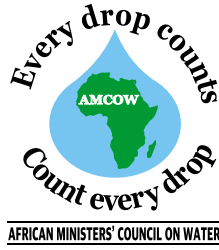# African Sanitation Policy Guidelines

African Ministers' Council on Water
The Delivery Mechanism on Water and Sanitation for the Specialized Technical Committee (STC) on Agriculture, Rural Development, Blue Economy and Sustainable Environment (ARBE) of the African Union (AU)

Every drop counts
Count every drop
AMCOW
AFRICAN MINISTERS' COUNCIL ON WATER

African Sanitation Policy Guidelines

African Sanitation Policy Guidelines

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Foreword

Sanitation is essential for human health and delivers extensive economic, social, and environmental benefits. Lack of access to improved sanitation robs over half of Africa's population of their basic dignity. It contributes to insecurity, and poor school attendance especially for girls. Poor sanitation hinders economic development, undermines tourism, and damages the natural environment and the water resources that support human life. Overall, it is estimated that poor sanitation costs Africa over 3% of GDP.

Hon. Calle Schlettwein, MP

Namibian Minister of Agriculture, Water and Land Reform

AMCOW President

Whilst I acknowledge that the governments of African countries have made progress towards providing access to basic sanitation, this progress has been slow and is insufficient to keep pace with population growth. In 2017, the number of people without basic sanitation in Sub-Saharan Africa was 709 million, including an increase of 212 million between 2000 and 2017. In addition, only 25% of the population of Sub-Saharan Africa had access to a basic handwashing facility. Greater urgency is needed to implement the commitments made by governments including Ngor Declaration adopted in 2015, the African Union's Agenda 2063 adopted in 2014, and the Sustainable Development Goals (SDGs).

The SDGs set out an ambitious target in goal 6.2, aiming to achieve sustainable access to safely managed sanitation and hygiene for all by 2030. Achieving this target is a daunting task with over 204 million people still defecating in the open in Sub-Saharan Africa alone. We must act quickly to change this trajectory. We cannot afford to continue doing business as usual! It is now time for us to double and redouble our efforts and accelerate our actions towards achieving our commitments.

I implore my fellow African ministers with responsibility for sanitation to take a stance to establish the basis for accelerating access to safely managed sanitation. We all recognise that sustainable sanitation, water supply, and hygiene are made possible not only by the extent of the infrastructure and services available, but also by multifaceted institutional, governance, and financial

management systems that make up the enabling environment for sanitation. Sanitation policies are essential to harmonise sector actions, mobilise resources and investments, and to provide the foundation for developing strategies and implementation plans, to achieve safely managed sanitation for all.

The African Sanitation Policy Guidelines have been developed by the Secretariat of the African Ministers' Council on Water (AMCOW) to provide guidance to African governments on the review, revision, and development of sanitation policies and associated implementation strategies. The Guidelines provide advice on the process and suggested contents of a sanitation policy.

I sincerely trust that the African Sanitation Policy Guidelines will be applied and adapted by governments of Member States of the African Union and used to review existing sanitation policies or to develop new ones, and to design implementation strategies, in order to underpin the health, human dignity, and economic progress of all African countries.

Statement by the Executive Secretary of AMCOW

The African Sanitation Policy Guidelines (known here as the Guidelines) are designed to provide guidance to African governments on the review, revision, and development of sanitation policies, as well as its implementation strategy. The Guidelines have been published by the African Ministers' Council on Water (AMCOW) Secretariat (known here as the Secretariat) in response to multiple requests from African countries for sanitation policy review and development assistance. Between 2014 and 2016, the AMCOW Secretariat supported four countries to review and revise their national sanitation policies. The African Sanitation Policy Guidelines were first conceived from the lessons learnt in undertaking this country support. By developing guidelines

Dr Canisius Kanangire
AMCOW Executive Secretary

that are designed to be adapted by countries according to their particular circumstances, we believe that the Secretariat is able to provide more effective support and guidance to a greater number of African governments.

The Guidelines' concept development and fundraising commenced in 2017. In 2018, the Secretariat secured funding and formed an Executive Committee comprising the World Health Organization's UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water (GLAAS) team, the Centre for Water Security and Cooperation (CWSC), and a Task Force of 21 sanitation and hygiene experts from across Africa and globally, who provided technical input and review.

To kick-start the process, the Secretariat assessed the national sanitation policies and strategies of 26 African countries. Findings from this study indicated that the majority of existing policies did not adequately address the critical elements of the enabling environment necessary to ensure access to safely managed sanitation for all, and for achieving the Ngor Commitments, the African Union's Agenda 2063, and SDG 6.2. These findings and the lack of any comprehensive guidelines for developing sanitation policies further demonstrated the need for the Guidelines.

The development of the Guidelines was led by the AMCOW Secretariat in collaboration with the Executive Committee. The development process was coordinated by Dr Amaka Godfrey, an independent Consultant, who also managed the drafting of the Guidelines by the team of experts listed in Annex 7.1. The process leading to the printing of the Guidelines commenced with a meeting of the Executive Committee and the Task Force at the AfricaSan and FSM5 Conference in Cape Town, South Africa in February 2019. Here, the draft outline of the Guidelines was discussed, and suggestions made for their revision.

Country consultation meetings were held in 12 countries between November 2019 and March 2020 to facilitate inputs into the draft outline by governmental and non-governmental stakeholders (see Annex 7.2). The plan to hold consultations in 17 other African countries was not possible due to the COVID-19 pandemic. Inputs were, however, obtained virtually from stakeholders in the other countries.

I wish to acknowledge the support provided by the UNICEF WASH team in New York and their regional and country offices during the country consultations. Additionally, the Secretariat is grateful to the facilitators of the country consultation meetings listed in Annex 7.2 and the stakeholders who participated.

In order to ensure that the Guidelines respond to the needs of African country governments, the draft document underwent a rigorous review process a total of six times by different stakeholders including members of the ASPG Task Force, sanitation and hygiene experts from across Africa and beyond, government staff, and other key stakeholders . Numerous other organisations and individuals also contributed directly and indirectly to the development of the Guidelines. Whilst I have endeavoured to acknowledge their inputs, it may be that I have not mentioned everyone by name. Please know that the Secretariat is grateful for your contributions.

In October 2020, the fourth draft was subjected to a further review process in a meeting in which 45 people participated, including the Executive Committee, the Task Force, African sanitation and hygiene experts, the Technical Editor, the World Bank sanitation team, the authors, and the Secretariat. The subsequent fifth draft underwent a similar review process in December 2020, leading to this final version.

Funding was provided by the Bill and Melinda Gates Foundation (BMGF) and the Secretariat extends grateful thanks to the BMGF for all their support throughout the process.

The African Sanitation Policy Guidelines were approved for publication by the AMCOW Technical Advisory Committee and endorsed by the AMCOW Ministers in February 2021. The Guidelines are part of a package that also includes a brief for ministers and senior government officials, and explanatory videos on the application of the Guidelines.

I sincerely believe that the Guidelines will provide essential guidance to governments and their partners on the development process and contents of functional and responsive sanitation policies, to support the creation of the enabling environment necessary for achieving the Ngor commitments, Vision 2063, and SDG 6.2. The AMCOW Secretariat, with the support of its partners, has put plans in place to provide technical support to governments for this purpose.

I call on Member States to review, revise or develop their sanitation policies, drawing on the African Sanitation Policy Guidelines.

Abbreviations and acronyms

AMCOW	African Ministers' Council on Water
ASPG	African Sanitation Policy Guidelines
AU	African Union
CBS	Container-based sanitation
CSO	Civil society organisation
CWIS	Citywide Inclusive Sanitation
CWSC	Center for Water Security and Cooperation
DBO	Design-Build-Operate
DHS	Demographic and Health Survey
FGD	Focus group discussion
FSM	Faecal sludge management
FSTP	Faecal sludge treatment plant
GHG	Greenhouse gas
GLAAS	Global Analysis and Assessment of Sanitation and Drinking-Water
HBS	Household Budget Survey
HR	Human resources
IDP	Internally displaced person
ISO	International Standards Organization
JMP	WHO/UNICEF Joint Monitoring Programme for Water Supply, Sanitation and Hygiene
JSR	Joint Sector Review
KII	Key informant interview
KPI	Key performance indicator
LGA	Local Government Authority
M&E	Monitoring and evaluation
MDG	Millennium Development Goal
MFI	Microfinance institution
MHM	Menstrual hygiene management
MIS	Management Information System
NGO	Non-governmental organisation (non-profit)
O&M	Operation and maintenance
ODI London	Overseas Development Institute, London
OECD	Organisation for Economic Co-operation and Development
OHS	Occupational health and safety
PMAT	Policy Monitoring and Assessment Tool
PPE	Personal protective equipment
SDG	Sustainable Development Goal
SFD	Faecal Waste Flow Diagram (sometimes known as shit-flow diagram)
SOP	Standard operating procedure
SSN	Social safety net
SSP	Sanitation safety planning
ToR	Terms of Reference
UDDT	Urine-diverting dry toilet
UN	United Nations
UNICEF	United Nations International Children's Emergency Fund
VIP	Ventilated improved pit latrine
WASH	Water supply, sanitation, and hygiene
WHO	World Health Organization

Photo: AFDB.

Part 1

What you need to know to use the Guidelines

Part One provides the background and context of the African Sanitation Policy Guidelines (ASPG), explaining what the document is about and why it was important to develop these Guidelines. This part also describes the scope and application of the Guidelines, the intended audience, and how to navigate the document. As this is fundamental to an understanding of the Guidelines, this part is recommended as essential reading before use.

Chapter 1. The context

This chapter is essential reading and fundamental to understanding the Guidelines. It provides definitions of some key concepts as used in these Guidelines, details of global and regional targets and commitments that are of importance to member countries, and explanations of the intended use of the Guidelines at country level.

1.1 What are the Guidelines about?

The African Sanitation Policy Guidelines (ASPG), referred to as the Guidelines, are designed to provide guidance to African governments on the review, revision, and development of sanitation policies and strategies for their implementation. The Guidelines provide background information, advice on the process, and suggested contents for a sanitation policy, including sample policy statements. These Guidelines should be considered within and adapted to each local context in terms of existing institutional arrangements, capacities, and service coverage, among other factors.

Effective use of the Guidelines depends on users working from a common understanding of key concepts, as defined in these Guidelines (see Glossary in Annex 6). Sanitation is defined as access to and use of facilities and services for the safe management of human waste across the sanitation service chain from capture and containment through to treatment, reuse, and final disposal (see Figure 1). For ease of reference, human waste is referred to as excreta and includes human urine, faeces, and menstrual blood. Additionally, hygiene behaviour change including the promotion of handwashing with soap, sustained uptake of safely managed sanitation, and safe management of anal cleansing materials and used menstrual hygiene materials are also covered. The guidance provided is limited to the scope of sanitation as defined above.

Figure1: Sanitation service chain

Capture (Toilet) → Containment- storage / treatment → Conveyance- emptying & transportation → Treatment → End use/ disposal

1.2 Why are the African Sanitation Policy Guidelines needed?

It is well recognised that sustainable and effective water supply, sanitation, and hygiene (WASH) service delivery is not only determined by the extent and the state of infrastructure and services, but also by multifaceted institutional, governance, and financial management systems. It is this enabling environment that is receiving increasing attention as countries in Africa tackle the limited expansion - or even the shrinking - of sanitation service delivery. There is growing awareness among sanitation practitioners and

policymakers that one of the key constraints to scaling up sanitation service delivery is that sanitation policies have been unclear, contradictory, fragmented or inaccessible.

Although most countries in Africa have policies on sanitation, the majority do not incorporate all the elements of excreta management across the service chain and do not address general equity concerns to ensure that everyone has access to safely managed sanitation.[1] Without an adequate sanitation policy that harmonises sector actions and mobilises resources and investments, it would be challenging for countries in Africa to achieve safely managed sanitation for their entire populations.

The absence of guidelines that incorporate all the necessary elements for sanitation policy development has made it more challenging for African countries to enhance their own sanitation policies. A review by AMCOW in 2019 of sanitation policies and strategies of 26 African countries found that only three included the 'core elements' of an adequate sanitation policy.[1] The African Sanitation Policy Guidelines are AMCOW's response to multiple requests for policy development assistance from member countries of the African Union. They provide guidance that can be applied and adapted at country level for reviewing, revising, and enhancing existing sanitation policies.

1.3   Who are the Guidelines for?

The Guidelines are designed for use by policymakers in national and subnational governments and by other stakeholders involved in supporting policy development and reform initiatives. These include those focused on improving sanitation services, such as international and national non-government organisations (NGOs), civil society organisations (CSOs), bilateral donors/development banks, and the private sector.

1.4   Why focus on sanitation?

Safely managed sanitation for everyone is essential for health, general wellbeing, environmental protection, and economic development while also being a basic human right. Inadequate sanitation has many negative impacts beyond those on health, including feelings of shame, insecurity, and anxiety, and contributing to poverty and poor school attendance. Poor sanitation discourages investment and economic development, undermines tourism, and damages the natural environment and the water resources that support human life. Yet, despite these adverse impacts, inadequate sanitation services are common in many parts of the world, including in Africa.

Safely managed sanitation requires that several mutually dependent services be provided, including collection, transport, treatment, and reuse of excreta. In each of these elements, service delivery is often inadequate due to failures on either the demand or the supply side. Policy is required precisely to address these constraints.

Governments of African countries should be engaged to ensure that sanitation policies are written in a way that takes into consideration the varied contextual complexities so that the health, environmental, social, and economic benefits of safely managed sanitation can be secured.

1.4.1　Regional commitments and global aspirations

Increasingly, sanitation has gained attention across Africa and worldwide. This is demonstrated by various targets, declarations, and commitments adopted both globally and by African governments. Some of the regional commitments include the following:

- The Ngor Declaration, adopted in 2015 with a vision to 'achieve universal access to adequate and sustainable sanitation and hygiene service and eliminate open defecation by 2030;[2]

- 'Agenda 2063 - The Africa we want[3] adopted by the AU in 2013;

- The eThekwini Declaration, adopted in 2008[4] and

- The Sharm El-Sheik commitments, adopted in 2008,[5] which state that, irrespective of the regional commitments to improve sanitation, progress has been slow across Africa.

