



SANITATION
FOR MILLIONS



SANITATION FOR MILLIONS PROGRAMME IN UGANDA
SUCCESS STORIES
AND LESSONS LEARNED



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Foreword

Globally, over 4.5 billion people lack access to safe sanitation and hygiene according to Joint Monitoring Programme (JMP) of the WHO and UNICEF. According to UNICEF, at least 1,000 children under the age of five die daily from diarrheal diseases caused by contaminated drinking water, lack of sanitary facilities and poor hygiene. Over 620 million children worldwide lack a basic sanitation service at their school.

In Uganda, the situation is alarming as well. The 2020 Ugandan Water and Environment Sector Performance Report states that access to safe sanitation is not more than 39% in the urban context and 7% in the rural context. Access to safe hygiene in terms of handwashing with soap is at 61% and 38% respectively. The situation is precarious due to inadequate sanitation and hygiene services. This is exacerbated by the continued influx by refugees, internally displaced persons and other disadvantaged groups in the urban informal settlements.

In aiming to support improved access to sanitation for vulnerable and disadvantaged people, BMZ launched the *Sanitation for Millions* Programme in 2016. The geographical scope of the interventions in Uganda initially focussed on Kampala Capital City and small towns in Apac, Aduku and Ibjue in Northern Uganda. The programme's anchorage with the *Ministry of Water and Environment (MWE)*, *Kampala Capital City Authority (KCCA)*, *Apac Municipality* together with Aduku and Ibjue local government structures have ensured its success. *The Ministry of Education and Sports (MoEs)* and the *Ministry of Health (MOH)* also support the programme activities in schools and health centres respectively.

This publication presents success stories achieved through simple, practical and non-conventional approaches implemented by the programme. The prioritisation of planning and budgeting for maintenance before construction of new infrastructure resulted in assured quality of services. Competitions at institutions and peer influence learning facilitated the uptake of good practices through the users' own decisions. Moreover, the instalment of group

handwashing stations and the establishment of hand washing routines and social interaction resulted in safer hand hygiene conditions.

Feedback from the population shows that the new transformation is embraced, school enrolment increased, and health care centres offer more than medical treatment. Homeowners build their own improved toilets. Local partners have been inspired to extend the successful collaboration from schools and healthcare facilities to religious institutions and other public spaces, such as markets. The results of the efforts are bearing fruit, especially in unlocking capacities of actors at all levels, from users to implementers and policy makers.

This publication shares success stories that can inform efficient investment in similar contexts. I welcome you to gain insights, learned lessons and experience gathered in Uganda, that might contribute to improving access to safe sanitation and hygiene conditions in other regions in Uganda, Sub-Sahara-Africa and even beyond.

Thank you.



Eng. Sam Mutono

Chairperson

National Sanitation Working Group (Uganda)

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Abbreviations and acronyms

BMZ	German Federal Ministry for Economic Cooperation and Development	MoH	Ministry of Health
EnDev	GIZ Global Programme Energising Development	MWE	Ministry of Water and Environment
ENWASS	Enhanced Water Security and Sanitation Programme	NGO	Non-Governmental Organisation
FSM	Faecal Sludge Management	O&M	Operations and Maintenance
FSTP	Faecal Sludge Treatment Plant	OSS	On-site sanitation
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit	PWD	Person(s) with Disability
GTO	German Toilet Organisation	RBF	Results-based Financing
HCF	Healthcare Facility	RUWASS	Reform of the Urban Water and Sanitation Sector Programme
JMP	Joint Monitoring Programme	SanMIS	Sanitation Monitoring Information System
KCCA	Kampala Capital City Authority	ToT	Training of Trainer(s)
MC	Municipal Council	TMG	Toilets Making the Grade
MHM	Menstrual Hygiene Management	TSA	Three Star Approach
MoCH	Millions of Clean Hands	TSP	Town Sanitation Plan(ning)
MoES	Ministry of Education and Sports	WASH	Water, Sanitation and Hygiene
		WinS	Water, Sanitation and Hygiene in School



1 SANITATION FOR MILLIONS IN UGANDA

1.1 Introduction

Sanitation for Millions is a global multi-donor programme to improve access to safe sanitation and hygiene with a focus on vulnerable and disadvantaged groups. More than one million people in 14 countries have already benefitted directly from *Sanitation for Millions*' measures that include the construction of sanitary facilities, capacity development to ensure adequate use, operation and maintenance, behaviour change measures towards safe hygiene as well as improved wastewater management.

Sanitation for Millions was commissioned in 2016 by the German Federal Ministry for Economic Cooperation and Development (BMZ) as lead donor and is co-financed by the Bill & Melinda Gates Foundation, Water Unite, the Hungarian Ministry of Foreign Affairs and Trade and the Inter-American Development Bank. The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH implements the programme in close cooperation with local partners.

In Uganda, programme activities have started in 2017 and centred on schools and healthcare facilities (HCFs) as entry points. The activities have been broadened to encompass financing mechanisms and community-wide sanitation with a focus on household on-site sanitation (OSS) and faecal sludge management (FSM). *Sanitation for Millions* targets improvements in the sanitation and hygiene situation in various towns in Uganda. The programme operates in Kampala, the capital city, as well as in smaller towns in the North of the country. Interventions are implemented in direct partnership with the *Kampala Capital City Authority (KCCA)*, *Apac Municipal Council (MC)*, the Town Councils of Aduku and Ibutje and the *Ministry of Water and Environment (MWE)*, with support from the *Ministry of Education and Sports (MoES)* and the *Ministry of Health (MoH)*.

1.2 State of sanitation in Kampala and Apac Cluster

Despite ambitions of all involved actors to ensure universal access to safely managed sanitation and hygiene and steps towards creating an enabling environment, Uganda continues to face enormous challenges in realising safe sanitation and hygiene conditions. Most people depend on on-site facilities and the toilets tend to be basic and frequently shared between several users.¹ The prevalence of unlined containments endangers public health as well as the environment. Even in the capital city, on-site sanita-

tion accounts for a 90% share, yet safe faecal sludge management, i.e., collection, transport to and treatment at an approved facility, remained below 40%. Only an estimated 60% of pit latrines were built to be emptied, and reportedly no more than 25% have ever been emptied by a sanitation service provider.² These figures drop further in small towns, where abandonment of full pits is common practice and emptiable containments are estimated to account for a mere 15% share.

