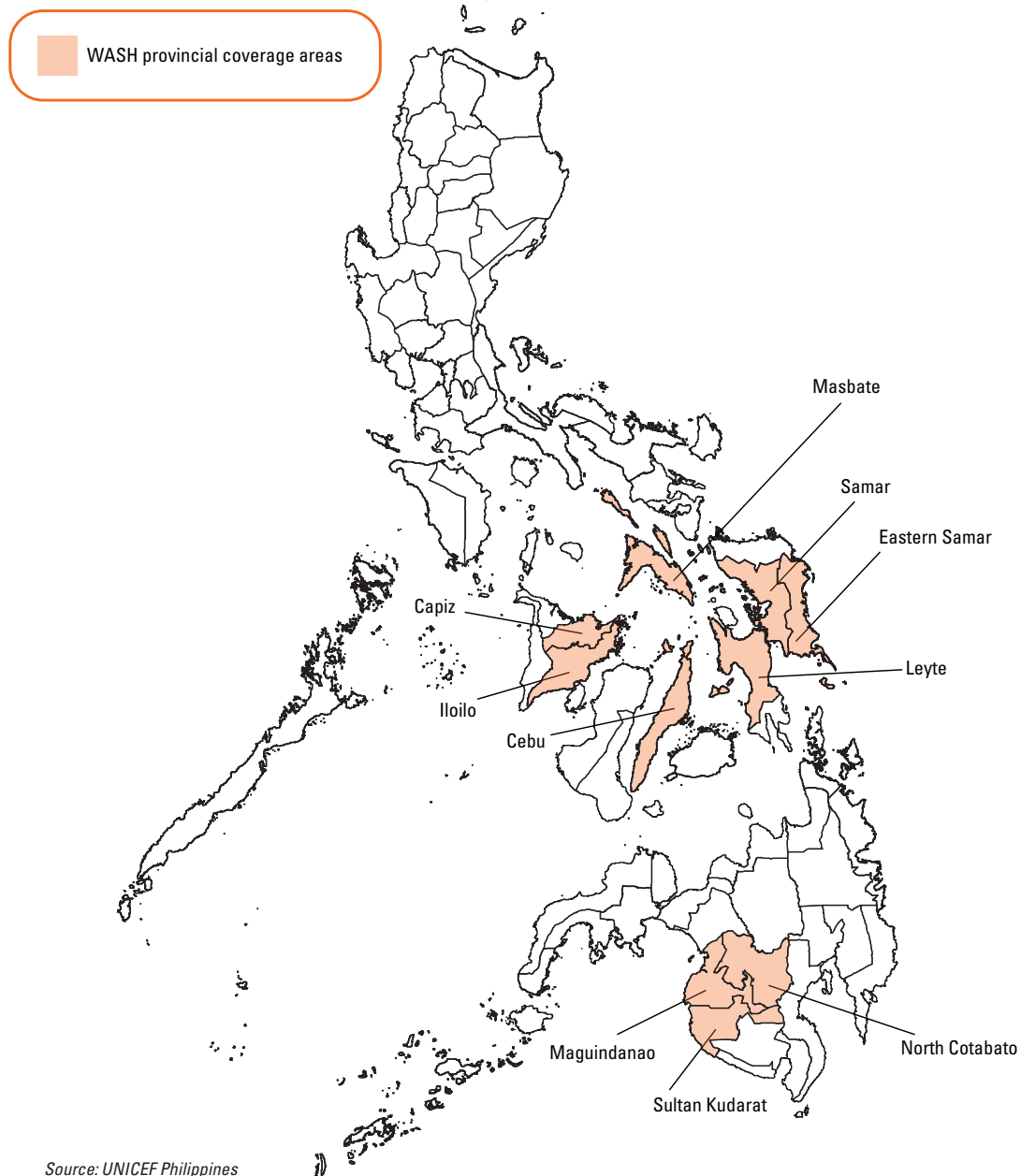
Source: UNICEF Philippines

Country context

PHILIPPINES COUNTRY CONTEXT	
Region	EAPRO
Total population	100,699,000
Urban population	44%
Urban population growth (per year)	1.80%
Population density	330
Gini co-efficient	43
GNI per capita (US\$)	3500
Income classification	Lower middle income
Population living on US\$ 1.90 per day	13%
Stunting	30%
Under-5 mortality	28
Life expectancy at birth	68
Hazards	Typhoons; cyclones; landslides; active volcanoes; destructive earthquakes; tsunamis; conflict; floods

Source: UNICEF Philippines

Spread of CATS in the country

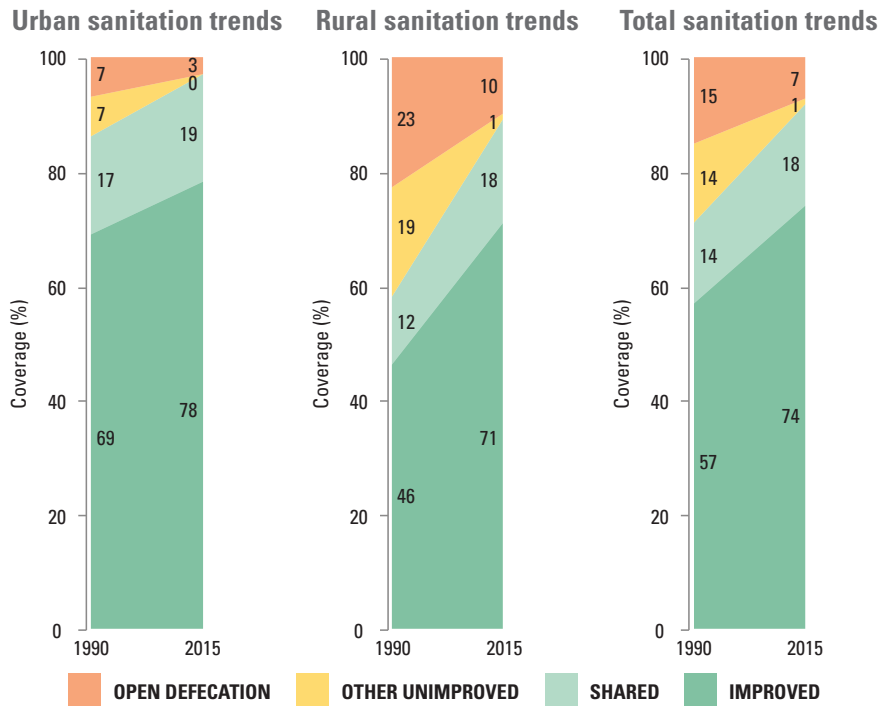


Sanitation coverage estimates

PHILIPPINES	SANITATION COVERAGE ESTIMATES					
	Urban(%)		Rural(%)		Total(%)	
	1990	2015	1990	2015	1990	2015
Improved facilities	69	78	46	71	57	74
Shared facilities	17	19	12	18	14	18
Other unimproved	7	0	19	1	14	1
Open defecation	7	3	23	10	15	7

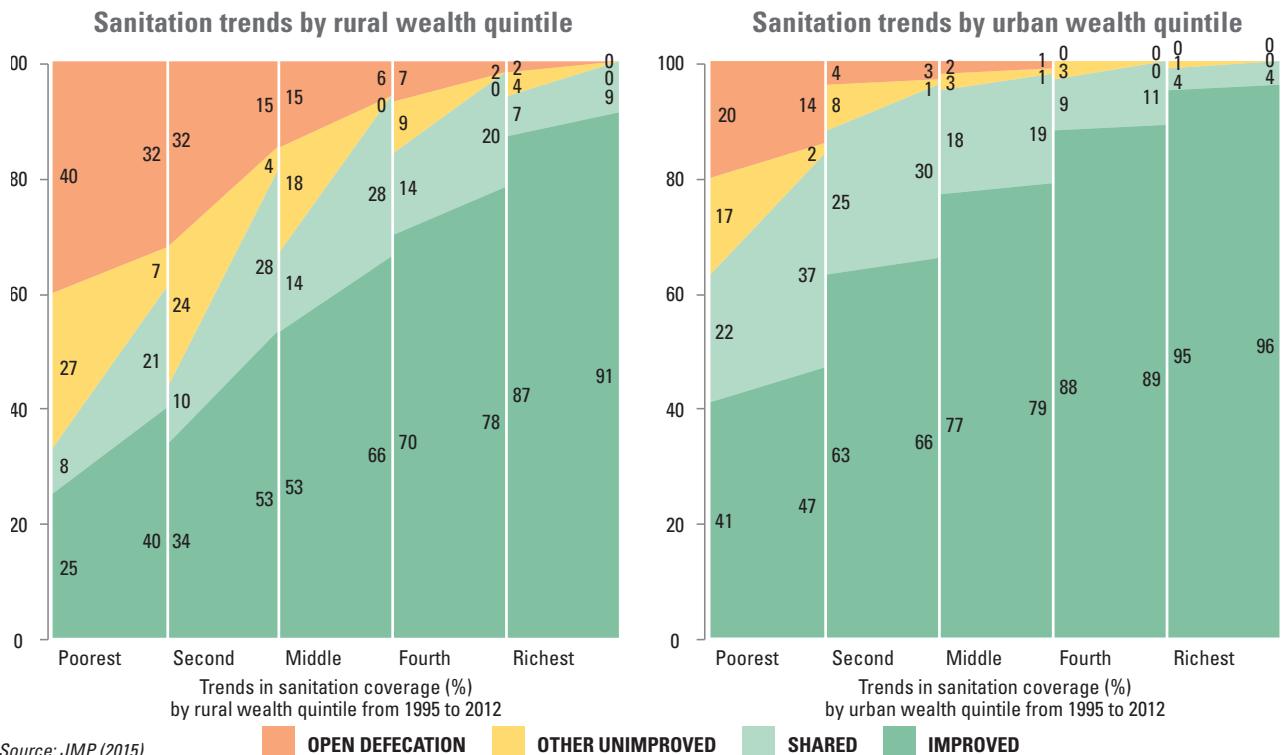
Source: JMP (2015)

Philippines sanitation trends



Source: JMP (2015)

Philippines sanitation trends by wealth quintiles



Source: JMP (2015)

The rate of ODF achievement in the Philippines was accelerated with UNICEF support from mid-2012 to mid-2016 through the CATS programme, locally known as the Phased Approach to Total Sanitation (PhATS). The programme is being implemented in the provinces of Masbate and Cotabato (known as ‘the development’ programme), and in areas affected by Super Typhoon Haiyan 2013, which affected more than 14 million people¹¹ (referred to as the ‘humanitarian’ or ‘emergency’ programme).

In 2012, 36 communities were declared ODF nationwide. By 2016, the number had increased dramatically: 1026 communities were declared ODF in UNICEF-supported areas. The scale of this success is clear; 16 entire municipalities supported by UNICEF, and another four municipalities supported by the World Bank’s Water and Sanitation Program (WSP) have eliminated open defecation.

The number of additional people living in ODF communities through UNICEF support as of 2016 was approximately 1.1 million people. This represents an overall programme success rate of 82 per cent; a significant increase from the initial 17 per cent success rates realised in the sector prior to 2012.¹² This has helped build the case for PhATS as a successful model; demonstrating that demand creation via CLTS, combined with support to strengthen WASH governance at the local level, is a viable approach to addressing open defecation in the Philippines.

The PhATS programme is also pioneering a model for moving communities up the ‘sanitation ladder’. As shown in Table 3, by mid-2016, 293 communities made up of 259,578 people were certified as living in ‘Sustainable sanitation communities’ (G2).¹³ Communities can only be certified as G2 with evidence that they have a sustainability monitoring system in place. This means that to attain the second highest level of certification, refraining from OD must continue to be reinforced and monitored. The Philippines has thus shown that in some programme areas, communities can sustain their ODF status and, where needed, improve their sanitation facilities with appropriate support and follow-up. In the Haiyan-affected communities programme area, nearly a third of its population are now living in a certified sustainable sanitation communities. The pathway to G2 status provides a focus for the community to continue collective improvements, though admittedly success rates converting G1 (ODF) to G2 communities still need further improvement.

Another key element of PhATS is diffusion: scaling up the programme through encouraging municipalities to take on the approach, with their own resources, in the planning and delivery of the programme. In both the development and humanitarian programme, government resources were leveraged for sanitation. UNICEF provided initial technical assistance and support for WASH governance to selected municipalities, who then implemented PhATS using their own funds and with municipality staff (see box on the Arakan).¹⁴

11 UNICEF. 2014b. *UNICEF Annual Report 2013*. New York.

12 UNICEF East Asia and Pacific Regional Office. 2013. *Community-led Total Sanitation In East Asia and Pacific: Progress, Lessons and Directions*. Bangkok.

Table 3: PhATS results 2012-2016

PHILIPPINES KEY RESULTS				
Indicator	Program area			Total
	Masbate	Cotabato	Haiyan	
Communities triggered	64	62	1123	1249
Communities certified G1: ODF	34	55	937	1026
Communities certified G2: Sustainable sanitation	2	5	288	295
Success rate - G1: ODF	53%	89%	83%	82%
Number of people living in G1: ODF communities	59,961	102,576	956,238	1,118,775
Success rate - G2: Sustainable sanitation	0%	9%	31%	29%
Number of people living in G2: Sustainable sanitation communities	0	5395	254,183	259,578

To date, municipalities in Masbate and Cotabato provinces have led 40 per cent of interventions after triggering. In total, municipalities have directly funded and supported over 51,000 people to reach ODF,

13 Known as G2 within the PhATS framework, described in more detail below.

14 Montales, E. 2016. Arakan Experience in the Implementation of Phased-Approach to Total Sanitation (PhATS). Presented at a donor meeting with Unilever on 8 August 2016.

and over 1200 people to reach G2 sustainable sanitation status. All seven municipalities that UNICEF worked with in the development programme have now included PhATS implementation and ODF targets into their Annual Investment Plans, which secures allocation of funds for sanitation. In the Haiyan-affected areas, 38 out of the 40 partner municipalities have also developed risk-informed WASH plans and integrated these into their Annual Investment Plans. Government investments were made for sanitation staff salaries, including to reward ODF achievements, for transportation and facilitator training, and for general programme implementation¹⁵. One municipality also provided rewards for communities that achieved ODF. The

Table 4: Municipality-led implementation with UNICEF technical support

PHILIPPINES SUMMARY OF MUNICIPALITY-LED IMPLEMENTATION			
Indicator	Program Area		
	Masbate	Cotabato	Haiyan
Communities triggered	23	26	7
Communities certified G1: ODF	5	26	7
Communities certified G2: Sustainable sanitation	0	1	0
Success rate - G1: ODF	22%	100%	100%
Number of people living in G1: ODF communities	5418	41,979	4454
Success rate - G2: Sustainable sanitation	0%	4%	0%
Number of people living in G2: Sustainable sanitation communities	0	1202	0

rewards ranged from 20,000 to 50,000 Filipino pesos (approximately USD\$413 to \$1033) for the first three communities certified ODF, and 10,000 pesos (approximately \$207) for subsequent communities certified ODF. The capacity of municipalities to implement CATS has also been improved, and CATS 'champions' have been forged among Local Chief Executives (also known as mayors)¹⁶.

15 UNICEF East Asia and Pacific Regional Office. 2015. *Second Review of Community-Led Total Sanitation in the East Asia and Pacific Region*. Bangkok.

16 Ibid.

Arakan municipality's commitment to PhATS

Arakan is a model municipality in Cotabato that has institutionalised support for PhATS. It eliminated OD in all its 27 communities with support from UNICEF's implementing partner Action Against Hunger. They have an active municipal WASH council that meets monthly, while community health workers and sanitation committees continue to monitor sanitation status. After partnering with UNICEF, WASH funding through their Annual Investment Plan has increased: from 300,000 pesos (approximately \$6000) in 2013, to 500,000 pesos (around \$10,000) in 2015. This budget was initially used as counterpart funding for the UNICEF programme, but

was then used to expand its support to an extra 11 communities and to sustain ODF achievements (Montales, 2016). The municipality funds were also used as a reward for communities to upgrade their basic toilets. The Municipal WASH Council was also able to mobilise internal funds – including the Economic Development Fund and from the mayor's budget – as well as external funds from other relevant government agencies including the Department of Interior and Local Government and the Department for Social Welfare and Development. It achieved this through a concerted effort to forge strategic links with other government agencies and development

partners – through public consultation and stakeholder dialogues, by getting involved in local law-making, by working to integrate WASH principles into municipal and community plans, and through the use of updated, local data to justify funding requests (Ibid.).

Moving forward, the municipal WASH council continues to look for opportunities to finance PhATS from a wide range of sources – with the intention of continuing to scale up PhATS and other WASH activities, to sustain the changes achieved, and to move communities to higher levels of sanitation services.

Evolution of CATS programme in the Philippines

UNICEF started implementing CATS in 2012, though CLTS was already implemented on a limited scale in the country since 2008, when it was introduced by the WSP.¹⁷ Prior to 2012, CLTS had limited success rates of 17 per cent, and only 36 communities had been certified ODF. The government continued to distribute toilet bowls, as they remained unconvinced that non-subsidised approaches could be effective in the Philippines. UNICEF developed a comprehensive CATS strategy based on a thorough enabling environment assessment, and learnings from the experience of other implementers, both in the Philippines and other countries. UNICEF Philippines partnered with the Department of Health and WSP, uniting around the common goal of eliminating OD and shifting to a non-subsidised approach. UNICEF took the lead on developing the strategy and the tools for demand creation, while WSP led supply-side development.

The enabling environment assessment recommended that the sanitation sub-sector develop models of success, raise awareness of OD issues, generate political interest in sanitation, and that strategic plans should be formulated at the local level.¹⁸ It was also recommended that coordination and harmonisation be strengthened, as well as implementation quality and monitoring. In essence, the UNICEF CATS programme strategy for the Philippines is based on a theory of change that looked to model sanitation interventions, which could be handed over to local government for scale up with the provision of technical support. It is important to note that these recommendations were made in the context of a highly decentralised governance system, where municipalities have a great deal of autonomy to set development priorities and generate revenue.

UNICEF started the CATS programme, later known as PhATS, in 27 communities in poor, disaster-prone municipalities with low water and sanitation coverage. This took into account the vulnerability of the country to natural hazards and the inequity in sanitation access in the Philippines, where the sanitation situation has worsened among the poorest quintile between 1998 and 2008.¹⁹

17 UNICEF East Asia and Pacific Regional Office (2013).

18 UNICEF Philippines. 2012. *Enabling Environment for scaling up sustainable sanitation and hygiene in the Philippines*. Manila.

19 National Statistics Office Philippines & ICF Macro. 2009. *Philippines 2008 National Demographic Health Survey*. Manila; Romualdez et al. 2011. *The Philippines Health System Review. Health Systems in Transition*. 1(2):1–114; UNICEF East Asia and Pacific Regional Office (2013).

Figure 5: PhATS outcomes

Phased Approach to Total Sanitation (PhATS)

G3: TOTAL SANITATION

Solid waste management system in place covers 100% of households

Septage management plan in place and services accessible to all households

Safe management of animal excreta ordinances enforced

Water quality management plan (water quality testing, water sources / points protection)

Comprehensive WASH plan to sustain services & reinforce positive WASH behaviours

Mechanism to monitor WASH behaviours and availability of WASH services

G2: SUSTAINABLE SANITATION

100% use of sanitary toilets (each household is using its own toilet)

100% availability of water and soap at or nearby toilet

Safe disposal of children's and elderly person's excreta

All schools have at least one sanitary toilet for girls and one sanitary toilet for boys

All government institutions have at least one sanitary toilet

Mechanism to monitor ODF behaviours and sustainability of G2 indicators

Community plan to get to G3

G1: ZERO OPEN DEFECTION

Excreta-free open spaces, drains & water bodies

100% use of hygienic toilets (maximum of three households sharing per toilet)

100% availability of water and soap at or nearby toilet

Safe child excreta disposal

Safe elderly persons' excreta disposal

Mechanism to monitor ODF behaviours

Community plan to get to G2

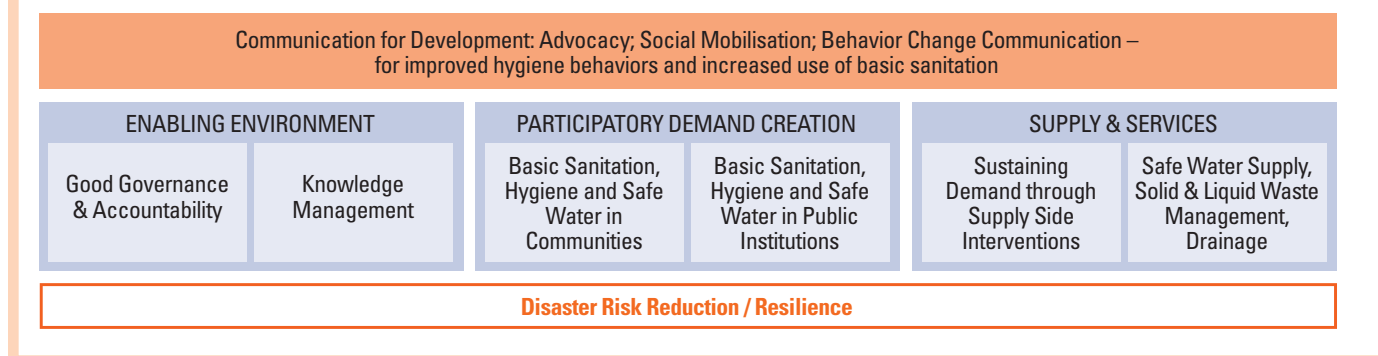
G0: OPEN DEFECTION

Human excreta disposed of in open spaces, drains or water bodies

PhATS supports and is linked well with national policies and programmes. For example the National Sustainable Sanitation Plan (NSSP) goal to achieve the elimination of OD by 2022, delivered mainly via the Department of Health's Zero Open Defecation (ZOD) programme – as well as the annual National Search for Barangay²⁰ with Best Sanitation Practices (NSBBSP), which rewards the sanitation achievements of communities.

PhATS has three levels of achievement starting from ODF (G1) to Total Sanitation (G3) – see Figure 5 above. The phased approach recognises the importance of behaviour change and continuous

20 'Barangay' is the local term for community or village in the Philippines.

Figure 6: PhATS framework

improvements in sanitation services. Rewards and incentives are provided to encourage progressive achievements beyond ODF, to support the poorest and most vulnerable households, and to sustain the results achieved at each level. The PhATS framework has key initiatives required to reach each of these outcomes (see Figure 6).

On November 2013, just a few months after PhATS implementation started in the provinces as part of the initial development programme, the Philippines was struck by Typhoon Haiyan, calling for a large-scale emergency response. Five months into the Haiyan response, the national WASH partnership, which UNICEF co-leads with the Department of Health, began to incorporate the principles of PhATS into the early recovery strategy. As many of the affected population remained in their communities, a response strategy that combined hygiene promotion and community mobilisation with the distribution of materials for communal latrine construction was implemented, to ensure minimum acceptable sanitation conditions across the affected areas. The implementation of these activities resulted in considerable achievements; the response managed to support not just households with storm-damaged latrines, but also those that had no access to latrines before the typhoon. The WASH early recovery programme provided an opportunity to address the issue of open defecation in the affected areas (which was at relatively high rates pre-Haiyan), particularly in rural areas and amongst the lowest income groups.

Large-scale implementation of PhATS occurred under the Haiyan recovery programme, in parallel with the ongoing work in the development programme areas. Developing capacity for CATS implementation was a major priority, as was a focus on governance and advocacy, to engage municipalities to invest in sanitation. The ODF verification process was strengthened, with procedures streamlined and coordinated, and was officially adopted by the Department of Health in early 2015.

The scale-up of the programme was met with dramatic successes; entire municipalities, for example, were verified ODF. The first set of communities also soon achieved G2 sustainable sanitation status, with the Department of Health leading the way, with the development of a protocol for G2 and G3 verification, certification and monitoring in one region. Meanwhile, activities to complement CLTS in the drive to reach ODF and beyond were explored, including training masons to build improved latrines, sanitation marketing, incorporating ODF principles into WASH in Schools (WinS) programming and Early Childhood Care and Development centres, as well as financing options.

Based on the experience of the UNICEF programme and other actors in the sector, a national sanitation learning exchange was convened in early 2016 to exchange ideas and share lessons and best practice for rural sanitation²¹, as well as aiming to identify strategies to accelerate implementation of the NSSP, in support of the achievement of the SDGs.