African governments also committed to various global goals including the Sustainable Development Agenda, which consists of 17 Sustainable Development Goals (SDGs). SDG 6 comprises eight targets and associated indicators, with 6.2 specifically dedicated to sanitation, and 6.3, 6.a, and 6.b having direct sanitation links.[6]

African countries, and particularly those in the Sub-Saharan region, have made slow progress towards global sanitation and hygiene goals and targets. The WHO/UNICEF Joint Monitoring Programme (JMP) for water supply, sanitation, and hygiene has produced annual reports since 1990, which include country, regional, and global estimates of progress. In 2017, about 70% of the population in Sub-Saharan Africa had inadequate sanitation (including limited, unimproved, and open defecation) and over 75% had inadequate hygiene (limited or no handwashing facility). For a full description of monitoring approaches and progress reports, see WHO/UNICEF Joint Monitoring Programme for Water Supply, Sanitation and Hygiene – JMP.[7] The inclusion of target 6.2 in the SDGs raised the bar significantly for sanitation and hygiene, calling for universal, equitable access, and the consequent elimination of inequalities in service levels.

The slow progress made towards fulfilling regional and global commitments and targets demands urgent action by African governments to prioritise sanitation. If Africa is to make progress towards universal access to safely managed sanitation, governments need to accelerate efforts to formulate adequate policies and implementation strategies, and to provide the necessary resources for their execution.

1.5　What is the scope of the Guidelines?

The Guidelines focus on sanitation and related hygiene practices. This encompasses the safe management of urine, faeces, and menstrual blood, as well as the promotion of handwashing with water and soap and the sustained uptake of safely managed sanitation. Guidance is provided for

developing sanitation policies that cover all settlement types and situations including urban, peri-urban, small towns, and rural areas. Sanitation for households, for institutions (e.g. schools and healthcare facilities), and for commercial settings, public places (e.g. markets and public transport terminals) and emergency situations, are all included.

This precise and narrow definition means that these Guidelines do not cover the broader interpretation of sanitation, which may also include solid waste management, greywater management, stormwater management, drainage or any other forms of waste management. Neither do the Guidelines cover broader hygiene issues, including safe water handling, food hygiene, domestic and environmental hygiene.

However, the Guidelines can still inform policymakers should they wish to develop a more comprehensive environmental sanitation policy that goes beyond safe management of human excreta.

1.6   How can the Guidelines be applied?

These Guidelines are intended to support the development of policies and implementation strategies that address sanitation, focusing on a set of essential topics for inclusion in any sanitation policy. They are intended to be applicable across all African countries, irrespective of their varying contexts.
The Guidelines do not prescribe specific policies that need to be adopted by African governments; rather they provide recommendations on policy positions based on essential core elements of a functional sanitation policy.

Good practice suggestions and specific examples are included to provide guidance on the 'what' question relating to policy. Guidance on the 'how' question of policy development describes the process of formulating comprehensive, locally relevant, and supportive policies. Guidance is also provided on developing policy implementation strategies.

The main premises of the Guidelines, as outlined in Box 1, acknowledge the contextual differences across Africa.

1.7 How can sanitation policies be positioned?

The word 'policy' can have a large variety of meanings. In the context of these Guidelines, policy is made by government, and in the broadest sense, describes how the needs of citizens will be addressed through a set of actions.

> **Box 1: Main premises of the Guidelines**
>
> - The fundamental principles of sanitation policy are relevant across diverse country contexts as prerequisites to advancing safe, inclusive, sanitation outcomes.
> - The diversity of all African countries is recognised in the consequent need for the Guidelines to be adaptable.
> - Inclusive policy development, through the participation of key stakeholders, increases the likelihood of a clearly articulated sanitation policy and promotes uptake.
> - Assessment of the existing situation, policies, and legal instruments sheds light on current sanitation issues and identifies the gaps that need to be addressed by any new policy.
> - Subnational governments (state/regional/county/municipal/local/district/city) have a crucial role in developing and implementing sanitation policies.
> - Linkages to water supply, health, environment, solid waste management, and other sectors are important and therefore acknowledged.
> - Capacities and resources to implement sanitation policies vary across African countries. Policy development should consider local opportunities and constraints and be based on a sound assessment of existing conditions, capacities, and available resources.

A sanitation policy can be standalone, combined with water policy, or an element of a broader policy. About 50% of African sanitation policies and strategies assessed by AMCOW in 2019 were found to be standalone. In nine countries, sanitation was included as part of wider policies, such as those covering water supply, hygiene, health or environmental sanitation.[1]

The poor level of access to basic sanitation in Africa demands that governments increase the priority given to sanitation, which may prove difficult if this forms part of another policy. However, it is important that sanitation policy is considered in the broader context of water, health, environment, and other sectors when it is being developed. The decision on whether to have a standalone policy is dependent on the individual country context. For more guidance on this, see subchapter 2.1.

1.8 How are the Guidelines structured?

These Guidelines are structured around four parts: (1) Context; (2) Guidance for the process of policy development; (3) Guidance for revising and developing sanitation policy contents; and (4) Guidance for developing an implementation strategy for sanitation policy. Each chapter contains a series of references, and the document concludes with a number of Annexes providing additional and supporting information, as well as suggested tools and resource materials.

This structure was adopted to ease practical application of the contents. Table 1 provides detailed information about the structure and contents of this document and can be used to locate the appropriate starting point for any of these usage scenarios.

Table 1: Structure of the guidelines

Part	Chapters	Content	Typical user
One: Context for the Guidelines	1. The context	Explains the context of the Guidelines: What they are about Why they were developed Who they are for Why focus on sanitation The scope Application and positioning of sanitation policies	All readers
Two: Guidance for policy revision and development process	2. The process of developing a sanitation policy	Describes the decision-making process, steps to policy development, and how to determine the appropriate step with which to commence in different contexts.	All readers
Three: Guidelines on contents of a sanitation policy	3. Vision, objectives, and principles of a sanitation policy 4. Sanitation systems and services 5. Hygiene and sanitation behaviour change 6. Institutional arrangements 7. Regulation 8. Capacity development 9. Funding 10. Monitoring, evaluation, and review	Outlines the recommended contents of a sanitation policy. Each of the core elements of a sanitation policy is described in its own chapter.	All readers Those who want to compare the contents of their existing sanitation policies against the Guidelines. Those who are reviewing and revising their sanitation policies.
Four: Developing a policy implementation strategy	11. Guidance for developing an implementation strategy	Defines the implementation strategy Explains how it is different from the policy and sector programme and the importance of developing one. Outlines the process for developing an implementation strategy and how to formulate strategic objectives and activities.	All readers Those who want to compare their existing strategy against the Guidelines.

Annex 1: Supplementary resources for the policy development process	Resources and tools related to the sanitation situation assessment	Sample ToR for a sanitation situation assessment Information needs and indicative sources Template for recording desk review Key informant interview tool Focus group discussion tool Sample assessment report outline Stakeholder consultation guide	Readers who are interested in or planning to conduct a sanitation situation assessment to support policy revision
Annex 2: Supplementary resources for sanitation policy content	Resources and tools related to the core contents of a sanitation policy	Examples of sanitation systems and services Recommended roles and responsibilities Principles for a capacity building programme	All readers, especially those who are interested in or planning to conduct a sanitation situation assessment to support policy revision
Annex 3: Suggested outline of a sanitation policy	Sample outline of a sanitation policy	An example of the contents and structure of a sanitation policy	All readers
Annex 4: Supplementary resources for an implementation strategy	Resources that can support the development of an implementation strategy	Sample outlines for implementation strategy and matrix	All readers, especially those who are working on revising their policies and/or developing an implementation strategy
Annex 5: Sources of additional information	Sources of additional information on the contents of a sanitation policy	Sources of additional information on sanitation and hygiene, capacity development, regulation, funding, and monitoring and evaluation	All readers
Annex 6: Glossary	Definition of concepts used in the Guidelines	Definition of terms and concepts used in the Guidelines, arranged by chapters	All readers
Annex 7: Country consultation	Country consultation meetings	Country consultations with government and non government stakeholders on the contents and roll out of the Guidelines.	All readers

1.9 References

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Photo: WSUP.

Photo: UNICEF/UNO139485/Prinsloo

Part 2

Guidance for policy revision and development processes

Part Two provides guidance on the processes of reviewing and developing an inclusive sanitation policy, recognising that each country has its own policy formulation procedures and that the recommendations need to be adapted to the local context. Although primarily designed to be used at the national level, this process can equally inform a subnational policy.

Chapter two is divided into two subchapters. The decision-making process of developing a sanitation policy is provided in 2.1. The steps to developing a sanitation policy are included in 2.2.

Supplementary resources for the policy development process are in Annex 1. Additional sources of information are included in Annex 5.

Definitions of the terms and concepts used are provided in the Glossary in Annex 6.1.

Chapter 2. The process of developing a sanitation policy

Sanitation policy review, revision, and formulation should be led and managed by the government in an inclusive process involving stakeholders. This increases the likelihood of uptake and can mitigate the risk of a prolonged government approval process. As sanitation planning and implementation cut across multiple stakeholders and institutions, the involvement of government and non-government actors, including public service providers, local governments, municipal/city departments, the private sector, informal service providers, and user group representatives, can generate wider awareness and increase understanding and ownership of the policy.

Definitions of the terms and concepts related to the policy development process can be found in the Glossary in Annex 6.1.

2.1 The decision-making process for sanitation policy development

An important decision that can impact the likelihood of uptake and implementation of a sanitation policy is the level of priority given to sanitation by the government, and whether policies on sanitation are clearly put together in one document under one ministry or are integrated into multiple policies of other sectors. Historically, sanitation has received little attention, and this is often still the case in many countries, hence the need to have clear and dedicated sanitation policies.

Standalone sanitation policies are particularly relevant where the mandated authorities for water versus sanitation are not part of the same line ministry. The Guidelines recognise that the decision to develop a standalone policy should be context specific. The guidance provided is equally applicable where sanitation policies are part of water or other sector policies. Whatever the case, it is important that the links between sanitation and water supply, greywater, stormwater, solid waste, etc. are recognised and referenced.

The main steps in developing a sanitation policy are set out in Figure 3 with details in section 2.2. Deciding at which step of the process to start and whether to revise or formulate a new sanitation policy, can be challenging and is dependent on the country context. Figure 2 is intended to assist governments and policymakers in reviewing their contexts and making informed decisions on the appropriate first step of the process for their country.

2.2 Steps to developing a sanitation policy

There are ten recommended steps to developing a sanitation policy with an additional three steps for its implementation (see Figure 3). These three final steps (11 to 13) have been included as a reminder not to stop at policy development, but to disseminate, implement, monitor, and review the policy. Guidance for developing an implementation strategy is provided in Chapter 11.

Figure 2:   Determining the appropriate step with which to start the policy development process

Start here (A)
Based on a rapid situation assessment, is there a sanitation policy that responds to the prevailing sanitation situation and articulates considerations for achieving universal and sustained sanitation access? (see Part 3)

No →

(A1)
Is sanitation an important political priority and is there appetite for policy revision among relevant government ministries?

No →

(A2)
Identify high-level champions of sanitation within the relevant ministries. Parliamentarians, CSOs, NGOs, and other partners

Yes ↓ (A)   Yes ↓ (A1)

(B)
Does the existing policy provide clear guidance for developing an implementation strategy?

No →

(B1)
Develop or improve policy and facilitate official adoption
(Follow steps 2-11 in Fig. 3)

Yes ↓

(C)
Is there an adequate strategy to implement the policy?

No →

(C1)
Develop strategy and action plan for implementation
(Follow steps 2-11 in Fig. 3)

Yes ↓

(D)
Are there assured funding sources to implement the strategy?

No →

(D1)
Secure/amend funding arrangements to support implementation

Yes ↓

End here: (E)
Implement, monitor annually, and review after 5-10 years

2.2.1 Step 1: Rapid assessment of existing policies

This is an important first step recommended for every country irrespective of whether they have a dedicated sanitation policy or not. This enables government and key stakeholders to assess whether their existing policies related to sanitation clearly respond to the prevailing sanitation situation and the key considerations for achieving universal and sustained sanitation access. Box 2 below provides suggestions for conducting the rapid assessment.

It is important to share the assessment report with a wide stakeholder audience for verification and finalisation. Findings from the assessment should inform the decision on the next step in the process.

Box 2: Suggestions for conducting a rapid assessment

Who should lead?
- The assessment should be led by a senior government official from the mandated authority for sanitation where it exists. Alternatively, senior government officials from the various authorities with responsibility for sanitation can nominate one person to lead the process on their behalf.

Who can conduct the assessment?
- A task force or committee consisting of representatives from government ministries and agencies that have roles in sanitation, as well as NGOs and the private sector.

- A consultant or team of consultants working closely with the lead person from the government, conversant with the sanitation situation and the related legal framework.

How should the assessment be conducted?
- The assessment is carried out through a desk review of existing legal frameworks, sanitation policy in the mandated authority/authorities, policies related to sanitation in other sectors/ministries/authorities, and monitoring and other evaluation reports.

- The objective is to assess to what extent the existing policies align to the Guidelines and respond to the prevailing sanitation situation and articulate conditions for achieving universal and sustained sanitation access.

- It is important that the person(s) conducting the assessment consult(s) with key informants who are knowledgeable about the existing policies and legal frameworks related to sanitation. This will ensure that this initial rapid assessment review is as comprehensive as possible.

- The rapid assessment should endeavour to answer questions A to D in the navigation chart in Figure 2.

Figure 3: Sanitation policy development and implementation process
(Note: Numbers in parentheses indicate sections containing detailed information on the steps)

Policy development

Step 1
Rapid assessment of existing policies
(2.2.1)

Step 2
Establish leadership and coordination
(2.2.2)

Step 3
Develop process plan
(2.2.3)

Step 4
Conduct situation assessment
(2.2.4)

Step 5
Prepare policy discussion paper
(2.2.5)

Step 6
Stakeholder consultation #1
(2.2.6)

Step 7
Prepare draft sanitation policy
(2.2.7)

Step 8
Stakeholder consultation #2
(2.2.8)

Step 9
Revise and finalise policy & implementation strategy
(2.2.9)

Step 10
Governmental approval
(2.2.10)

Implementation

Step 11
Dissemination
2.2.11

Step 12
Implementation
2.2.12

Step 13
Monitor, evaluate and review, and revise
2.2.13

2.2.2 Step 2: Establish leadership and coordination

Developing a sanitation policy requires effective leadership. The government authority mandated to formulate the sanitation policy should identify and appoint a coordinator to manage and oversee the entire process, including resource management, liaising with stakeholders, and managing communication and dissemination activities. Selection of the coordinator needs careful consideration. They would preferably be a senior government official from either the lead or other ministry(ies) responsible for sanitation or someone close to the head of government.