1 On average, one sanitation facility is shared between five households (i.e. around 25 people) in Kampala, though much higher ratios of 17 households (around 85 people) per toilet have been reported. GIZ. 2017. Faecal Sludge Management in Kampala, Uganda - Project insights from GIZ Uganda.

2 *ibid.*



The precarious situation is mirrored in public institutions, where sanitary facilities are often inadequate in number and fall into a state of disrepair within a few months after construction. Government school WASH mapping reports draw attention to excessively high pupil to stance ratios (73:1 against a national standard of 40:1), as well as poor hygiene practices and shortfalls in functionality of available facilities due to poor operations and maintenance (O&M) practices. A baseline survey of public institutions in Apac confirmed a similar state of affairs in healthcare facilities and other public spaces, such as markets. Reasons can usually be found in a combination of lack of awareness and inadequate support, including budget allocations for WASH.

Although overall service levels appear to be stagnating,³ a framework for service delivery that reflects the lived reality of the local population is slowly gaining ground: the relevance of OSS/FSM is increasingly recognised. The Government is beginning to expand treatment capacities, but investment is still skewed towards large-scale infrastructure and financing remains a key constraint in the expansion of universal improved sanitation. Local authorities are required to promote a change in sanitation behaviours amongst local communities, but again, concerted planning efforts are only beginning to emerge, and enforcement capacity is low.

1.3 Sanitation for Millions approach: 'credible models that work'

The principles guiding *Sanitation for Millions*' interventions are on the one hand based on the JMP indicators⁴ and on the other hand centred around partnerships and stakeholder engagement to develop 'credible models that work'. This not only applies to the provision or rehabilitation of infrastructure; the approach encompasses all aspects of capacity development that enable users, providers and responsible institutions at national and local level to extend access to safe sanitation and operate and maintain improved facilities in the long term. Construction is strictly preceded by a detailed analysis of the status quo to identify action areas, and stakeholder involvement is seen as critical to jointly identify priorities, plan and budget for maintenance and establish local ownership.

Irrespective of the facility, product or service in question, *Sanitation for Millions* ensures each is rolled out in conjunction with activities that promote awareness and behaviour change, in the private as well as in the public sphere. Demonstration units provide tangible first-hand examples intended to stimulate an appreciation of the transformational potential of safe sanitation, as well as promoting positive atti-

tudes towards all attendant responsibilities for providers, users and authorities. Training for communities, sanitation businesses and public officials – be it through formal learning opportunities or informal peer exchange – is a key priority for *Sanitation for Millions* to create the conditions that ensure long-term sustainability of any intervention beyond the duration of the project.

Initially, infrastructure measures centred on non-sewered sanitation in public schools and healthcare facilities in Kampala and Apac cluster. Simple but high-quality, inclusive toilet blocks and handwashing facilities have been constructed that serve as demonstration models to showcase locally appropriate technologies and best practice. Based on this experience, local minimum design standards for suitable sanitation infrastructure were developed for both Kampala City and for small towns in Apac cluster. As these have been popularised and replication encouraged outside the intervention areas, an 'integrated approach to sanitation' is now extending the model to private households, also addressing the critical gaps in financing as well as faecal sludge management. Model toilets and handwashing sta-

3 MWE. 2020. Uganda Water and Environment Sector Report 2020.

4 The Joint Monitoring Programme of the WHO & UNICEF; please visit <https://washdata.org/> for further reading

tions have been built with the participation of the local private sector under full programme ownership of the local government. The resultant sanitation improvements – much appreciated and supported by

partners and users – provide the intended credible models and lessons learnt, and indeed are triggering further upscaling of the model infrastructure and accompanying awareness creation measures.

1.4 Programme activities in Kampala and Apac Cluster

The approach taken by *Sanitation for Millions*, as indicated above, has been to start with interventions that provide sustainable access to safe sanitation and to improve the hygiene situation in public institutions, and only then to focus on improving access to sanitation at the household level. Improvements to public sanitation go hand in hand with building strong hygiene practices and capacities to ensure sustainable operation and maintenance. Public and private service providers are supported in developing their technical expertise and business skills, whilst advisory services to political stakeholders target the enabling environment for delivering sustainable san-

itation services. This includes applying innovative financing mechanisms and, critically, accompanying awareness raising and capacity development activities, as well as strengthening monitoring and evaluation systems.

This section offers a brief summary of the wide range of programme activities. For a discussion of highlights and key lessons, please refer to the ‘success stories’ that follow.

Sustainable access to public sanitation and hygiene facilities

Sanitation for Millions has fully funded the construction or rehabilitation of sanitary facilities at seventeen public schools chosen as demonstration sites in Kampala and Apac. Thirteen of these schools now have barrier-free toilets for students with impaired mobility. All girls’ toilets are equipped for safe menstrual hygiene management (MHM) and have been fitted with incinerators to ensure safe disposal of menstrual hygiene products. Toilets were complemented with handwashing facilities that were strategically located near the toilets, school kitchens and school gates to enable the students to wash their hands at all critical times while being at school. An innovation was the installation of low-cost group handwashing facilities, so-called WASHaLOTs, which were rolled out across schools as part of school WASH competitions and to support the re-opening of schools during the ongoing Covid-19 pandemic. In a similar fashion, selected basic healthcare facilities in Kampala and Apac cluster are benefitting from sanitation upgrades, including facilities adapted to be used by persons with impaired mobility and children (see section 2.2. below).



Pupils and teachers gather to inspect a newly-built toilet block at one of the model schools in Kampala

Extending access to safe household sanitation

Sanitation for Millions facilitated the implementation of town sanitation plans (TSPs) in small to medium-sized towns in Northern Uganda and has further supported the development and enforcement of sanitation by-laws and minimum standards for on-site sanitation. New technologies such as the precast ring lining design have been introduced and promoted, leading to the compilation of a 'toilet catalogue' of locally appropriate, affordable and safe toilet options. A market-based approach for household sanitation has been introduced to encourage and support households to switch to safer and more durable sanitation options.⁵ Given the financial hurdles preventing many lower-income households from accessing improved sanitation, access to credits has been facilitated through local banks and grassroots organisations, including Savings and Credit Cooperatives. This is complemented by an output-based incentive payment for local entrepreneurs and service providers, many of whom without prior experience in the sanitation sector, to open up new funding sources and demonstrate the viability of sanitation businesses (section 2.7).