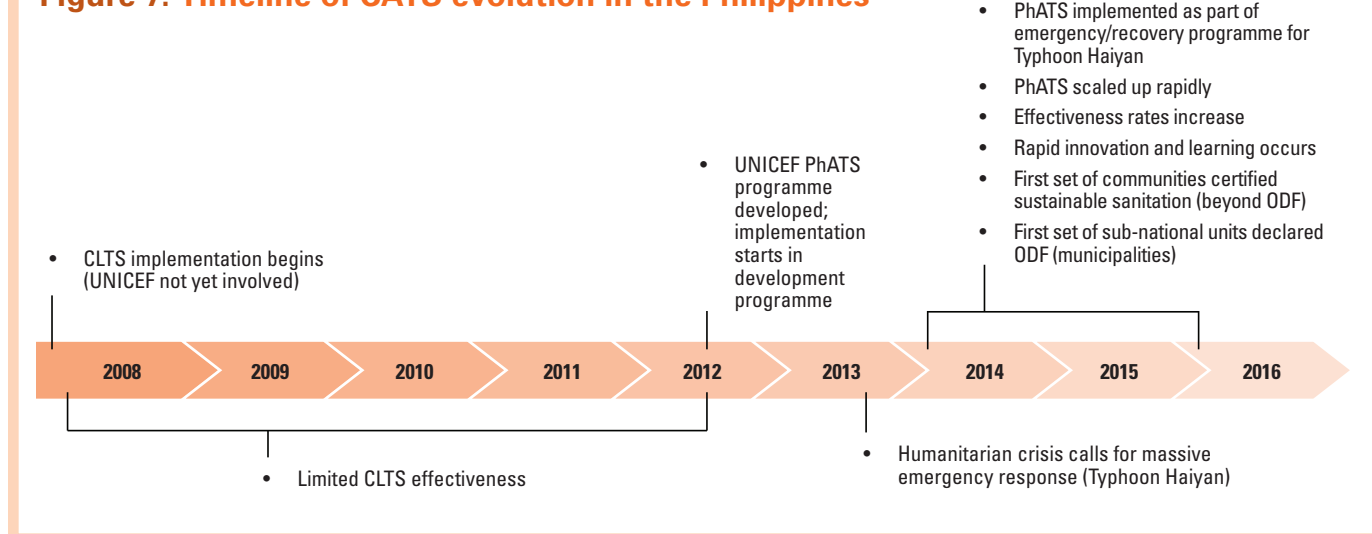
Elements for success

MECHANISMS FOR CONSISTENT LEARNING AND COURSE CORRECTION

Learning and subsequent course correction is a foundation of PhATS – and a key element of the success of the programme. As set out above, several assessments were conducted to develop an appropriate theory of change, which took into account the context and the learning from previous attempts at eliminating OD in the Philippines. A key learning from the country experiences to date was that an early focus was needed on the quality of CLTS training, and on improving facilitation skills. As a natural first step, UNICEF Philippines spoke to CLTS trainers

²¹ For more detail see: Department of Health Philippines, UNICEF, World Bank Water and Sanitation Program & World Health Organization. 2016. *SANLEX 2016. Sanitation Learning Exchange. Accelerating sustainable rural sanitation in the Philippines.*

Figure 7: Timeline of CATS evolution in the Philippines



who had successfully supported communities to reach ODF in the past. It was also found that providing subsidies in the form of building materials after a community has reached ODF and built their own basic toilets was an effective approach for upgrading household toilets. The next iteration of the programme therefore included a component of rewards for communities that achieved ODF. To develop a successful model, a constant and consistent process of understanding the context, trying an approach, then adjusting the programme design based on the feedback from the trial is absolutely critical.

Horizontal learning was also developed between municipalities, which created opportunities for learning exchange based on comparative advantages. For example, municipalities in Cotabato were better skilled in community mobilisation and the verification and certification process, while those in Masbate were more successful at engaging mayors to invest in sanitation. Both municipalities recognised their strengths, weaknesses and the potential to learn from each other – so an exchange visit was organised. Facilitator exchanges were also commonly conducted for training workers in CLTS triggering; experienced facilitators from one municipality coached new facilitators in another municipality. This approach meant a large group of high quality facilitators was developed in a short timeframe.

LEVERAGING EMERGENCY RESPONSE TO INNOVATE AND ACCELERATE RURAL SANITATION

The large influx of funding generated by the response to Typhoon Haiyan presented opportunities to accelerate the drive towards ODF. Prior to the Haiyan response, UNICEF had limited

programme funding for CATS. In the wake of the emergency in Haiyan-affected areas, a large number of facilitators (160 in total²²) were trained within a short timeframe, and were provided with the opportunity to build their skills in the field. The urgency and scale of the emergency response allowed for faster adoption of national guidelines – most notably the ODF verification process. Innovation and experimentation with complementary interventions to CLTS was also made possible with the Haiyan funding, including water quality monitoring, sanitation marketing, development of financing options for poor and vulnerable households, and construction of low-cost septage treatment facilities. In addition, the governance component of PhATS in Haiyan-affected areas, which was adapted from the existing development programme, meant that over 40 municipalities were supported to integrate ODF into their systems for planning and investing – paving the way for implementation of CATS beyond the emergency response. The Health Offices of both Regions 6 and 8 continue to actively promote and monitor PhATS implementation as part of their ongoing sanitation programming.

Intervention description

The ‘Good Governance and Accountability’ component of the PhATS framework is critical to the UNICEF theory of change, which encourages the dissemination and scale-up of CATS through government. The governance approach primarily focuses on developing the capacities of the provincial and municipal governments, and barangay authorities to implement PhATS, while also working with these

22 UNICEF East Asia and Pacific Regional Office (2015).

administrative levels to take ownership and responsibility for sanitation change. Provincial ‘WASH Taskforces’ are the key policy-making body and support structure for municipalities, while municipalities are ultimately accountable for service delivery to barangays. Barangay authorities also play a key role in WASH governance, liaising with municipalities to press for WASH services and mobilise communities for WASH activities. Although much of this work has a sanitation focus, the strategy has evolved to recognise the need for a much more integrated approach to WASH governance, and other WASH activities included in the PhATS pillars framework are also encompassed in UNICEF’s work on governance. This section outlines different initiatives taken by UNICEF to support WASH governance.

INITIAL ASSESSMENT AND CONSULTATION

At the provincial and municipal levels, UNICEF works with the Provincial Health Office and the Municipal Health Office to develop an understanding of the sanitation situation in the province and in the municipality. A similar process of assessing the WASH situation is also conducted at the barangay level with barangay authorities at the start of the programme. The available WASH data is then consolidated to enable clear articulation of specific WASH challenges faced at each level. Consolidation of this evidence has proven critical to engaging influential leaders, particularly municipal mayors, to consider investing in sanitation. At this stage it is also crucial to have an overview of the priorities of the different administrative levels, to get to know the influential leaders, and to map the activities of other sectors so that there can be alignment in approaches and, wherever possible, integration of WASH into existing programmes.

At the municipality level, a combined advocacy and consultation workshop is convened where various stakeholders, including the mayor and members of other sectors, are invited to consider WASH as a multi-sector issue. At this workshop, participants confirm the key WASH challenges faced in their municipality, and then develop a plan to address them. A key goal for this workshop is to convince the mayor to be involved, as they are critical to ensuring that human and financial resources within a municipality are allocated for PhATS.

ESTABLISHMENT OF WASH COMMITTEES AT MULTIPLE ADMINISTRATIVE LEVELS

UNICEF strengthens the support structure for WASH via the creation of WASH committees in the provincial, municipal, and barangay levels to provide oversight for WASH. These committees are known as Provincial WASH Taskforces (PWASH), Municipal WASH Councils (MWASH), and Barangay WASH Councils (BWASH). In the provinces and municipalities, staff from different sectors are brought together to form the committees. At the barangay level, community members are also included in the committee. The roles and responsibilities of these committees are defined through a memorandum of understanding or a local executive order. Their responsibilities include (among others) mobilising communities for ODF, monitoring progress towards ODF, and provision of necessary training for key stakeholders. The PWASH also provides technical support to the MWASH they supervise, while the MWASH supports BWASH members with training and other capacity-building needs. These committees play an important coordination function. They also support other stakeholders working on WASH, including NGOs working in their catchment areas. It is through these committees that annual WASH plans are developed, based on the needs identified in the initial step of assessment and consultation.

ADVOCACY FOR ADDITIONAL WASH BUDGET

UNICEF and its implementing partners, in partnership with members of the WASH committees, continue to advocate for additional budget allocation and utilisation for WASH. At the municipality level, this increased allocation could come through the inclusion of WASH activities in Annual Investment Plans and School Improvement Plans. Funds for WASH are also mobilised through the ‘internal revenue allotment’ from the national level, from programme budgets of different government departments (health, local government, social welfare, etc.), from locally generated revenue, and from NGOs. WASH can also be included in the bottom-up budgeting²³ allocation proposals submitted by municipalities to the national government.

23 Under the new administration, the bottom-up budgeting (BUB) programme has been discontinued from 2017. Although the Joint Memorandum Circular (issue by DILG and the Department of Budget and Management) for the replacement programme – Assistance to Disadvantaged Municipalities (ADM) – states that municipalities can request funds for WASH, the initial project menu only specifically includes water supply projects with no mention of sanitation facilities.

CONDUCTING TRAININGS ON PHATS ACTIVITIES

UNICEF builds the technical capacities of the PWASH, MWASH and BASH members to facilitate the various activities included in PhATS, based on their specific roles and areas of influence. Support is initially provided through a package of different training activities, adapted based on the WASH assessment and priorities exercise mentioned above (see Appendix C for list of key trainings).

ONGOING CAPACITY BUILDING THROUGH COACHING AND TECHNICAL SUPPORT

UNICEF and its implementing partners provide ongoing coaching and technical support to PWASH, MWASH and BASH members after the initial set of trainings to support the practical application of their newly acquired skills. Examples of technical assistance include support for the creation of local WASH policies including executive orders and ordinances, or development of a WASH monitoring system (ideally integrated with other municipality monitoring mechanisms).

UNICEF and its implementing partners also accompany municipality staff in their daily work to provide support for troubleshooting of day-to-day challenges when requested. This might be to accompany municipality staff to a CLTS triggering for quality assurance, or to coach staff to think through creative ways to support communities – in particular to overcome daily, operational challenges commonly faced by municipal staff.

BUILDING OWNERSHIP

In the partnerships developed with provinces and municipalities, a clear commitment is made that PhATS will eventually be conducted in communities outside of the UNICEF programme, under the leadership of PWASH and MWASH. Part of this process involves building the confidence of PWASH and MWASH members in their ability to facilitate and manage sanitation change. This was particularly important as UNICEF prioritised partnerships with the provinces and municipalities possessing the worst sanitation indicators. Advocacy and social mobilisation were thus supported through 'Communication for Development' initiatives, including videos showcasing the results achieved by committed municipalities and mayors. Seeing their staff and themselves in the videos speaking about the sanitation improvements in their

municipality helped strengthen mayors' motivation to continue with the programme. Ownership has been further strengthened by documenting the results and changes in ODF communities, such as decreases in diarrhoeal cases. This process of efficacy building has nurtured local government 'champions', who will help sustain the principles of PhATS and ODF once UNICEF reduces its involvement.

UNICEF aims to gradually phase out direct implementation support once there is evidence that provinces and municipalities are consistently allocating and utilising budgets for sanitation, and when it is clear that municipalities are able to mobilise and support communities to move towards ODF and higher levels of service, all the way to 'total sanitation' (G3).

Challenges

Several challenges have been faced in the Philippines CATS programme.

LACK OF OPERATIONAL PLAN FOR NATIONWIDE IMPLEMENTATION

Although there is strong Department of Health policy backing the elimination of OD, an operational plan does not exist to systematically roll out the approach nationwide. As the department is only responsible for establishing policies and guidelines, and the accountability for delivering sanitation is decentralised to municipalities, the department has found it difficult to establish the systems and processes required to reach all communities. The sanitation sector remains fragmented without this operational guidance in place. Additionally, there is no specific national budget allocated from the Department of Health for the roll out of CATS – although some municipalities have found ways to utilise other sources of funding. A budget does exist for training of trainers up to the regional level, however the Department of Health is unable to monitor whether this training has led to learning being disseminated to lower levels of implementation. Most regions appear unable to train provinces or municipalities. There is also no national monitoring system to track the progress of barangays towards achieving ODF. These barriers, as well as the absence of a national operational plan and the accompanying formal budget, will make it challenging to achieve the national sanitation plan's goal of an ODF Philippines by 2022.

SCALING UP TECHNICAL SUPPORT

Challenges of scaling up technical support in a decentralised country with hundreds of municipalities remain. There is a need to provide simplified guidance and tools to municipalities, and to find more effective ways for municipalities to access the technical support they need. Unfortunately, there is often limited human resource capacity, in particular for environmental health programming, to provide the technical support. UNICEF Philippines is exploring further options on how to provide technical support at scale, including through developing the capacities of Department of Health officers at the regional and provincial levels to support PhATS.

DIRECTING MUNICIPALITY SUBSIDIES TOWARDS SMART FINANCING

Despite increased awareness of PhATS and the ODF programme, some municipalities continue simply to provide subsidies for toilets. The challenge therefore is how to persuade these municipalities to channel their funding in a way that better incentivises good sanitation behaviour, and encourages collective action. In UNICEF areas implementing the phased approach, it has been agreed that municipality distribution of toilet bowls, materials, or cash rewards will only come after ODF certification – which represents good progress in addressing this challenge. UNICEF has also started engaging municipalities to direct their funds towards purchasing toilet components through the sanitation marketing programme, where this is in place – addressing market gaps and expanding access to affordable sanitation. It is recognised however that further evidence of when and how to best direct these subsidies is needed in order to convince decision makers and influence policy guidelines.

PROVIDING SUPPORT BEYOND G1

Moving communities from ODF to G2 and G3 requires engagement of stakeholders outside of the community, and therefore requires longer-term planning and investments. For example, septage and solid waste management require municipal and even provincial level planning with multiple stakeholders, more resource requirements, and a longer lead time to set up the adequate systems for service delivery. Sanitation marketing programmes take time to establish and to begin to achieve results at any sort of scale. The challenge is thus for municipalities to develop and plan ahead for the capacity and services that need to be in place



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to move communities from G1 to G2, and then G2 to G3, without losing focus on the behaviour change that is generated by the achievement of ODF status. UNICEF still needs to generate further evidence of what support municipalities and provinces need to enable communities to graduate through each grade.

ACHIEVING TRULY ODF COMMUNITIES MAY BE MORE CHALLENGING THAN WE THINK...

Despite the significant increase in sanitation coverage in the Haiyan-affected areas, a recent endline survey conducted for the Haiyan response indicated that OD continues to be practiced in some communities that have been declared ODF – even within households that have an improved sanitation facility. The most commonly reported reasons for continuing OD were related to a lack of available toilets or a lack of household toilet ownership, with access to shared toilet facilities considered an undesirable solution. However, focus group discussions indicated various other factors that might also be contributing to the problem, such as a lack of water availability, perceptions that open defecation by small children is acceptable, and a lack of sanitation facilities when people are not at home.

Although similar studies have not been carried out in the other programme areas implementing PhATS, some of the same issues have been identified through programme monitoring – which would indicate that further adjustments in messaging



69 year old, blind male living alone, Angelo Escobar, from Barugo municipality, Leyte Province, Philippines. He was chosen by the community to receive support so he would no longer have to share a latrine with his neighbor. Angelo lives in Barangay Bukid, a Typhoon Haiyan affected community that has achieved Zero Open Defecation status.

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and programme design are needed. In particular, by ensuring the communities are encouraged and supported to continue improving sanitation practices and facilities, as well as reducing the use of shared toilets at the household level, and ensuring access to clean and functioning sanitation facilities in schools, health centers and other government institutions.

Lessons learnt

STRENGTHENING WASH GOVERNANCE

Strengthening the enabling environment for WASH is essential for the work both on demand creation and on building supply and services that have a lasting impact. Advocacy to foster political will and buy-in for WASH at all levels of local government is a core strategy of PhATS. Where this was an element from the start of implementation, there was a positive impact on mayors, demonstrated by the creation of local WASH committees,

the passage of local ordinances in support of WASH, and the development of WASH plans with allocated budgets. However, where partners did not have the right skill set in place, delayed initiating enabling environment activities, or were unable to find an entry point at the municipality level (for example, in areas of Mindanao region where the municipality staff are often not resident in the areas they serve), they have encountered difficulties in building relationships with mayors and in developing local ownership of the WASH programme. UNICEF is beginning to work with two key departments (the Department of Health and the Department of the Interior and Local Government) to develop national policy and guidance to support the scale-up of PhATS. As it does so, it will be important to define the roles and responsibilities of regional and provincial government to engage mayors, and build their enthusiasm and capacity for collecting and analysing WASH data, developing appropriate local policies, and planning and budgeting for WASH.

UTILISATION OF CATS IN A POST-EMERGENCY CONTEXT IS POSSIBLE, WITH ADAPTATIONS

The approach to implement PhATS in the Haiyan-affected areas appeared to be a good strategy – but some modifications were necessary to implement the approach effectively. Trainings were shortened to accommodate the busy schedules of implementing partner staff, and sharing toilets was strongly advocated to communities as a first step to eliminate OD.

A number of implementing partners felt uncomfortable using CLTS in the recovery programme, concerned that the ‘shock and shame’ of CLTS triggering was not appropriate in that context. Alternative social mobilisation and sanitation promotion approaches were used – such as more traditional public health messaging. However, there was limited evidence that these techniques had successfully ignited community-level changes in sanitation behaviours. Overall, CLTS and messages around the social implications of open defecation were found to be more effective than general messaging on health and environmental protection.

Many actors involved also felt that it was unfair to ask households to build toilets without subsidies while they were still recovering from the emergency – so financing was provided in the form of subsidies or materials for toilet construction for a certain proportion of households. Several implementing partners provided additional funds and materials to complement the subsidies agreed with UNICEF. Community-level cash grants were also provided when communities reached ODF (G1) and Sustainable Sanitation (G2) – to be used towards the community WASH plan. Documentation on the impact of the different approaches implementing partners took is currently being consolidated, with a view to guiding future programming.

Next steps

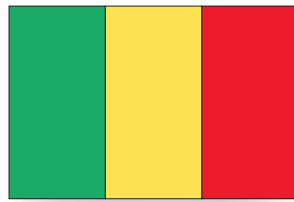
Communities in the Philippines are diverse; UNICEF Philippines will continue building evidence on how PhATS can be applied to different contexts. Significant progress has been made to date, showing that very different communities and municipalities can achieve ODF status. The next step will be to develop modelling that will be effective moving communities from ODF to G2, and on preparing municipalities to move to G3.

Research is being undertaken on the effectiveness of using a voucher system to support households to upgrade their toilet facilities, and the various approaches to providing subsidies during the post-Haiyan experiences are also being documented and reviewed. Documenting and monitoring the effectiveness of the low-cost septage management facilities built in the Haiyan-affected areas will also continue.

Programming is also gradually shifting, away from direct support to ownership at the community level – looking at ways to enable PWSH and MWSH members to effectively support sanitation progress. UNICEF Philippines is now looking at how PhATS can be integrated into the Department of Health’s ‘First 1000 Days’ initiative, which has been identified as a national priority. This includes testing how to strengthen integration of WASH into nutrition programming (in particular to reinforce sanitation and hygiene behaviour change messaging), as well as ensuring the coordination of PhATS and nutrition implementation at the municipality level.

UNICEF Philippines aims to consolidate their work in governance through the development of an advocacy package directed towards politicians at different levels of government. Barangay captains, mayors, provincial governors and regional directors will be the primary target audience of this package, which will include evidence on why sanitation should be prioritised, and an explanation of PhATS and what it can achieve. It will also provide tools to support municipalities to assess their sanitation situation, and provide guidance on the investments required from each administrative level. The advocacy package will be made available to other actors in the sanitation sub-sector, as well as to the different levels of government.

Last but by no means least, advocacy for the adoption of PhATS as part of the national sanitation policy will continue. Consultations are now planned with regional and national sector stakeholders to agree on the contents of the policy, including the overall implementation framework and criteria for each phase of PhATS. To prepare for the policy rollout, accompanying guidance will need to be consolidated and refined, including verification guidelines for each phase – as well as the roles and responsibilities of actors for different components of the programme.



MALI FIELD NOTE



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Key CATS indicators

MALI CATS SUMMARY INDICATORS - UNICEF PROGRAMME AREAS			
Status	1	Start of UNICEF CATS programme	2009
	2	Total number of people practicing OD	1.5 million
	3	CATS spread: % of country where CATS is being implemented	57%
	4	CATS in urban areas (Yes/No)	No
	5	CATS coverage: number of major organisations	25
	6	Population living in ODF communities	1,545,065
	7	Number of communities mobilised for ODF	2,343
	8	Average number of households in communities mobilised	115
	9	Number of communities certified ODF	2,007
	10	Number of districts/municipalities certified ODF	0
	11	Is CATS integrated with other sanitation approaches?	Yes
	11a	Which approaches is CATS integrated with?	WASH Marketing, WASH in Schools
Enabling environment	12	Sub-national/micro-planning for ODF implemented & led by local government	No
	13	Harmonised ODF verification and certification system in place	Yes
	14	Number of active, master trainers/facilitators for CATS	33
	15	CATS in government policy	Yes*
	16	National strategy in place to achieve ODF (eliminate OD)	Yes
	17	Target year for nationwide ODF	2024
	18	CATS financed by government (Yes, No, partially?)	No**
	19	Presence of harmonised monitoring system (at national level)	Yes
Effectiveness	20	ODF success rate (number of triggered communities that have achieved ODF status)	86%
	21	Sustainability: % of communities with ODF status sustained	76%

Sustainability measure: Sustainability measured via sustainability checks conducted every few years.

* Not in sanitation policy but in policy for liquid waste management.

** Some evidence of local governments funding post-ODF follow-up, but on a very small scale and non-systematic.

Source: UNICEF Mali

Sanitation coverage estimates

MALI	SANITATION COVERAGE ESTIMATES					
	Urban(%)		Rural(%)		Total(%)	
	1990	2015	1990	2015	1990	2015
Improved facilities	31	38	9	16	14	25
Shared facilities	35	43	6	10	13	23
Other unimproved	29	17	48	59	43	42
Open defecation	5	2	37	15	30	10

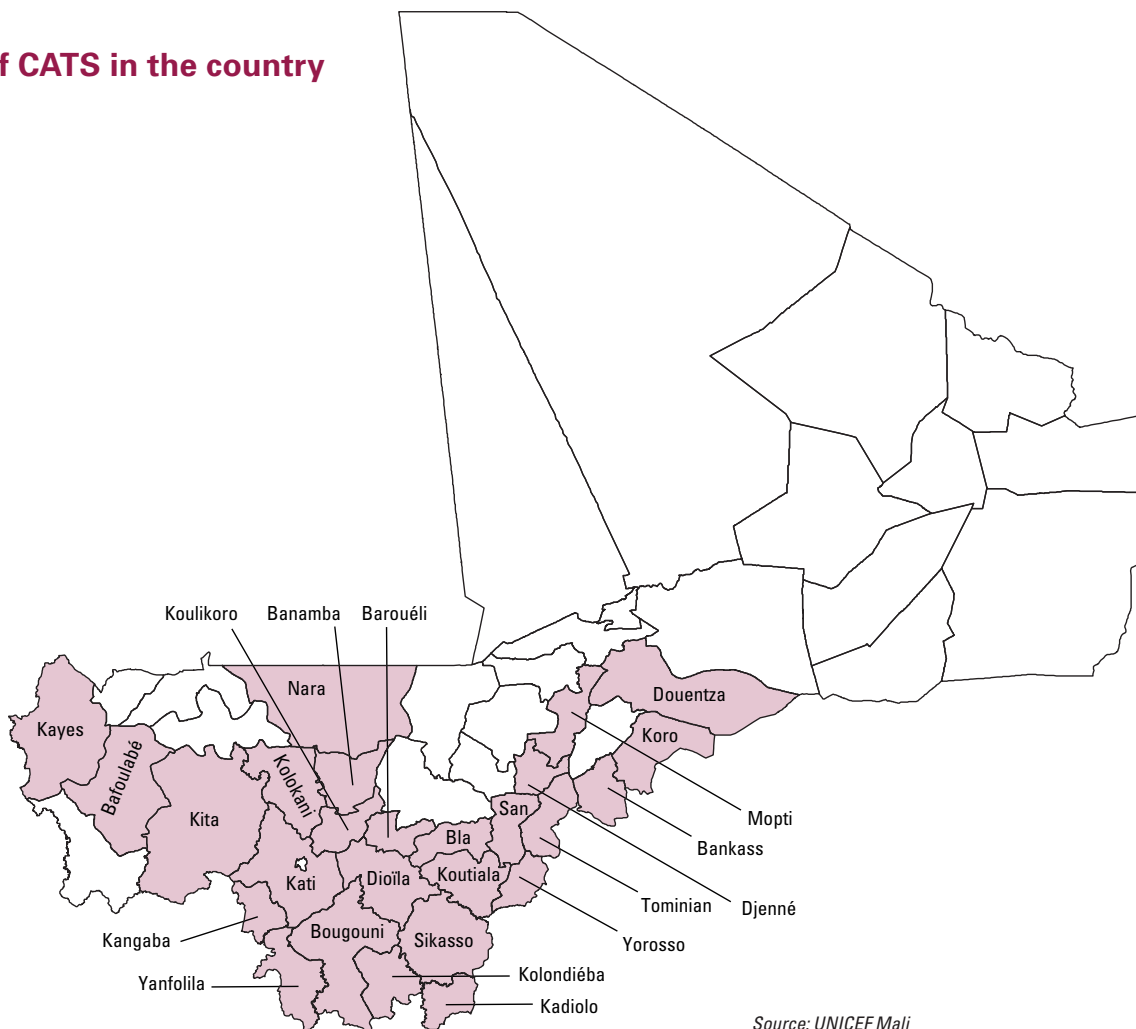
Source: WHO/UNICEF JMP (2015)

Country context

MALI COUNTRY CONTEXT	
Region	WCARO
Total Population	17.6 million
Urban Population	40%
Urban Population growth (per year)	4.70%
Population Density	14.19
Gini Co-efficient	Not available
GNI per capita (USD)	650
Income classification	Low income
Population below international poverty line of US\$1.90 per day	49%
Stunting	39%
Under-5 mortality	115
Life expectancy at birth	58
Hazards	Hot, dust-laden harmattan haze during dry seasons; recurring droughts; occasional Niger River flooding; insecurity (in the North); cholera