Overall, a coordinator who has knowledge of the subject, is/was in a senior position, and is well respected across various stakeholder groups (see Box 3) is more likely to have credibility and attract multiple government and non-government stakeholders to support and participate in the review or the development of a sanitation policy.

Box 3: Coordinator qualities

- In-depth understanding of government policy making and endorsement processes
- Highly respected within the government and the wider stakeholder audience
- Ability to lead and rally support and interest within and outside the government
- Knowledge of the sanitation and water supply sector, and related sectors as appropriate
- Ability to delegate and to inspire stakeholders to complete tasks assigned to them
- Good communication and interpersonal skills

Photo: Worldbank/Simone D McCourtie

2.2.3 Step 3: Develop a process plan

The process plan should include the following:

(a) Defining tasks and timelines:

Developing a sanitation policy requires assessment, policy drafting, and consultation. The process plan specifies the tasks related to these three components that need to be completed, by whom, and by when. The recommended options for completing these tasks are presented in Box 4. Clear objectives and Terms of Reference (ToR) should be developed for the assessment, policy drafting, and consultations.

(b) Establishing teams and assigning tasks:

Some of the options that can be considered for the teams are outlined in Box 4. The advantages and disadvantages of these options are set out in Table 2. Hybrid models that combine relevant aspects of the different options are also possible. Irrespective of the preferred option, government must lead and be engaged in the entire process to ensure ownership.

(c) Identifying necessary resources:

These consist of human resources (i.e. skill sets and personnel) and financial resources. An important first step is to do a quick assessment of available skills and resources within the relevant ministries, agencies, and development partners to support policy development. This assessment will support decisions made on whether aspects of the process can be undertaken internally or if specialist skills need to be contracted. It will also influence the decision on which of the options in Box 4 to select.

(d) Communicating critical parameters:

The coordinator provides the committee, consultants, and NGOs (if applicable) with clear guidance, covering the scope of the sanitation policy development tasks (i.e. assessment, policy drafting, and consultation). Additionally, clarifications can be provided on the government's development vision, mission, and the principles or aims that are factored into the policy development exercise. Other important clarifications include any directives from the ministry or other central government bodies, resources available for the policy development/revision exercise, any underlying assumptions, and the requirements for stakeholder consultation.

(e) Engaging senior government officials:

The cross-cutting nature of sanitation means that several ministries are involved. An important aspect of process management is the engagement of senior government officials (ministers, permanent secretaries, and similar positions) of these relevant ministries. The coordinator should work closely with a 'champion' (for instance the minister, vice-minister or other senior officer) in the ministry, who has the mandate to formulate sanitation policy, in order to engage other relevant ministries. Briefings for senior officials at key milestones in the process help with the initial dissemination of the policy, building support for it and preparing the way for governmental approval once completed.

Box 4: Options for executing components of the sanitation policy development process

Option 1: Policy drafting committee and task teams

- An inter-ministerial policy drafting committee is established consisting of representatives from key ministries involved in sanitation with skills and experience relevant to the various components of the policy development process.

- The coordinator creates task teams, which are assigned a range of tasks including assessment, policy drafting, stakeholder consultation, and development of implementation strategy.

- The task teams will report back to the committee at agreed intervals.

Option 2: Policy drafting committee and consultants

- Consultants are hired to support and facilitate the policy drafting process, but not to lead. They work closely with the policy drafting committee, which consents to approaches used and approves outputs. This is important to ensure that the drafting committee (ministry representatives) are involved and lead the policy development process, as they help to disseminate the policy and encourage uptake by their respective ministries.

- The consultants can be contracted either to support all aspects of the policy and implementation strategy development or just some aspects such as the situation assessment.

- It is advisable to have a single group of consultants working with the government throughout the policy development process.

Option 3: Policy drafting committee, consultants, and NGOs

- A partnership is entered into with consultants and a consortium of NGOs that are implementing water supply and/or sanitation and hygiene projects identified from among the national sanitation working groups/WASH forums.

- The NGO can be tasked with conducting the sanitation situation assessment (see section 2.2.4). It is important to have clear terms of reference to ensure that the assessment focuses on the essential information needed to support policy development. There should also be clarity on how the assessment should be funded.

- The coordinator should oversee the entire process of policy development, including working with the NGOs and Consultants to design the situation assessment, and then use the findings in the drafting of the policies and implementation strategies and to support consultations.

Table 2: Advantages and disadvantages of policy preparation team options		
Concept	**Definition (as used in the Guidelines)**	
Option 1: Policy drafting committee and task forces	• This option may be cheaper.	• A government-only committee could be limited in terms of broader sanitation service skill sets, and this may also complicate consultations with other stakeholders. • It may take longer to accomplish the tasks, as government staff also have to manage their regular work commitments.
Option 2: Policy drafting committee and consultants	• Accountability is achieved if the fees are based on the deliverables.	• There are ownership risks associated with this option, especially when the policy review and revision is not initiated by the government but rather by a development partner.
Option 3: Policy drafting committee, consultants, and NGOs	• Efficiency in terms of time and it is easier to build in multi-stakeholder inputs. • Past experiences of using participatory approaches make it more likely that underserved populations will be included in the situation assessment.	• Consultants and NGOs can have their own agenda or preferences which may be emphasised in the final report produced. • There may be challenges in gaining the active participation of governmental agencies. • Without funding, this can turn out to be costly.

2.2.4   Step 4: Conduct a sanitation situation assessment

Developing or revising a sanitation policy should be an evidence-based exercise, hence the need for an assessment. The main purpose of this is to assess the adequacy of existing sanitation policies and how effectively these are translated into action to improve sanitation services for all, and particularly for vulnerable members of the population. This assessment is more in-depth than the initial rapid assessment in step 1. Information from the situation assessment will help to identify the strengths and weaknesses of existing sanitation policy, highlight opportunities, and provide the basis for revising or formulating a functional and responsive policy, implementation strategy, and future plans.

The assessment should consider the contexts of all relevant sectors with links to sanitation, particularly the water, health, and environment sectors. This section provides guidance for conducting these assessments. The core questions that should be answered by the assessment are outlined in Box 5. The recommended methods for the assessment are desk review and field assessment.

Supplementary resources for the policy development process are provided in Annex 1. These include a sample ToR for a situation assessment (Annex 1.1). Suggestions on information needs and indicative data sources for the situation assessment are provided in Annex 1.2

Box 5: Core questions for the assessment

- Equity: Is there equitable service coverage of everyone in all geographic areas and all social and economic groupings?

- Safety: How extensive is the coverage of safely managed services?

- Viability/sustainability: Do revenues adequately cover costs to keep systems running and expanding, and if not, are reliable arrangements in place to make up for the shortfall?

- Mandate: Does the existing law or policy identify one or more authorities with a clear, non-overlapping mandate to ensure equitable delivery of safe sanitation services?

  - Do existing policies incorporate national strategic priorities (e.g. poverty alleviation, urban development, gender equity)?

- Accountability: Is the mandated authority held accountable for making progress against that mandate? Are there performance indicators and structured incentives?

- Resource planning and allocation: Is there a national funding framework to allocate financial resources based on clearly defined and inclusive national priorities and performance assessments?

- Implementation: Is there an implementation strategy and, if so, how effectively are its basic functions designed and implemented?

- Monitoring and impact measurement: Is there a monitoring and reporting mechanism in place, and if so, is it implemented?

(a) Phase 1- Desk review

The first step of the situation assessment is to collect and review: basic data; existing policies; laws; policy and programme mid-term review reports; articles; and evaluation reports. This should cover the available data on: water and sanitation coverage; relevant health indicators; environmental data; information on performance and the extent of safely managed sanitation; costs and expenditure on sanitation; policy, regulatory and legal frameworks; institutional arrangements, etc. It is important to explore a range of information sources, as the multisectoral nature of sanitation means that sanitation-related information is often scattered across many sectors/ministries/agencies. Where possible, it is important that the sources of data on coverage and access are indicated and broken down by wealth quintiles and gender, and divided between urban, peri-urban, small town, and rural areas.

The information generated will help to identify gaps to be addressed or probed further in the sanitation situation assessment. A sample template for recording information and data from the desk review is provided in Annex 1.3.

(b) Phase 2- Field assessment

The objective of this phase is to verify and enrich information from the desk review through individual interviews, group discussions, and workshops. This also helps to identify the gaps in existing sanitation policies and assess their effectiveness. Guidance on the topics to include in the field assessment is given in Annex 1.2.

Stakeholder engagement is important during this stage of the assessment. A good starting point is the officials of ministries and government agencies with responsibility for sanitation. The wider stakeholder audience can then be engaged through the National Sanitation Working Group or the Water Supply, Sanitation and Hygiene (WASH) Forum. These platforms (where they exist) usually hold regular meetings, which provide an opportunity for the coordinator to introduce the government's intention to develop an inclusive sanitation policy. This will not only raise awareness of the sanitation policy but also facilitate ownership and increase the likelihood of uptake and implementation when completed.

It is also important to ensure that different groups of the country's population who are disproportionately affected by inadequate sanitation are consulted. These include women and girls, people living with disabilities, and those affected by conflict or other humanitarian situations (see Box 6).

Box 6: Examples of stakeholders to engage with

- Public health authorities
- Education authorities
- Local government and municipal authorities
- Gender, women's affairs, and social welfare authorities
- Rural and urban development authorities
- Planning authorities
- Ministry of Finance
- Water and sanitation utilities
- Regulators
- Environment agencies

- Agencies engaged in disaster preparedness and response (government and NGOs)
- Sanitation service providers (including the informal and formal sectors, professional and trade groups)
- Academics
- End users in all contexts, (e.g. urban areas, slum dwellers, refugee and IDP camps, rural and small towns) including women, girls, and people with disabilities
- WASH NGOs and CBOs
- CSOs
- Development partners active in the sanitation sector

Three methods that can be used for undertaking the field assessment are outlined below:

i. Key informant interviews (KIIs): See Annex 1.4 for a sample KII tool. For detailed guidance on how to conduct KIIs, see USAID (1996)[1] and Almedom et al. (1997).[2]

ii. Focus group discussions (FGDs): See Annex 1.5 and for further information on designing and conducting FGDs, see Krueger (2002).[3]

iii. Workshops: See Annex 1.2 for sample topics and information needs, which could form the basis for a workshop. For further information on planning and facilitating a workshop, see Seeds for change (2012).[4]

(c) Situation Assessment Reporting

The assessment report should be prepared by the same group that carried out the assessment (see Box 4), in close collaboration with the coordinator who gives final approval before the report is made public. The assessment report should be concise, consisting of a synthesis of the findings from the desk review and from the interviews/meetings. The inclusion of a concise executive summary allows readers to access the main findings without necessarily reading the entire report. The report provides the basis for preparing the policy discussion paper in the next stage and for the feedback meeting with key stakeholders, where the findings from the assessments are presented for discussion and endorsement. The situation assessment report should be published so that the public and other stakeholders can use it as they participate in the policy development process. A sample report outline for a sanitation situation assessment is provided in Annex 1.6.

2.2.5 Step 5: Prepare a policy discussion paper

The situation assessment report will have identified gaps in the existing policies that the new sanitation policy needs to address. Based on the findings, a short policy discussion paper and implementation strategy should be prepared, discussed, and agreed with the policy drafting committee before sharing with senior government officials in the relevant ministries. This should be part of the deliverable by the group that conducted the situation assessment. The discussion paper should address:

- the key policy gaps and issues identified:

- the direction to be taken in the new sanitation policy, including its proposed vision, principles, and objectives;

- the context (subnational, national, regional, and global) within which the proposed policies are placed;

- the proposed institutional structure and coordination mechanism;

- a consideration of basic needs, environmental and public health requirements, international obligations, etc.; and

- proposed implementation strategy.

It is important that the policy discussion paper is shared with and agreed upon by the heads of the various ministries and agencies involved in sanitation. Once agreed, it can be disseminated to the wider stakeholder groups who are then invited to the stakeholder consultations.

2.2.6 Step 6: Stakeholder consultation - Stage 1

The stakeholder consultation provides the opportunity for the policy drafting committee to present the findings from the situation assessment and the draft policy discussion paper. The stakeholders to consult should include inter-ministerial personnel with links to sanitation and the wider stakeholder groups including NGOs, CSOs, and development partners. There are no set standards and approaches for conducting a consultation; at this stage, the number of consultations and the approach needs to be tailored to suit each country's situation, timeframes, and resource availability. Additional guidance materials for conducting stakeholder consultations are provided in Annex 1.7.

2.2.7   Step 7: Prepare a draft sanitation policy and implementation strategy

The draft policy is prepared by the policy drafting committee led by the coordinator. A sample outline for the structure and contents of a sanitation policy is set out in Annex 3. The draft policy should:

- incorporate the outcomes from the Stage 1 stakeholder consultation on the discussion paper;

- contain draft policy statements for each of the core elements (see Part Three of the Guidelines);

- be clear, coherent, and easy to read; and

- be discussed and agreed with the inter-ministerial committee and then prepared for the Stage 2 stakeholder consultation.

2.2.8   Step 8: Stakeholder consultation – Stage 2

The second stage of the stakeholder consultation involves inter-ministerial personnel and wider stakeholder groups. The consultation provides further opportunities to receive feedback, solicit support and increase ownership by key government departments/ministries/agencies, making it more likely for the sanitation policy to be approved and implemented.

Sufficient time must be allowed for stakeholders to review the draft policy prior to the consultation (two to four weeks is recommended).