Capacity development, awareness raising and monitoring in support of sustainable sanitation

Training has been offered to teachers and medical professionals, as well as community and religious leaders as key change agents. Training also targeted caretakers of sanitation facilities and sanitation entrepreneurs to ensure adherence to best practice standards in construction and maintenance of new on-site facilities. On the user side, a community-wide integrated sanitation approach aims to promote interest and uptake of improved sanitation services. Again, this involves various partners, including stakeholders from schools, health centres, religious institutions and the urban council authorities, in awareness creation and sanitation marketing activities: households are encouraged to choose an approved toilet design and engage the services of a local construction business. Within schools, the city-wide



Pupils from one of the participating schools in the Toilets Making the Grade competition recite a poem.

competition 'Toilets Making the Grade' was launched in Kampala to promote awareness and school community involvement in the improvement and upkeep of sanitation facilities (see 2.3).

The importance of trainings as a central element of *Sanitation for Millions'* interventions cannot be overemphasised. Several hundred local actors have attended training sessions on a wide range of operational, financial and regulatory aspects of sanitation.⁶ An O&M training manual was developed to support implementation of the *Sanitation for Millions'* O&M concept; this manual was used extensively during various training sessions, many of which were designed as training of trainer (ToT) workshops to disseminate knowledge beyond the participating schools and institutions (see 2.1). Additional capacity building and ToT sessions were offered to support hygiene promotion and behaviour change, including gender-inclusive, hands-on sessions for adults and children to promote 'niche topics' such as safe menstrual health and hygiene.⁷

5 The Results-based Financing (RBF) model incentivizes the private sector upon verification of pre-agreed results. Under *Sanitation for Millions*, the RBF model is implemented in close cooperation with Caritas Hewasa Fort Portal and experiences have been captured in a publication "Increasing Access to Safe Sanitation and Hygiene through Innovative Financing Mechanisms." <https://www.giz.de/de/downloads/giz2021-en-increasing-access-to-safe-sanitation-and-hygiene-innovative-financing.pdf>

6 At the time of writing, the number of participants in the various trainings had surpassed 850.

7 A detailed review of *Sanitation for Millions'* involvement in MHM can be found in the recently published 'Menstrual health and menstrual hygiene management – a contribution of *Sanitation for Millions* to improved gender equality and safer hygiene': <https://www.susana.org/en/knowledge-hub/resources-and-publications/library/details/4325>

Looking to improve services all along the sanitation chain in a manner that can be locally sustained, *Sanitation for Millions* has also been offering trainings for skills development and employability. For operators, including municipal technicians, training focused on technical skills to ensure adherence to standards. Mandatory training for private contractors comprised technical/operational aspects (construction of demonstration toilets) and financial/business aspects. The programme is also supporting the professionalised operation of a newly built faecal sludge treatment plant (FSTP). Training for officials has been complemented with peer-to-peer learning opportunities and exchange visits (see 2.4).

To embed rigorous monitoring and self-evaluation as a foundation for incremental improvements to-

wards universally accessible, safe sanitation, *Sanitation for Millions* has supported the implementation of state-of-the-art monitoring systems (see section 2.5). As KCCA is adopting the 'Three Star Approach' to WASH in School (WinS) across Kampala, comprehensive trainings on WinS monitoring were rolled out to school headteachers, sanitation teachers as well as KCCA division education and public health officials. A detailed guidance manual was prepared and handed over to KCCA for dissemination to school-level management. Similarly, the *Ministry of Health* was supported to extend its rural Sanitation Monitoring Information System (SanMIS) to urban settings through pilot activities in *Sanitation for Millions* intervention areas.

2 SUCCESS STORIES

2.1 What cannot be maintained should not be built – and isn't

The need to address the persistent challenge of infrastructure breakdown as a key threat to the sustainability of WASH interventions guides each *Sanitation for Millions* intervention.⁸ The 'credible models that work' conceptual approach implies that it is not sufficient to provide infrastructure and system capacities. Instead, and in contrast to what has been observed during several previous development cooperation initiatives, everything that *Sanitation for Millions* builds is expected to continue working. To ensure that facilities remain functional for the duration of their design lifespan, the programme follows a 'construction comes last' approach, where construction will not commence unless stakeholder buy-in has been fully secured. A firm commitment to taking on responsibilities for upkeep has to be in place. All parties must have a clear understanding of the requirements to keep new or rehabilitated sanitation facilities in a good state of repair and hygienically clean. For this reason, *Sanitation for Millions* offers a wide range of orientation and capacity building activities prior to and alongside any intervention.

To support institutions in planning and budgeting for operations and maintenance of the sanitation facilities under their responsibility, *Sanitation for Millions* facilitated the development and implementation of a comprehensive O&M concept. A training manual was developed, which covered all aspects of operations and maintenance, from the planning stage to the everyday use of WASH facilities as well as routine maintenance of the technologies employed in institutional and household settings. Beyond this, the manual covers an introduction to hygiene promotion and behaviour change in institutions, with suggested approaches and activities. For example, the manual stresses the importance of improved WASH and risks associated with poor management of WASH facilities in healthcare facilities, specifically covering guidelines for setting essential health standards in HCFs, waste management and the roles and responsibilities of key healthcare stakeholders. There is also guidance on menstrual hygiene management (understanding puberty, understanding menstruation and

Through working with School Management Committees (SMCs) and Parent Teacher Associations (PTAs), parents have been engaged in MHM-related concerns. The engagements have resulted in attitude change among parents. Interactions with senior women teachers show that parents have responded positively toward improving MHM.

"Previously, parents could say it was the schools' responsibility to talk to pupils about MHM. However, with the intervention of the Sanitation for Millions programme, parents have started to engage their children both boys and girls in the puberty stage about MHM."