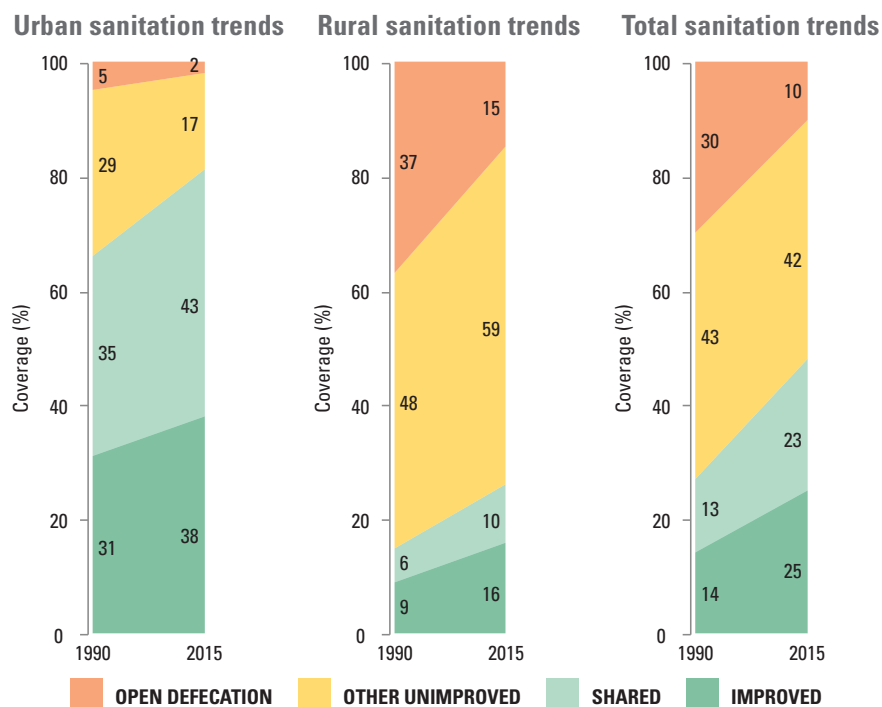
Source: UNICEF Mali

Spread of CATS in the country



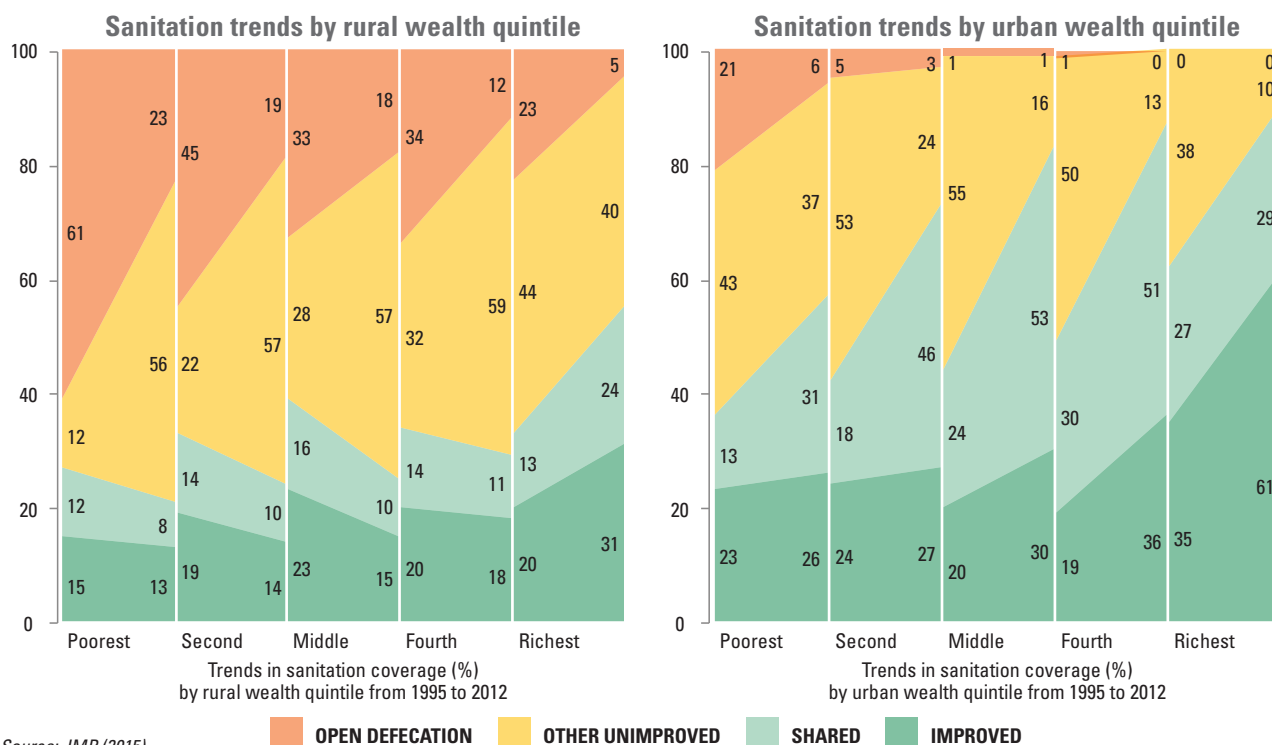
Source: UNICEF Mali

Mali sanitation trends

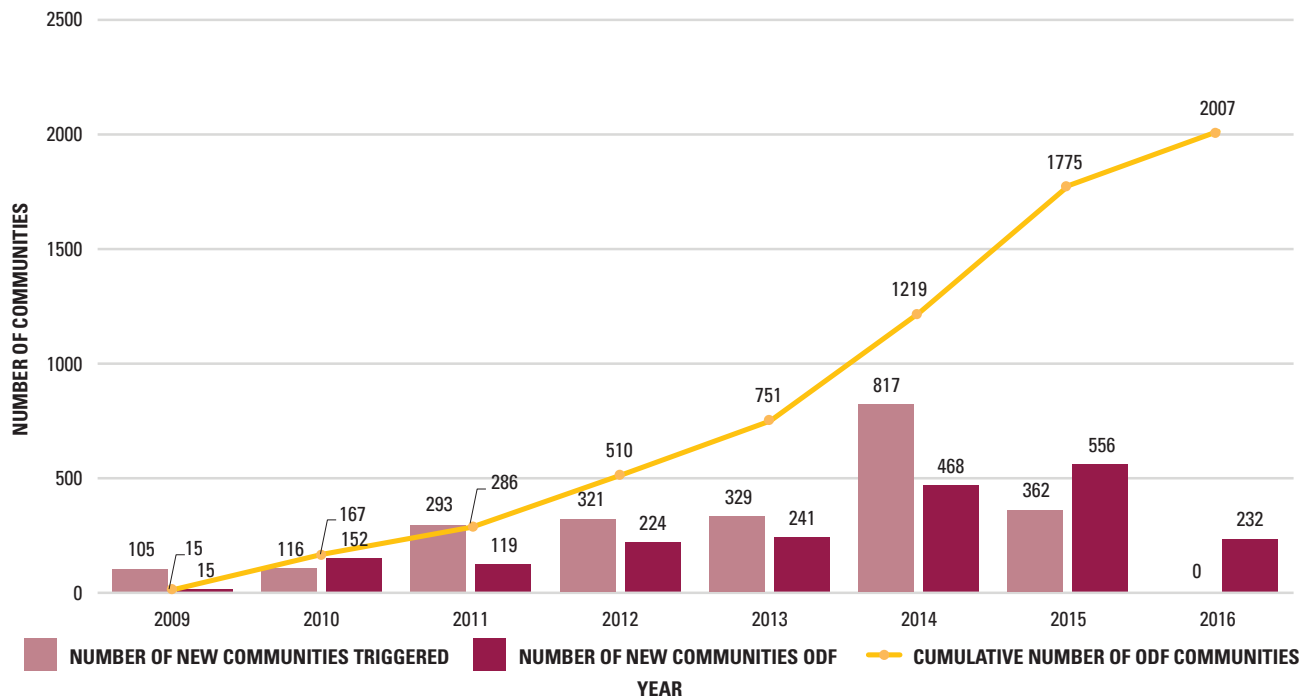


Source: JMP (2015)

Mali sanitation trends by wealth quintiles



Source: JMP (2015)

Figure 8: Progress of the Mali CATS programme 2009-2016

Source: UNICEF Mali

The Mali CATS programme aims to end open defecation – and to sustain the behaviour of using toilets. The nationwide triggering to ODF community effectiveness rate stands at 74%, with 2234 ODF-certified communities out of 3027 triggered. UNICEF has worked directly in 2344 of the 3027 triggered communities (77% of the national total). Among the communities triggered with UNICEF support, the success rate is even higher; 86% of those communities have achieved ODF status. With the help of UNICEF and others efforts, over 1.8 million people in Mali are now living in ODF communities.

The high success rate is partly attributable to the Mali programme focusing its CLTS intervention in areas with favourable conditions.²⁴ These communities have the following conditions:

- Proven practice of OD (with <60% latrine coverage, or higher if there is evidence that OD is practiced);
- A population of between 200 to 2000 people (beyond 2000 people, it is recommended that the community be divided into homogenous and geographically concentrated sections

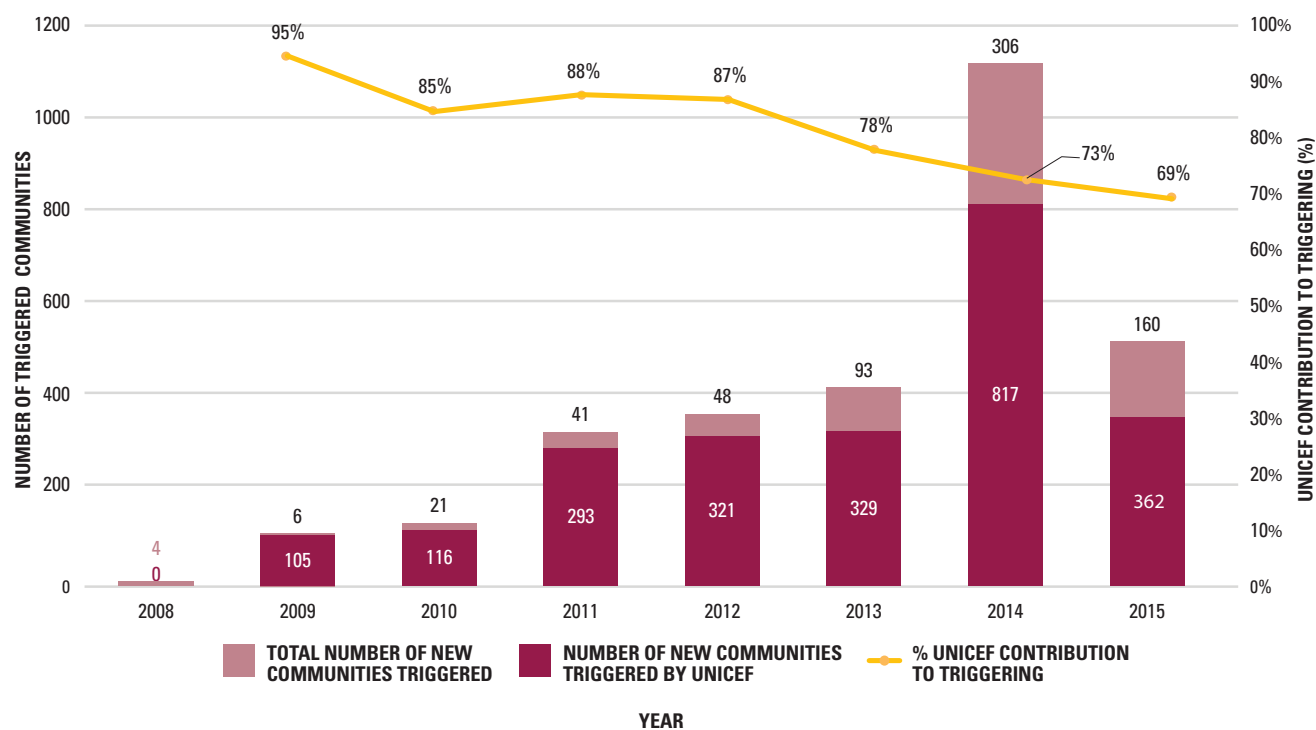
upon the agreement of the chief; each section is then triggered and monitored separately);

- Geographically concentrated households;
- No experience of subsidised sanitation projects;
- No difficult terrains such as rocky areas and areas with periodic floods; and
- Presence of a WinS programme.

The Mali programme has been successful in maintaining a thorough national database for CLTS implementation that measures the progress of the whole programme, as opposed to individual projects. Data has been compiled not only from UNICEF-funded activities, but also activities conducted by other implementing partners, resulting in a national database, which can both aid implementation and help ensure sustainability. It is updated on a quarterly basis, and as new progress is achieved in the field. This creates a robust understanding of the national picture, and helps guide the national department of sanitation and UNICEF to make evidence-based decisions on where to focus funding and support. It also helps understand when areas are struggling to either achieve or maintain ODF status, so that community re-mobilisation may be needed.

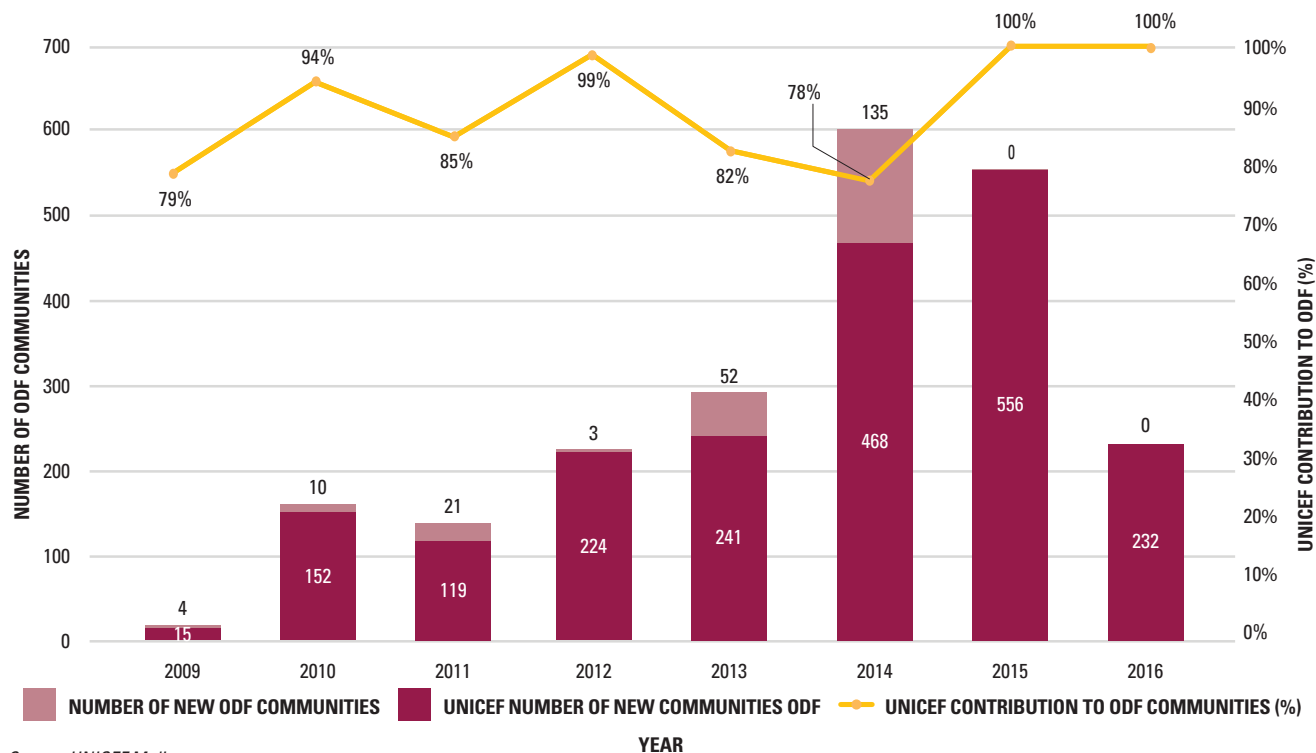
²⁴ National Directorate for Sanitation and the Control of Pollution and Nuisances & UNICEF Mali. 2014. *Implementation guide for Community-Led Total Sanitation in Mali*. Bamako.

Figure 9: UNICEF contribution to CLTS triggering in Mali



Source: UNICEF Mali

Figure 10: UNICEF contribution to ODF communities in Mali



Source: UNICEF Mali

Table 5: Division of roles and responsibilities for CLTS

YEAR	MONTH	STEP	GOVERNMENT/ TECHICAL SERVICE STAFF	MAYOR	NGO			
Year 1	1	Pre-triggering	Situation analysis Facilitate linkages	Informed	Collect data Situation analysis			
	2							
	3	Triggering	Participant					
	4	Post-triggering follow-up	Supervise 1 time per month	Visit each community at least once	Visit 1 - 2 times per week			
	5				Support the committee			
	6				Visit households			
	7	ODF verification	Responsible	Co-responsible	Observer			
	8	ODF certification	Responsible	Co-responsible	Organiser			
Year 2	9	Post-ODF activities and follow-up	Supervise 1 time per month	Visit each community at least once	Visit 1 - 2 times per week			
	10				Conduct information, education and communication sessions			
	11							
	12							
	13				Post-ODF activities and follow-up	Supervise 1 time per month	Visit each community at least once	Visit households
	14							
	15							Train masons
	16							Build capacity of community sanitation committees for sustainability
17								
18								

* The duration of each step is indicative only as they can vary with implementation arrangements.

Source: UNICEF Mali

A key result of the programme in Mali is government oversight for CATS – despite having limited financial and human resources. UNICEF plays a technical assistance role and provided financial resources for implementation, and UNICEF supported the introduction of the approach. However CATS is not seen as a UNICEF programme: it is seen as the primary approach to rural sanitation adopted by the Government of Mali. The government sets the strategy for implementation at the national level and regional levels, and is actively involved in planning for communities to reach ODF at the district level. Government also leads on capacity building; all regional and local technical service staff, regional directors for sanitation, and even the previous national director for sanitation are experienced CLTS trainers. Government also plays a large role in the CLTS implementation database, with all NGOs submitting the information to their local

sanitation directorate, who submit it to regional directorate, who then submit the data for national level consolidation.

UNICEF Mali built on the good working relationships they already had with key government staff to collaborate on the introduction of CLTS across the country. The inclusion of regional directors and the national director for sanitation were critical in building government capacity for CLTS and generating buy-in for the approach. In 2011, when the Government switched from implementation to providing oversight and guidance, their leading role in CLTS was maintained through the clear definition of roles and responsibilities (see Table 5). The table shows how the Government's local sanitation service and the mayor have responsibilities at every step of the CLTS process. The local sanitation service leads the selection of communities

Sustained collective action in Niaré community

Community Niaré in Koulikoro region was the first to achieve ODF status in their local government area. In December 2013 they were triggered to end open defecation. With the support of the Government's local sanitation service, a local NGO named Jigi ('hope' in the local dialect), as well as the mayor, and the community including women and young people, worked together to achieve ODF status within approximately six months. This meant ten new latrines built, 45 latrines renovated – and 459 people living in an ODF community. Every household built or renovated their toilet without external support; in some instances, households helped each other to dig the pits for their toilets. Public toilets have also been constructed in the madrasa (Islamic religious school) in Niaré after the WASH committee (formed during the triggering) requested local people to support its construction.

Towards the end of 2014, the NGO Jigi ceased to conduct activities in the community. However, change has continued beyond 2014. The WASH committee remains active and meets monthly. They came together to agree on how to sustain their ODF status, and create annual action plans, which are endorsed via signature between the committee members and the community chief. The deputy mayor, an influential leader, also visits Niaré on a regular basis to check on the sanitation status of the community. The annual plan includes

provisions for rebuilding collapsed latrines, maintaining the cleanliness of latrines, and ensuring that public areas are clean and hygienic. During the rainy season for example, all households are involved in maintaining cleanliness in the community; young people are particularly instrumental, for example working to fill areas where stagnant water gathers. Community members, including men, women and young people clean the streets every Friday. The community has also come together to work on other aspects of community improvement. For example, they created a garden in the local school to generate revenue for the school.

Although community members conducted cleaning and other community improvement activities on an ad-hoc basis before CLTS, it was not formally organised or planned. The action plans and WASH committee mobilised community members to engage in organised collective action that could be monitored for increased accountability.

The WASH committee and chief have shown their commitment to work together to address additional challenges in their community. The next steps for Niaré are to continue renovating toilets that have collapsed from the rains, and to address the challenge of the collection and disposal of wastewater.

to be triggered, supervises NGOs, gathers progress reports, and conducts verification and certification. They also provide technical advice throughout the process, and even before pre-triggering, through the provision of training for staff from NGOs as needed. In these ways, the Government is seen as leading action on sanitation; its strong sector coordination reduces fragmentation and increases coherence in programming.

The sanitation sub-sector in Mali is well coordinated, in part due to UNICEF's efforts. Prior to CLTS, stakeholders claimed that government was not always consulted before NGOs started implementation in the field. Sometimes, not all the government technical standards were followed. Additionally, there was little to no data available on the sanitation status of communities. The implementation of CLTS changed the situation. With the support of UNICEF, government is at the forefront of rural sanitation activities and is able to coordinate rural sanitation actors through annual review meetings on CLTS. During these meetings, coordination and

collaboration is strengthened, and the harmonisation of approaches emphasised. Information is also more readily available on the sanitation status of communities where CLTS has been implemented, as all sector partners submit data for CLTS to government.

In UNICEF's experience, there is also a sense that achieving ODF improved community cohesion and their ability to self-organise for change: once they have achieved ODF status, communities are driven to continue working together for further community development. The experience of Niaré community in Koulikoro, outlined above, is one example where community organisation and collective action for change was mobilised after they experienced CLTS.

Evolution of Mali CATS programme

Although CLTS implementation started in a handful of communities during 2008, it was not until 2009 that the approach was fully initiated in Mali. A national training was conducted

which included not only UNICEF and government staff from Mali, but also staff from other countries in West and Central Africa. Then the national directorate for sanitation endorsed and adopted the approach, which was a turning point for CLTS in Mali. As CLTS started to produce positive results, the national director for sanitation, as well as several regional directors became national trainers and active champions for CLTS, once they saw how effective it could be in improving sanitation and eliminating OD. In 2011, in the context of limited government staff to implement CLTS in the field, the roles and responsibilities between government staff and their partners were re-defined. Government took a step back from direct implementation, and instead took on the role of assuring quality through coordination, planning, training, supervision, and provision of technical advice.

It was decided that the management of CLTS data was to be led by the regional sanitation directorate, and submitted quarterly to the national directorate, with support from UNICEF. This division of roles and responsibilities between NGOs, technical and financial partners including UNICEF, and government, is based on close collaboration and consistent communication.

In 2012, a randomised control trial began to assess the impact of CLTS in one region of Mali; its findings were published in 2015,

and showed that CLTS succeeded in increasing access to latrines and improving the growth outcomes of children²⁵.

In 2013, the issue of sustainability became central to sanitation sector discussions. UNICEF embarked on a WASH marketing pilot with Population Service International, its private sector partner, with Population Services International (PSI) to address the challenge of ‘slippage’ and collapsing toilets, and engaged SNV, a Netherlands NGO with global experience working in sanitation, to pilot post-ODF reinforcement activities. Both these initiatives were critical inputs into the national post-ODF strategy launched in 2014. Since the strategy was launched, any implementer starting CLTS in new communities integrate post-ODF certification activities into their programming.

Sustainability in ODF is important. But equally, communities that have met challenges and have struggled to achieve ODF should not be left behind. The Mali CATS programme has also worked on understanding the reasons why some communities did not achieve ODF status – remobilising and providing support to them to give them the best chance of achieving ODF in the future.

25 Pickering, A.J., Djebbari, H., Lopez, C., Coulibaly, M., Alzua, M.L., WHO, UN, Kar, K., et al. 2015. 'Effect of a community-led sanitation intervention on child diarrhoea and child growth in rural Mali: a cluster-randomised controlled trial'. In *The Lancet Global Health*. 3(11):e701–e711. DOI: 10.1016/S2214-109X(15)00144-8.