(a) Non-government stakeholder consultation:

The objective of this consultation is to enable non-government stakeholders to discuss the draft sanitation policy and for the policy drafting team to explain the rationale for the inclusion or exclusion of topics in the policy. Key actions include:

- Prior to the consultations, revise the draft policy, incorporating the comments from the inter-ministerial consultation.

- Agree the list of non-government stakeholder participants and specific individuals to invite. Ensure that people, such as sanitation workers and vulnerable groups who may not usually participate in such discussions, are represented.

- Send invitations to participants with the draft policy, review plan, procedures, and agenda, at least three weeks prior to the consultation date.

- Ensure that CSOs and NGOs working on women's rights/gender equality and those working with other vulnerable groups (e.g. people living with disabilities, minority groups, IDPs, and refugees), are consulted on how the proposed policy document addresses equity and responds to the needs of women and girls and others in vulnerable situations.

(b) Inter-ministerial stakeholder consultation:

The coordinator, working closely with the policy drafting committee, should organise inter-ministerial consultations to provide opportunities for government authorities that have roles in sanitation to participate in the sanitation policy development process. Ensure that comments on the draft policy from non-government stakeholder groups are noted and shared during this consultation. The consultations are organised to:

- allow for inputs from officials of other ministries and government agencies involved in sanitation and to identify areas for revision of the draft sanitation policy. Participants can be identified by the policy drafting committee to ensure that all key personnel from relevant ministries and agencies, including the legal department of the government, are invited; and

- give opportunity for government officials to review the document. The invitation should include the draft policy document, timelines for reviews, procedures (how to use the review template), who to send comments to, and information about a workshop to discuss their comments.

2.2.9   Step 9: Finalising a sanitation policy

The drafting team should discuss the inputs from the wider stakeholder consultation, agreeing on what should be incorporated into the sanitation policy before it is presented again to the inter-ministerial stakeholder group and then finalised. Depending on the country's policy development process, the final document may need to be signed off by the government's legal department before it can be presented to the appropriate government authority for official approval. A timeline should be agreed with the relevant government stakeholders to ensure that all necessary additional documentation can be presented together with the sanitation policy for government approval.

2.2.10   Step 10: Government approval

The process of policy approval and adoption will vary depending on each individual country context; therefore, the guidance below can be adapted as appropriate. The approval process identified at the assessment stage should be commenced early to ensure that the policy is submitted for approval soon after completion.

Once the policy coordinator and the policy drafting committee have signed off on the document, it should be shared, if necessary, with the government department that needs to endorse a policy prior to final approval, for example, the lead ministry and the legal department.

While stage two consultations are being conducted and the policy document is being finalised, the policy coordinator should intensify advocacy at the senior levels of government to facilitate smooth and quick approval of the policy.

This requires:

- soliciting support from senior and mid-level staff of key departments/ministries with roles in sanitation (some of whom may be members of the policy drafting committee);

- continuous update and briefing of the minister in charge of the department leading the policy formulation; and

- preparation of the official documents required to present the sanitation policy for approval and endorsement by the appropriate government bodies.

Advocacy and regular briefing of key government stakeholders is an important ongoing process from the outset, to facilitate and accelerate government approval processes.

2.2.11 Steps 11 – 13: Policy implementation

The steps in policy implementation are: communicating and disseminating the sanitation policy (step 11); sanitation programmes and plans (step 12); and monitoring, evaluation, and review (step 13) (see Chapter 10). It is important that the implementation strategy is developed almost at the same time as the policy so that the drafts are also discussed during the stakeholder consultations. Alternatively, it can be developed soon after the draft policy has been completed. Detailed guidance on developing a policy implementation strategy, including dissemination plans, is provided in Chapter 11.

2.3 References

[1] USAID. *Conducting key informant interviews. Washington:* USAID. 1996. [Online] Available from: https://pdf.usaid.gov/pdf_docs/PNABS541.pdf [Accessed 28 February, 2021].

[2] Almedom, A.M., Blumenthal, U. and Manderson, L. *Hygiene Evaluation Procedures: Approaches and Methods for Assessing Water - and Sanitation - related Hygiene Practices*. Washington: International Nutrition Foundation for Developing Countries (INFDC) 1997. [Online] Available from: https://archive.unu.edu/unupress/food2/UIN11E/UIN11E00.HTM . [Accessed 28 February, 2021].

[3] Krueger, R.A. *Designing and Conducting Focus Group Interviews*. Minnesota: University of Minnesota. 2002. [Online] Available from: https://www.eiu.edu/ihec/Krueger-FocusGroupInterviews.pdf [Accessed 28 February, 2021].

[4] Seeds for change. *Short Guide to Facilitating Workshops*. Lancaster: Seeds for change 2012. [Online] Available from: https://www.seedsforchange.org.uk/shortfacilwsh.pdf [Accessed 28 February, 2021

Photo: WorldBank/Dominic Chaves

Photo: World Bank/Jonathan Ernst

Part 3

Guidance on the contents of a sanitation policy

Part Three outlines the recommended core elements of a sanitation policy. It consists of eight chapters providing guidance on: vision, objectives, and principles; sanitation systems and service levels; hygiene; institutional arrangements; regulation; capacity development; funding; and monitoring and evaluation.

Each chapter begins with an explanation of the core elements and why it is important. Additionally, guidance is given on all core elements (except for the vision, objectives, and principles) for the factors to consider; recommended practices; sample policy statements; and key references.

A sample outline for the structure and contents of a sanitation policy is included in Annex 3.

Sources of additional information on the core elements of a sanitation policy are provided in Annex 5.

Definitions of terms and concepts related to Part Three are provided in the Glossary in Annexes 6.2 to 6.9.

Chapter 3.   Vision, objectives, and principles of a sanitation policy

This chapter provides guidance on the vision, objectives, and principles for inclusion in a sanitation policy. An explanation of the meaning and importance of specifying vision in a sanitation policy and the factors to consider are provided in 3.1. The meaning, importance, and factors to consider for the objectives and principles of a sanitation policy are provided in 3.2 and 3.3 respectively.

3.1 Vision

3.1.1 What is a policy vision and why is it important?

The policy vision is a statement that encapsulates the government's main guiding principles and aspirations related to sanitation. It helps stakeholders focus on policy outcomes and provides a high-level summary statement for political leaders, whose support is critical. This statement may touch on health, economic, environmental, and social aspects of sanitation. It should be aligned with both the constitution and high-level development plans, many of which may have the word 'vision' in their title. Above all, it should be aspirational but realistic, recognising the existing situation in relation to sanitation coverage, systems, and services. The principal reasons for developing a sanitation vision statement are:

- to focus sanitation stakeholders on what is important;
- to give stakeholders and the public in general a snapshot of what the government wants to accomplish; and
- to provide a basis for developing policy statements and objectives of the sanitation policy, and at a lower level, for more detailed strategic directions and plans.

3.1.2 Factors to consider when developing a vision for a sanitation policy

An effective vision statement should be:

- based on a clear end state that is inspirational and ambitious, e.g. universal access;
- easily understood, memorised, and shared by sanitation stakeholders;
- broad enough to include diverse perspectives of sanitation service provision; and
- inspiring to stakeholders involved in sanitation services and putting citizens' wellbeing at the forefront.

The process of developing a sanitation vision statement should consider the factors outlined below.

(a) Global goals and targets (see also 1.4.1):

- Relevant global goals and targets such as the SDGs[1], particularly SDGs 6, 1 and 4. SDG 6, target 6.2 states 'by 2030, 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'. SDG 1 relates to poverty eradication, with target 1.4 measured by the proportion of the population living in households with access to basic services. SDG 4 calls for sanitation in schools as part of a safe learning environment.

- Vision 2030: *The resilience of water supply and sanitation in the face of climate change*[2] calls for drinking water and sanitation services to prepare for the impact of global climate change.

(b) Africa continental visions (see also 1.4.1):

- Agenda 2063 African aspirations: 'An Africa where there is an equitable and sustainable use and management of water resources for poverty alleviation, socio-economic development, regional cooperation, and the environment';[3]

- Ngor Commitments: articulating a vision to 'achieve universal access to adequate and sustainable sanitation and hygiene services and eliminate open defecation by 2030';[4]

- The African Union Vision: Sharm El-Sheikh Commitment for accelerating the achievement of water and sanitation goals in Africa.[5]

(c) National vision

National vision is expressed in national development plans and planning frameworks. Examples of sanitation policy vision statements, some from existing policies, are provided below in Boxes 7 and 8. These demonstrate how countries have set their visions based on health, economic, environmental or social aspects of sanitation.

Box 7: Example of a generic vision statement

'Everyone has access to safe sanitation systems and services'

> ### Box 8: Examples of vision statements from sanitation policies
>
> (a) 'The policy envisions a clean, healthy and economically prosperous Kenya free from sanitation and hygiene related diseases'.[6]
>
> (b) 'Sanitation services in South Africa contribute significantly to public health and are hygienic, equitable, sustainable and efficient for all people'.[7]
>
> (c) 'All Indian cities and towns become totally sanitized, healthy and liveable and ensure and sustain good public health and environmental outcomes for all their citizens with a special focus on hygienic and affordable sanitation facilities for the urban poor and women'.[8]
>
> (d) 'Ensure sustainable, equitable and affordable access to safe sanitation and waste management services for all Rwandans, as a contribution to poverty reduction, public health, economic development and environmental protection'.[9]
>
> (e) 'A country with a universal and constant use of safely managed sanitation services and basic hygiene facilities'.[10]

3.2   Policy objectives

3.2.1 What are policy objectives and why are they important?

Policy objectives concisely express the key medium- to long-term gains that government wishes to achieve by implementing a policy; they can also then be used as yardsticks to define success. Policy objectives underpin and set the overall parameters for the policy implementation strategy. Objectives are vital in a policy document to:

- provide direction and guidance for all stakeholders towards achieving the goals and visions of the policy;

- motivate stakeholders to become enthusiastic and spirited in their programmes when the expected outcome is known;

- establish the background for subsequent estimation of human and financial resource requirements; and

- constitute benchmarks against which indicators can be formulated to monitor the successes and failures of the policy and to evaluate performance.

3.2.2 Factors to consider when developing policy objectives

Policy objectives should set out critical elements of the policy to be achieved in order to move the sector towards the declared vision, and beyond that, to the overall national agenda and aspirations. They set overall goals taking into consideration current progress on sanitation and hygiene. The list below is illustrative only and each country will have specific issues to be addressed.

(a) Service levels including:

- considerations around incremental improvements, including shared sanitation, basic and safely managed services;
- minimum standards for different settings and situations (e.g. humanitarian crises);
- priority areas for improvement;
- effective faecal sludge and wastewater management; and
- institutional WASH priorities (for schools, health centres, etc.).

(b) Environmental issues including:

- resource recovery from treated wastewater and faecal sludge;
- control of water resources pollution in and around human settlements;
- elimination of the release of untreated waste to the environment; and
- adaptation to expected impacts from climate change (including drought, floods, rising water levels, etc.).

(c) Health issues including:

- prevention and control of sanitation-related disease such as cholera; and
- reduction of chronic malnutrition and stunting.

(d) Equity and inclusion issues including:

- settlement types or geographic areas to be prioritised;
- eliminating economic and social discrimination in provision of sanitation services;
- meeting the needs of women and vulnerable groups;
- meeting the sanitation and menstrual hygiene management (MHM) needs of girls in and out of school, and of women in health facilities and public places; and
- safeguarding health and safety and the rights of sanitation workers.[11]

(e) Funding including issues such as:

- what is to be funded;

- the sources from which funds will be mobilised;

- the basis for cost sharing between the public sector and users, and affordability for households and communities;

- the basis for setting user charges; and

- where and how subsidies will be applied.

(f) Institutional arrangements including issues such as:

- roles, responsibilities, and coordination among the many stakeholders in the sector, including consumers;

- unlocking the potential of the public sector, private sector, and NGOs; and

- establishing a legal and regulatory framework.

(g) Sustainability and functionality of sanitation infrastructures (e.g. public and institutional latrines) including issues such as:

- availability of skills, spare parts, and other inputs;

- environmentally friendly technologies;

- local technical and financial capacity; and

- local geographic conditions and acceptability by communities.

3.2.3 Examples of sanitation policy objectives

It is recommended that this section of the policy contains a limited number of objectives that reflect policymakers' highest priorities. Both illustrative and specific country examples are given opposite in Boxes 9 and 10.

Box 9: Illustrative examples of policy objectives

- Open defecation is eradicated, and all faecal sludge removed from sanitation facilities is safely transported and treated.

- Wastewater and faecal sludge are regarded as resources to be safely processed into products that are saleable in each local context.

- All residents of high-density, low-income urban settlements have access to basic sanitation backed by an effective service chain to collect, remove, and treat faecal wastes.

- The costs of sanitation are shared between government and users, reflecting the public and individual benefits provided by sanitation, with targeted subsidies for those households unable to meet their required contribution.

- The private sector provides a range of sanitation services under a transparent regulatory regime.

Box 10: Policy objectives from existing sanitation policies

(a) 'Develop safe, well-regulated and affordable offsite sanitation services (sewerage and sludge collection, treatment and reuse/disposal) for densely populated areas.'[9]

(b) 'Improvement of sanitation as an essential tool for the prevention of waterborne diseases (malaria, cholera, diarrhea), improving quality of life and environmental conservation.'[12]

(c) 'To establish a functionally effective monitoring and evaluation framework for the sanitation sector to ensure maximum accountability in policy implementation at all levels.'[6]

(d) 'Implement and sustain improved sanitation for schools, health care facilities and other public institutions and locations.'[10]

3.3 Principles

3.3.1 What are policy principles and why are they important?

Policy principles are statements of commitment by governments to intended policy standards, which define a government's approach. They are important for sanitation as they guide stakeholders towards formulating functional and responsive policies.

The main guiding principle of a sanitation policy should be access to safely managed sanitation services for all, which is also the central, transformative promise of the 2030 Agenda for Sustainable Development and the Sustainable Development Goals (SDGs).[13] It represents the unequivocal

Photo: WaterAid/Genaye Eshetu

commitment of all UN Member States to eradicate poverty in all its forms, end discrimination and exclusion, and reduce the inequalities and vulnerabilities that leave people behind, undermining the potential of individuals and of society at large. For sanitation, this means that everyone should have access to at least basic sanitation and hygiene, so that no one is left behind to defecate in the open, use unsanitary toilets, or is exposed to health risks and social stigma.