Senior Woman Teacher, Gaba Demonstration Primary School

Another teacher indicated that:

"Parents now make financial contributions toward MHM. Some even pack for their daughters emergency pads. At school, we provide emergency pads and uniforms, however, this cannot be possible without the financial assistance from the parents and we are grateful to those that are providing such support"

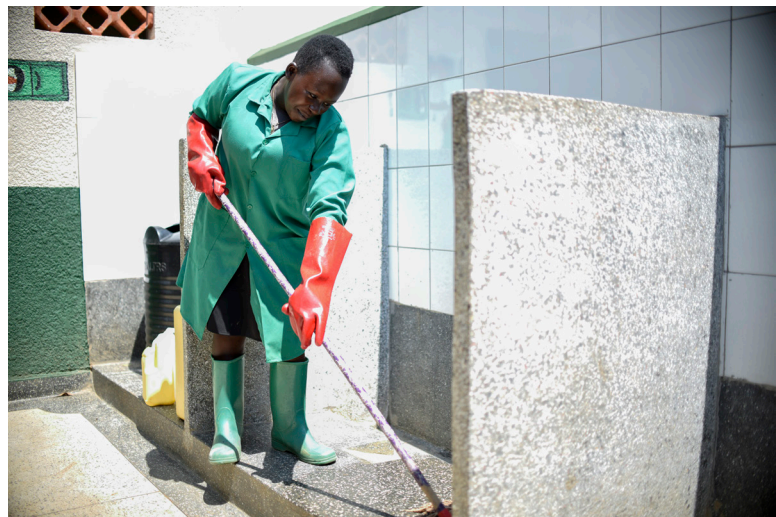
Senior Woman Teacher, Kisugu C.O.U Primary School

the menstruation cycle). In response to the Covid-19 pandemic, an additional module on the Coronavirus (causes, signs, prevention and treatment) was also included in the manual. Senior leaders and school administrators, facility managers, healthcare assistants, caretakers, security guards, plumbers and cleaners have been invited to attend training sessions to ensure that cleaning, preventative maintenance and, where necessary, corrective maintenance and repairs are carried out promptly and correctly, and that financial implications (recurrent costs) are con-

8 *Sanitation for Millions* developed sustainability criteria that are applied to ensure durability.

sidered in annual budgets. To establish appropriate O&M routines, *Sanitation for Millions* has supported the preparation of individualised O&M plans, which specify daily, weekly and termly/annual activities and explicitly allocate responsibilities (which are shared amongst users and management). These plans follow ‘use it – clean it – maintain it’ checklists to ensure proper use, cleaning to safe and hygienic standards, as well as regular inspections and service or, where necessary, replacement and repair to quickly restore functionality. The ‘Hausmeister’ concept for facility management and maintenance, which has been implemented by *Sanitation for Millions* in Jordan, is being introduced in support of the latter.⁹

Equipped with the knowledge and awareness of WASH and O&M requirements, schools are now in a better position to budget and work towards national standards for WASH in schools. The whole-school approach to training (involving senior leadership, teachers, caretakers, pupils and parents) is improving functionality of facilities whilst modelling and reinforcing good hygiene behaviours. Availability and functionality of handwashing facilities in schools, previously singled out as an area of concern by the



Caretaker undertaking routine cleaning at toilet facility

Ministry, have notably increased.¹⁰ A similar impact is observed in healthcare facilities. Fully trained staff are available for installing and maintaining WASH facilities, and some are being employed as contractors by non-intervention schools and HCFs as well as private households.

2.2 Simple, inclusive and up-scalable WASH infrastructure

Given its specific mandate to focus on vulnerable and disadvantaged groups, all infrastructure interventions implemented globally by *Sanitation for Millions* were designed jointly with local actors to meet the needs of women and girls, as well as people with impaired mobility. Whilst increasing the number of available toilets was high on the wish list of the partner institutions, inclusivity was a prime consideration for *Sanitation for Millions*.

All primary and secondary intervention schools now have separate toilet blocks for girls and boys. Pupil to stance ratios have significantly improved: at an av-

erage of 31 pupils per stance, all but one of the intervention schools in Kampala now exceed the national standard of 40 pupils per stance,¹¹ up from 59:1 prior to the upgrades.¹² Importantly, however, all female blocks have been adapted to create safe, hygienic and private spaces to enable girls to take care of menstruation as and when required. Wherever possible, accessible unisex toilets were added that can be used independently by students with a physical disability. These barrier-free toilets are generously proportioned and feature ramps and special fittings to accommodate wheelchair users.

9 ‘Hausmeister’ is German for caretaker. Further information on the Hausmeister concept is available from <https://www.giz.de/en/downloads/Sanitation%20for%20Millions%20Curtain%20call%20for%20Caretakers%20-%20The%20Hausmeister%20Concept.pdf>.

10 The national WASH in Schools Social Practices Assessment Report (2019) established that in total, there were 116 handwashing stations in 13 out of 16 schools in which the assessment was conducted; only 31.9% (37) were found to be functional. All new handwashing facilities added by *Sanitation for Millions* were functioning and in use at the time of writing.

11 The ratio at St Peters Nsambya Primary School has nonetheless improved significantly, from 85:1 to 47:1.

12 WASH in Schools Social Practices Assessment Report 2019

Creating barrier-free facilities was a priority for health centres, which tend to be frequented by an above-average number of people with special needs due to illness, age or life circumstances (such as pregnancy, for instance). HCFs in Kampala and Apac have been equipped with safe, female-friendly and barrier-free sanitation and handwashing facilities to accommodate a wide range of different user needs. Taking into account the reported problems with previous institutional sanitation facilities, such as vandalism, *Sanitation for Millions* married appealing, robust and practical design considerations and incorporated subtle influences on user behaviour: for example, airy toilet blocks help reduce energy costs for lighting, and attractive facilities that look and smell clean are more likely to be treated with consideration.

The emphasis has been on constructing inclusive facilities as a role model that are simple yet effective and can be replicated in other schools, healthcare facilities and public spaces to support rapid up-scaling. For instance, low-cost and water-efficient WASHaLOT group handwashing units¹³ were installed at schools. Consisting of three-metre-long pipes with ten individual self-closing spouts that release water on touch, the WASHaLOT can easily be manu-



For other institutional settings, e.g. in Health Care Facilities and markets, *Sanitation for Millions* in collaboration with local partners developed the so-called Millions-of-Clean-Hands (MoCH) stations. The MoCH station allows up to 3 users, socially distanced for Covid-19 compliance, and can be located in public places and institutions such as health centres that require a higher levels of service like infection prevention control.



Pupil accessing an inclusive toilet for the disabled

factured locally from materials that are readily available. WASHaLOTs can potentially be used in other public spaces and adapted to cater for different user requirements (e.g. children's height). The excellent potential for easy roll-out proved beneficial during the school re-opening following pandemic-related closure periods, when further WASHaLOTs were swiftly installed in Kampala and Apac schools.

Given the prevalence of on-site sanitation, *Sanitation for Millions* has also taken steps to address the 'generations of toilet blocks' that tend to surround public institutions and the common household practice of abandoning pits once full. All toilets promoted by *Sanitation for Millions* are designed as emptiable, permanent structures that provide the starting point for safe management of faecal sludge. In collaboration with the local government authorities (e.g. KCCA and Apac MC), minimum on-site infrastructure standards were selected. Based on these, catalogues have been compiled that give an overview of locally appropriate sanitation technologies (toilets, septic tanks, soak pits and handwashing facilities) that have been endorsed by the local authorities for homes, schools, health centres and other public places such as markets, parks, religious institutions and restaurants. The catalogues give a brief description of the permitted sanitation options, their main components and a breakdown of the estimated costs for materials and labour.