Figure 11: Timeline of CATS evolution in Mali

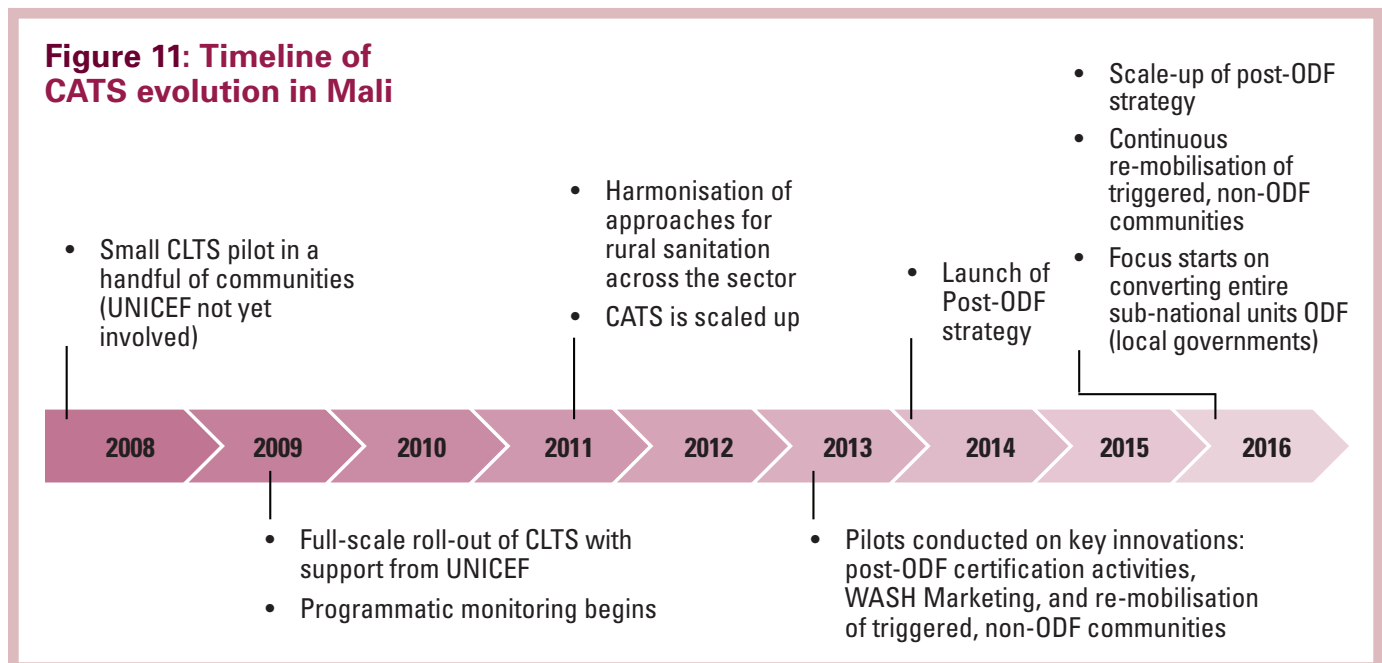
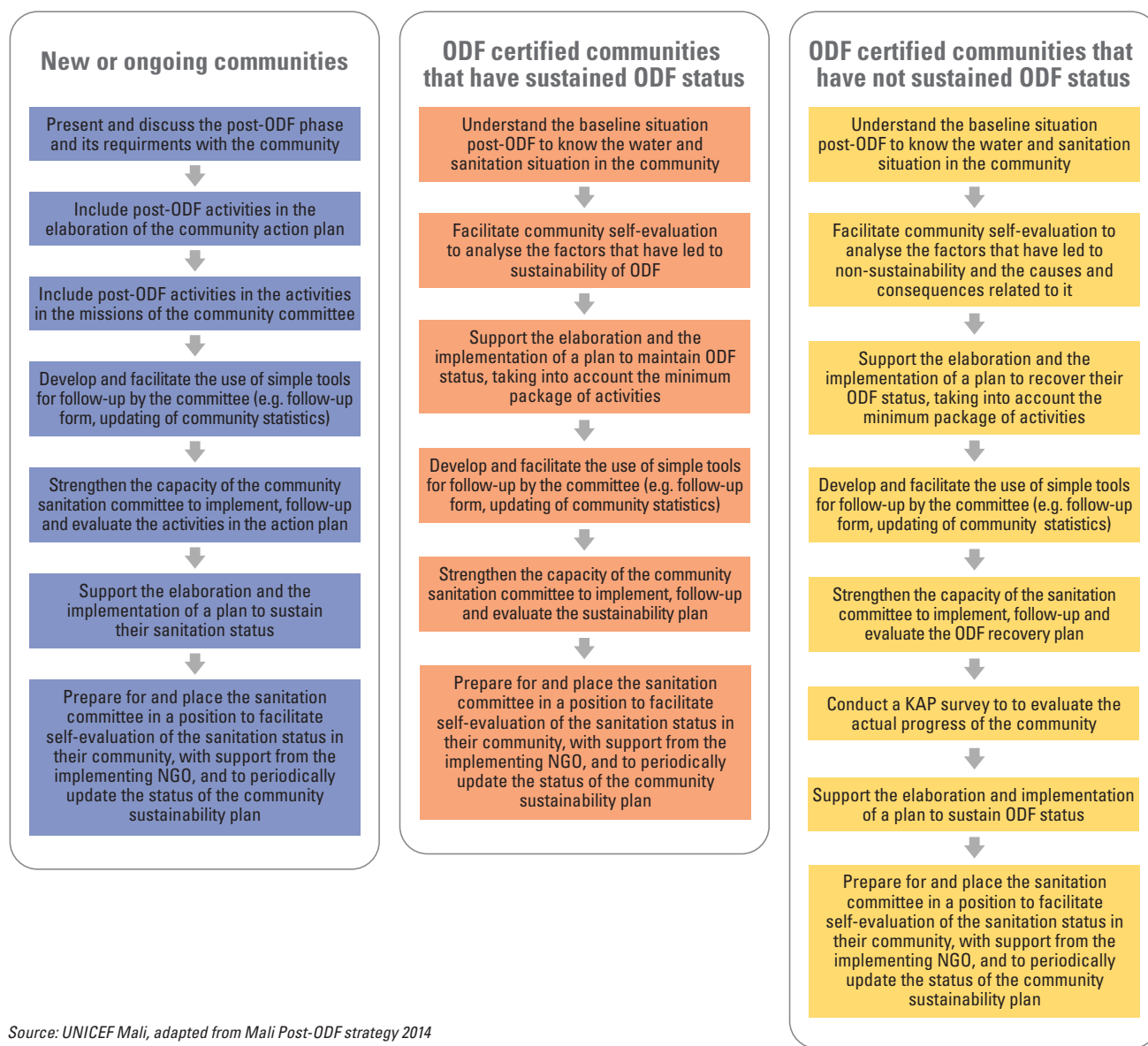


Figure 12: Steps for supporting communities before and after ODF certification in Mali

Source: UNICEF Mali, adapted from Mali Post-ODF strategy 2014

Description of interventions

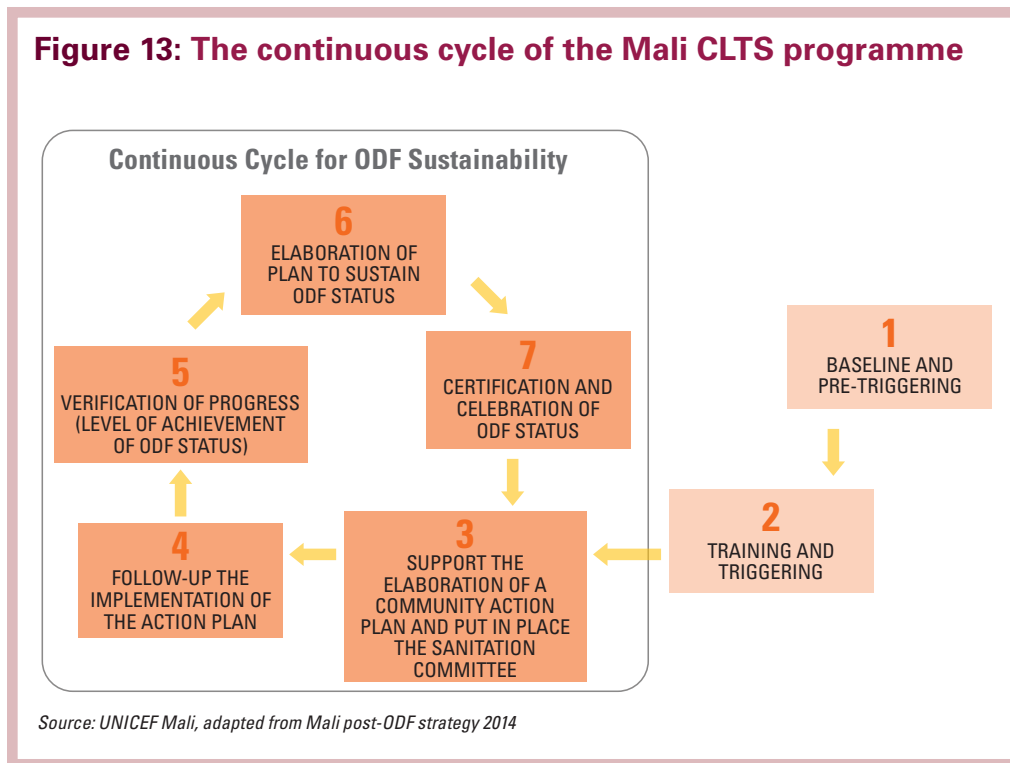
The Mali CATS programme is constantly evolving based on learning from the field though additional initiatives have been included in the sanitation package of interventions, in order to support ODF achievement and sustainability. Two of these initiatives, post-ODF activities and the re-mobilisation of triggered communities that have not yet achieved ODF, are described in more detail below.

POST-ODF ACTIVITIES

In 2014, a post-ODF strategy was launched, recognising that additional support, follow-up, and transfer of competencies to communities are necessary to sustain behaviour change²⁶. The strategy classifies communities into three different types:

1. New or ongoing communities where CLTS is currently being implemented;
2. Communities that have sustained their ODF status; and
3. Communities that have not sustained their ODF status.

²⁶ National Directorate for Sanitation and the Control of Pollution and Nuisances. 2014. *National Post-Certification Strategy*. Bamako.



Different steps are taken to support communities based on their classification, as shown in Figure 12.

The Mali CLTS programme is considered as a cycle that does not end with ODF certification; it continues over time to sustain ODF (see Figure 13).

As can be seen, the steps outlined are a continuous cycle. During the initial phase when communities have just been triggered, the steps are similar to the CLTS process and the goal is to achieve ODF. The objectives of the post-ODF phase are to:

- Maintain the sanitation standards achieved upon ODF certification;
- Improve on toilets built for sustainability;
- Ensure the maintenance of hygienic practices; and
- Transfer mobilisation capacity to communities.

The main objectives for the post-ODF certification phase is threefold; to ensure that communities have a vision for their development, to establish a system to conduct their own self-evaluation and monitoring of ODF sustainability, and lastly to have a plan to maintain their ODF status. There is a similar clearly defined division of roles and responsibilities in relation to post-ODF as there is for CLTS. The distinct activities to be conducted between the pre- and post-ODF phases are outlined in Table 6.

For new partnerships developed after the launch of the post-ODF strategy, UNICEF Mali develops longer agreements for the CLTS process, to include post-ODF certification activities. The first nine months are the 'active' phase, i.e. where activities to achieve ODF are conducted. In the following nine months, if ODF has been achieved, activities to support the sustainability of ODF status are implemented. These activities aim to transfer capacity to the community's sanitation committee to sustain their ODF status and continue to improve sanitation standards for the community. This strategy is still in early stages of implementation, and UNICEF Mali is looking towards reviewing these activities for post-ODF in upcoming annual meetings.

REMOBILISING TRIGGERED BUT NON-ODF COMMUNITIES

In 2014 UNICEF Mali embarked on remobilising communities that were triggered but did not achieve ODF status. In UNICEF Mali's experience, some of the main bottlenecks for ODF achievement among these communities have been inadequate social cohesion, technical challenges that led to difficulties in construction of toilets, and various issues faced by implementing NGOs, which meant they could not offer the necessary level of support.

Remobilising communities involves several steps. The process starts with a community assessment, to understand the status

and specific challenges to reaching ODF in each community. The second step involves the mayor or their deputy, both of whom are influential leaders in Malian communities: with this mayoral support, communities are informed that the CLTS process will resume. Next, the community updates their action plan if they had one, or creates a new action plan, helping to renew their commitment to ODF. Community representatives then present their updated action plan at a local government meeting. Once this has happened, the community is then supported by an NGO to help them achieve ODF.

Communities that were triggered in 2011 and remobilised in 2014 saw positive results: 49 out of 56 communities that were remobilised were

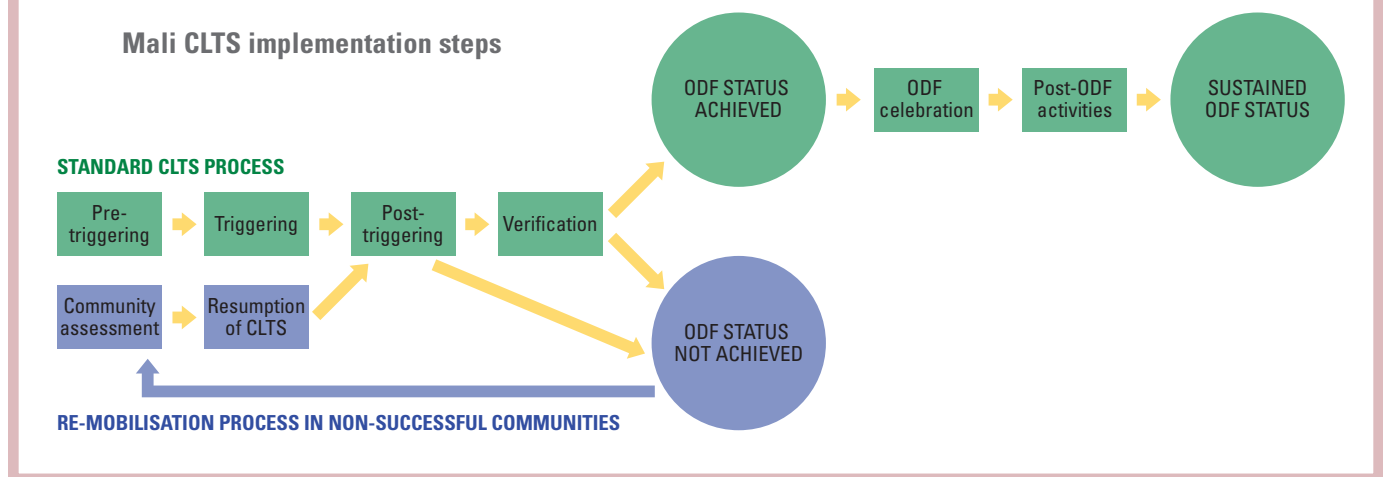
consequently certified ODF. The challenges faced by communities that did not achieve ODF status included:

- A severe lack of social cohesion where for example members of the sanitation committee were mocked, or suspected of corruption. This de-motivated committees and face understandable challenges implementing their action plan;
- A problematic chief who is not respected by community members, or whose clans in the community favoured community division; and
- Technical challenges which prevented households from digging pits.

Table 6: Steps to be taken in the pre- and post-ODF phases

STEP	ACTIVE/PRE-ODF PHASE	POST-ODF PHASE
1	<ul style="list-style-type: none"> • Collection of initial baseline data • Pre-triggering work (such as collecting baseline information on sanitation coverage) in selected communities 	<ul style="list-style-type: none"> • No activity
2	<ul style="list-style-type: none"> • Training of implementers • Community triggering process (for example, conducting a transect walk around areas where people open defecate and ending with the community committing to end open defecation) • Elaboration of a draft plan of action, based on the commitments of the community 	<ul style="list-style-type: none"> • No activity
3	<ul style="list-style-type: none"> • Support the definition of a community vision for sanitation and hygiene • Draw up the community ODF map • Support the elaboration/finalisation of the community action plan • Support the establishment of a community sanitation committee (with clearly defined roles and responsibilities of the members) 	<ul style="list-style-type: none"> • Community self-evaluation and updating of the community action plan • Re-activation of the sanitation committee if necessary
4	<ul style="list-style-type: none"> • Follow-up the implementation of the community action plan • Strengthen the capacity of the community's sanitation committee • Initiation of community talks and meetings to strengthen the knowledge of the population 	<ul style="list-style-type: none"> • Implementation of the updated community action plan • Educational talks on WASH facilitated by committee members
5	<ul style="list-style-type: none"> • External evaluation (verification) on the achievement of ODF status 	<ul style="list-style-type: none"> • Community self-evaluation of progress and identification of areas for improvement • Discussion of additional activities to lead
6	<ul style="list-style-type: none"> • Support for the development of a plan to sustain ODF status 	<ul style="list-style-type: none"> • Achievement of community action plan
7	<ul style="list-style-type: none"> • Certification and celebration of ODF status 	<ul style="list-style-type: none"> • Celebration of the anniversary of the community's ODF certification • If clean community competitions or similar are conducted, announce the results and provide the rewards on the anniversary of the ODF certification in the pilot community
3		<ul style="list-style-type: none"> • Start once more from Step 3

Source: UNICEF Mali

Figure 14: How the remobilisation process fits within the overall CLTS process

These challenges highlight the importance of understanding the main causes for not achieving ODF in the past. Developing a community-specific approach to address key historical challenges is crucial before resuming the ODF process. The experience from this first set of communities is however encouraging: remobilisation will be rolled out more widely across Mali.

Elements for success

FOCUS ON QUALITY IMPLEMENTATION

From the start of the program, UNICEF Mali has focused on ensuring quality implementation through several key elements.

Standardised approach utilising the original CLTS model

The Mali CLTS programme is standard practice across all implementers, and has stayed true to the original model described in the original CLTS Handbook.²⁷ The triggering process includes all common steps, such as clearly explaining the faecal-oral route, and utilises necessary elements of disgust, shame and fear to elicit change in communities. After each round of triggering sessions, community representatives gather during a so-called 'shit fair', where they publicly present what they have learnt, and what their community has committed to do. A collective objective, action plan and 'rules of the game' are developed, followed by a public pledge which cements their commitment to ODF – and also capitalises on a sense of community pride and inter-community competition as motivators for change. Emphasis on community-led, self-help action is maintained, with the use of local materials, skills and creativity

encouraged for toilet construction and no specific technical options proposed. No reward is provided on achieving ODF status, aside from an ODF sign erected at the entrance to the community and a celebration for the first community in a local government area reaching ODF status, which incentivises communities to move faster towards their established objectives. With the support of UNICEF, this approach has been standardised across all implementers, through one implementation and training manual.

Verification and certification is also standardised and systematic, involving the key government staff from the national sanitation directorate, as well as local and regional stakeholders to ensure the validity of ODF claims. The approach is not static however; it is reviewed and improved upon regularly, based on lessons from the field that are discussed at annual review meetings convened by the national sanitation directorate. This standardised approach has brought several benefits; for example a robust monitoring and evaluation system for CLTS implementation, decreased management costs, the ability to achieve scale with maintained quality, and the increased ability for learning exchanges between implementers.

Intensive capacity building for implementers

A 'master trainer' from the regional (or occasionally national) level trains each NGO partner, in order to ensure that their skills are well developed. A multi-day classroom training is held once an agreement is signed with UNICEF, followed by a one day practical training session in the field prior to commencing the triggering sessions. After each triggering activity, the triggering team undertakes a reflection process to discuss the results of the triggering and what could be improved.

27. Kar & Chambers (2008)

Capacity building of community sanitation committees

The local sanitation committee plays a critical role in CLTS implementation, as the onus is on the community to carry out all activities to reach ODF status. Stakeholders in Mali learn early on in the programme that it is only with a well-organised community that CLTS outcomes can be achieved. Since 2012, UNICEF Mali has ensured that the systematic engagement of local sanitation committees is a mandatory post-triggering activity. Every implementer supports triggered communities to set up a committee, and to train the committees at the local government level. In addition, exchanges between committees are also organised to facilitate learning and sharing of best practices. These efforts have resulted in stronger sanitation committees that are able to deal with any challenges that arise, and ultimately to increase the number of triggered communities becoming ODF.

Context-specific and intensive follow-up

A specific follow-up plan is developed for every triggered community, based on their individual context and how they responded to the triggering. No community is treated in exactly the same way; facilitators have the skills to determine the best approach to support a community to reach ODF. Support and supervision is also received throughout the process from the local sanitation service. The frequency and intensity of post-triggering monitoring visits (once to twice a week) is also critical for success. This is made possible by the large number of CLTS facilitators recruited by partner NGOs; one facilitator is responsible for a maximum of five to eight communities. The involvement of the local sanitation service, the regional sanitation directorate and local government in the monitoring visits also encourage community action to make progress towards ODF.

CONTINUOUS LEARNING AND PROGRAMME ITERATION

The annual review meetings on CLTS, initiated by UNICEF and now supported by other sector partners, has served multiple purposes over the years. It is a platform for all implementers to discuss CLTS, and other elements that could support the achievement of total sanitation, including WASH marketing. It is also a space for troubleshooting and the exchange of ideas and good practice. Partners can learn from each other, as well as get technical advice from UNICEF, other implementing partners,



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and skilled government staff. These annual review meetings have helped enable progress and moving to scale, through harmonising the tools and data used by partners, and through clearly defining the roles and responsibilities that each actor is responsible for. The annual review meetings also serve as a platform to review and revise the national CLTS strategy and the post-ODF strategy, ensuring that they continue to address the most relevant issues in the field.

INTEGRATION WITH WINS PROGRAMME

Intervention schools are selected in CLTS intervention communities, or where CLTS is planned, so that the implementation of WinS and CLTS activities can be fully integrated and sequenced. This holistic approach reduces operational costs and enables higher impact. Between 2013 and 2016, the UNICEF Mali programme partnered with ten NGOs to implement CLTS in 700 communities, and at the same time, WinS in 590 schools within these 700 communities. During this time, 90 per cent of the communities have been certified ODF, and the programme is continuing in the remainder of the communities. Beyond the operational and logistical benefits of integration, UNICEF Mali has identified several factors that contribute to the success of CLTS in communities where WinS is also implemented. These include:

- Reinforcing triggering messages on the dangers of open defecation at schools;
- School children helping to disseminate messaging, promoting a culture of change throughout the community; and
- Community members being more aware of the need for latrines in schools: they are therefore more likely to build latrines in schools that do not have latrines.



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Challenges

At this stage of the Mali program, several key challenges are faced.

ADAPTING LEARNING FROM CLTS IN RURAL AREAS TO ACHIEVING ODF IN PERI-URBAN OR URBAN COMMUNITIES

As the CATS programme in Mali increases in scale and the drive to declare larger areas ODF intensifies, UNICEF Mali is considering how to address the challenge of facilitating change in peri-urban and urban communities. Peri-urban and urban communities have different challenges compared to rural communities. They have limited social cohesion, and are often separated into smaller 'hamlets', which makes mobilisation for CLTS more difficult. Their challenges are not only the lack of toilet facilities, but also more complicated in terms operation and maintenance; for example facilities are more likely to be shared, and the question of responsibility for repairs is more complex. The disposal of solid and liquid waste is also more difficult; pit latrines are often not possible to construct in more densely populated areas, and mobilising a wider range of actors beyond households, such as local government officials or private sector contractors, is necessary. For all these reasons, it is important to consider whether established CLTS methods are the best approach in these

types of communities. The challenge for the country programme will be to take the lessons learnt from their work on rural CLTS, and decide what is applicable in peri-urban and urban settings – bearing in mind that in more urban settings, CLTS may often only be one small component of a larger sanitation campaign.

GOVERNMENT INFORMATION MANAGEMENT CAPACITY

Although government staff do currently handle and have access to information on CLTS and sanitation, more work is required for UNICEF to fully hand over data management to the national sanitation directorate. Since the inception of the programme, UNICEF has managed the national database for CLTS on their behalf, and while attempts have been made to fully transfer the management and analysis of the database to national government, progress has been slow to date.

ABILITY TO SCALE UP RAPIDLY WITHOUT COMPROMISING ON QUALITY

The approach of having one NGO partner and a team of government staff assigned for each community has been effective to date. However, it is highly dependent on the sustained involvement of the national directorate for sanitation at all levels, and the active presence of NGOs. It is also dependent on the availability of

financial resources. The costs are significant: in the national plan to eliminate OD by 2024 in five regions of Mali, the cost has been projected at almost \$35 million.²⁸ Delays in reaching the 2024 goal might be faced if fund-raising efforts are not maintained, and/or if alternative models for the scale up of CATS are not explored.

SYSTEMATIC INVOLVEMENT OF KEY MINISTRIES FOR SUSTAINABILITY

One challenge faced by the programme is a lack of sustained and meaningful involvement of the Ministry of Health from the start of implementation. This challenge cuts across all levels of governance, from the national level to the field. In the field, community health workers are present in the majority of communities in Mali and are in the front line for health outreach, but they are not formally involved in CLTS activities. This is a challenge as they could play a role to support ODF, especially in the post-ODF phase when the implementing NGOs scale back their involvement. Community health workers have the potential – but as yet untapped – ability to follow-up on a regular basis with community sanitation committees, and to support the sustainability of ODF.

Lessons learnt

Several key lessons have been learnt in implementing the Mali CLTS programme over the last seven years.

MOVING BEYOND FAVOURABLE CONDITIONS

The Mali CLTS programme has seen tremendous success by selecting their target communities carefully, and by ensuring that favourable conditions are in place for CLTS. However, as the programme goes to scale and in the context of the Government's plan to eliminate OD in five regions by 2024, the programme's criteria for community selection and prioritisation are being re-evaluated: selecting only communities with favourable conditions will clearly never lead to entire regions achieving ODF. Different approaches are being modelled to address areas with some of the unfavourable conditions that were previously avoided. For example, new approaches in communities with difficult soil conditions, with high water tables, and communities in less accessible island communities (such as those in the central delta of the Niger River) are being considered. It is hoped that by starting to tackle some of

these key challenges, the CATS programme will be able to create a model (or several models) that will allow the programme to reach all communities in the country.

WORKING THROUGH MEDIUM-SIZED ENTREPRENEURS FOR WASH MARKETING

A lesson learnt in the relatively new WASH marketing is the importance of selecting the right private sector partners. During the pilot phase, more established entrepreneurs and large-scale operators, such as those that owned hardware shops, were selected to develop sanitation businesses. It was later discovered that the income generated from the sanitation business was too small for large-scale operators to support it: they soon lost interest in the sanitation component of their business. Because sanitation is more likely to make up a larger proportion of their income, medium-sized businesses are now the target partners for the WASH marketing programme.

Next steps

UNICEF Mali plans to accelerate its CLTS programming and will be working in a number of areas to ensure this is as effective as possible.

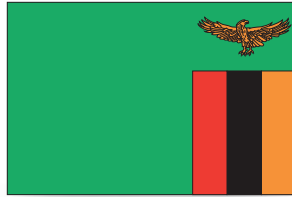
As the post-ODF strategy is relatively new, the effectiveness of the strategy will continue to be considered in order to learn and adapt the approach as necessary. The WASH marketing approach will also continue to be tested, in order to develop a model that would best complement CLTS.