3.3.2 Factors to consider for formulating the principles of a sanitation policy

The factors outlined below are based on international norms and examples from existing sanitation policies.

(a) Sanitation as a basic human right

Sanitation is a human right, recognised by the United Nations General Assembly. According to UN General Assembly Resolution 70/169, the right to sanitation entitles everyone 'to have physical and affordable access to sanitation, in all spheres of life, that is safe, hygienic, secure, and socially and culturally acceptable and that provides privacy and ensures dignity'.[14] Lack of sanitation has a knock-on effect, affecting the pursuit and enjoyment of other human rights; for instance, it obstructs the right to health and life.[15]

(b) Inclusivity, equality, and non-discrimination

Equality and non-discrimination are core human rights principles and are legally binding. Equality does not mean that everyone should have the same services, but rather, that no one is left behind, so that those without access are prioritised in sanitation efforts.

Sanitation should work for the whole community. If some people are excluded, permanently or temporarily, the effects are felt by the whole community. To be effective, sanitation must serve all community members, all the time, in an equitable and inclusive way, irrespective of wealth, gender, age, disabilities, religion, geographical region, ethnicity, etc.

'Some for all' is better than 'all for some' – in other words, the use of finite resources to provide a basic safe service for all, rather than a higher level of service to only some people. However, to maximise health and economic gains from sanitation, efforts to reach higher levels of service should also continue. This means that effective sanitation should include all types of settlements, from formally urbanised and informally occupied urban areas to towns and villages, and dispersed rural homesteads, using a mix of technical solutions as appropriate. Inequalities should be measured between various subgroups of the population such as:

- poorest vs richest wealth quintile;
- rural vs urban;
- informal urban vs formal settlements; and
- disadvantaged groups vs the general population.

Due to the context-specific effects of gender norms on sanitation outcomes, it is important to allocate sufficient time and effort to this component of the policy dialogue, to ensure that the policy addresses gender issues impacting safe sanitation.

Disadvantaged groups should not be excluded or overlooked and should be identified through a participatory national process, taking into account discrimination based on ethnicity, religion, caste, nationality, gender, disability, social origin, and geographical location. This process should be inclusive and ensure meaningful participation of all relevant population groups. See also subchapter 2.2.4 on the process of conducting a sanitation situation assessment.

Higher rates of progress should be achieved with underserved groups to achieve progressive reduction in inequalities. To count as 'progressive' reduction, the following conditions should be met incrementally:

- There should be a reduction in the difference between the coverage rates for the relevant groups.

- The rate of progress of each group should meet or exceed the rate of progress required for that group to reach the target by the specified time.

- The reduction in inequality should not be the result of a reduced rate of coverage for any group.

(c) Sustainability

Sanitation should be financially, technically, climatically, and environmentally sustainable, and available on a continuous basis.

- Funds should be reliably available for operating and maintaining sanitation systems, partly from users and partly from public funds, reflecting the individual and collective benefits provided by sanitation. Specific targeted measures, e.g. subsidies and/or cross-subsidies, may be required to ensure sanitation is affordable for poor people.

- The choice of sanitation technologies should be in line with the availability of skills, service providers, spare parts, and other inputs (such as a reliable electricity or water supply) that may be necessary to guarantee sustained performance.

- Sanitation systems and complementary components such as drainage and urban land use planning and control, should be resilient to climate change.

- Sanitation systems should avoid pollution to the environment, particularly water resources and wetlands.

(d) Accountability

Accountability begins with ensuring institutional clarity: i.e. being clear which ministry assumes responsibility for sanitation and which roles are played by which parties (see Chapter 6). Government, regulators and service providers should perform these roles reliably and be held accountable for doing so. Monitoring of all aspects of service delivery is thus an essential accompaniment to accountability. In this regard, regulatory functions should be included in policy documents to ensure accountability by service providers and users. Transparency should be maintained to empower users and citizens to access information, participate, and demand sanitation service improvement (see also point (f) below).

(e) Integrating provision of basic services

Sanitation should be integrated with other basic services. It is common practice that sanitation is provided together with water supply and hygiene (known as 'WASH'), including the promotion of good hygienic practices and MHM. Integration can be considered in an even wider context, including drainage, solid waste management, land use management, housing, water resources management, etc., depending on local circumstances. Integrated services can generate synergies and more cost-effective outcomes in terms of human wellbeing.

(f) Community engagement

Communities should be engaged to ensure planning is demand-responsive and meets community needs and aspirations. In addition, community engagement can help users understand their responsibilities in terms of certain aspects of operation of onsite and offsite sanitation facilities. Effective community engagement can contribute greatly to the uptake of sanitation services and reduce wasted investment.[13] Equally, users should have easily accessible channels to provide feedback to service providers and enforce accountability. This principle is related to SDG target 6b: 'Support and strengthen the participation of local communities in improving water and sanitation management'.

(g) Resource recovery

Resource recovery from the end products of treatment should be pursued to contribute to both the environmental and financial sustainability of sanitation services. Resources that can be recovered from human waste and wastewater include nutrients for agriculture and animal feed, solid and gaseous fuels, and water for irrigation or industrial use. The most appropriate choices will be determined by the local context and should be reflected in the policy as well as in the legal and regulatory framework.

(h) Complementary roles for sewered and non-sewered sanitation

Policy on sanitation systems and services should be technology agnostic and based on performance standards. If the technology separates humans from contact with excreta according to established standards, it is irrelevant whether it is sewered or non-sewered. A mix of sewered and non-sewered sanitation will be needed to reach the whole population of Africa, and both can provide the same benefits when appropriately matched to the situation. Waterborne sewerage has often been seen as the only legitimate form of urban sanitation, but in almost all urban areas in Africa, non-sewered sanitation also has a major role to play.

(i) Private sector participation

Experience shows that both public and private service providers can be effective in delivering sanitation services, e.g. constructing toilet facilities, providing emptying services, and managing and investing in public infrastructure, such as faecal sludge treatment plants, wastewater treatment plants, co-treatment plants, and even entire sewerage networks. By unlocking the potential of the private

sector to work alongside the public sector, progress will be faster and will contribute to achieving other national priorities, such as job creation, youth engagement/employment, training, and the creation of small and medium enterprises. However, the private sector needs to be engaged appropriately, overseen responsibly, and motivated according to clear principles.

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Photo: World Bank/ Dominic Chaves

Chapter 4. Sanitation systems and services

This chapter provides guidance on sanitation systems and services for inclusion in a sanitation policy. Definitions of sanitation systems and service levels and why it is important to specify them in sanitation policy are provided in subchapter 4.1. Types of sanitation systems are discussed in 4.2, factors to consider in 4.3, and recommended practices in 4.4. Sample policy statements are set out in 4.5.

Supplementary resources are provided in Annex 2.1 and additional sources of information in Annex 5.1. Definitions of concepts used are provided in Annex 6.2.

4.1 What are sanitation systems and services and why are they important in a sanitation policy?

Sanitation systems and services are defined as a series of sanitation technologies and services for the management of faecal sludge and/or wastewater through the stages of capture, containment, emptying, transport, treatment, and end-use/disposal, known as the sanitation service chain (see Figure 1 in Chapter 1).

A functional sanitation policy clearly specifies the expected outcomes from sanitation systems and service levels for managing human excreta from various locations, taking into consideration the specific needs of women and girls, and other vulnerable groups, including people living with disabilities. These specifications will:

- provide the basis for establishing minimum standards for sanitation technologies and permissible service levels for all types of settings;
- inform strategy development, including funding and programming;
- provide guidance for implementation, including service delivery, regulation, monitoring and evaluation; and
- support accountability mechanisms for various institutions involved in sanitation.

4.2 Types of sanitation systems

A safe sanitation system is not just a toilet that captures excreta, but it also includes facilities and services that fully separate human excreta from human contact along the entire sanitation service chain.

Both non-sewered and sewered sanitation systems and their associated services need to be coordinated. This is to ensure coherent service chains that safely manage excreta from capture to treatment and safe reuse or disposal. For more details on safe sanitation systems, see Annex 1 of the WHO Guidelines on Sanitation and Health.[1]

Examples of technologies used from capture to end-use/disposal for non-sewered and sewered sanitation systems are provided in Annex 2.1. These are not intended to be exhaustive but provide some insight into the technologies that could be applicable in various contexts. Governments are encouraged to identify the most viable sanitation systems and service levels for their specific contexts based on a detailed assessment (see section 2.2.4 and Annexes 1.2 and 1.6).

4.2.1 Non-sewered (onsite) systems

Non-sewered (onsite) systems can be effective in providing safe sanitation if correctly designed, built, used, and serviced. In 2017, it was estimated that over 90% of all sanitation systems in Sub-Saharan Africa were non-sewered.[2] Non-sewered sanitation systems meet the criteria for safely managed sanitation. It is recommended that policies allow for non-sewered systems supplemented by standards to ensure that they deliver the required health and socio-economic benefits. Non-sewered sanitation systems are applicable in most settlement types (e.g. urban, peri-urban, rural, and small towns) and in different contexts, including in humanitarian situations (see Table 3).

To function effectively in higher density settings, however, they are dependent on several critical factors, including a skilled workforce, effective and safely managed emptying, transportation, treatment, and disposal services. They also require ground conditions which allow for septic tank effluent or pit latrine leachate to be effectively absorbed, without polluting groundwater if this is used for potable supply. In addition, some non-sewered systems have limited capacity for handling greywater and so require complementary greywater management systems. Government policies can specify that these elements need to be catered for where non-sewered systems are used.

Non-sewered onsite sanitation is grouped into two categories (see Annex 2.1 for examples), each with different technologies to ensure that excreta is safely managed across the service chain:

(a) onsite sanitation with onsite treatment

(b) onsite systems with faecal sludge management and appropriate treatment infrastructure.

4.2.2 Sewered (sewerage and offsite treatment) sanitation systems

When designed, built, and managed well, sewered sanitation systems meet the criteria for safely managed sanitation. To function effectively, they are dependent on a number of critical factors, including water supply and a properly maintained network of sewers, appropriate treatment infrastructure, skilled workforce, etc. Government policies can specify that these supporting facilities and infrastructure need to be made available where sewered systems are used.

The two main types of sewered sanitation are:

(a) conventional

(b) non-conventional sewers, such as simplified sewers, small-bore sewers, condominial sewers, settled sewers, solids-free sewers, etc.

Table 3: Applicability of sanitation systems in various settings

System		Type	Households	
			Urban	Low-income urban
Non-sewered (onsite) sanitation	Onsite sanitation with onsite treatment	Dry or flush toilet with onsite disposal	✓	✓
		Dry toilet or urine diverting dry toilet (UDDT) with onsite treatment in alternating or compost chamber	✓	✓ ®
		Flush toilet with onsite treatment in twin pits	✓	✓ ⊙
		Urine-diverting dry toilet with onsite treatment in dehydration vault	✓	✗
	Onsite systems with faecal sludge management (FSM) and offsite treatment	Dry or flush toilet with pit, effluent infiltration, and offsite treatment of faecal sludge	✓	✓
		Flush toilet with septic tank and effluent infiltration, and offsite faecal sludge treatment	✓	✓ 💧
		Urine-diverting dry toilet with container- based sanitation with offsite treatment of all contents	✓	✓
Sewered (off site)	Offsite systems with sewerage and offsite treatment (conventional and non-conventional sewers)	Flush toilet with sewerage and offsite wastewater treatment	✓ 💧	✓ 💧

Key	✓ ⊙	Applicable but assuming • Availability of space • No threat of environmental damage	✓ ®	Applicable but assuming • Adequate end-use/disposal of treated materials

	Small town	Rural	Institutions			Emergency and disaster settings
			Schools	Healthcare facilities	Other public settings	
	✓	✓	✓ ⊙	✓	✓ ⊙	✓
	✓	✓	✗	✗	✗	✗
	✓	✓	✓ 💧	✓ 💧	✓ 💧	✓ 💧
	✓	✗	✗	✗	✗	✗
	✓	✓	✓	✓	✓	✓
	✓	✓	✓ 💧	✓ 💧	✓ 💧	✓ 💧
	✓	✓	✗	✗	✗	✗
	✓ 💧	✓ 💧	✓ 💧	✓ 💧	✓ 💧	✓ 💧

	✓ 💧	Applicable but assuming • Regular and affordable water supply	✗	Not applicable

4.2.3　Sanitation services

Non-sewered and sewered sanitation systems require a series of interlinked components and services to ensure safe management of excreta along the entire service chain. These components and services can be grouped into those used by individuals at the household level, and those which are public in nature and provide benefits to the whole community (see Figure 4).

Figure 4: Categorisation of sanitation services. *Adapted from World Health Organization, 2018[1]*
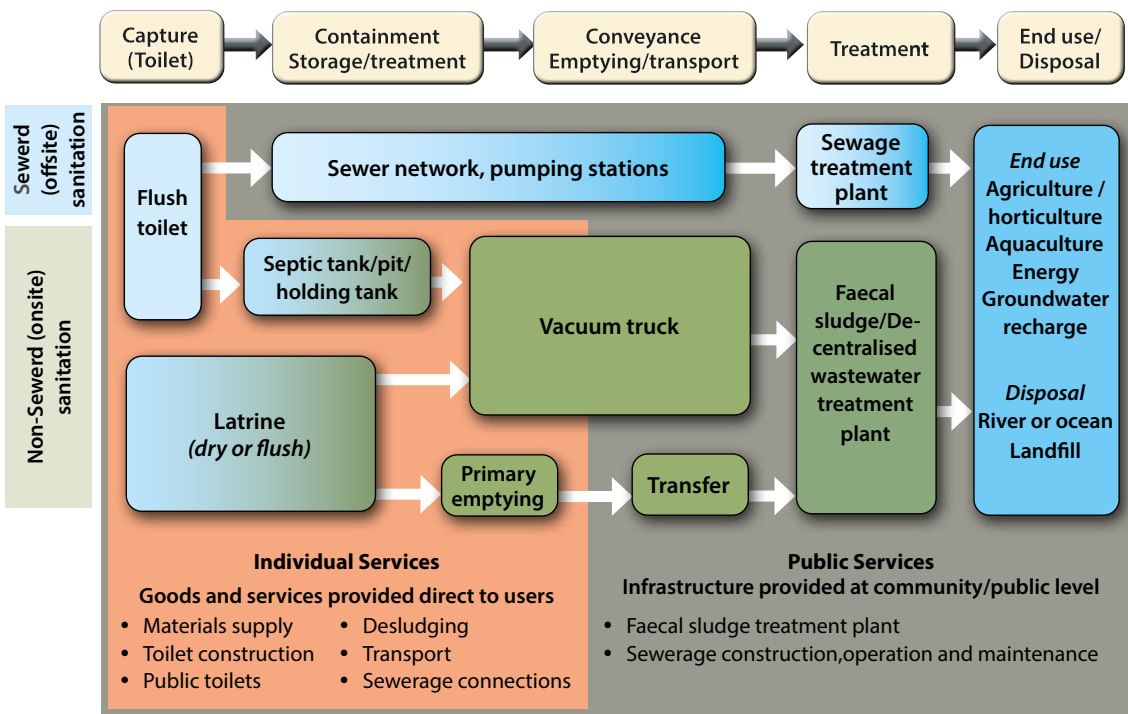
4.3　Factors to consider for specifying sanitation systems and services in a policy

(a)　Safe management of excreta

The fundamental requirement of sanitation systems and services is to ensure that there is no active or passive contact with excreta by users and service providers. This applies to both sewered and non-sewered sanitation systems at every step of the service chain and in the linkages between the steps.