13 The WASHaLOT was jointly developed by Fit for School, the GIZ Sector Programme Sustainable Sanitation and the University of Applied Sciences Potsdam, Germany. Designed to be water saving, it can be connected to piped water infrastructure or filled manually via the wide side openings.

Training for local sanitation workers (plumbers and masons in the first instance) has been provided to ensure that the facilities are constructed to the right specifications and can be maintained in the future. *Sanitation for Millions* supported the commissioning institutions throughout the construction phase. Technical staff including *KCCA* engineers gained val-

uable experience in professional construction management and supervision of contractors. In several cases this inspired further enhancements and additional, non-WASH improvements: some schools, for instance, embarked on office and classroom renovations.

2.3 Behavioural change through routines and competitions

The school contest 'Toilets Making the Grade' (TMG), conducted in cooperation with the *German Toilet Organisation (GTO)*, was initiated with the objective of keeping sanitary facilities clean and functional while encouraging daily handwashing with soap and water as well as promoting monitoring of WASH performance. Modelled on an idea developed by the *GTO* in Germany to inspire user-driven improvements to school toilets,¹⁴ the competition was launched in Uganda in the 2018/19 school year in *KCCA* public schools, with entries invited from Apac schools in the following year. Teams of pupils, carers and staff have been challenged to develop and implement concepts for keeping the toilet facilities at their school in good condition. Support was at hand from *Sanitation for Millions* in partnership with *GTO* and *KCCA/Apac MC*, who helped the teams assess challenges and find solutions.

The first-ever TMG contest in Uganda saw 72 Kampala schools entering proposals, all vying to become role models for sanitation and hygiene. Mixed teams of children, teachers and parents responded with great enthusiasm to the challenge of identifying WASH needs and developing their own solutions for improving facilities in their schools. The winners were celebrated in a festive awards ceremony held on 2nd of May 2019 at the City Hall in Kampala.

While the contest has been deferred due to the ongoing pandemic situation, schools competing in the first round impressed with their active engagement in the challenge. The initiators noted that many schools had realised substantial improvements,

which could be seen in improved sanitation and hygiene behaviours, and better maintenance of facilities. The general level of importance attached to WASH within the schools' routines and environment has notably risen, and the competition had awakened a sense of collective responsibility for facilities that exist for everyone's benefit. Collaboration between the school management committees and *KCCA* has also improved. Inspection of facilities and identification of necessary WASH services and/or improvements now provides the basis for the schools' routine budgeting and planning.



A delegation from the winning school lifts the trophy at the 2019 TMG Award Ceremony.

Video: <https://www.facebook.com/768286029873240/videos/668324843646453/>

14 TMG methodology was initially developed for school competitions in Germany by the German Toilet Organization (GTO). It can be adapted to different contexts, Uganda being one of the locations outside Germany where TMG is being piloted in collaboration with local partners and GIZ through *Sanitation for Millions*.

The adoption of safe hygiene practises as part of daily school routines, such as supervised group hand-washing sessions before lunch breaks, is spilling over into home life. Children who are now accustomed to regular handwashing with soap act as multipliers, influencing their entire families' hygiene practices and carrying the message into the wider community. Purely from an educational perspective, the impact

of small changes in hygiene behaviours has been profound: enrolment is on the rise, and as fewer school days are lost to water-related illness or girls staying at home during menstruation, pupil performance is improving. Furthermore, well-established handwashing routines have helped schools navigate the challenges of the Covid-19 pandemic.

2.4 Leveraging impact through peer-to-peer learning

Sanitation for Millions organised peer-to-peer exchanges as opportunities for professionals to tap into each other's knowledge and learn from the experience of colleagues in well-performing organisations. Matching relevant individuals has been a successful means of showcasing local best practice as well as transferring tacit knowledge to achieve impact at greater scale. Staff from demonstration schools or health centres – the 'champions' – were connected with colleagues to promote the positive changes that had been achieved by the former through sanitation activities.

Champions visited their mentees to discuss and offer support with developing O&M plans and budgets, clear roles and responsibilities for sanitation, and creative hygiene promotion messages, activities and routines. For instance, peer exchanges took place within primary and two secondary schools from July to September 2020. Ground discussions and joint transect walks helped headteachers, deputies, school management committees, teachers and support staff¹⁵ to take a critical look at their school environment and current practice. The visit was also an opportunity to receive constructive advice from an experienced colleague to help prioritise WASH in day-to-day school life.

Peer learning was not limited to individual institutions. In November 2020, a delegation from *Apac Municipal Council* travelled to Kampala for a two-day

working visit to *KCCA* to explore successful pro-poor interventions and sanitation management. Tours of sanitation facilities and demonstration sites gave the visitors insight into *KCCA's* approach to awareness creation and sanitation marketing (e.g. the 'Weyonje' initiative,¹⁶ innovative low-cost FS emptying technologies and new sanitation practices in local schools). A wide variety of field visits offered not only opportunities to make direct observations and talk to sanitation workers on the ground. It also allowed *Apac MC* to identify potential actions to implement in *Apac* and, critically, discuss these 'take home learnings' with their colleagues from *KCCA*.



A delegation from *Apac MC* on a peer learning visit to *KCCA*.

¹⁵ Note that the planned meetings with parents and pupils could not take place due to Covid-related school closures. Where appropriate, the mentors gave demonstrations to staff, school leaders are committed to share the learnings and will conduct the recommended sensitisation activities as soon as practicable after reopening.

¹⁶ Weyonje ('clean yourself') is a community-led behaviour change campaign that seeks to mobilise communities to take an active part in improving the sanitation conditions in their part of the city.

Peer exchanges have been very successful in encouraging replication in other settings, to the extent that some 'learners' eventually outperformed their mentors. The combination of mutual support and some gentle, friendly competition make the peer learning approach not only cost-efficient, but effective and sustainable. Peer visits opened eyes and minds to

innovations and best practice in other parts of town; often the mentored partners were stirred into action to tackle environmental improvements beyond WASH. Several recent initiatives, such as greening and general beautification of compounds or painting of other infrastructure, are rooted in the WASH-focused peer exchanges.