There is also a strong drive to integrate CLTS in the national sanitation policy in the upcoming 2017 policy review (it is currently in the national policy for liquid waste management but not in the wider sanitation policy).

Additionally, there are upcoming local government elections, which provide opportunities to include CLTS in the five-year local development plans – with the ultimate aim that ODF sustainability monitoring will eventually be financed by local government.

There is a welcome drive to start certifying entire local governments and districts as ODF. As described above, the challenge will be the need to model various new approaches to CATS, in order that all communities in Mali can be supported towards achieving ODF.

²⁸ National Directorate for Sanitation and the Control of Pollution and Nuisance (2014)



ZAMBIA FIELD NOTE



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Key CATS indicators

ZAMBIA CATS SUMMARY INDICATORS - UNICEF PROGRAMME AREAS			
Status	1	Start of UNICEF CATS programme	2007
	2	Total number of people practicing OD	2.1 million
	3	CATS spread: % of country where CATS is being implemented	69%
	4	CATS in urban areas (Yes/No)	Yes
	5	CATS coverage: number of major organisations	5
	6	Population living in ODF communities	1,747,939
	7	Number of communities mobilised for ODF	30,341
	8	Average number of households in communities mobilised	30
	9	Number of communities certified ODF	10,380
	10	Number of districts/municipalities certified ODF	4 (and 40 ODF chiefdoms)
	11	Is CATS integrated with other sanitation approaches?	Yes
	11a	Which approaches is CATS integrated with?	Real-time monitoring, institutional strengthening, sanitation marketing, WASH in Schools, legal enforcement (for example through traditional leaders), handwashing promotion
Enabling environment	12	Sub-national/micro-planning for ODF implemented & led by local government	Yes
	13	Harmonised ODF verification and certification system in place	Yes
	14	Number of active, master trainers/facilitators for CATS	44
	15	CATS in government policy	Yes
	16	National strategy in place to achieve ODF (eliminate OD)	Yes
	17	Target year for nationwide ODF	2020
	18	CATS financed by government (Yes, No, partially?)	Partially
	19	Presence of harmonised monitoring system (at national level)	Yes
Effectiveness	20	ODF success rate (number of triggered communities that have achieved ODF status)	34%
	21	Sustainability: % of communities with ODF status sustained	81%

Sustainability measure: Sustainability measured via sustainability checks conducted every few years.

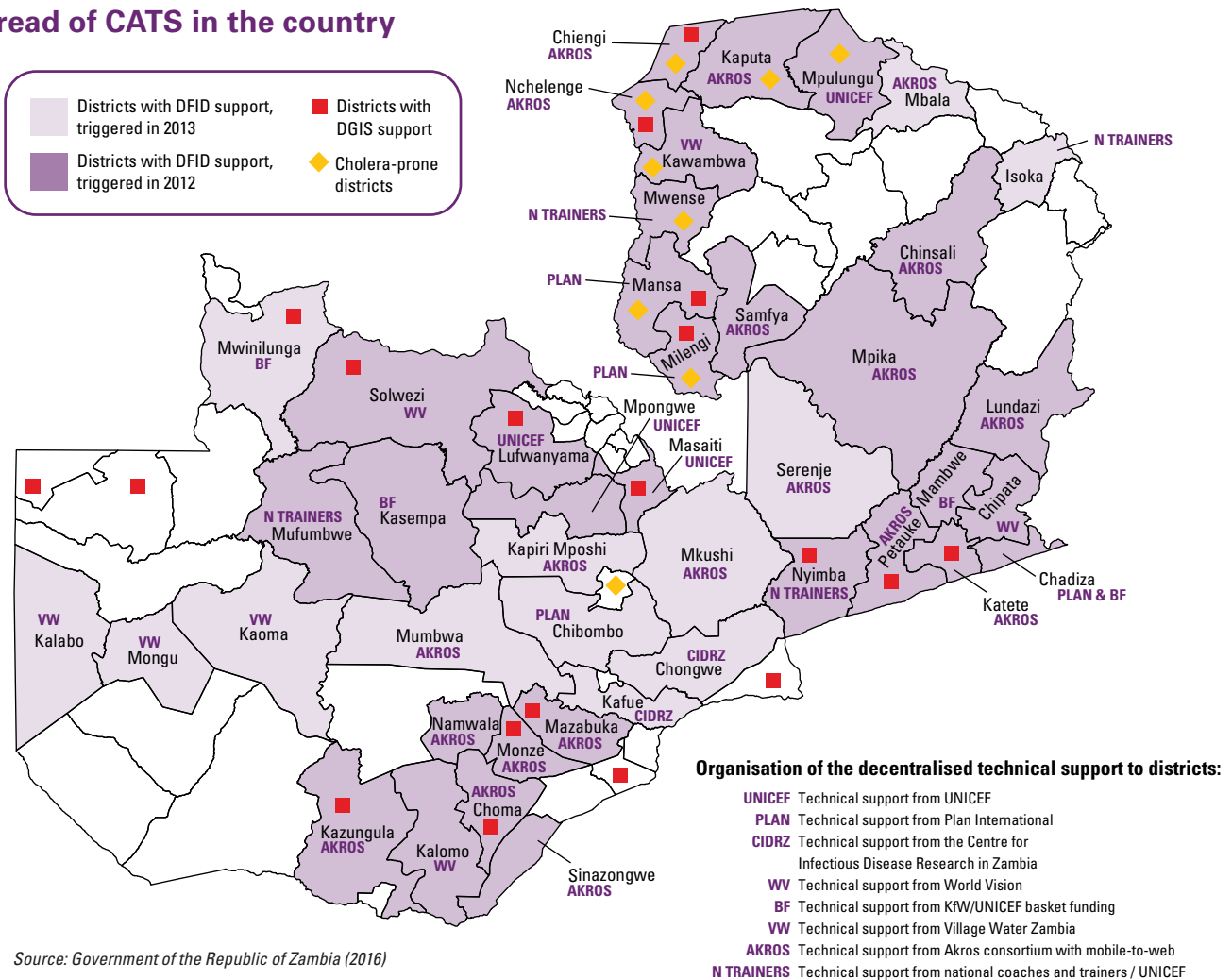
Source: UNICEF Zambia

Country context

ZAMBIA COUNTRY CONTEXT	
Region	ESARO
Total population	16.2 million
Urban population	41%
Urban population growth (per year)	4.30%
Population density	22
Gini co-efficient	55.6
GNI per capita (US\$)	1680
Income classification	Lower middle income
Population living on US\$ 1.90 per day	64%
Stunting	40%
Under-5 mortality	64
Life expectancy at birth	61
Hazards	Drought; tropical storms; rapid urbanization; cholera; typhoid

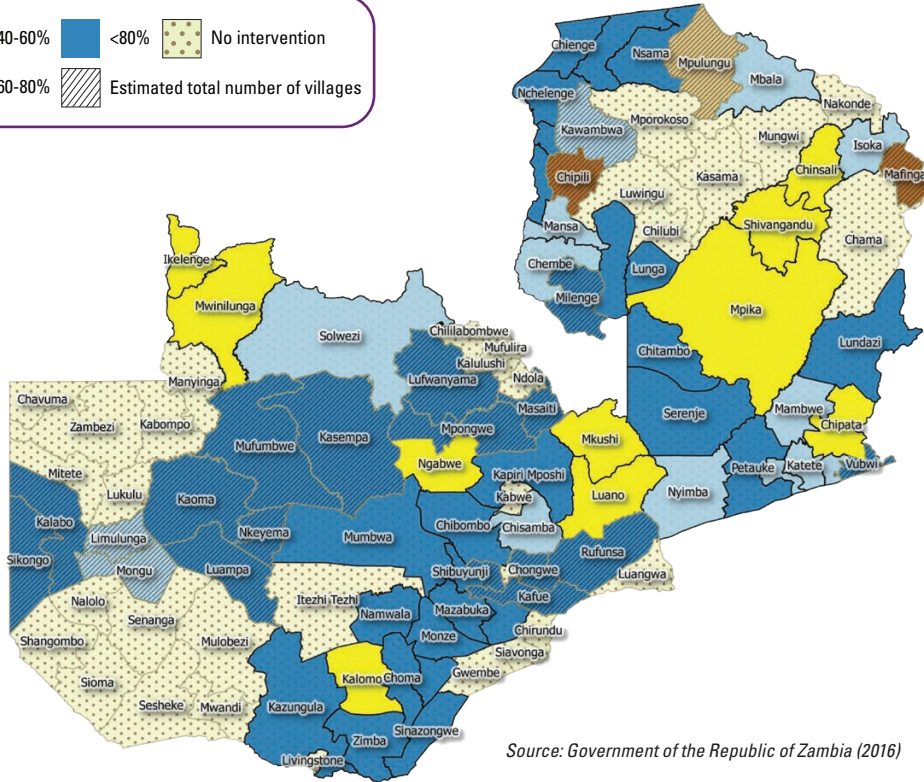
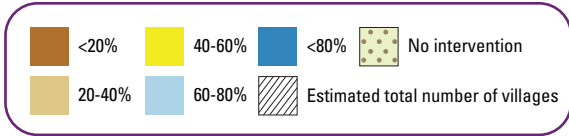
Source: UNICEF Zambia

Spread of CATS in the country

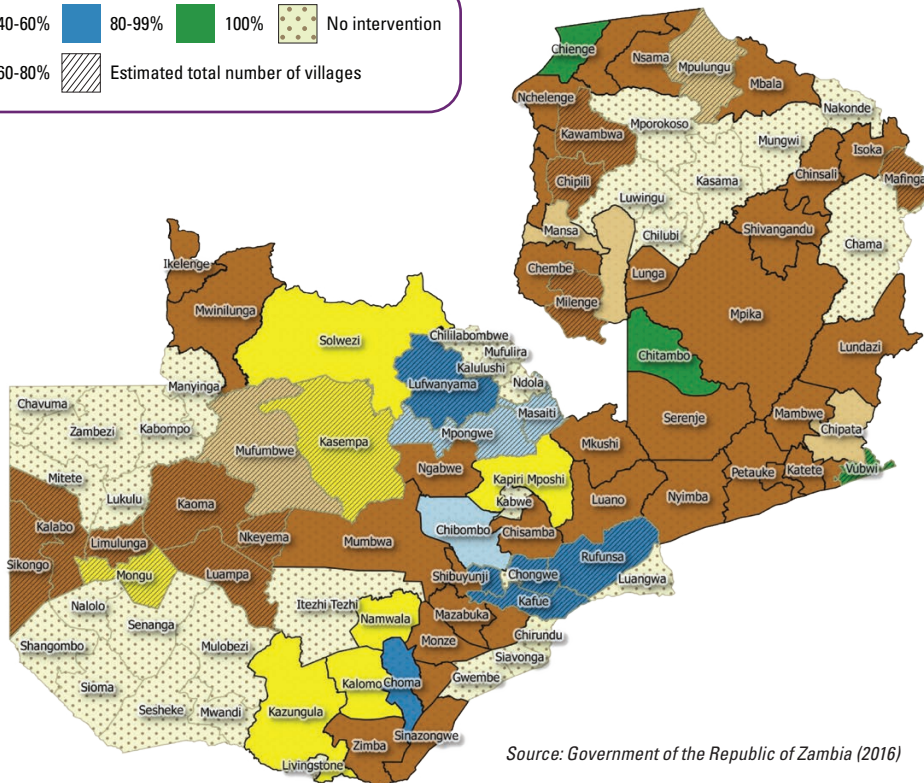
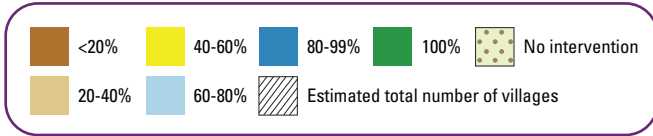


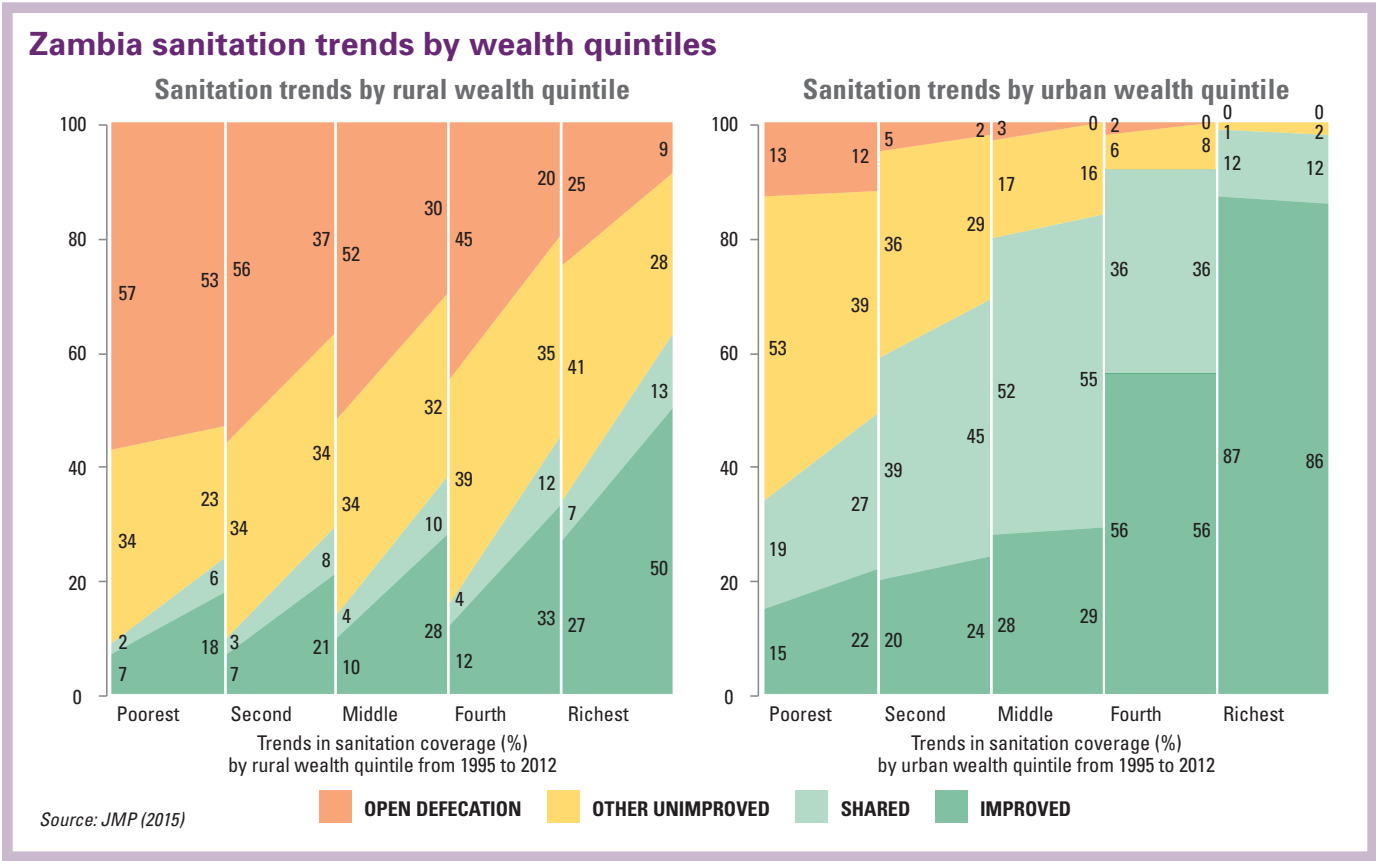
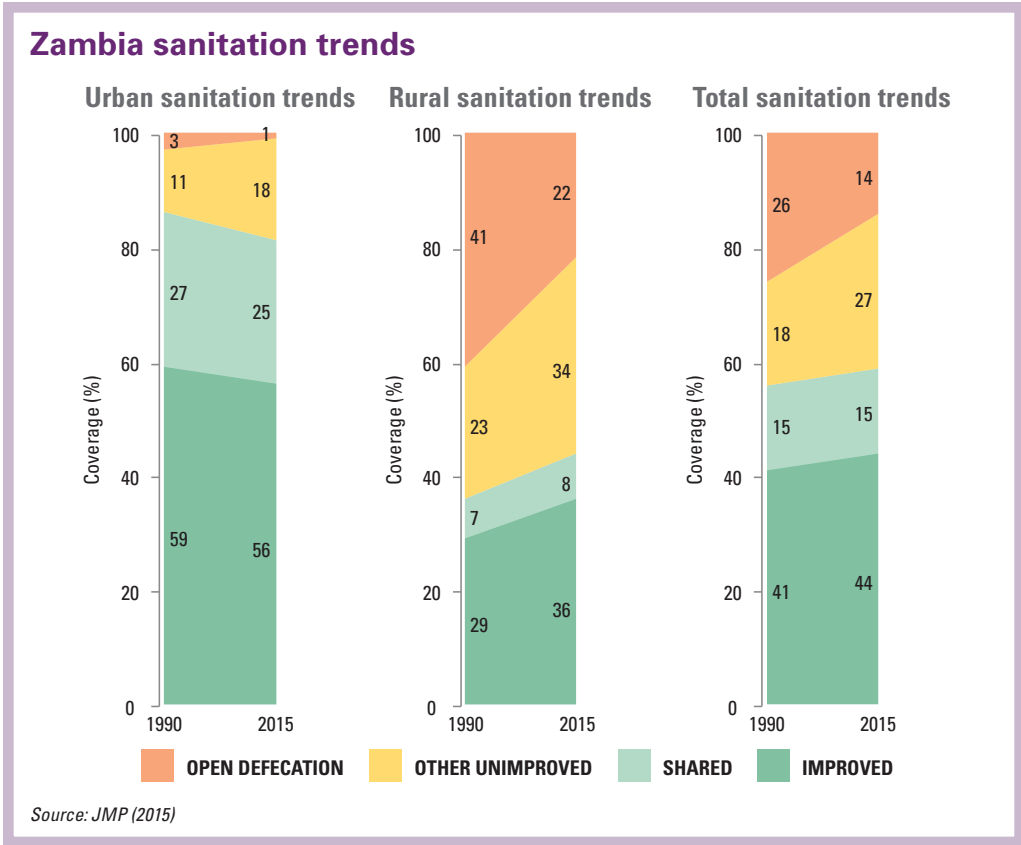
Source: Government of the Republic of Zambia (2016)

Proportion of target communitys triggered using CATS



Proportion of target communitys verified as gaining access to improved sanitation





Sanitation coverage estimates

ZAMBIA	SANITATION COVERAGE ESTIMATES					
	Urban(%)		Rural(%)		Total(%)	
	1990	2015	1990	2015	1990	2015
Improved facilities	59	56	29	36	41	44
Shared facilities	27	25	7	8	15	15
Other unimproved	11	18	23	34	18	27
Open defecation	3	1	41	22	26	14

Source: WHO/UNICEF JMP, 2015

The Zambia CATS programme has helped support a rapid increase in sanitation coverage in the last few years. In 2010, only 1200 communities were triggered, with 751 communities certified ODF (a 62% success rate).²⁹ By mid-2016, over 30,000 communities in total had been triggered, with over 10,000 declared ODF. This means that well over 1.7 million people are now living in ODF communities. This is a significant achievement over a six-year timeframe, and is part of the recent wider concerted effort in Zambia to improve sanitation for all: from 2013 to 2016 alone, an estimated 3.4 million people were new users of improved sanitation.³⁰

Other notable successes include increased prioritisation and funding for sanitation, the development of a national WASH monitoring system, the establishment of institutional structures for service delivery, and the fact that costs have reduced over time.

Sanitation has become a high priority for the Government in Zambia. Collaborative work on CATS in the country over the past few years has helped to nurture this; ending open defecation is now a national policy priority. The Government's 7th National Development Plan (2016-2021) includes the target of ending open defecation in rural areas by 2020, and a national ODF strategy is now in place. The elimination of OD is also embedded within the 'National Rural Water Supply and Sanitation Program' for 2016-2030 (the NRWSSP). Eliminating OD is also included in the Zambia Vision 2030 strategy, which aims to achieve at least 90 per cent sanitation coverage by 2030. In 2013, a formal budget line for sanitation was included in the Ministry of Finance budgeting template so that districts and provinces could request funds specifically for sanitation.

Financing for sanitation from partners has also increased in recent years, as the Government prioritised sanitation, and the rural sanitation model developed with UNICEF support proved

to be effective. For example, the African Development Bank's support for the new NRWSSP is explicitly built on UNICEF's previous work in this area.

An M2W (mobile-to-web) monitoring system was launched in 2013 and to date, data from 26,537 communities can be monitored on a near real-time basis, in 53 districts across 8 provinces.³¹ Fifty-one community chiefs have been provided with tablets to monitor the status of sanitation in their chiefdom. Because of this monitoring system, government has access to updated data on sanitation, which can be (and is being) used to inform where future interventions would be best targeted, and to facilitate better follow-up action.

The CATS programme has supported the establishment of institutional arrangements for rural sanitation service delivery, since as the sector moved to scale up CATS, the need for strong institutional support was even more important.

In addition, the costs of increasing access to sanitation has been observed to reduce as the CATS programme went to scale – going down from \$8.30 per person to \$3.40 per person (see Figure 15 below).³²

Evolution of the Zambia CATS programme

CLTS was piloted in 2007, in Choma district. Choma's Chief Macha drove its initial success, and he became a strong advocate of CLTS in Zambia and around the world. Zambia's CLTS programme's

29 Government of the Republic of Zambia & UNICEF Zambia. 2011. *Community Led Total Sanitation in Zambia: An Evaluation of Experiences and Approaches to Date*. Lusaka.

30 Government of the Republic of Zambia. 2016. *District reports and DHIS 2 Database*. Ministry of Local Government and Housing. Lusaka.

31 More about the M2W monitoring system can be found in: Osbert N, et al. 2015. *Real-Time Monitoring of Rural Sanitation at Scale in Zambia Using Mobile-to-Web Technologies*. Available from: <https://www.unicef.org/esaro/WASH-Field-M2W-low-res.pdf>

32 Mujica, A. 2015. *Value for Money Analysis of the Zambia Sanitation and Hygiene Programme (ZSHP)*. Available: <http://www.opml.co.uk/sites/default/files/11671-WASH-Zambia-4pp-LR.pdf>

ZAMBIA FIELD NOTE

effectiveness at engaging traditional leaders to end the practice of OD was highlighted in the first UNICEF CATS field note in 2009.³³

In the first phase of the programme, sanitation coverage in UNICEF programme areas increased from 23 per cent to 88 per cent and in 2008, the programme was expanded. CLTS was also attempted in urban communities, which required additional elements to the programming, including legal enforcement, and the provision of sanitation facilities in institutions.

In 2009, the Macha chiefdom was declared ODF. UNICEF Zambia then explored what had clearly been an effective collaboration further, conducting a regional CATS orientation and CLTS training for 288 chiefs.

The effectiveness of CLTS in Choma also drew national attention, and was stated as the primary approach for rural sanitation in official national policy from 2011. From that year, the Government



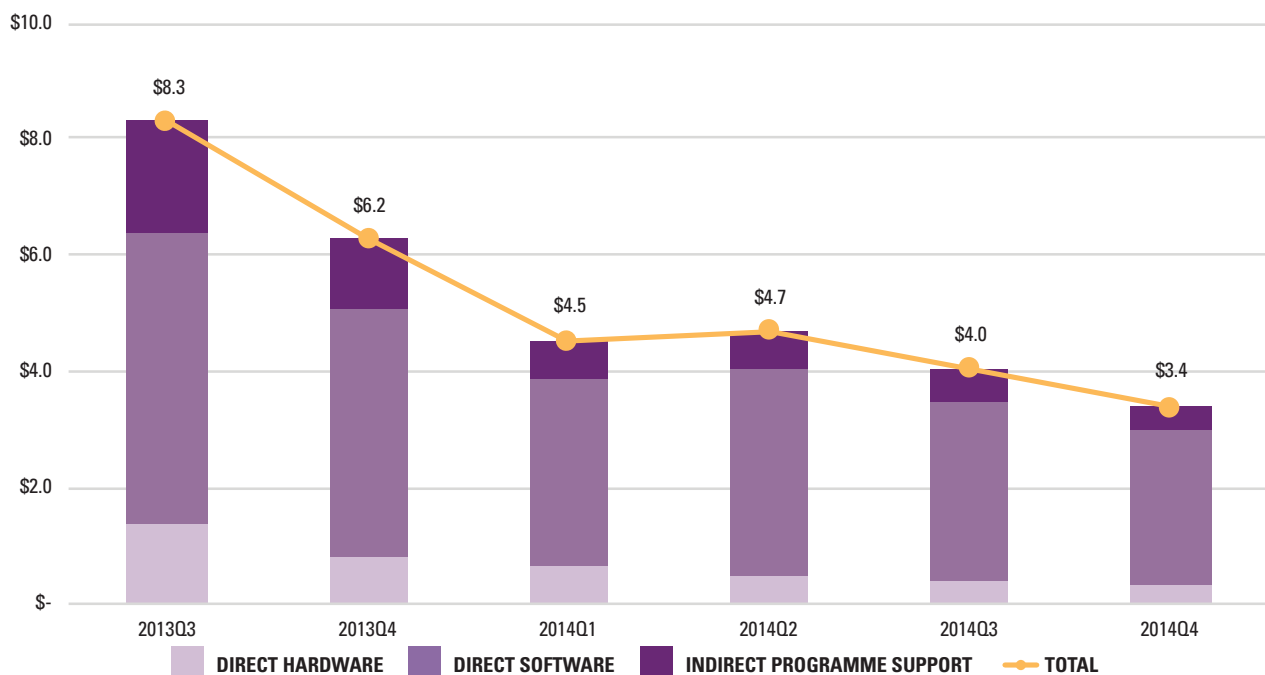
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of Zambia supported a no-subsidy approach for household sanitation (by 2012, all sector partners had stopped the practice of subsidising sanitation facilities).