(b) Appropriateness of sanitation systems and services for different settings

Standards for sanitation technologies and associated service levels are determined by the nature of the setting (e.g. rural, urban, peri-urban, small town, formal, low-income) and the type of use (e.g. household, institutional, public, or in emergencies and disasters). It is also important to consider the feasibility of achieving those standards, in terms of affordability, acceptability, accessibility, etc. (see Table 4). It is possible that the standards or technical solutions for safely managed sanitation can differ between these contexts.

Table 4: Factors to consider when specifying sanitation systems and service levels		
Factor	**Household level** (toilet, containment, storage/treatment, conveyance)	**Public level** (conveyance, treatment, end-use/disposal)
Physical / socio-cultural factors	• Population density • Water availability • Climate risk (e.g. flooding, landslide, drought, etc.) • Ease of excavation • Land availability and land tenure • Acceptance and usability of the technology • Gender relations and differences	• Financial and human resources capacity for infrastructure and services (e.g. emptying and transportation, sewerage networks, treatment facilities) • Financial and human resources capacity for operation and maintenance (O&M) • Financial and human resources capacity for behaviour change promotion • Availability of key utility services (e.g. water, electricity)
Enabling factors	• Financial capacity for investing in infrastructure • Availability of market for sanitation supplies and service providers • Human resources (HR) capacity for building infrastructure (e.g. construction of safe toilets, containment facilities, sewer connections) • Financial capacity for O&M • HR capacity (e.g. emptying and transportation, connection to sewerage networks) • Willingness to pay for services	• Adequate sanitation byelaws and enforcement • Capacity for management and coordination of the diverse services required • Technical and financial inputs needed by service providers

(c) Funding and financing sources

The provision of safely managed sanitation to the whole population is only possible if funding is available and financing sources are reliable and sustainable. Sanitation policies provide the foundation for developing implementation strategies, which are then used to develop funding plans and sources of financing.

(d) Gender and vulnerable groups

When formulating policies, it is important that sanitation systems and services respond to the different access needs of all and particularly vulnerable groups, including women, girls, and people living with disabilities (e.g. for access, safety, privacy, and MHM provision). These needs should be incorporated into the design and development of sanitation systems and O&M services, especially in institutional, public, and community toilets, and during emergencies, when women and girls are particularly at risk.

(e) The role of sanitation workers

Sanitation workers make a critical contribution to the provision of sanitation services in all African countries. They should be given due consideration when formulating policies, particularly regarding their health and safety. Governments should ensure that sanitation policies protect the health and safety of all sanitation workers across the service chain.[3]

(f) Urban sanitation

The rapidly increasing urban population and the resulting trend of large unplanned and low-income settlements are important considerations when specifying standards for sanitation systems and services. Most urban areas in Africa have formal planned areas and informal unplanned areas; unplanned areas are often high density with low-income populations. Both non-sewered (onsite) and sewered (offsite) sanitation systems can be considered if supporting services can be put in place to ensure safe management of excreta across the service chain. Citywide Inclusive Sanitation (CWIS) is an effective approach based on integrated planning for sanitation in both the urban and peri-urban context. For more information on CWIS, see World Bank [n.d.-a][4] and World Bank [n.d.-b].[5]

(g) Sanitation markets in rural settings

The nature of rural settings in Africa and their access to markets for sanitation supplies (products and service providers) need to be considered when specifying policies for sanitation systems and services. Standards for rural sanitation should not be lowered due to lack of these supplies and services. Rather, all communities should be urged to move directly from open defecation free status to at least basic sanitation with available options and technology. It is important that provisions and incentives are in place to stimulate further private sector engagement. It is recommended that governments consider policies that allow for incremental improvements in sanitation until appropriate institutional capacity and sanitation markets exist to support the move up the sanitation ladder to safely managed sanitation with defined timelines.

(h) Sanitation in emergency and disaster situations

The landscape of emergencies and disasters is continually evolving in Africa. Policymakers can consult the minimum standards for sanitation systems and services for refugees and internally displaced people outlined in the SPHERE Humanitarian Charter.[6]

(i) Climate change risk and adaptation measures

Climate change is inducing ever more extreme events (e.g. floods, storms, landslides, droughts, and heatwaves) in many African countries, which challenge the effectiveness and sustainability of sanitation systems. Safely managed sanitation is also critical for enhancing the resilience of the population. It is therefore important that policies recognise the need to target climate-vulnerable populations with resilient sanitation systems and services.

Examples of climate adaptation measures for sanitation systems to guide policy formulation and development of implementation strategy can be found in Chapter 3.7 of the WHO Guidelines for Sanitation and Health.[1]

4.4 Recommended practice

Recommendation 1: *Findings from the sanitation situation assessment (see section 2.2.4) should be used to provide evidence of:*

- current sanitation access and service levels in different settings, paying attention to underserved and vulnerable populations, including those in low-income urban and rural areas, those most affected by sanitation-related diseases and risks, refugee and IDP camps (if applicable), women and girls, people living with disabilities, and minorities;

- existing physical, socio-cultural, economic, and other enabling factors at the household and public level; and

- gaps in existing policies and legal frameworks.

Recommendation 2: *Using the information from the assessment, outcomes expected from sanitation systems and service levels should be specified across the service chain for different settings including:*

- households (urban, rural, and small towns);

- public and private institutions (especially healthcare facilities and schools); and

- commercial and other public settings (e.g. markets, shopping malls, transport stations, offices, etc.).

Recommendation 3: *Policies should set out the necessary requirements for sanitation systems and services across the service chain*

It is best to avoid specifying brands or proprietary sanitation technologies; instead, the requirements should guide the development of minimum standards and technology types in the implementation strategy. For example, toilet facilities in all settings must prevent human contact with excreta while ensuring safety, privacy and responding to the needs of women and girls (e.g. separate cubicles with facilities for MHM in shared and public facilities). Treatment facilities for wastewater or faecal sludge should achieve treatment standards specific to the intended re-use or disposal of the output.[1]

Recommendation 4: *Standards and requirements for sanitation systems and services should respond to the needs of all users including:*

- underserved and vulnerable populations with special attention to those practising open defecation, and using unimproved sanitation (mostly in low-income urban and rural areas); and

- women and girls in all settings particularly in relation to safety and MHM across the service chain.

Recommendation 5: *All sanitation work and protection of sanitation workers should be recognised*

Sanitation workers across the sewered and non-sewered sanitation service chain should be recognised, formalised and organised, and mechanisms should be established and regulated to ensure their health and safety.

Recommendation 6: *Shared household toilets and compound/community toilets should be allowed*

This is particularly important in settings where it is not possible for every household to own, use, and manage their own toilet. However, such shared/compound/community toilets need to be properly maintained and managed. In cases where toilets are not exclusively shared by a closed group (e.g. a multi-occupancy house or compound), the policy should specify key requirements such as separate cubicles for women and men. This is particularly important for high-density settlements (e.g. in low-income and informal/unplanned urban areas, and in refugee and IDP camps, markets, and transport terminals).

Recommendation 7: *Realistic desired outcomes for sewered and non-sewered sanitation systems in various settings should be specified*

Both non-sewered and sewered technologies can be viable options when designed, built, and operated well and where effective emptying, transportation, treatment, and disposal services are available and can be safely provided to users and sanitation workers along the sanitation service chain. See Table 3 for applicability of sanitation systems in different settings and Annex 2.1 for examples of sanitation systems.

Non-conventional sewerage should be allowed for, and its design, construction, and operational norms included in the minimum standards to be developed based on the policy.

Recommendation 8: *Public and institutional sanitation facilities should be designed and built to facilitate safe and dignified menstrual hygiene management*

This applies to sanitation facilities in schools, health care facilities, markets, transport stations, and other public places. Policies should include facilities to enable disposal or washing of menstrual hygiene management materials.

Recommendation 9: *Public and institutional sanitation facilities should be designed and built to enable use by disabled people and other vulnerable groups*

This applies to sanitation facilities in schools, health care facilities, markets, transport stations, and other public places. Policies should include minimum requirements to enable use by disabled people. For additional information and guidance see Jones and Reed (2005).[7]

Recommendation 10: *Climate resilience measures should be incorporated into sanitation policies*

This includes consideration of risk assessment for sanitation systems, adaptation measures, management approaches, including strengthening of the Environmental and Social Safeguards (ESS) and Environmental and Social Management Plan (ESMP) components of the sanitation systems, and monitoring. For additional information and guidance see WHO (2019).[8]

Recommendation 11: *Existing sanitation-related international standards should be reviewed and considered for inclusion in the policy where appropriate*

The International Organization for Standardization (ISO)[9] has published several standards that are relevant for sanitation. Policies should consider the application of these standards in products and services (see Annex 5.1 for more information).

4.5 Sample policy statements

Statement 1: All sanitation systems and services shall ensure the separation of excreta from human contact.

- Non-sewered and sewered sanitation systems are acceptable in all settings provided that the necessary resources to support the associated services are in place.

- All toilets, sewers and other infrastructure shall be constructed to provide safety, privacy, stability, and to be resilient to climate change impacts.

- The government mandated authority for sanitation, in collaboration with other appropriate entities, shall issue specifications for non-sewered and sewered sanitation systems (see examples below).

Statement 2: All sanitation work shall be recognised and mechanisms to enable the formalisation, organisation, protection, and empowerment of sanitation workers shall be implemented.

- Frameworks that enable the recognition, formalisation, organisation, and empowerment of sanitation workers shall be developed and enforced.

- Occupational health and safety norms and standards for the protection and empowerment of sanitation workers shall be formulated and implemented.

- A gradual formalisation and mechanisation of sanitation work shall be promoted. A 'do-no-harm' principle shall be adopted in the regulatory framework to avert further marginalisation of informal sanitation workers, and to avoid driving informal practices underground.

- Mechanisms for the protection of sanitation workers, including legislation and standard operating procedures, shall be established and enforced.

- Government shall uphold the rights of sanitation workers by establishing occupational and safety measures to protect their health and rights.

Statement 3: Non-sewered sanitation systems shall only be considered in contexts where supporting services and infrastructure exist for them to function effectively.

Excreta capture, containment, storage/treatment

- Containment facilities shall be designed and constructed in ways that do not pose any hygienic or mechanical risk to users, sanitation workers, water resources, and the environment, and which are resilient to climate change impacts.

- The design and construction of containment facilities shall consider the existing conditions and practices, including the soil type and seasonal variations of climate, number of users, and type of input (e.g. faeces, urine, greywater, flushing water, anal cleansing, and MHM materials) and shall ensure that suitable mechanisms are in place to guarantee safe emptying.

- All toilets that are not connected to sewers shall be linked to a containment facility that either allows for faecal sludge to be safely treated onsite or transported to offsite treatment facilities.

- All toilets that are not connected to sewers and where excreta cannot be treated onsite shall have access for safe emptying and shall allow for the safe infiltration of liquid effluent in situ.

- Where effluent is discharged above ground or into open drainage channels, or where end products of the treatment processes will be handled by people, the effluent or final product shall meet standards that are protective of public health and wastewater standards set by the responsible environment agency.

Emptying/transport

- The ministry/department responsible for sanitation shall collaborate with all relevant stakeholders to develop standard operating procedures for safe emptying/transportation and conveyance of faecal sludge and shall ensure oversight and enforcement.

- Owners of non-sewered toilet facilities in all settings that cannot be safely treated onsite shall ensure that they are regularly emptied, and the sludge transported in a safe manner. Behaviour change education and communication shall be implemented to support this.

- Government shall facilitate private sector participation in the provision of emptying and transportation services through the establishment of regulation and enforcement mechanisms, including licensing and certification of service providers.

Treatment of faecal sludge

- Treatment facilities for faecal sludge shall be designed and constructed to meet demand. Faecal sludge treatment facilities, which meet standards in the most cost-effective way, shall be encouraged and supported.

- Guidelines/regulations shall be issued by relevant government authorities on standards for treated faecal sludge taking into account the technical and financial context. Treatment standards should consider discharge and reuse situations, so that risks to public health are minimised.

- Faecal sludge treatment facilities shall consider end-use and final disposal and ensure that this is incorporated into designs. Additionally, the safety of workers at treatment facilities shall be ensured.

- Decentralised faecal sludge treatment facilities shall strictly adhere to the prescribed water and effluent quality regulations and standards to eliminate pollution of the environment, harm to human health, and to ensure safe disposal and/or reuse.

- Facilities shall be decentralised, as far as possible, to reduce trucking distances and the need for faecal sludge transfer stations.

Statement *4:* **Sewered sanitation systems shall only be considered where the supporting facilities and infrastructure exist for them to function effectively.**

Connection
- Sewer investment projects shall have a component of investment to allow all citizens, rich and poor, to connect and use.