2.5 Embracing digital monitoring systems

Sanitation for Millions has been supporting KCCA in rolling out a monitoring system for the Three Star Approach (TSA) for WASH in Schools (WinS),¹⁷ which was adopted by the Ministry of Education and Sports in 2019 but had not yet been implemented in practice. The TSA recognises the significant discrepancies between aspirational standards and the reality in many public schools and aims to focus the school leadership's budget planning decisions on making incremental improvements towards the nationally mandated standards. All requisite data submissions are handled by KCCA's online monitoring system,¹⁸ which allows for easy data analysis and feedback to schools.

The KCCA WinS monitoring starts with a school self-assessment, followed by spot checks, analysis and feedback (i.e. the current star award and 'next steps' recommendations) on the part of KCCA. This in turn informs school-level planning for specific improvements to score higher in the following year.



WinS Guidebook, evaluation criteria and certificate.

"The Government through the Ministry of Education and Sports adopted a Three Star approach to monitor WASH in school. However, this had not been implemented despite the approval. We are happy that the programme embraced and facilitated the piloting of this approach which now as an authority we are using to grade school performance in WASH"
 ~Manager Waste Management, KCCA

Monitoring comprises handwashing practice and facilities, usability of toilets, menstrual hygiene management, and availability of safe drinking water. At the end of the pilot exercise in 2019, the WASH performance of the 79 public schools in Kampala was graded as follows: one school scored three stars, 32 schools were awarded two stars, 45 achieved the basic 'one star' level, and one school could not yet be awarded any star at all.

A guidance manual was developed for schools with practical implementation advice on how to incrementally improve the WASH facilities and services for their pupils, staff and visitors.¹⁹ The manual provides

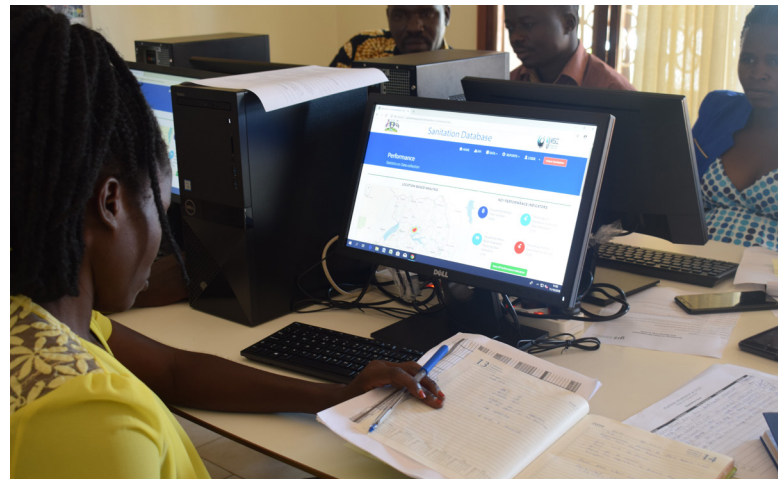
17 TSA for WASH in Schools was developed to improve the effectiveness of hygiene behaviour programmes for school-age children; it builds on and complements GIZ's 'Fit for School' approach and UNICEF's child-friendly schools initiative.

18 The system is built on the free and open source KoBoToolbox, a simple, robust and powerful suite of tools to enable field data collection, analysis and management.

19 Pizzacalla, K. and Nantume, G. 2020. WinS Models that Work. Step-by-step actions to reach the national standards for WASH in Schools (WinS) in line with the Three Star Approach (TSA). First edition. GIZ, Sanitation for Millions.

orientation on WASH standards and corresponding indicators applicable in Kampala, the annual WinS monitoring cycle, and technical guidance for schools on how to reach three-star accreditation. A stepwise approach encourages making best use of available resources to make realistic improvements. School leaders confirm that the TSA has helped them identify and address the WASH bottlenecks to creating a safe environment for the children in their care. They particularly value the simple and inexpensive actions that are recommended after each round of monitoring.

Given the inherent difficulties of monitoring sanitation on a much larger scale than within a subset of institutions, *Sanitation for Millions* has partnered with the *Ministry of Health, the Ministry of Water and Environment* and *Apac MC* to develop key indicators. With some adaptation, the Sanitation Monitoring Information System (SanMIS) developed and used by *MoH* to monitor sanitation in rural areas of Uganda could be piloted in small town settings. *Sanitation for Millions* supported ToT sessions to onboard new system users, and the modified SanMIS is already in use in Apac, Aduku and Ijuje. Other local governments in northern Uganda, for example Gulu City, also adopted the *Sanitation for Millions* system for their sanitation monitoring. The lessons and tools included in the system under *Sanitation for Millions* have been selected by the *Ministry of Health* and other development partners like *UNICEF* for national upscaling. For its internal monitoring purposes, *Sanitation for Millions* is us-



Health Assistants receive Sanitation MIS training

ing the 'EnDev Surveys' tool, which fully complies with the highest standards and all applicable data protection requirements. EnDev Surveys was developed as a robust and reliable, yet quick and easy-to-use tool to capture, manage, process and analyse data based on questionnaires under the auspices of Energising Development, another global *GIZ* programme. *Sanitation for Millions* has adopted the tool as a matter of routine: detailed surveys are carried out prior to each individual intervention (baseline) and repeated post-construction. Validated results feed into the programme results framework, adding another layer of transparency and accountability vis-à-vis reported programme outcomes.

2.6 Leveraging an enabling environment

The *Sanitation for Millions* programme builds on and closely integrates with previous and ongoing *GIZ* activities in Uganda, notably those focused on strengthening the regulatory framework for WASH services. For instance, the Enhanced Water Security and Sanitation (ENWASS) programme supported *KCCA* in adapting legal provisions to formalise on-site sanitation and faecal sludge management (FSM). Key outputs included the *KCCA* sewerage and FSM ordinance, minimum standards for on-site sanitation and

guidelines for occupational health and safety. In the North, the *GIZ* predecessor programme supported *Apac Municipal Council, Aduku Town Council* and *Ijuje Town Council* in developing comprehensive town sanitation plans. These TSPs provide a sound basis for sanitation planning and prioritising investments to scale up improved sanitation models. The councils have since developed sanitation by-laws that set out requirements for household sanitation as well as the arrangements for FSM.²⁰

20 By-laws were supported under ENWASS and revised with *Sanitation for Millions* input. The 'Local Governments (*Apac Municipal Council*) Byelaws, 2019', for instance, place a responsibility for all faecal sludge generated in private dwellings or commercial premises on the owner or occupant until collection by an authorised agent. Collection, appropriate disposal and treatment in line with applicable public and environmental health requirements is overseen and regulated by the Council.