In 2012, the CATS programme went to scale: the Government of Zambia brought all sector partners together to standardise the approach for rural sanitation. UNICEF provided financial and technical support throughout this process, with significant support from DfID of the United Kingdom. Quarterly review meetings were established for coordination, the M2W monitoring system was launched, and the 'mass verification' approach for ODF chiefdoms was developed (where the district requests for verification when all communities within a chiefdom are self-declared ODF, an approach which increases efficiency of verification). In addition,

33 UNICEF. 2009. *Field Notes: Community Approaches to Total Sanitation*. New York.

Figure 15: Zambia cost per additional person with access to improved sanitation



Source: UNICEF Zambia

as part of the CATS programme expansion, WinS and School-Led Total Sanitation were integrated with CLTS and engagement of traditional leaders was intensified. Variations in the CLTS approach were also developed – including triggering of large farms and temporary fishing communities, and including handwashing with soap. In 2014, a sanitation marketing approach for rural areas was piloted, to provide supply options for households living in waterlogged and sandy areas.

The success of the CATS programme was recognised at the 2015 AfricaSan Conference in Dakar, where staff from the Ministry of Chiefs and Traditional Affairs (MoCTA) won the Local Government Leadership award for sanitation. The success of the programme also drew the attention of other countries, prompting international collaboration and capacity building. In 2015 and 2016, national CLTS coaches from Zambia supported CLTS trainings in Namibia and Sudan, and attended the first sanitation conference in Mozambique exploring the issue of scaling up CLTS programmes. Delegations from the governments of Tanzania, Lesotho and Congo also visited the Zambia programme, to learn from their experience of taking sanitation programming to scale.

In 2016, the national ODF strategy was drafted and the target of eliminating OD in rural areas by 2020 was set. With the foundation of strong Government leadership developed for CATS

in Zambia, and the well-developed comprehensive model for rural sanitation delivery, the Zambia CATS programme is now being extended to urban compounds and small towns, with the intent of developing a model of success for urban areas that will help achieve universal sanitation coverage in the country.

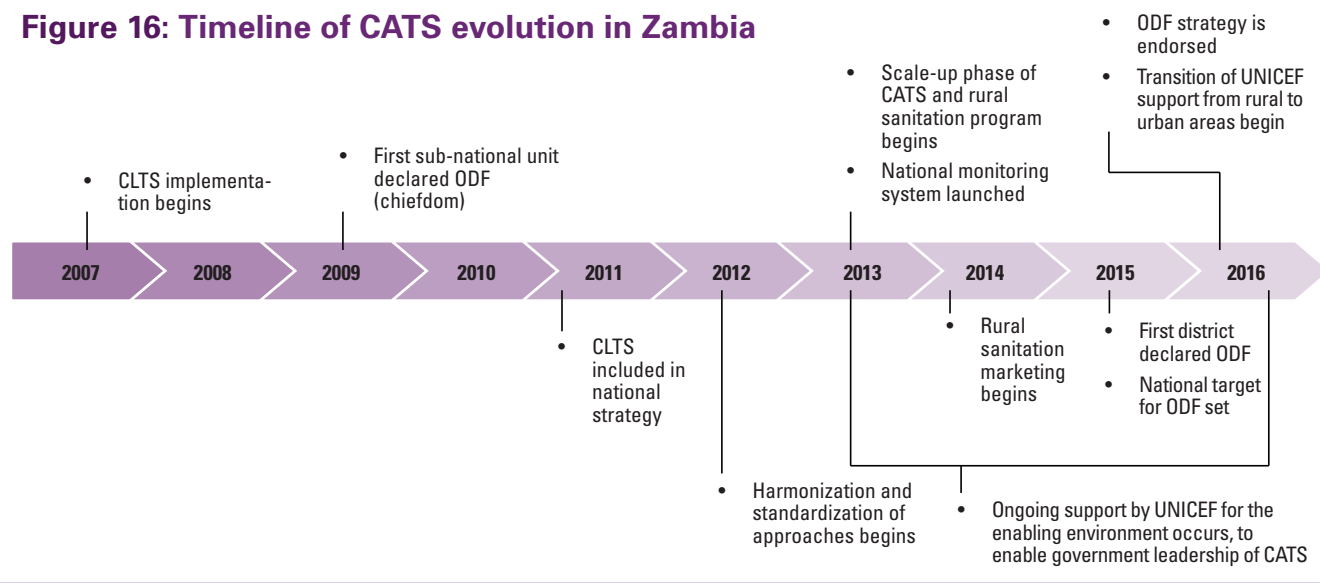
Elements for success

REAL-TIME, MOBILE-TO-WEB MONITORING SYSTEM

The M2W monitoring system has been a critical element for CATS success from the start. The system has increased accountability, enabled feedback and course correction, and has generated healthy competition between chiefs and districts. Accountability has increased because as it is now evident which community champions (local volunteers) are consistently following up with their communities, and which ones may be inactive and may need support or replacement.

Verification rules are also built into the system: a warning signal is sent if the data entered appears incorrect, helping to hold government staff accountable for maintaining data quality. The information helps identify districts and provinces that are not making good progress on sanitation, so that they can be prioritised for further support. As the data is made available to

Figure 16: Timeline of CATS evolution in Zambia



the various levels of implementation, actors at all levels of the system can see more easily where to concentrate their efforts.

The M2W monitoring system has also helped generate competition among communities, through its visualisation tools, as people can see how they rank compared to others across the country. In Chiengi district for example, chiefs saw that their communities were performing poorly in sanitation compared to other chiefdoms in Zambia. This galvanised them to take action: they took personal charge to improve their sanitation results until the entire district reached ODF, increasing sanitation coverage from 12 per cent to 100 per cent in just one year.³⁴

34 Zimba, R., Ngulube, V., Lukama, C., Manangi, A., Tiwari, A., Osbert, N., Hoehne, A., Muleya, S., et al. 2016. 'Chiengi District, Zambia Open Defecation Free After 1 Year of Community-Led Total Sanitation'. In *American Journal of Tropical Medicine and Hygiene*. 95(4):925–927

SYSTEMATIC INVOLVEMENT OF TRADITIONAL LEADERS

The systematic involvement of traditional leaders in the Zambia CATS programme continues to be a critical element of success. Sanitation promotion is a key role of chiefs within the MoCTA strategy³⁵, and UNICEF has worked closely with the ministry to ensure sanitation is on the agenda at the bi-annual House of Chiefs sittings. This has maintained sanitation as a priority area of work for chiefs, and has encouraged chiefs who are not yet ODF to start working towards it.

UNICEF and MoCTA support orientations of chiefs to the ODF programme as well as chief-to-chief 'triggerings', both of which have supported the diffusion of ODF principles in the country.

35 Government of the Republic of Zambia. 2014. *Ministry of Chiefs and Traditional Affairs (MoCTA) Strategic Plan 2014-2017*. Lusaka.



© UNICEF/UN102487/NESBITT

The orientations are best followed by the development of chiefdom-level total sanitation plan, since chiefs meet regularly with their community headmen to hold them accountable to implementing the plan.

The partnership with chiefs has allowed the programme to mobilise communities more quickly, because the chiefs are an important 'reference network' for community members. Chiefs also have the resources to provide rewards for communities that achieve ODF – but equally important is their legitimacy among their communities to enact sanctions, both of which support the establishment of the new social norm – and therefore its sustainability.

STANDARDISATION OF APPROACHES

Efforts towards nationwide harmonisation of CATS and other approaches to rural sanitation started in 2012. Standardised guidelines were created to help coordinate approaches in the sector, which also contributed to ending the practice of subsidisation.³⁶ In addition to the standardised guidelines, strong institutional structures were developed for service delivery which created a common entry point for partners to engage with the Government for sanitation implementation.

The overall approach has meant that partners can easily understand and adopt the Zambia rural sanitation model endorsed by government. For example, as all national coaches are equipped with similar skills and capabilities, any organisation interested on starting a rural sanitation programme can contact a coach for technical support. This has accelerated the pace of implementation, ensured all partners implement within the nationally endorsed framework, and supported the diffusion of CATS to districts and provinces even beyond UNICEF programme areas.

Intervention description

UNICEF Zambia used the service delivery model for CATS as a way of strengthening institutional capacity, as well as other enabling environment components for sanitation. This in turn strengthened wider operational systems for WASH, and

Chieftainess Nkomeshya's support to eliminating OD

Chieftainess Nkomeshya has made it her personal goal to make her chiefdom ODF. Since being approached in early 2016 by MoCTA and UNICEF, she has worked to mobilize the community 'headmen' in her chiefdom to support the national drive towards ODF. She initially met all zonal leaders, who represented multiple community headmen, to receive an update on the sanitation status of each zone, and each zonal leader developed a plan to achieve ODF. Thereafter, she followed-up with each community headman and conducted house to house monitoring visits across her chiefdom, even after nightfall. She also holds CCs accountable to following up with their respective communities. Public places including restaurants and bars are included in Chieftainess Nkomeshya's follow-ups; if after multiple warnings a toilet is not constructed in a public facility, the facility is locked until a toilet is constructed. She has also placed a community headman in jail for failing to support ODF, showing that sanctions were an option she was willing to use if people neglected their responsibilities on ODF. As well as urging others to use and build a toilet, the Chieftainess also built toilets in her home, to be a positive role model for others. Sanitation was also worked into her traditional ceremonies, where demonstration toilets from the sanitation marketing programme were built on-site, for people to use during and after the ceremony.

helped broaden the skills of government staff at all levels of implementation. This section describes UNICEF Zambia's work on strengthening systems around the key components of the WASH enabling environment: sector policy and strategy; institutional arrangements; sector financing; planning, monitoring and review; and capacity development. Although many successes have been achieved so far, strengthening systems is a long-term effort: there is still much to do.

SECTOR POLICY AND STRATEGY

UNICEF contributed to clearly defining the national policy and strategy for rural sanitation. The success of the initial work in Chief Macha's Choma district was a critical contribution to defining the sanitation component in the revised national

³⁶ See Appendix E for more detail on the standardised guidelines.

sanitation plan for 2016-2030. UNICEF also worked with the Government and the national CLTS coordinator to develop a draft ODF strategy and its accompanying guidelines, which addressed elements such as triggering and monitoring approaches. The inclusion of the ODF target in the 7th National Development Plan, and in the National Water Supply, Sanitation and Solid Waste Management Policy has been supported through consistent partnership between UNICEF and the Government, and their joint advocacy for increased prioritisation of sanitation among other national priorities.

INSTITUTIONAL ARRANGEMENTS

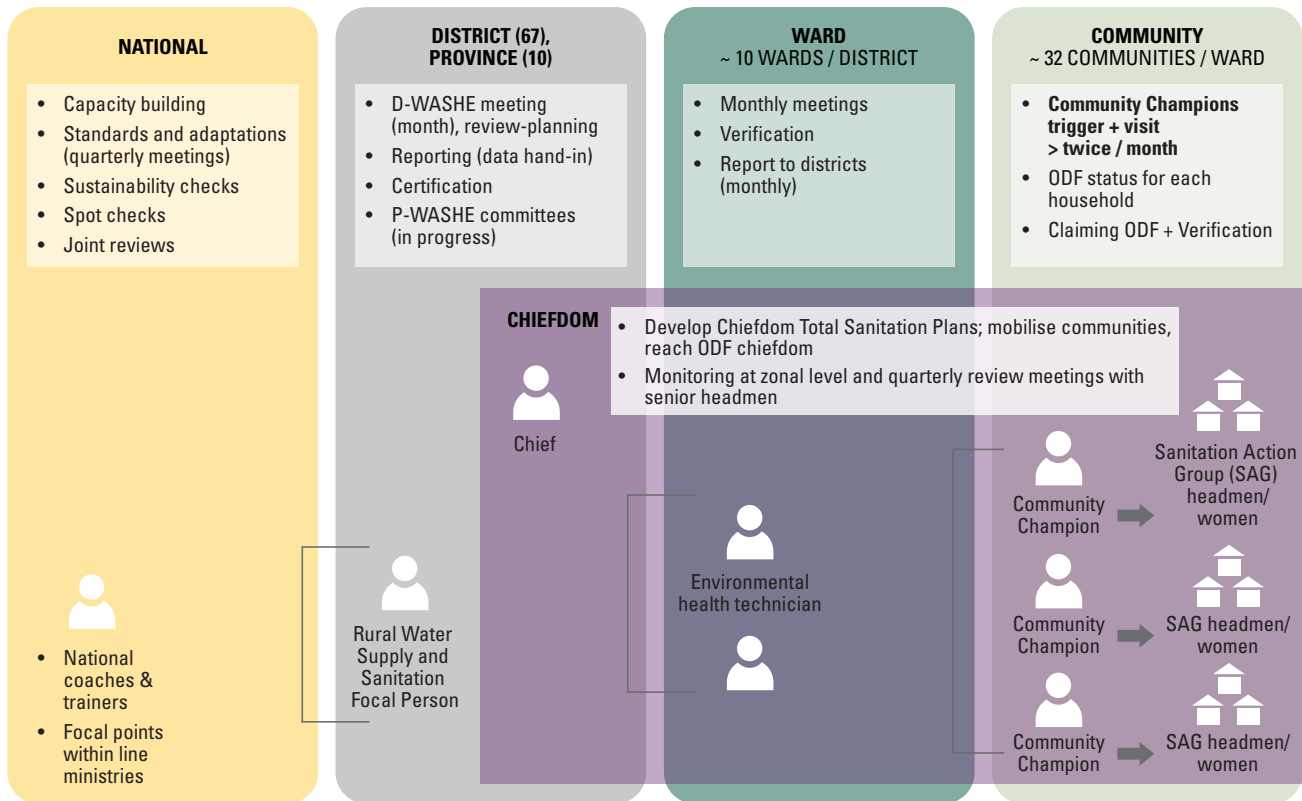
UNICEF has supported the development of institutional tools in Zambia, to help the Government coordinate sanitation programmes, as well as overall WASH activities, more

effectively. UNICEF Zambia has long advocated for the creation of a separate directorate for WASH, in order to streamline service delivery. In 2016, the newly Government went beyond this and established a Ministry for WASH and Environmental Protection. This is a significant milestone; historically, the WASH sector in Zambia has been poorly coordinated. It is hoped that a new ministry with direct responsibility for WASH will help the co-ordination of the sector’s actors and programming.

Institutional arrangements for rural sanitation service delivery were strengthened and developed from the national to the community level. Mutually supporting, clearly defined responsibilities and outcomes on sanitation have helped actors at all levels work together towards common goals. Key figures include national CLTS coaches, district and provincial WASH

Figure 17: Institutional set-up for rural sanitation service delivery in Zambia³⁷

Four Sectors: WASH, Traditional Affairs, Health, Education – four line ministries



37 Mukosha, L. 2014. *Zambia Rural Sanitation - service delivery model*. Presented at the UNICEF WASH partners meeting in The Hague (Netherlands) on December 2014.

and Education committees (known as D-WASHE and P-WASHE), local politicians, chiefs, government extension workers, and community members.

The standardisation of national sanitation guidelines also improved coordination, because they created a clearly defined common purpose that no one ministry could deliver on its own. Quarterly meetings at the national level have served as a platform for such coordination, though stakeholders report that there is still further to go to improve national level coordination between the key ministries.

The district and provincial WASHE committees have also improved field-level coordination. Regulation and accountability has been strengthened through established institutional arrangements, as key government actors provide oversight to ensure that all partners implement activities within the nationally agreed policies and strategies.

The M2W also helps strengthen institutions by increasing the accountability of actors working on WASH – specifically community champions to ensure they continue following up with communities.

SECTOR FINANCING

Although more work is required to increase the budget allocation to sanitation, the overall financing situation has improved in recent years. Advocacy by UNICEF and others has meant that government resources have increased – with the recent addition of a budget line for sanitation in the Ministry of Finance’s ‘yellow book’.

Partners have found that having a readily available package of interventions, with existing training capacity available through the national coaches makes it easier for them to allocate resources to rural sanitation.

The standardisation of guidelines and the way the programme is monitored has helped to better estimate of the costs involved in delivery – which has helped government understand the budget requirements required to provide effective sanitation services.

UNICEF Zambia is working with the Government to develop a WASH sector financing mechanism for new investments, and for the maintenance and rehabilitation of infrastructure, with the aim

of professionalising sector financing and support the financial viability of WASH actors.

PLANNING, MONITORING AND REVIEW

Much work has been conducted by UNICEF and the Government of Zambia to strengthen planning, monitoring and review of urban and rural WASH programmes across the country. The collaboration has led to a formal national plan to eliminate OD, which sees districts and chiefs supported to develop ‘total sanitation’ plans as part of their wider development plans for their respective areas.

The bulk of the work on monitoring and review has been conducted through the M2W monitoring system. The simplicity of system and the fact that it can provide updated data on a monthly basis has meant it has been adopted as a national sanitation programme tool. Government now provides training and support to provinces, districts and other sector partners to use the system, and is expected to fully take over the responsibility for programme. Technical support is still being provided by Akros (UNICEF Zambia’s implementing partner) for provincial, district and national WASH staff, so that they can utilise the data for planning to solidify behaviour changes on sanitation. In transition and scale up districts, Akros supports district staff and field staff with quality assurance. Transition of this quality assurance to government is expected in the near future, with the task conducted by national M2W coaches and trainers at the provincial level. The monitoring system for sanitation and water supply has gained such traction in Zambia that the management information system for health is currently being integrated with it. The education sector has also recently decided to adopt the same system.

CAPACITY BUILDING

UNICEF has worked closely with the Government of Zambia to develop the capacity of government staff to deliver CATS programming. The establishment of national coaches throughout the country means this they are available to support all levels of government staff, as well as other partners working on rural sanitation.

The placement of technical advisors within the key ministries involved with WASH has been another key component of capacity building, supporting the development of the M2W

monitoring system and WASH communication. A technical advisor is also placed within MoCTA, to support engagement with chiefs and within the ministry of education. All technical advisors provide advice to government staff, while at the same time building their capacity to oversee and coordinate the sector. A similar model has been adopted for WinS.

The strength of government capacity to deliver sanitation services has been recognised by sanitation staff from other countries, who have undertaken south to south capacity building and learning with their Zambian counterparts.

Challenges

The Zambia CATS programme faces several current challenges.

LIMITED GOVERNMENT RESOURCES

Despite the notable progress for the sector made in Zambia, financial and human resource limitations remain a persistent challenge. Eighty per cent of financing for sanitation still comes from donor funds.³⁸ The funds allocated for sanitation from the Ministry of Finance to districts and provinces are insufficient to meet the needs on the ground. Human resources are limited – and many positions are unfilled at the district and provincial levels, suggesting a capacity issue. The challenge for UNICEF will be to continue to advocate for additional investment in rural sanitation, while shifting some UNICEF technical assistance to new priorities on urban sanitation. Additional work may be required to explore other sources of funding from other sector partners. There is also a need to look at ways to maximise the use of available human resources for WASH and the other key sectors, while also continuing to advocate for additional staff to work on sanitation. Without such increases in financial and human resources, government will be restricted in what it can do effectively manage rural sanitation service delivery – let alone expand support to urban communities.

SYSTEMATIC USE OF DATA FOR DECISION MAKING

Further work is required to embed the use of data from the M2W monitoring system for decision-making across

government. Although the system appears to be effective in producing updated data, more work is needed to encourage confident and consistent analysis of the data, and its use for decision-making purposes. Some of these gaps are due to inadequate leadership in the district and provincial teams, frequent turnover of staff, and limited steering capacity at the national level (though the latter is expected to improve with the creation of the new WASH ministry).

COLLABORATION BETWEEN MINISTRIES AT THE NATIONAL LEVEL

Although at the district level collaboration is effective through the WASH committees, at the national level the coordination between sectors could be improved. Attendance at strategic meetings is not as high as it could be, the definitions of WASH indicators are not yet harmonised across the key ministries.

Monitoring systems have improved greatly but need further strengthening. For example, the link between improved hygiene and sanitation and reduced prevalence of waterborne diseases would be much clearer if monitoring systems across relevant ministries were better integrated.

Lastly, some ministries still simply do not always see WASH as a big enough priority. For example, although Ministry of Health staff are key actors in the rural sanitation programming (including the formal role of the National CLTS Coordinator), in practice they are not always allowed the time to work on sanitation.

BUSINESS SUSTAINABILITY FOR SMALL-SCALE SERVICE PROVIDERS IN RURAL AREAS

Latrine collapse remains a key challenge for many rural households during the rainy season, especially in areas with sandy or waterlogged soils. Low-cost options to mitigate this challenge have been developed and are being promoted through a rural sanitation marketing approach, which has trained 159 builders to date. However, it remains unclear whether the businesses established will be able sustain their operations, and whether the approach will continue to be able to scale-up; questions remain on how to link households to financing options, and therefore whether the entrepreneurs created will be able to maintain their business activities and generate revenue.

³⁸ United Republic of Tanzania. Ministry of Health and Social Welfare. 2015. *Zambia Study Visit Report 16th-20th March 2015*. Dar Es Salaam.



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Lessons learnt

Over the last ten years, several lessons have been learnt through the Zambia CATS programme.

TECHNOLOGY IS IMPORTANT BUT INSUFFICIENT WITHOUT OTHER SUPPORTIVE ELEMENTS

The M2W monitoring system appears to be an appropriate technology solution for monitoring CATS and WASH programming in Zambia. The technology alone however is insufficient without the supporting elements in the enabling environment. The Government of Zambia is making efforts to further develop these necessary support structures.

Some of the key elements that need to be in place include a good regulatory framework for the monitoring system, good governance of the actors responsible for its implementation, and clear accountabilities. Clear roles and responsibilities of the relevant actors, a widely disseminated protocol for implementation, and support structures for troubleshooting at

decentralised levels are also important to consider. When these elements are in place to support coordination, of the various components and actors, the technology becomes fully functional and able to be applied at scale.

Another key consideration to support the adoption of any monitoring system is an appropriate incentive system, including feedback to the various actors in the system so they understand the value of their work. It is critical that users of the system understand the benefits of having the data, to ensure ongoing support for the system itself.

DESIGN INITIATIVES WITH GOVERNMENT CAPACITY IN MIND

The design of sanitation programmes must consider government capacity for all elements of it from the start. This was especially true for the development of the M2W monitoring system.

The level of technology that any external agency introduces should not exceed the human, financial or technical capacity of government to maintain it. It was recognised from the start of

the design that software that could be maintained centrally but available to all users would be critical. It was also recognised that the ability to have the system modifiable would be necessary so that it can be improved upon over time. Ultimately, these considerations served to lower the costs and generate value of the system for multiple stakeholders. Additionally, the data needs to be flexible for import and export from widely used applications, and among staff or community members (e.g. chiefs) who may not have strong skills in technology.

Monitoring activities and their associated costs must also be evaluated against the capacity of government to maintain them without external support. For example, UNICEF Zambia and its implementing partner Akros initially supported face-to-face meetings between government workers and community champions for supervisions. When it became apparent that government did not have sufficient funds to maintain this approach, a system for remote supervision via telephone calls was developed. Other ways to lower the cost of maintaining the system within the government resource constraints are also being explored.

The experience developing the M2W system has shown key considerations for designing a monitoring system that could be adopted and sustained by government: multiple stakeholders should be able to access and value at different levels of the system, and lowering costs should be a priority, using existing channels and structures wherever possible.

SYSTEMATIC ENGAGEMENT OF RELEVANT REFERENCE NETWORKS

The Zambia programme shows how effective it can be to involve relevant reference networks, to support the creation of ODF as a social norm. In Zambia, chiefs are key influential figures for the community and have been key in driving the ODF movement. Chiefs are also influential to each other; ‘chief-to-chief’ triggerings and support, as well as a sense of healthy competition created by having easy access to updated data have also been key elements of the programme’s success.

Those who are not influenced by chiefs alone but may be influenced by civic leaders or government technocrats, also have the potential to be influenced to for change via the ‘Three-

Rope Approach’ – mobilising technocrats, civic leaders as well as traditional leaders. Understanding key reference networks, and systematically involving them in the service delivery model for rural sanitation, has been an effective tool for facilitating change, delivering the programme in the field, and in taking the programme to scale.

Next steps

Several next steps are envisioned by UNICEF Zambia. A priority will be working with the Government to support ODF sustainability and movement up the sanitation ‘ladder’. There are ongoing discussions on methods to celebrate sustained ODF status, including the possibility of conducting annual ODF sustainability and ‘clean community’ competitions. Course-corrective actions will be implemented if a community loses ODF status, including for example the replacement of an inactive community champion, or more intensive sanitation marketing activities, if needed and appropriate. Plans are also in place to orient Sanitation Action Groups based in communities on methods to support ODF communities move up the sanitation ladder.

The next steps for the M2W monitoring system will be to scale it up in order for it to become the wider national WASH management information system. This will first require integrating WASH data with other data sources, such as national surveys, often from other sectors. Ultimately, the aim is to combine data from WASH, health and education for strategic planning. With support from UNICEF and the European Union, the Ministry of General Education has begun the process of migrating its management information system to the same software, which is a key first step. It is hoped that the benefit of the system beyond WASH will generate sufficient value for various stakeholders and prompt government to continue investing their own funds to sustain the system.

UNICEF Zambia is also developing a service delivery model to address the emerging and complex challenge of urban sanitation, by adapting some of the lessons learnt from their experience developing the successful rural sanitation model. A draft strategy for urban sanitation is already under development as part of Zambia’s ODF strategy.