- Provisions shall be made for tertiary networks and social considerations for connection fees/subsidies to be mandatory in all investments.

Conveyance
- The design and construction or the expansion/upgrading of sewerage shall take into consideration the existing situation and planned development and include standard operating procedures for the safe conveyance of wastewater.

- Sewer design criteria shall allow for non-conventional sewerage systems.

Treatment of wastewater
- Treatment facilities for wastewater shall be designed and constructed to suit the local context. Facilities shall be decentralised as far as possible to reduce piping distances and the need for pumping.

- Discharge of faecal sludge in wastewater treatment plants shall be strictly limited to avoid overloading. Wherever possible, wastewater treatment facilities shall include additional provision for faecal sludge treatment.

- Guidelines/regulations shall be issued for wastewater effluent and wastewater sludge discharge and reuse standards, considering the technical environmental, public health, and financial context.

- The safety of workers at treatment facilities shall be ensured at all times.

Statement 5: Access to at least basic sanitation shall be available in all domestic settings with equal access for members of every household.

- The technologies for domestic settings shall be appropriate to the contexts, including water supply, population density, anal cleansing methods, and environmental considerations.

- Dry and flush toilet technologies are acceptable in domestic settings provided that the necessary resources to support the associated services are in place.

- The minimum requirements shall include stability, safety, accessibility, availability, and privacy; easy to clean slabs and pedestals; fitted lids for dry toilets; water seal or flaps for flush toilets; facilities for handwashing with soap; and MHM.

- Provisions shall be made for low-income homeowners in high-density settlements, where sewerage systems are available to connect to the sewers.

- In domestic settings, where space does not allow individual household toilets (e.g. multi-occupancy accommodation), shared toilets that fulfil the attributes outlined below for institutional and public toilets are acceptable.

Statement 6: All institutions and commercial settings shall have at least basic sanitation.

- All government and private institutions (e.g. schools and healthcare facilities) and commercial and other public settings shall provide sufficient numbers of safe toilets with minimum standards and specifications stipulated.

- All schools, in addition to having separate toilets for girls and boys, shall have appropriate child-friendly toilets for younger children, as appropriate.

- All schools and public institutions shall have toilets that are accessible to people living with disabilities.[9]

- Shared or public toilets shall be located in safe and accessible places, with lockable doors, separate entrances and cubicles for men and women, integrated facilities for handwashing with soap, MHM provision, and facilities appropriate for undertaking local anal cleansing practices.

- All shared or public toilets shall have established management systems that ensure they are maintained to an acceptable and safe standard for all users.

Statement 7: Sanitation shall be provided in emergencies and during disasters.

- As a minimum, limited short-term sanitation shall be provided for all those in emergency or temporary settings in line with SPHERE standards.[6] The timeline to upgrade to basic sanitation and then to safely managed sanitation systems, particularly in longer-term emergency settlements, shall not exceed six months.

- Toilets shall meet the needs of everyone regardless of age, gender, mobility, cultural beliefs, and in particular, to ensure provisions are made for MHM and handwashing with soap.

- Sanitation shall be provided to communities regularly affected by sanitation-related, infectious disease outbreaks with the goal of limiting their exposure and the likelihood of future outbreaks.

- During public health emergencies, sanitation-related activities, such as disinfection of public and collective toilets, control of faecal material transport, control of dumping sites, or verification of faecal sludge treatment performance, shall be carried out systematically.

Statement 8: End-use and disposal of treated effluent and sludge shall be regulated.

- Standards and guidelines for the end-use and disposal of treatment products and effluent shall be developed or/and disseminated in collaboration with appropriate government authorities, taking into consideration environmental and public health protection and the specific country context.

- Standards for reuse and disposal of treated sludge and effluent shall be regulated and enforced by the appropriate agency.

Photo: FSMA

4.6 References

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Chapter 5. Hygiene and behaviour change

This chapter provides guidance on hygiene facilities (for handwashing with soap and menstrual hygiene management) and behaviour change for both sanitation and hygiene.

To be able to promote the use of sanitation facilities by all and the consistent practice of hygiene behaviours, the facilities needed must be in place. This chapter addresses hygiene facilities as well as the behaviour change promotion required to ensure the full benefits of both sanitation and hygiene facilities are realised.

An explanation of the meaning and importance of including hygiene and both sanitation and hygiene behaviour change in sanitation policy is provided in subchapter 5.1. Guidance on factors to consider is provided in 5.2, and recommended practices in 5.3. Sample policy statements are set out in 5.4.

Additional sources of information are provided in Annex 5.1. Definitions of concepts used are provided in Annex 6.3.

5.1 What are sanitation and hygiene behaviour change, and why are they important in a sanitation policy?

The scope of hygiene in the Guidelines is limited to handwashing with soap, and menstrual hygiene. The term 'hygiene facilities' refers to the infrastructure and arrangements needed to facilitate both of these sets of behaviours.

Sanitation and hygiene behaviours relate to the sustained uptake of safely managed sanitation and the consistent practice of handwashing and menstrual hygiene management. Improvements in sanitation and water supply facilities, in conjunction with behaviour change promotion activities, are key to achieving these behaviours.

When hygiene and sanitation behaviour change are included as core elements of a sanitation policy, awareness of the links between water, sanitation, and hygiene (WASH) are raised at both policy and programmatic levels, making hygiene more likely to receive similar priority as the other core elements. Combining the provision of hygiene facilities and sanitation with the improvement of hygiene and sanitation behaviours will help governments to attain global and regional targets and goals.

5.1.1 Hygiene facilities and key hygiene behaviours

Handwashing with soap:

A handwashing facility may be fixed, mobile or contactless and includes a sink with tap water, buckets with taps, tippy-taps, and jugs or basins designated for handwashing. Soap includes bar

soap, liquid soap, powder detergent or soapy water and but does not include ash, soil, sand or other handwashing agents.[1]

Handwashing with soap can reduce diarrhoeal diseases and respiratory infections and plays a key role in preventing helminth (intestinal worm) infections, slowing outbreaks of cholera, controlling viral diseases, such as Ebola or other haemorrhagic infections, COVID-19, and other pneumonic and acute respiratory Infections.

Behaviour change promotion around handwashing with soap should therefore be included as a core element of all sanitation policies.

Menstrual Hygiene Management (MHM)

Adequate MHM is when: 'Women and adolescent girls are using a clean menstrual management material to absorb or collect menstrual blood, that can be changed in privacy as often as necessary for the duration of a menstrual period, using soap and water for washing the body as required, and having access to safe and convenient facilities to wash or dispose of used menstrual management materials.'[2]

Improvements in sanitation systems and water supply play an important role in enabling women and girls to manage their periods safely and with dignity. The guidance provided here is limited to MHM and does not extend to Menstrual Health and Hygiene (MHH) which encompasses both MHM and the broader systemic factors that link menstruation to health, wellbeing, gender equity, empowerment, and rights.

Inadequate WASH facilities, particularly in public places, such as schools, workplaces, health centres, specialist hospital units (e.g. maternity wards), and refugee or IDP camps, can pose a major obstacle for women and girls. There is also growing evidence showing that girls' inability to manage their menstrual hygiene in schools leads to school absenteeism, which in turn, has significant economic impacts.[3]

Sanitation systems, particularly in institutional and commercial settings, which do not consider MHM in the design specifications along the entire service chain, may result in technological malfunctions. Additionally, it is important to promote MHM behaviour change around the disposal of used menstrual hygiene materials. When such materials are disposed of in sanitation facilities, they can cause blockages in sewers, and challenges for manual and mechanical emptying in non-sewered sanitation systems.

5.1.2 Sanitation behaviour change and sustainable uptake of safely managed sanitation

Improvements in sanitation systems are often insufficient to ensure the safe management of excreta from capture to treatment and disposal. It is important that users adopt behaviours that contribute to safely managed sanitation. Besides the basic first step of deciding to stop open defecation, these

include connection to sewers or construction of appropriate capture and containment facilities that allow for safely managed services across the sanitation value chain.

Another important behaviour that supports the safe management of excreta across the service chain is payment for services by users. This includes paying for services related to sewered sanitation (e.g. conveyance and treatment), or for services related to non-sewered sanitation (e.g. emptying, transportation, and treatment).

Demand for sanitation usually needs to be stimulated to ensure uptake and sustained maintenance. Widespread uptake and sustained use are critical to maximising the health, environmental, economic, and social benefits of investments in sanitation. For example, a low uptake of sewer connections could result in blockages and eventually the complete breakdown of the entire system. Equally, a low demand for regulated, hygienic faecal sludge emptying and transportation services perpetuates unsafe emptying and transportation practices and the likelihood of regular outbreaks of diseases such as cholera.

It is therefore important that sanitation policies include demand creation and behaviour change education for users and service providers. This will help to ensure that provisions are made in implementation strategies, programmes, and funding plans to carry out behaviour change activities.

5.2 Factors to consider when formulating policies on sanitation and hygiene behaviour change

(a) Adequate resources and skills

- The promotion of handwashing with soap, disposal of used menstrual hygiene materials, and payment for accessing and maintaining sanitation services is crucial. Funding plans should cover building appropriate human resources capacity and developing and implementing behaviour change promotion activities for both sanitation and hygiene.

(b) Gender and social sensitivity

- Handwashing facilities should be appropriate for the needs of all users in all settings, including women, men, boys, girls, and people living with disabilities. Basic hygiene facilities provided in schools and healthcare facilities should support MHM.

- Sanitation facilities need to be MHM-responsive to facilitate safe and dignified management of menstruation. This includes sex-segregated and separate toilet blocks with private entrances, solid walls, adequate lighting, and locks or latches on internal doors. This is particularly important in shared and public toilets, such as in schools, healthcare facilities, refugee and IDP camps, market places, commercial settings, and other public and private institutions.

(c) Availability and accessibility of facilities

- Access to basic handwashing facilities in or close to the toilet should be standard for all sanitation facilities. It is therefore important that sanitation facilities in all settings make provision for handwashing with soap.

- MHM facilities in toilets should be standard for all sanitation facilities. Provision should be made for the safe and dignified disposal of used MHM materials and for washing reusable materials (if applicable).

(d) Do no harm and ensure protection

- Access to basic handwashing facilities is critical for sanitation workers at all times during the working day, including at transfer and treatment stations. Standard operating procedures (SOPs) for sanitation workers should specify mechanisms for the protection of sanitation workers.

- Shared and institutional sanitation facilities always need to ensure the safety of all users, especially women and girls, and other vulnerable people.

(e) Technology innovations

- Innovative handwashing facilities that consider affordability, accessibility, ease of use, and water conservation are more likely to promote uptake of handwashing with soap. For example, handwashing facilities in shared and public toilets can be designed to reuse the water for toilet flushing.

- Successful behaviour change interventions should articulate the link between menstrual hygiene management and water, sanitation, and hygiene services. The need for running water, soap and a private, lockable space is obvious, but the appropriate disposal of used sanitary materials is essential for the continued functioning of sanitation facilities, which should be clearly understood by users.

- It is important that governments encourage, facilitate, and fund research on innovations related to handwashing and MHM facilities that respond to the needs of end users, particularly, women and girls and those in vulnerable situations.

(f) Behaviour change plans informed by situation assessment

- Effective approaches for collective behaviour change promotion should be tailored to the target group and the setting, and include key behaviours related to MHM, handwashing with soap, and the sustained uptake of safely managed sanitation services. Behaviour change interventions should be designed based on research into the key determinants of behaviours and the local context.

(g) Partnerships and user engagement

- Hygiene and sanitation behaviour change requires human and financial resources and skilled personnel. These resources are often not sufficiently available within a single government institution. Coordination among government institutions and collaboration with other non-government stakeholders, including the private sector, is important for scaling up and sustaining behaviour change.

- Participation of end users and service providers in facility and programme design and decision-making ensures that user requirements are incorporated into the design and installation of handwashing and MHM facilities, that they are used and maintained appropriately, and that users are willing to connect to and continue to use and pay for safe sanitation services.

5.3 Recommended practice

Recommendation 1: *Specify the minimum service level for handwashing facilities[4]*

A basic handwashing facility should be the minimum standard. This includes the availability of a handwashing facility on the premises with soap and water. It applies in all settings, but particularly in shared and public toilets, such as in healthcare facilities, schools, refugee and IDP camps, other public and private institutions, and commercial settings.

Recommendation 2: *Specify mechanisms to promote critical behaviours, including handwashing with soap, safe management of menstruation, and others*

This includes conducting formative research to inform strategies and implementation plans, including effective targeting of hygiene promotion and user education in various settings. This will require liaising with ministries for health and education, for example, to agree handwashing policies in health and educational institutions.

Recommendation 3: *Ensure clear allocation of responsibilities for hygiene and sanitation behaviour change activities including coordination of all actors*

Partnerships and coordination with other ministries, such as health and education, are important, particularly for healthcare facilities and schools.

Recommendation 4: *Develop and support mechanisms to incorporate effective MHM into sanitation implementation strategies (for the workplace, public places, schools, health facilities, the home, and in the community)*

Menstrual hygiene management is a cross-cutting issue, with the ministries of health and education playing an important role, so policymakers should coordinate with these ministries to ensure that MHM policies in the various sectors are aligned and mutually supportive.

5.4 Sample policy statements

Statement 1: Hygiene and sanitation behaviour change is necessary for safely managed sanitation and shall be specified in the implementation strategy. This includes, but is not limited to, ensuring that facilities are used at all times in all settings and by all, connecting to sewer networks where these are available, timely payment of tariffs or charges for services related to sewered and non-sewered sanitation.

Statement 2: Appropriate, reliable, and accessible basic handwashing facilities with soap, in or close to the toilets, shall be the minimum standard for homes and public institutions (e.g. schools, healthcare facilities, government, and private institutions); the SPHERE standards shall apply in emergency sanitation settings.

Statement 3: Hygiene and sanitation behaviour promotion shall be an ongoing activity during the implementation of sanitation infrastructure improvements and subsequently, in all types of communities and at all levels.

Statement 4: Promotion of handwashing with soap shall be ongoing and integrated into the functions of public and private sanitation providers and public and environmental health departments and shall be implemented in all types of communities.

Statement 5: Minimum standards for sanitation systems and services in schools, healthcare facilities and other public and private institutions, refugee and IDP camps shall include facilities for MHM and handwashing.