Sanitation for Millions has been working with the respective local authorities to apply the new and updated legal and regulatory frameworks that provide the basis for formalised and safe on-site sanitation management. Specifically, councils in the smaller towns in Apac cluster are supported in fulfilling their enforcement role within an FSM framework in which operational aspects become the preserve of the private sector. Programme activities to encourage widespread uptake of safe sanitation practices tie in with the Council's objectives and legal responsibilities with regard to behaviour change communication (sanitation campaigns). *Sanitation for Millions*, in partnership with local stakeholders, has focused on spreading the word through awareness campaigns involving local media, community barazas as well as community institutions and local leaders (e.g. schools and religious centres). Community drives have been effective in popularising the new legal standards for sanitation that apply to any type of premise. Apart from establishing personal contact with local people to reinforce the message, door-to-door engagement has focused on checking compliance of existing or newly constructed toilet facilities with the minimum

standards. Inspections of new sanitation infrastructure for quality assurance purposes (spot checks) are being conducted in collaboration with the councils, who are gradually taking on routine monitoring alongside independent verifiers.

Clear rules and regulations, their enforcement, effective incentives and partnerships are at the heart of every enabling environment and especially important for a truly integrated approach as the one pursued by *Sanitation for Millions* in Uganda. The programme strongly sought to develop effective collaboration at every level: with stakeholders in national and local government, experienced NGO partners, local communities and the local private sector that is envisaged to become the backbone of sanitation service delivery in an OSS/FSM-dominated context. All activities have been strategically planned to complement each other, were implemented and continually reappraised through regular activity updates and joint reviews. As and where required, all partners have been offered training to match professional development to the skills required within the new comprehensive framework for sanitation.

2.7 Results-based financing for private sector participation in sanitation services

In recognition of the significant financing gap that is preventing households from investing in safe sanitation facilities, *Sanitation for Millions* has been exploring innovative financing mechanisms designed to attract the local private sector towards business opportunities along the sanitation chain.²¹ In partnership with *Caritas Hewasa Fort Portal*, the programme implemented a community-wide integrated sanitation approach in Apac cluster. Sanitation marketing was to shore up demand amongst the local community, whilst also facilitating access to financial assistance as households would meet the full cost of construction. Financial packages were progressively adapted to suit the needs of lower-income households and solve specific supply chain problems. At the heart of the trial was a results-based financing (RBF) mechanism, a performance-based incentive payment that would encourage local

small to medium-sized enterprises to exploit these emergent market opportunities in sanitation.



Community exhibition of available sanitation options in Apac, northern Uganda

21 GIZ 2021: "Increasing Access to Safe Sanitation and Hygiene through Innovative Financing Mechanisms." <https://www.giz.de/de/downloads/giz2021-en-increasing-access-to-safe-sanitation-and-hygiene-innovative-financing.pdf>

In two successive calls for expressions of interest, local businesses and entrepreneurs were invited to bid for time-limited contracts to construct a small number of toilets in accordance with the specifications set out in the applicable sanitation by-laws. In line with best practice, release of RBF payments was contingent on independent verification of the completed construction works, and contractors had to commit to engaging with pre- and post-construction activities to support the successful roll-out of the programme (e.g. attend training and community demonstration sessions). Whilst progress has been somewhat hampered by delays in community readiness²² and slower-than-anticipated construction and procurement of materials, the pilot has encouraged several new entrants to the local sanitation market.



Inspection of a completed toilet.

The targeted RBF is already showing signs of increasing private sector involvement in sanitation in an area which had seen very little formal sanitation business activity prior to the intervention. New household toilets or upgrades to existing facilities provide safe sanitation for users and comply with high environmental standards:²³ lined pits that can be emptied when full, rather than having to be abandoned, greatly improve the long-term sustainability of the new sanitation facilities. Through the pilot activities, a small local pool of competent sanitation businesses has



Masons constructing a septic tank.

been established, and these local firms and entrepreneurs' skills are optimistic about continuing in this new line of work.²⁴ Local authorities are committed to keep linking the many remaining households in need of toilet upgrades with the approved sanitation contractors. Some of the new market entrants are looking to expand their service offer from toilet construction to pit emptying and sludge disposal as the sanitation market expands and business opportunities open. New opportunities are on the horizon: a faecal sludge treatment plant is currently under construction, and *Sanitation for Millions* will be extending the RBF facility to cover other aspects of the sanitation chain, such as emptying services. To assist vulnerable households in upgrading their toilet facilities, *Sanitation for Millions* has designed an infrastructure subsidy in partnership with the *Ministry of Water and Environment*. As a next step, the impact of this additional support measure for low-income users on lowering financing barriers to safe sanitation will be tested.

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- 22 One take-away learning was that community sensitisation activities in a virgin market take considerable time, but this investment in market development pays off in sustaining future business.
 - 23 The minimum standards are derived from the provisions in existing legislation and guidelines related to sanitation in Uganda. These minimum standards are read in conjunction with available technical standards of building construction, operation and maintenance guides as well as legal requirements in Uganda relating to sanitation, physical planning, environment protection and engineering works.
 - 24 Masons trained under the *Sanitation for Millions* programme in Apac continue to build toilets and small to medium-sized companies have diversified their businesses into construction beyond the pilot period.

3 KEY LESSONS LEARNED & EXPERIENCES TO SHARE

The *Sanitation for Millions* experience in Uganda to date clearly shows that the mantra ‘what cannot be maintained should not be built’ is as sound as it is simple. All interventions follow the guiding principle of considering long-term sustainability, both in terms of functionality as well as financing, right from the start. No infrastructure measure has been implemented without a thorough needs assessment and well-informed commitment to upkeep of new facilities on the part of local stakeholders. The requisite capacity development has generated a wide range of

direct and ‘fringe’ benefits. With training of trainers taking centre stage, knowledge and skills are disseminated beyond the immediate ‘project beneficiaries’ – or owners, as *Sanitation for Millions* would prefer to see them. Stakeholders at all levels have been exposed to new ideas, concepts and learning opportunities, and in many cases have made them their own by adding additional features to their projects. While the programme activities are continuing, some key insights and lessons can be extracted.