NEPAL FIELD NOTE



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Key CATS indicators

NEPAL CATS SUMMARY INDICATORS - UNICEF PROGRAMME AREAS			
Status	1	Start of UNICEF CATS programme	2006
	2	Total number of people practicing OD	7.4 million
	3	CATS spread: % of country where CATS is being implemented	75%
	4	CATS in urban areas (Yes/No)	No
	5	CATS coverage: number of major organisations	8
	6	Population living in ODF communities	8 million
	7	Number of communities mobilised for ODF	2746
	8	Average number of households in communities mobilised	Not available
	9	Number of communities certified ODF	2388
	10	Number of districts/municipalities certified ODF	16 (nationwide 38)
	11	Is CATS integrated with other sanitation approaches?	Yes
11a	Which approaches is CATS integrated with?	Sanitation marketing; sector triggering	
Enabling environment	12	Sub-national/micro-planning for ODF implemented & led by local government	Yes
	13	Harmonised ODF verification and certification system in place	Yes*
	14	Number of active, master trainers/facilitators for CATS	225
	15	CATS in government policy	Yes
	16	National strategy in place to achieve ODF (eliminate OD)	Yes
	17	Target year for nationwide ODF	2017
	18	CATS financed by government (Yes, No, partially?)	Partially
19	Presence of harmonised monitoring system (at national level)	No	
Effectiveness	20	ODF success rate (number of triggered communities that have achieved ODF status)	87%
	21	Sustainability: % of communities with ODF status sustained	76%

Sustainability measure: Sustainability measured via sustainability checks conducted every few years.

*There is a harmonised verification criteria but the system for verification and certification varies per district.

Source: UNICEF Nepal

Sanitation coverage estimates

NEPAL	SANITATION COVERAGE ESTIMATES					
	Urban(%)		Rural(%)		Total(%)	
	1990	2016	1990	2016	1990	2016
Improved facilities	35	61.1	1	62.9	4	61.7
Shared facilities	24	26.5	0	14.9	2	22
Other unimproved	7	1.7	6	1.4	6	1.6
Open defecation	34	10.8	93	20.9	88	14.7

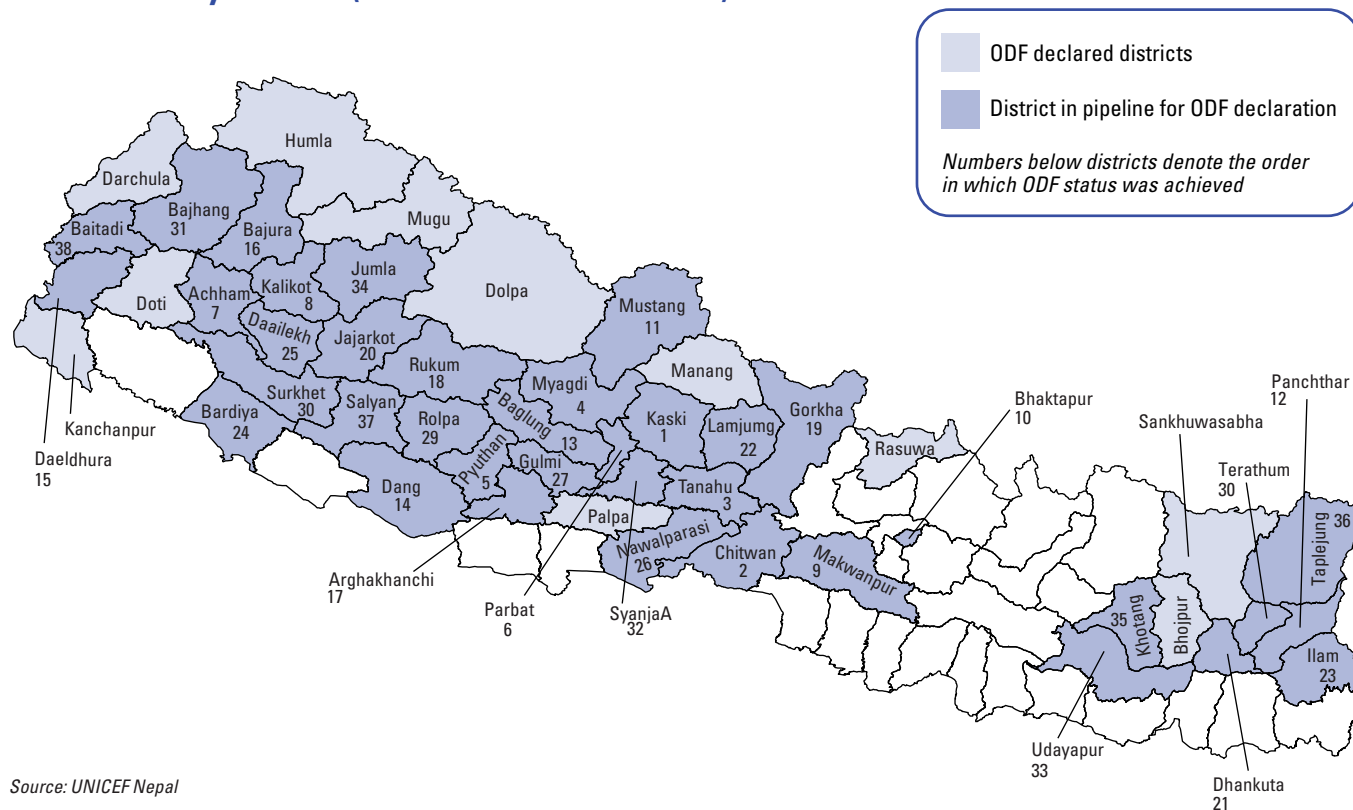
Source: DHS 2006 and DHS 2016

Country context

NEPAL COUNTRY CONTEXT	
Region	ROSA
Total population	28.5 million
Urban population	19%
Urban population growth (per year)	2.90%
Population density	199
Gini co-efficient	32.8
GNI per capita (US\$)	730
Income classification	Low income
Population living on US\$ 1.90 per day	15%
Stunting	37%
Under-5 mortality	36
Life expectancy at birth	70
Hazards	Severe thunderstorms; flooding; landslides; drought and famine depending on the timing, intensity and duration of the summer monsoons

Source: UNICEF Nepal

ODF status by district (as of 31 December 2016)



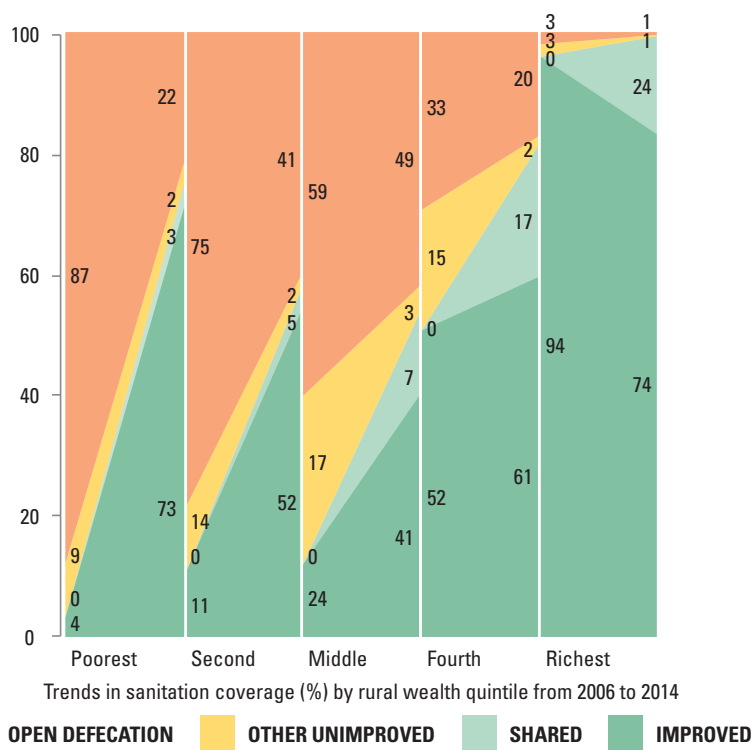
Source: UNICEF Nepal

Nepal sanitation trends



Source: JMP 2015 and DHS 2016

Nepal sanitation trends by wealth quintiles



Trends in sanitation coverage (%) by rural wealth quintile from 2006 to 2014

Source: Nepal DHS 2006 and MICS 2014

Note: Data on shared facilities was not available in the 2006 DHS (hence the figures are zero).

The Nepal CATS programme has seen tremendous growth since the start of its implementation. According to the Government of Nepal, access to sanitation is at 87 per cent as of mid-2016, surpassing the Millennium Development Goal of 53 per cent.³⁹ As of mid-2016, UNICEF supported 946 Village Development Committees (VDCs), which are local authorities composed of multiple communities, and 61 municipalities to achieve ODF status. From 2010 to 2016, sanitation coverage increased from 52 per cent to 86 per cent in UNICEF-supported districts.⁴⁰ As a result of this support and collaboration with key partners, approximately 8 million people in Nepal are now living in ODF communities in UNICEF supported districts.⁴¹

Contrary to the global trend of increasing open defecation among the poorest quintile, the highest open defecators in Nepal are the second and third poorest quintile.⁴² This is likely due to the support provided by local authorities to vulnerable households in the form of financing or materials for toilet construction using local government budget.

Sanitation has become a nationwide priority in Nepal and a 'Sanitation Social Movement' has been created. Multiple stakeholders have mobilised around the common goal of an ODF Nepal by 2017. Since 2015, sanitation was also included as a fundamental human right in the new Nepali constitution, reflecting the commitment of government universal coverage of sanitation. District governments are empowered to lead coordinated action towards ODF. As of 2016, all 33 districts supported by UNICEF have plans to achieve ODF and have allocated local government finances towards this goal. All partners working on sanitation within a district are allocated communities to support for ODF, and a database is maintained to direct partners to areas of need. VDCs have also been engaged and support community-level triggering.

39 Government of Nepal. 2016a. *Annual Report for the Department of Water Supply and Sewerage*. Kathmandu.

40 Government of Nepal. 2012. *National Population and Housing Census 2011*. Kathmandu. And: Government of Nepal. 2016b. *Department of Water Supply and Sewerage Annual Report 2015/2016*. Kathmandu.

41 UNICEF Nepal. 2014. *Sanitation for all: All for Sanitation (Lessons from Nepal's Sanitation Social Movement)*. Kathmandu.

42 Government of Nepal & UNICEF. 2015. *Nepal Multiple Indicator Cluster Survey 2014. Key Findings & Tables*. Kathmandu.

Evolution of the Nepal CATS program

The CATS programme in Nepal started as a project and has evolved to a large-scale programme over ten years of implementation. In 2006 UNICEF launched its CATS programme, which included an adapted demand-creation approach for schools: School-Led Total Sanitation (SLTS)⁴³. Three years later, the approach was broadened, to focus beyond school catchment areas to working towards making entire VDCs certified as ODF. This shift was initiated as a result of a severe diarrhoea outbreak in 2009 that affected 70,000 people in 27 districts – primarily in the mid-western and far-western regions, where open defecation was practiced by two thirds of the population⁴⁴. After this outbreak, stakeholders from WASH and other sectors came together to analyse the sanitation sub-sector, and worked together under the banner of Comprehensive and Accelerated Action for Sanitation and Hygiene. The process enabled stakeholders to easily identify and understand their role, collectively committing to ending the diarrhoea epidemic. Together they developed a strategy to achieve the goal, and started implementation in the field. As a result of this collective effort, sanitation had an extremely high national profile, which laid the foundations for the development of the national Sanitation and Hygiene Master Plan (SHMP), which became the overarching policy guide for all agencies working on sanitation and hygiene in Nepal.

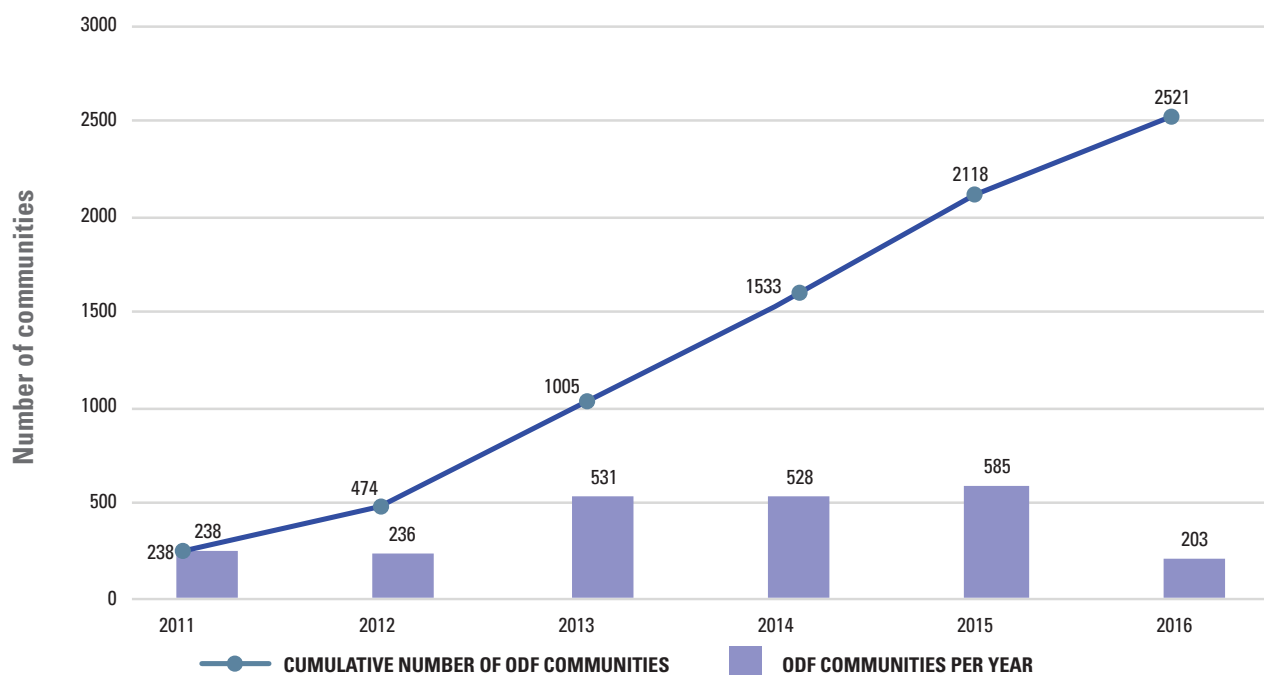
Prior to 2011 sanitation was much lower down the national policy priority list; the sector was not coordinated, and local authorities had extremely limited involvement. This was despite a clause in the 2004 Rural Water Supply and Sanitation Strategy that 20 per cent of the budget for WASH should be allocated for sanitation. The launch of the SHMP changed the policy landscape, and brought the actors together under a common goal of eliminating open defecation by 2017.

The SHMP set out a clear institutional framework for WASH implementation at the national to the sub-national levels in the form of WASH coordination committees (WASH CCs). UNICEF supported the establishment of these crucial institutional structures through an initiative called 'Aligning for Action'. This was the beginning of

43 UNICEF. 2009. *Field Notes: Community Approaches to Total Sanitation*. New York.

44 UNICEF Nepal (2014)

Figure 18: ODF progress in Nepal from the launch of the SHMP to early 2016



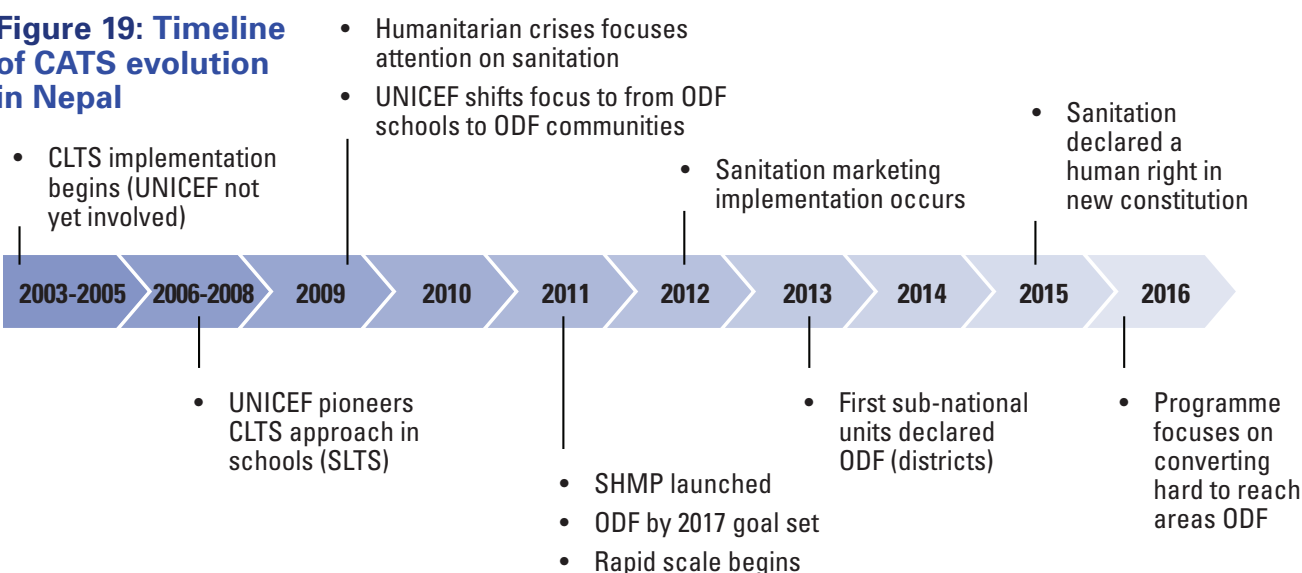
Source: UNICEF Nepal

the ‘sanitation social movement’ that drove everyone from children, women, policy makers, academia, and the media, among others, to do their part in contributing to an ODF Nepal.

Throughout these years, UNICEF Nepal has worked in close partnership with the Government of Nepal, providing both

financial and technical assistance. UNICEF Nepal also supported the development of complementary approaches to demand creation, from the sector triggering approach to sanitation marketing. In recent years, UNICEF Nepal has fostered cross-sector collaboration through partnerships with the health, education and nutrition sectors.

Figure 19: Timeline of CATS evolution in Nepal



Additionally, the UNICEF country programme has started to work in one of the most difficult to reach regions in Nepal – the Terai plains⁴⁵ – to further support the achievement of an ODF Nepal by 2017.

Elements for success

POLITICAL WILL AND COMMITMENT

The Government of Nepal has endorsed global and regional political commitments on sanitation. It has also formulated and delivered its own national strategy for sanitation. The strength of political will has been a game changer for Nepal; it has achieved one of the fastest rates of OD reduction worldwide.⁴⁶ The political commitments endorsed include the United Nations Declaration of water and sanitation as a basic human right, the Sanitation and Water for All (SWA) commitment to attaining universal access to water, sanitation and hygiene, and the commitment to end open defecation in South Asia at the South Asian Conference on Sanitation (SACOSAN). At the sub-national level, WASH sector stakeholders have organised triggering and sanitation commitment workshops to mobilise the education and health

sectors, the media, and even political parties towards ODF. This has helped to create awareness of sanitation issues for the most local staff of each government sector, as well as the communities they serve.

LONG-TERM GOVERNMENT VISION – WITH THE STRUCTURES AND MECHANISMS TO DELIVER IT

The SHMP and the collective goal of an ODF Nepal by 2017 was a compelling vision. It provided a clear guiding framework to bring together the previously disparate actors in the sanitation sector together – as well as those in related sectors such as health and education. In addition, both the national government and local governments increased resource allocation to sanitation once the SHMP was launched.⁴⁷ Coordinating structures at all levels of governance were also developed in the form of the WASH coordinating committees (WASH CCs), which enabled ‘basket funding’, where donors and implementing partners are able to provide their contributions via a joint planning process. Additionally, investments were made in human resources and in building capacity for the roll out of the SHMP: a cadre of master trainers and sanitation facilitators was trained to support triggering and monitoring at the local level, and they were also able to promote better hygiene and sanitation practices directly with community members.

45 The Terai plains have a larger population than in other areas, are very close to India, so have higher expectations of subsidies, and have generally less homogenous communities.

46 JMP (WHO/UNICEF). 2014. *Progress on drinking water and sanitation - 2014 update*.

47 National Sanitation and Hygiene Coordination Committee Nepal. 2016. *Nepal Country Paper on Sixth South Asian Conference on Sanitation (SACOSAN-VI)*. Dhaka.

Figure 20: Diverse stakeholders involved in the Sanitation Social Movement



DIVERSE SET OF CHAMPIONS

The sanitation social movement has been supported by a diverse range of stakeholders. Figure 20 shows the range of stakeholders who have contributed to driving the movement within their own reference networks, resulting in an extremely wide awareness of ODF principles.

DOCUMENTATION AND DISSEMINATION OF LEARNING

The 'Aligning for Action' programme, which initiated the process of joint planning at the district levels was piloted in the UNICEF-supported districts in the mid- and far-western regions. These were subsequently some of the first districts declared ODF.⁴⁸ Through sharing the lessons from this experience with the rest of the sector, these districts became role models for other districts. This not only generated ideas that could be applied in the field, but also showcased the feasibility of achieving district-wide ODF, which further increased stakeholder confidence in – and motivation for – ODF.

UNICEF has also facilitated knowledge exchange by supporting regional, district and VDC level sanitation conferences. These gatherings provide an opportunity to share lessons between partners, re-energise the drive for ODF, and support those facing challenges. These conferences have also created the space and scope to include a wide variety of stakeholders, including the media, academia, and community members who are able to share and raise issues in their communities. Once stakeholders at these conferences commit to ODF, they create an action plan to mobilise sector stakeholders for sanitation promotion. UNICEF has also supported government participation in sub-national, national and international gatherings. This has provided opportunities for both government and the sanitation sector to review their progress, set clear but realistic targets, and to identify which approaches are working well and which ones need further development.

DECENTRALISED LEADERSHIP IN PLANNING AND IMPLEMENTATION

A key strength of the Nepal CATS programme is the leadership displayed at the local level by district and VDC WASH

committees. District committees each have individual plans to achieve ODF by 2017 and they regularly monitor their progress. These plans include decisions on which VDCs to prioritise, decisions on which partners should help which VDCs, the pooling of resources for sanitation, and the identification of resource gaps and requirements. VDC WASH committees have the flexibility to implement different approaches to reach ODF, such as utilising the concept of 'danveer' (literally 'hero of generosity'), where a community member or other stakeholder provides support to vulnerable households for sanitation.⁴⁹ This sense of ownership at the local level has also supported local monitoring. Bara and Rautahat districts, for example, have organised their monitoring locally so that they have access to readily available information of the status of sanitation in their respective districts.

PUBLICITY TO REINFORCE ODF

Through publicity of the ODF efforts in Nepal, it is now a commonly held belief that sanitation is the responsibility of everyone. Large celebrations conducted for VDCs and districts that are declared ODF energise the ODF movement – and cultivate a feeling in neighbouring communities and districts that they too should become ODF. Public recognition of individuals or groups who contributed to the sanitation social movement has also been conducted via public praise, letters of appreciation, and rewards for sanitation community champions, households or institutions.⁵⁰ The local media, including newspapers and radio, has also been instrumental in promoting ODF through publishing such success stories and continuously disseminating messages on ODF. One radio station even developed a programme during which callers phoned in to discuss sanitation. This combination of approaches for publicity has significantly contributed to accelerating the sanitation social movement.

Challenges

To achieve an ODF Nepal by the end of 2017, several challenges must be overcome.

49 UNICEF. 2013. *Evaluation of the WASH Sector Strategy "Community Approaches to Total Sanitation" (CATS). Nepal – Country Visit Report*. New York.

50 Ibid.

48 UNICEF Nepal (2014).

SANITATION OPTIONS FOR DIFFICULT CONDITIONS

Further supply side options are required for areas with challenging conditions. Some of these difficulties include particularly high poverty rates, difficult terrain and soil conditions. In other areas the water table is too high, and there is regular flooding, while others have no space to build toilets or require permission from landowners to construct toilets. In hilly and mountainous areas, there is limited access to markets, and the cost of transporting materials remains high. Although some work has been conducted on developing the supply side, this area still requires further attention. The 'Easy Latrine' developed through the UNICEF Nepal sanitation marketing programme remains expensive for many households, and as such is only an option for some segments of the population.

LIMITED CAPACITY OF SOME DISTRICTS AND VDCS

District and VDC WASH committees are critical to driving ODF change – however some of these committees have less capacity than others. Limited management, staff and financial capacity prevents these local bodies from making progress on sanitation. There is a need to train more master trainers and sanitation facilitators, in order to support these areas.

CHANGE OF SOCIAL NORMS IN COMMUNITIES

The drive towards ODF Nepal 2017 has created much enthusiasm for improving sanitation. However, the immense pressure to achieve this goal has also led to some practices that may actually detract from changing defecation practices in the long term. There have been reports of intense policing for a community to reach ODF, as well as the use of 'sanitation cards', to provide (or withhold) services to households with or without toilets – which may lead to toilet construction but not necessarily its use without accompanying interventions. There is a risk that when such intensive policing of ODF stops, there may be a return to previous behaviours. Further efforts to ensure that social norms for ODF are changed in the long term in communities are ongoing, to understand and address this challenge further.

CONTINUED PRACTICE OF SUBSIDIES

The SHMP clearly states that no subsidies are to be provided

for sanitation at the local level, except at the discretion of local authorities to support the most vulnerable and disadvantaged households.