The approach of **prioritising institutional non-sewered sanitation services** before embarking on interventions at the household level has been described as innovative, and it has served well the stated purpose of **developing ‘credible models that work’**. Many *Sanitation for Millions* interventions have been commended for their **holistic approach to WASH**, including MHM, as infrastructure or products are considered as a means to an end and serve to empower local actors and users. The experience in schools aptly illustrated the wider benefits of inclusive facilities and better awareness, which have resulted in improved attendance, especially for girls, greater community and parental involvement, mutual respect between genders and greater consideration of special needs.

The focus on **maintenance with clear management plans** integrated into routines and accountability is one of the hidden treasures of success. Practical training on ‘use it, clean it and maintain it’ brought the users to committing and making this a ritual. The institutions clearly integrating WASH into budgeting and employing cleaners and caretakers gave sanitation and hygiene a well-deserved profile. Innovative approaches like the Hausmeister concept, where cleaners or other support staff are trained to become caretakers, are studied and piloted to better enshrine the maintenance culture which has eluded many development cooperation initiatives in Uganda.



For on-site sanitation to be safely managed along the entire sanitation chain, a **sound regulatory framework** is essential. Supporting local governments to step up to the challenge of requiring and facilitating the adherence to standards for OSM and FSM is critical yet needs to be approached with pragmatism. There is a balance to be struck between forcing users and providers to meet minimum standards to protect public health and the environment and encouraging engagement in the emerging ‘sanitation markets’. Enforcing compliance arguably generates demand for better products and services, but any such strategy needs to be mindful of barriers that clearly do exist for new customers and new sanitation businesses alike.



Rigorous monitoring and continuous (self-) evaluation are the foundation for identifying and addressing sanitation gaps. Requirements to make sanitation improvements must balance aspirations for excellence with existing constraints, especially those of a financial nature. A constructive approach is to reach out for feedback with suggestions that can be realistically implemented. An example is the thorough yet pragmatic Three Star Approach for WASH in Schools, which focuses on prompting incremental improvements towards nationally mandated standards. Clear guidance with comprehensive yet easy-to-complete forms and checklists are valuable tools for school leaders, as are the monitoring system's tailored recommendations for school planning and budgeting.



Peer learning has been embraced by institutions and local authorities alike. By facilitating **knowledge exchanges and mentoring activities**, *Sanitation for Millions* is encouraging learnings to diffuse into more organisations. Spurred on by an appreciation of what can be achieved and with the opportunity to tap into the experience of colleagues, more institutions and small towns are adopting improved sanitation practice, often achieving steep improvements in WASH and beyond.



Interpersonal exchanges between peers have helped leverage the impact of interventions through **mutual support and friendly competition**. Tapping into this competitive element is a cost-effective means of promoting sustainable improvements and institutional change: school contests have sparked more active participation of entire school communities in sanitation and hygiene within the school environment, allowing grassroots-level innovations to be shared with peers across a city and beyond.



With the right incentives and training, **local businesses can be effective partners** in addressing the sanitation gap. The *Sanitation for Millions* pilot in Apac shows that results-based financing can play a positive role in catalysing market activity – as long as time is invested in community sensitisation ('preparing the market'), supply chain management, verification and enforcement. The pilot has also highlighted the need to **adapt innovative financing to the local context** and complement any package available for providers with assistance for low-income households (in the form of low-cost loans and/or smart subsidies).



The project's truly collaborative effort has been repeatedly cited as instrumental to its success: **sustainable improvements in sanitation hinge on partnerships** with and between a wide range of stakeholders at every level. The emphasis on fostering a shared understanding and joint strategic planning for every aspect of sanitation has been empowering for all parties involved. **Capacity development lies at the heart of transformational change** – whether it is teaching children to keep themselves safe, training school leaders to budget for fully working toilet blocks, or pushing the boundaries of policy with government.

4 OUTLOOK

Having successfully supported KCCA and the smaller town and municipal councils in Apac district over the past four years, *Sanitation for Millions* is setting sights on taking its concepts and models to scale. In the Northern region, deliberations centre not just on transferring the successful lessons to new towns but extending them to medium-sized urban centres. The programme will identify suitable target areas to be linked with national and regional investment programmes. The government ministries, local authorities and the users of the services will be supported to participate as actors and owners rather than beneficiaries. Institutionalising successful approaches is a major objective of the programme to create a basis for vertical upscaling.

Sanitation for Millions and the local partners have been inspired to extend the successful collaboration with schools and healthcare facilities to religious institutions and other public spaces, such as markets. This will support the horizontal upscaling by benefiting the most vulnerable for whom such public facilities may be the only safe sanitation option.

Related to the health sector, the programme started intensifying its cooperation with the *Ministry of Health*, the *School of Public Health of the Makerere University*, the global programme *Clinic-Partnerships of GIZ* and local health institutions, including *Luba-ga-Hospital*.

Consultation with the *Ministry of Education and Sports* to widen the 'Toilets Making the Grade' school competitions into a national contest is underway. After a promising start, the *Ministry of Water and Environment* has expressed an interest in continuing and extending the results-based financing scheme trialled in Apac. Through training, *Sanitation for Millions* will prepare the two national ministries for own management of the approaches.

The need for continued support and refinement of the focus on sustainable maintenance of WASH infrastructure has emerged from the engagement with actors at all levels. It is planned to assimilate and pilot the German Hausmeister concept to strengthen capacities of institutions to conduct their own maintenance programmes. This approach is expected to positively impact the community as the trained individuals will not only work for the institutions but can also bolster their own livelihoods – as well as extending WASH – by offering their skills and services to other premises.

Focus has since been expanded to include the topic of pandemic protection in order to respond to the global Covid-19 pandemic. Going forward, programme approaches will strengthen alignment to knowledge, influence towards attitudes and practices on leveraging from the central role WASH plays on infection prevention control against pandemics like Covid-19. *MWE* will continue to work with *Sanitation for Millions* on faecal sludge management with emphasis on the currently applied sludge emptying, transportation and treatment model. The planned testing of an infrastructure subsidy for building household toilets within the vulnerable communities in Apac will be used to inform the government ministry on how best to increase safe access.

This document is only one of many materials shared by *Sanitation for Millions* to spread and encourage the application of proven approaches, tools and concepts. A wealth of best practice, fine-tuned and thoroughly road-tested with local partners, is now available to be integrated into national policies and strategies to achieve improved access to safe sanitation for millions of people in need.



A new block of toilets built at one of Apac Municipality beneficiary institutions, northern Uganda



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