Local authorities have for the most part observed this provision, but the implementation has been flawed. Some VDC WASH committees, for example, provided materials for those without toilets as part of a competition. Other committees provided materials for toilet construction, but the support was poorly targeted and did not reach the poorest households. Others promised to provide materials for toilets each year to a certain number of households, until the community reached ODF. These practices have led households to wait for subsidies, living with poor sanitation for longer instead of building a toilet using their own means. These challenges have been recognised by key stakeholders in the sanitation sector, and discussions are taking place on how subsidies could be targeted in a way that better facilitates behaviour change and collective action, and targets those in need.⁵¹

Lessons learnt

Several lessons have been learnt in the delivery of the Nepal CATS programme.

LESSONS ON SANITATION MARKETING

Although many businesses were trained to sell the 'Easy Latrine', the majority of sales per district came from only a handful of businesses. Some businesses thought the product was not attractive because it was too expensive for some households. Instead of trying to identify training additional businesses, it may be more useful to focus on businesses that are already active and demonstrate interest in the product, and provide them with additional support (by for example looking at ways to widen their potential 'catchment area'). There is also a need to better understand what makes some business more successful than others, and to have better data on how the businesses are faring to assess their long-term viability. The one-stop-shop model of the 'Easy Latrine' was also challenged, as sales data showed that the majority of sales were only for one component of the toilet; the tile slab. The high cost of purchasing the complete toilet

514 Ibid.

still leads households to buy toilet components from different suppliers instead of from one sanitation business. Facilitating linkages between households and different low-cost suppliers may be one option to help households access affordable sanitation options, instead of selling one complete product.

BEHAVIOUR CHANGE AND SANCTIONS

Massive ODF publicity campaigns and the sanitation social movement has led to large-scale ODF declarations and toilet construction, but there remain reports of partial usage of toilets. Key behaviour change messages on the benefits of ODF for the entire community may have been lost under the pressure to reach ODF. Additionally, sanctions that are enforced may well lead to toilet construction, but not necessarily their use. The approach in communities must therefore be carefully implemented, ensuring that the primary message of behaviour change, by all members of a community, is emphasised as the key to success.

GOVERNMENT ENGAGEMENT FROM THE START

It is important to recognise, foster and utilise government capacity to lead and steer the sanitation movement from the start. Since the SHMP came into place, government has been clearly leading on sanitation, with UNICEF providing support from behind. The engagement of local bodies, especially district development committees, municipalities and VDCs has been critical from the start of the ODF programme through to its implementation and review. The chairs of these local bodies were also the heads of the local government offices involved in WASH. As they have been recognized as key personnel for sanitation in the institutional set up, they heartily accepted their responsibility and committed to the sanitation social movement.

WASH committees at different levels also took responsibility for the ODF strategy because they had been directly involved in the district-wide consultation, and so are playing their part to raise awareness on ODF and toilet construction. Having local government authorities drive and lead the change in their communities provides the impetus for local ownership of the programme, and therefore increases sustainability. The flexibility to set local strategies and policies to reach ODF, and to mobilise actors in their communities who understand and can address the key issues in the field, have also been useful in putting government at the forefront of eliminating OD.

POSITIVE COMPETITION THROUGH DISTRICT-WIDE PLANNING AND REVIEW

Districts and VDCs formulated their own sanitation and ODF strategies based on a wider consultation with key stakeholders in each district. These stakeholders then prepared an action plan for joint planning, monitoring and review of their strategy. These joint processes have created healthy competition between VDCs and municipalities to reach ODF, which has increased sanitation coverage significantly.

CAPITALISING ON LOCAL INITIATIVES TO SUPPORT POOR AND DISADVANTAGED HOUSEHOLDS

In many communities, local initiatives were developed where some sections of the community supported poor and disadvantaged households to build toilets by providing cash or in-kind donations from a local donor – a practice called ‘danveer’. Understanding and supporting the mobilisation of traditional support mechanisms in this way has been highly effective.

Next steps

UNICEF Nepal will continue to provide support to the Government of Nepal to help realise its ambition of water and sanitation for all by the end of 2017. This will include support as the Government establishes the new dedicated Ministry of Water Supply and Sanitation, and the development of a new 15-year WASH Sector Development Plan.

There will also be a renewed focus on the Terai plains, to ensure functional supply chains with affordable and appropriate toilet options are available to communities there.

UNICEF will also continue to focus on ensuring high-level political commitment, as well as supporting Nepal in global and regional forums like SWA and SACOSAN, fostering learning between countries facing similar challenges.

There will also be a focus on sustaining changes to social norms around open defecation practices and sustained hygiene behaviour. This means strengthening the enabling environment to ensure that the policies, plans and strategies – as well as government financing – will meet the needs on the ground.

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APPENDIX A: DEVELOPING YOUR OWN CATS FIELD NOTE

Each country office is encouraged to develop their own field note to reflect on their experiences, and to help others learn from them. This brief guide is intended for UNICEF Country Office (CO) staff or interns to document their work on CATS. Several steps can be taken to develop your own country field note. Based on new developments in your programme, you can update this every two to three years.

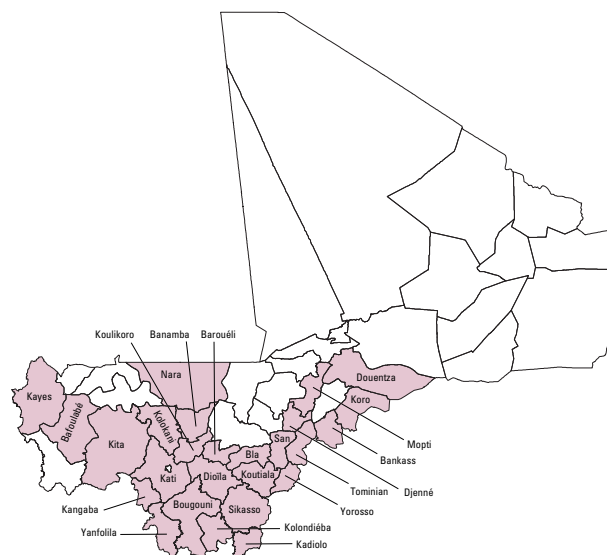
1. Fill out the basic indicators for CATS, which provide a snapshot of the programme. A template for this and the next table is available at: <https://unicef.sharepoint.com/teams/Communities/CATS/SitePages/Home1.aspx>.

CATS SUMMARY INDICATORS			
Status	1	Start of UNICEF CATS programme	
	2	Total number of people practicing OD	
	3	CATS spread: % of country where CATS is being implemented	
	4	CATS in urban areas (Yes/No)	
	5	CATS coverage: number of major organisations	
	6	Population living in ODF communities	
	7	Number of communities mobilised for ODF	
	8	Average number of households in communities mobilised	
	9	Number of communities certified ODF	
	10	Number of districts/municipalities certified ODF	
	11	Is CATS integrated with other sanitation approaches?	
	11a	Which approaches is CATS integrated with?	
Enabling environment	12	Sub-national/micro-planning for ODF implemented & led by local government	
	13	Harmonised ODF verification and certification system in place	
	14	Number of active, master trainers/facilitators for CATS	
	15	CATS in government policy	
	16	National strategy in place to achieve ODF (eliminate OD)	
	17	Target year for nationwide ODF	
	18	CATS financed by government (Yes, No, partially?)	
	19	Presence of harmonised monitoring system (at national level)	
Effectiveness	20	ODF success rate (number of triggered communities that have achieved ODF status)	
	21	Sustainability: % communities with ODF status sustained	

- Fill out the country context. This data can be derived from various sources, including the UNICEF State of the World’s Children report, statistics from the World Bank, and other statistics available at your country office.

COUNTRY CONTEXT	
Region	
Total population	
Urban population	
Urban population growth (per year)	
Population density	
Gini co-efficient	
GNI per capita (US\$)	
Income classification	
Population living on US\$ 1.90 per day	
Stunting	
Under-5 mortality	
Life expectancy at birth	
Hazards	

- Develop one to two maps that show the spread of CATS in the country. For example:
 - Areas where CATS has been implemented; or
 - A map that shows ODF and triggered communities (if possible).
- Download the country file on WASH trends and WASH trends by wealth quintiles from the Joint Monitoring Program (JMP) website: https://www.wssinfo.org/documents/?tx_displaycontroller%5Bregion%5D=&tx_displaycontroller%5Bsearch_word%5D=&tx_displaycontroller%5Btype%5D=country_files



Extract the tables and figures on Sanitation Coverage Estimates, the overall Sanitation Trends since 1990, and the Sanitation Trends by Wealth Quintile.

You can also develop these tables and figures if you have similar information from national surveys, such as the Demographic Health Survey or the Multiple Indicator Cluster Survey.

- Make a list for each of the following categories.
 - Package of sanitation interventions (different sanitation approaches currently implemented by the country programme)
 - Key actors (government and non-governmental actors)
 - Key resources (for your country programme; this can include national strategies and policies, research studies, training guides, reports, etc.)
- Gather and review the data to write your field note.

APPENDIX A

MALI	SANITATION COVERAGE ESTIMATES					
	Urban(%)		Rural(%)		Total(%)	
	1990	2015	1990	2015	1990	2015
Improved facilities	31	38	9	16	14	25
Shared facilities	35	43	6	10	13	23
Other unimproved	29	17	48	59	43	42
Open defecation	5	2	37	15	30	10

Source: JMP



If this is the first time you are writing a case study, general background and historical information will be required to share the story of how your CATS programme reached the stage it is at now.⁵² Key areas that need to be elaborated on include:

- Background information and timeline on CATS programme evolution
- Key results achieved to date
- Elements of success
- Specific intervention that you want to highlight in this case (reflect on an initiative that your programme has done well, or is attempting now, which is innovative/relatively new, addresses a pressing concern, and which others can benefit learning from your program about)
- Challenges faced by the programme at the moment
- Lessons learnt (with a focus on experiences that did not go as expected and what changes were made to the programme to set it in the right direction)
- Next steps for CATS or the sanitation programme in general

Gather key documents that provide both qualitative and quantitative data to unpack the categories above. Put together a list of key informants in the sanitation sector, from UNICEF staff to government staff and other sector partners. It will also be useful to also speak to people from different levels of implementation (national/policy level, sub-national/district level, and field level). Don't forget to include community members in your list. Arrange interviews or focus group discussions with these key informants. Facilitate rigor through ensuring there is a triangulation of information between different stakeholders interviewed and between different documents reviewed. Conduct member checking throughout the interviews by verifying that you understand the views of others correctly, and by sharing a draft of the document at least to the key informants and other relevant stakeholders.

7. If you wish, you could receive support from the CATS Community of Practice members to finalise your field note by going to Yammer <https://www.yammer.com/unicef.org> and joining the group CATS Connect.
8. Upload your country field note and accompanying resources on the 'CATS Sharepoint' site: <https://unicef.sharepoint.com/teams/Communities/CATS/SitePages/Home1.aspx>

Best of luck!

For more support on how to develop your own country case study and other knowledge products for CATS, please contact: Michael Gnilo, WASH Specialist at megnilo@unicef.org

⁵² If this is at least the 2nd time that this field note has been drafted for your country, the general information will simply require an update, and the section on intervention description could be modified to reflect a different initiative of the country program.

APPENDIX B: ADDITIONAL INFORMATION ON THE HAITI CATS PROGRAMME

PACKAGE OF SANITATION INTERVENTIONS

- CLTS

LIST OF KEY ACTORS

- Directorate of Water Supply and Sanitation (DINEPA)
- Ministry of Health and Population (MSPP)
- The World Bank
- Oxfam
- Zanmi Lasante
- Plan Haiti
- Heart to Heart
- World Vision

LIST OF KEY RESOURCES

Available at: <https://unicef.sharepoint.com/teams/Communities/CATS/SitePages/Home1.aspx>

- CATS triggering guide
- CATS verification system
- CLTS in the southeast – briefing document
- National Sanitation Strategy

APPENDIX C: ADDITIONAL INFORMATION ON THE PHILIPPINES CATS PROGRAMME

PACKAGE OF SANITATION INTERVENTIONS

- Community-Led Total Sanitation
- Sanitation marketing
- Mason training
- WinS
- WASH in Early Childhood Care and Development (ECCD)
- Financing
- Governance and Advocacy
- Communication for Development (C4D)

LIST OF KEY ACTORS

- Department of Health (DOH)
- Department of Interior and Local Government (DILG)
- Department of Social Welfare and Development
- Department of Education
- Early Childhood Care and Development (ECCD) Council
- WASH committees at the Provincial, Municipal, and Barangay (community) levels
- Mayors (also known as Local Chief Executives or LCEs)
- Barangay captains
- Sanitary engineers and sanitary inspectors
- Health Education and Promotion Officers (HEPOs)
- The World Bank Water and Sanitation Program (WSP)
- Action Against Hunger
- A Single Drop of Safe Water (ASDSW)
- Relief International
- Samaritan's Purse

LIST OF KEY RESOURCES

Available at: <https://unicef.sharepoint.com/teams/Communities/CATS/SitePages/Home1.aspx>

- 'Goodbye Dumi, Hello Healthy' C4D toolkit
- Guidelines on the Verification and Certification of Barangay for Zero Open Defecation status (DOH Department Memorandum No. 2015-0021, dated 21 January 2015)
- Guidelines on the Verification, Certification and Monitoring of Barangays for Sustainable Sanitation (G2) and Total Sanitation Barangays (G3) (DOH Region VIII)
- Report on Enabling Environment for Scaling Up Sustainable

Sanitation and Hygiene in the Philippines (UNICEF Philippines, 2012)

- Demand Study and Supply Assessment: Consolidated Report on Scaling Up Demand and Supply for Rural Sanitation (DOH, REECS, UNICEF, WSP-WB, 2013)
- CLTS Review in the East Asia and the Pacific Region (2013)
- Second CLTS Review in the East Asia and the Pacific Region (2015)
- Beyond ODF: A phased approach to rural sanitation development
- PhATS: Facilitator's Guide to Governance (2015) – developed for the Haiyan programme
- PhATS: Facilitator's Guide to Demand Creation (2015) – developed for the Haiyan programme
- Phased Approach to Total Sanitation (PhATS) in Haiyan-Affected Areas: End-line Assessment (2016)

LIST OF KEY TRAININGS FOR GOVERNANCE PROGRAMME

- PhATS orientation
- CLTS facilitation
- WASH governance (including planning, budgeting and monitoring),
- WinS and ECCD centers, including:
 - School improvement plans and the 3-Star Approach orientation for School Heads and Principals
 - Training of Trainers on the child-to-child approach for school teacher representatives
 - Training of Daycare workers on hygiene promotion for children in day care centres
 - Training on the operation and maintenance of low cost WASH Facilities
- Water quality testing
- Barangay Development Planning, including support to plan for ODF
- Training of barangay health workers on hygiene promotion
- Training of masons to support improvements in supply infrastructure

APPENDIX D: ADDITIONAL INFORMATION ON THE MALI CATS PROGRAMME

PACKAGE OF SANITATION INTERVENTIONS

- CLTS
- WASH marketing
- WinS

LIST OF KEY ACTORS

- National Directorate for Sanitation and the Control of Pollution and Nuisances (DNACPN)
- Regional Directorate(s) for Sanitation and the Control of Pollution and Nuisances (DRACPN)
- Local Service for Sanitation and the Control of Pollution and Nuisances (SACPN)
- SNV Netherlands
- WaterAid
- CARE
- Plan Mali
- World Vision

- RECOTRADE (Traditional Communicators network)
- Local NGO partners

LIST OF KEY RESOURCES

Available at: <https://unicef.sharepoint.com/teams/Communities/CATS/SitePages/Home1.aspx>

- Mali CLTS Guide
- CLTS Impact Evaluation
- Mali Post-ODF Certification Strategy
- Mali Post-ODF Implementation Guide
- Mali Post-ODF Certification Training Manual
- Village Committee Formalisation Guide
- Field visit guide
- Traditional latrines construction Guide – WASHPlus
- Training modules on CLTS steps
- Mali CLTS training package for implementers

APPENDIX E: ADDITIONAL INFORMATION ON THE ZAMBIA CATS PROGRAMME

PACKAGE OF SANITATION INTERVENTIONS

- CLTS
- Sanitation Marketing
- Real Time Monitoring
- Institutional Strengthening
- WinS
- Legal Enforcement (i.e. through traditional leaders)
- Hand-washing Promotion
- Urban sanitation

LIST OF KEY ACTORS

- Ministry of Water, Sanitation and Environmental Protection (MWESEP) – being created
- Ministry of Local Government (MLG)
- Ministry of General Education (MoGE)
- Ministry of Health (MoH)
- Ministry of Chiefs and Traditional Affairs (MoCTA)
- District Water, sanitation, hygiene and education (Coordination Committee; D-WASHE)
- Provincial WASHE (P-WASHE)
- National CLTS Coaches and Trainers (Government of Zambia)

- National RTM Coaches (undergoing training)
- Akros
- SNV
- Plan
- World Vision
- Sightsavers

LIST OF KEY RESOURCES

Available at: <https://unicef.sharepoint.com/teams/Communities/CATS/SitePages/Home1.aspx>

- Zambia: Engaging Local Leadership for Total Sanitation, in CATS Field Notes (2009)
- Assessment of the Value for Money of DfID’s Sanitation and Hygiene Programme in Zambia (2015)
- Community Led Total Sanitation in Zambia: An Evaluation of Experiences and Approaches to Date (2011)
- Real-time Monitoring of Rural Sanitation at Scale in Zambia Using Mobile-to-Web Technologies (2015), in the ESARO Sanitation and Hygiene Learning Series
- Publications:
 - Zambia’s 3 Million People Program: a service delivery model for scaling-up hygiene and sanitation (WEDC Conference 2015)
 - Chiengi District, Zambia Open Defecation Free After 1 Year of Community-Led Total Sanitation (American Journal of Tropical Medicine 2016)
- Zambia ODF strategy (in bold are available documents):
 - Community-based Sanitation and Hygiene Promotion
 - CLTS Training Manual (2012)
 - CLTS implementation for People living on large farms (2015)
 - CLTS implementation for temporary fishing camps (2015)
 - ODF Celebration Guidelines (2015)
 - Engagement of Traditional Leaders
 - Guideline to Chiefdom Trigger (2015)
 - Guideline to Chiefdom Orientation (2015)
 - Guideline for Chiefdom Fundraising (2015)
 - Guideline for ODF Chiefdom Celebration (2015)
 - Guideline for acceptable penalties through Chiefs (2015)
 - Sanitation Marketing
 - Example Report with Agenda (2016)
 - Construction Guidelines
 - Simple Construction Guide for Hand Washing Facilities (2015)
- Sanitation in schools and other institutions
 - WASH in Schools
 - SLTS Manual and Guidelines
 - SLTS Guidelines (2014)
 - SLTS Training Manual (2014)
 - Menstrual Hygiene Management Guidelines (2016)
 - Infrastructure Set
 - Interim WinS Package (2014)
 - Low Cost School Designs (2015)
 - VIP Latrine Design
 - Catalogue of Hand Washing Facilities for Groups (2015)
 - SLTS Monitoring Tools
 - DEBS Completion Certificate (2014)
 - School Schedules and Checklists (2014)
 - Monthly Progress Report Form for Implementing Partners (2014)
 - WASH in Health Facilities
 - Water, Sanitation & Hygiene Recommended Minimum Standards for Infection Prevention & Control in Health Care Facilities (2015)
- Hand washing behavior change
 - Triggering Tools for Hand Washing Practice Guide (2014)
- Urban sanitation
 - Urban Sanitation Strategy (2016)
- Legal enforcement
 - Legal Enforcement for Towns and Peri-Urban Areas: Summary Steps
 - Legal Enforcement Concept for Scaling Up Sanitation and Hygiene in Communities and Institutions in Zambia
- Publicity
 - Communication and Behavior Change Strategy (Final Draft, 2016)
- Monitoring, Evaluation and Tools
 - Monitoring Manual (2013)
 - ODF Verification Procedure and Tool (2014)
 - ODF Certification Procedure and Tool (2014)
 - Mass Verification Guidelines (2015)
 - Checklist for Monthly District Support Meetings (2014)
 - Spot Check Protocol (2014)
 - Template for 3 Months District Planning (2014)

APPENDIX F:

ADDITIONAL INFORMATION ON THE NEPAL CATS PROGRAMME

SANITATION INTERVENTION APPROACH

- Demand creation
- CLTS
- Sanitation Marketing (SanMark)
- Multi-sector engagement with Health, Education, Microfinance institutions, and others

LIST OF KEY ACTORS

- Local and national government
 - Ministry of Water Supply and Sanitation (MWSS)
 - Department of water supply and sewerage (DWSS)
 - Environmental Sanitation Section (ESS)
 - Ministry of Federal Affairs and Local Development (MOFALD)
 - Department of Local Infrastructure Development and Agricultural Roads (DOLIDAR)
 - Water Supply and Sanitation Division Office (WSSDO)
 - District administration office
 - District Development Committee (DDC)
 - Ministry of Education (MOE)
 - Department of Education (DOE)
 - District Education Office (DEO)
 - Ministry of Health (MOH)
 - Department of Health Services (DOHS)
 - District Public Health Office (DPHO)
 - District Women and Children's Office (DWCO)
 - Coordination committees at various administrative levels
 - National Sanitation and Hygiene Coordination Committee
 - District WASH Coordination Committee (D-WASH CC)
 - Village Development Committee WASH Coordination Committee (V-WASH CC)
 - Municipal WASH Coordination Committee (M-WASH CC)

- UN Habitat with the Global Sanitation Fund (GSF)
- SNV Netherlands
- Water Aid
- Oxfam
- SUSAHARA (USAID nutrition project)
- International Development Enterprises (iDE) Nepal
- Nepal Water for Health (NEWAH)
- Federation of Drinking Water and Sanitation Users Nepal
- Nepal Red Cross Society– network of local actors
- Local journalists (photo monitoring)
- Local non-governmental organizations (NGOs)
- Private sectors
- Women's organizations
- Children and Youth Groups, mothers group
- Golden 1000 Days for Nutrition
- Environment Friendly Local Governance Program of the Ministry of Federal Affairs and Local Development
- Child Friendly Local Governance Program of the Ministry of Federal Affairs and Local Development

LIST OF KEY RESOURCES

Available at: <https://unicef.sharepoint.com/teams/Communities/CATS/SitePages/Home1.aspx>

- Sanitation for All: Case study
- Nepal Country Report: CATS Evaluation
- Nepal Country Paper: South Asian Conference on Sanitation VI (SACOSAN VI)
- CLTS Guidelines
- SLTS Guidelines
- SanMark Light Review
- CATS Field Note Version 1
- National Sanitation and Hygiene Master Plan (SHMP)
- UNICEF One WASH Annual Reports (2014 and 2015)
- Nepal Demographic and Health Survey (DHS) (2011)
- Nepal Multiple Indicator Cluster Survey (MICS) (2014)

GLOSSARY OF KEY TERMS

CATS: Community Approaches to Total Sanitation is an umbrella term used by UNICEF that includes the range of community-based, sanitation programming meant to eliminate open defecation.

CLTS⁵³: Community-Led Total Sanitation is the approach that inspired UNICEF CATS programming, where communities are mobilised to conduct their self-appraisal of their sanitation situation and act on their own to end the practice of open defecation (Kar & Chambers, 2008).

Direct support: Support provided by UNICEF where financing and implementation is conducted by UNICEF and its implementing partners.

Effectiveness: The ability of a programme to achieve open defecation free communities; the rate of effectiveness can be measured by dividing the number of communities mobilized for ODF by the total number of communities certified ODF (also known as success rate or conversion rate).

Empirical expectations: Expectations about what we think other people in our reference network do (a component of Social Norms Theory) (Bicchieri, 2016).

Financing: Financing for sanitation refers to a wide range of interventions: it could refer to providing access to capital for households to access sanitation facilities (usually for upgrading or improving existing toilet facilities), financing for sanitation businesses to provide options for households, or public investments for sanitation.

Enabling environment: A set of interrelated sector functions that impact the capacity of governments and public and private partners to engage in WASH service delivery. Institutions and actors interact through key governance functions within the enabling environment which include: 1) sector policy and strategy, 2) institutional arrangements, 3) planning, monitoring, and review, 4) sector budgets and financing, and 5) capacity building, to improve efficiency and progress towards universality (UNICEF, 2016).

Improved/unimproved facilities: Refer to the World Health Organization and UNICEF's Joint Monitoring Programme definitions, online at <https://www.wssinfo.org/>

Indirect support: Support provided by UNICEF that is not direct funding or implementation, usually including technical assistance to government and other sanitation sub-sector actors.

Normative expectations: In Social Norms Theory, expectations about what we think other people in our reference network think we should do (Bicchieri, 2016).

Reference network: In Social Norms Theory, people whose actions or approval we care about when choosing how to behave (a component of Social Norms Theory) (Bicchieri, 2016).

Social norm: A rule of behaviour that individuals prefer to conform to because most people in their relevant network conform to it and most people in their reference network believe they ought to conform to it (Bicchieri, 2016).

Sustainability: Maintenance of ODF status after undergoing an ODF verification and certification process comprises three dimensions: physical and technical sustainability, social and behavioural sustainability, and the enabling conditions of institutions and programmes (Cavill, Chambers & Vernon, 2015; Bongartz, Vernon & Fox, 2016).

Theory of change: A theory of change explains how activities are understood to produce a series of results that contribute to achieving the final intended impacts. It can be developed for any level of intervention – an event, a project, a programme, a policy, a strategy or an organisation. In an impact evaluation, a theory of change is useful for identifying the data that needs to be collected and how it should be analysed. It can also provide a framework for reporting.

⁵³ CLTS is one intervention under the umbrella of CATS; in this document, CATS refers to all UNICEF community-based sanitation initiatives aimed at eliminating OD, while CLTS refers to a specific approach for eliminating OD.



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