Statement 6: All toilets in institutions, commercial settings, and IDP and refugee camps shall ensure separate cubicles for women, doors that can be safely closed, adequate lighting, basic handwashing facilities, and the means to dispose of used menstrual hygiene materials.

Statement 7: In collaboration with the education authority, relevant aspects of MHM and handwashing education and promotion shall be integrated into the school curriculum at the appropriate level.

Photo: WaterAid/Guilhem Alandry

5.5 References

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Photo: UNICEF/UNI165897/Noorani

Chapter 6. Institutional arrangements

This chapter provides guidance on institutional arrangements for inclusion in a sanitation policy in four subchapters. An explanation of the meaning and importance of specifying institutional arrangements in sanitation policy is provided in 6.1. Guidance on factors to consider is provided in 6.2, and recommended practices in 6.3. Sample policy statements are included in 6.4.

Recommended roles and responsibilities in sanitation are included in Annex 2.2.

Definitions of concepts used are provided in Annex 6.4.

6.1 What are institutional arrangements and why is it important to specify them in a sanitation policy?

Institutions, broadly defined, comprise the different organisations and other stakeholders involved in making safe sanitation happen. They do this under a framework of rules and incentives, both formal and informal. Specifying institutional arrangements entails setting out the roles and responsibilities of the numerous institutions playing a part in sanitation, how they are coordinated, and the lines of accountability that aim to ensure each institution plays its part. These institutional arrangements are important in contributing to both effective sanitation service delivery and a supportive enabling environment – policy, planning, monitoring, funding, legislation, regulation, etc. – which facilitates the delivery of the sanitation services.

The key organisations and stakeholders are summarised in Table 5 below.

Table 5: Key organisations and stakeholders for sanitation	
Organisations and stakeholders	**Examples**
National level government entities	• Offices of the president, vice-president and prime minister • Ministry responsible for local government • Ministries of finance or planning, national planning bureau, etc. • Sector ministries (e.g. water, sanitation, health, environment, education, urban planning, etc.) • National agencies (e.g. environment agency, bureau of standards) • Sector regulator (usually part of a regulator with wider jurisdiction)

Subnational and local governments and departments	• State, regional, provincial, county, etc. • Local governments (e.g. town and city councils, communes, municipalities, districts) • Environmental health inspectorate or equivalent • Sanitation departments or departments accommodating the sanitation function
Sanitation authority	• Local government • Any other entity with the legal mandate to deliver sanitation services
Service providers	• Local government department accommodating the sanitation function • Utilities (both public and private sector) • Other private and informal sector and NGO service providers and their associations
Public institutions with sanitation facilities	• Schools, health facilities, prisons • Markets, transport stations, etc.
Civil society organisations	• NGOs, CBOs, representatives of and advocates for users (e.g. women, men, people living with disability, vulnerable groups) in various settings (e.g. small towns, rural, planned and unplanned urban areas, refugee camps)
Users	• Service customers • Those who would like to be service customers but are not, as they are excluded from service eligibility, are outside the service area, or cannot afford services • Those who benefit from or are harmed by externalities from service provision or service gaps

The formal rules governing the roles, responsibilities, and lines of accountability between these institutions are codified in:

• national laws, regulations, and standards;

• local ordinances and byelaws;

• institutional statutes and mandates;

• licensing and contract arrangements;

• funding and financing arrangements; and

• consumer protection and human rights legislation.

The lists above are only generic and may need to be modified for the specific context where these guidelines are being applied.

The range and diversity of institutions, whether at national, subnational or local level, have important consequences:

- Coordination among the institutions is of paramount importance, as responsibilities for dealing with sanitation are often fragmented and spread across sectors.

- A clear mandate and well-defined roles and responsibilities for each institution are essential to enable such coordination.

- Incentives and accountability mechanisms, backed by clearly articulated rules, regulations, and standards, are needed to ensure that the respective mandates are being fulfilled.

However, these arrangements often function poorly (see Box 11), resulting in a weak enabling environment.[1] These constraints are especially relevant to sanitation, because of the many stakeholders involved. Therefore, it is important to identify these issues clearly and address them in the policy document where they occur.

Box 11: Common institutional constraints to service delivery[1]

- Ill-defined mandates
- Misaligned policies
- Overlaps and lack of clarity on roles and responsibilities
- Lack of accountability
- Weak regulation and law enforcement
- Incoherent financing frameworks

To address the cross-sectoral and fragmented nature of the sanitation institutional landscape, the following are required:

(a) A lead institution with a clearly defined role

Responsibilities for sanitation are often scattered between many different entities. For instance, rural and urban sanitation may be managed by different agencies, and in urban areas, responsibility for sewerage might rest with a utility company, while non-sewered sanitation is managed by the city authorities. This can lead to inconsistencies, mixed messages, and duplication of effort, or gaps that are not covered by any of the institutions involved. There is, therefore, a need for a single agency with the mandate to oversee sanitation and facilitate the participation of all the stakeholders.

(b) Active involvement of the entity responsible for economic planning and budget allocation

As sanitation is a shared responsibility, it may be given a lower priority than the core mandate of each individual institution with a role to play. Similarly, in subnational and local government, sanitation

competes with many other priorities, which have a higher political profile. This discourages the allocation of limited human and financial resources to sanitation. Therefore, it is essential that the entity responsible for economic planning and budget allocation understands the economic importance and multisectoral nature of sanitation and allocates resources appropriately to the sector ministries. The government systems for monitoring expenditure and outputs related to these resource allocations will then have the potential to create incentives and accountability to drive sanitation forward.

(c) Acknowledgement and support of the pivotal role of local governments

Local governments often have the principal responsibility for managing sanitation, but frequently lack the necessary human and financial capacity. Systematic support is required to develop this capacity. Resource allocation and monitoring mechanisms should be structured to provide the necessary support to local government, within a strong incentive and accountability framework.

(d) Citizen engagement

Given the often low political profile of sanitation, accountability of sanitation authorities and service providers from below is an essential complement to accountability from above. There are also many social and cultural issues that influence the uptake and effectiveness of sanitation. Specific mechanisms that promote and channel feedback from citizens to the sanitation authorities (as also called for in SDG 6.b) are therefore essential.

6.2 Factors to consider in establishing institutional arrangements in a sanitation policy

(a) Assigning functions to institutions

The many different functions required to deliver effective sanitation are summarised in Table 6 and presented in more detail in Annex 2.2. It is important to ensure that all necessary functions are identified, and institutional responsibilities clearly attributed. They have been divided into functions relating directly to service delivery (service functions) and functions required to create the enabling environment within which the services can be delivered (governance functions). These governance functions are part of a government's duty of care towards its citizens.

The effective delivery of safely managed sanitation depends on each institution having a clear understanding of what has to be done, the means to do it, accountability for doing it, and an agreed mechanism to ensure effective coordination of the necessary activities. This is summarised below:[2]

- *Coordination:* An agreed and publicly recognised mechanism for allocating responsibilities and corresponding resources.

- *Responsibility:* Clearly defined mandates setting out the roles and responsibilities of each actor, including the private sector where this is the most appropriate option.

Table 6: Key sanitation functions		
Governance functions		**Service functions**
• Coordination • Policy development • Planning • Funding • Capacity building	• Technical assistance • Monitoring • Regulation • Standard setting • Licensing • Legislation	• Services planning and development • Service provision and expansion • O&M • In situ enforcement of standards • Hygiene and sanitation behaviour change promotion

- *Resource planning and management:* Ability to budget for and access sufficient resources and authority to manage them in an inclusive and gender-aware manner.

- *Accountability:* Fulfilment of mandates, monitored against objective indicators, supported by sanctions and incentives.

These all present challenges that the sanitation policy needs to address and are briefly examined below.

(b) Strong coordination

Effective coordination requires a formally recognised body consisting of key government ministries, and which has sufficient authority to enable negotiation of the distribution of responsibilities. This requires representation of the ministries involved at a sufficiently senior level. The coordination mechanism can only work effectively if it is also able to ensure the allocation of sufficient resources. Key factors to consider in establishing the coordination mechanism include:

- *The national economic planning entity must be represented in the coordination body* to ensure that sufficient resources are allocated to each institution to carry out the responsibilities attributed to it.

- *The lead ministry with overall responsibility for sanitation must be clearly identified.* This does not substitute the coordination role, but rather, supports it by providing an institutional home for the policy, since this cannot be divided among all the many ministries involved. The best fit for sanitation is likely to be a ministry related to infrastructure and public services (for instance, a ministry of water or public works), and/or one with strong linkages to local government.

Box 12 describes an example of effective collaboration of ministries and agencies for sanitation.

Box 12: Building collaboration

A national sanitation programme was undertaken in an African country under the leadership of the Ministry of Health, with other ministries and development partners contributing at a technical level. Results were disappointing – participation by other ministries was weak, and there was a major cholera outbreak at the end of the year-long programme. Four years later, the Government decided to try again, led by the Water Ministry, championed at the political level by its Deputy Minister, but based on the principle that all relevant government ministries and agencies should include coordinated actions within their own plans.

Crucially, a senior official at the Ministry of Economic Planning took an active interest, after exposure to information on the social and economic consequences of poor sanitation, forming a working group of senior officials from key ministries and agencies under her leadership. Two years later, a national sanitation conference brought all stakeholders together and sanitation was subsequently inserted as a separate item in the country's five-year plan, with specific actions and resources assigned to the relevant ministries and agencies.

The lesson here is that the necessary inter-ministerial collaboration worked when each ministry retained control of its own programme, with the active involvement of the economic planning entity to promote coordination and incentivise action using the strong levers of resource allocation.

(c) Clearly defined mandates

- Clear mandates and definitions of roles and responsibilities for each of the key institutions need to be written into the policy, ensuring no gaps or overlaps, and being feasible and compatible with the overall strength and scope of each institution. Critical assessment is required to decide whether gaps currently not addressed should be covered by expanding the remit of existing institutions or creating new ones; both options may present practical difficulties.

- Institutional arrangements should be able to address the diversity of sanitation contexts, ranging from remote rural communities to modern city centres. Gaps are most likely to arise in the case of small towns, where all types of sanitation may coexist on a small scale, and in large cities, where unplanned urban settlements and slums have experienced neglect. Assigning overall responsibility for sanitation (irrespective of technology or service delivery model) to a single institution within any given city, town or rural area will help to avoid these gaps. Nationally, the formal coordination body should intervene where necessary to avoid fragmentation of the responsibilities at the local level. Local government often has overall responsibility for sanitation within a given geographical area, but even where this is not the case, it is likely to be best placed to ensure the coordination of the different stakeholders.

- Policy should address the participation and development of the private sector. The private sector, including CBOs and informal enterprises, can be a highly effective sanitation service provider acting alongside the public sector, whether autonomously or under a specific agreement or contract. However, existing policy and legislation may be ambiguous or lack provision for this. Making explicit provision for the private sector to provide sanitation services will build the confidence of sanitation service providers to invest in better quality and increased range and capacity of services. Recognition of private sector participation can also be a spur for improved regulation and quality control, and thus improved service quality.

(d) Building resource allocation mechanisms into institutional arrangements

- Attribution of functions and responsibilities should be accompanied by resources. This is especially important at the local level, where local government and service providers almost always lack human and financial resources. Resolving this may require the expansion of staffing schedules and the ring-fencing of services provided by local government authorities so that linkages between funds received and services delivered are transparent. Support and development of public and private sector service providers may also be needed to improve standards and bring them to scale in a timely fashion. All these actions should have explicit backing in the policy.

- Social inclusion and gender issues are central to resource allocation. Many sanitation problems derive from the exclusion of large groups of the population from formal plans. Failure to engage those who are often side-lined, such as women and vulnerable groups, and residents of informal settlements in the planning and provision of services will, therefore, have negative consequences for the community as a whole. This means that consultative and citizen engagement mechanisms must make specific provision for gender and social inclusion, and that the government entity or entities responsible for women's affairs and disabled and minority rights should be included in the national coordination body.

(e) Accountability and adaptability are key

- Institutional arrangements should be designed with clear accountability frameworks. Institutional mandates and the relationships between institutions must be defined to establish a clear chain of accountability. Mechanisms for accountability towards citizens should be also established and linked to the regulatory framework. If existing accountability frameworks are relevant but weak or ineffective, the reasons for this should be determined and rectified.

- Service provision activities should be separated from regulatory powers to eliminate conflict of interest. A conflict of interest can arise where local government has the mandate to ensure access to sanitation while also having responsibility for delivering the services. To avoid this, the sanitation policy can require local government to shift service provision to an independent legal entity (a utility) or a ring-fenced municipal department with financial and managerial autonomy. The service provider can then be held accountable to the local government. Alternatively, the policy could reinforce the local government's mandate to deliver services while also establishing an external accountability framework linking sanitation targets to sanctions and incentives, with support from higher levels of government.

- Institutions should be adaptable and able to respond to conditions as they evolve. This includes the changing nature of the settlements where sanitation is delivered, climate change, decisions related to incremental improvements in sanitation, and its integration with other basic services. Adaptability reflects the important principle that sanitation interventions are based on evidence rather than assumptions about what is needed. This requires skilled and experienced local personnel in sufficient numbers, and the possibility of modifying the staffing structure to meet changing needs.

6.3 Recommended practice

Recommendation 1: *Effective coordination mechanisms should be established*

A multisectoral body should be established, which is formally recognised by the relevant ministries, has the support and acceptance of its members, and has sufficient authority to take decisions on the definition of roles and responsibilities, plans, and the distribution of resources. A Sanitation Coordinating Council consisting of senior representatives of the relevant government ministries and agencies is recommended for this purpose (see Box 13), bringing together the key sectors with an interest in sanitation, such as ministries of water and sanitation, public works, health, environment, education, justice, and the ministry responsible for local government. It is also crucial that the entity responsible for economic planning and resource allocation is represented at a high level. This body should have ultimate decision-making power for prioritising, coordinating, and programming interventions and resource allocations at government level.

Water and sanitation sector working groups exist in many countries and should continue to exchange information and good practice and hold technical debates on sector issues. However, due to their wide membership, they are not suitable for the formal coordination functions of a Sanitation Coordinating Council, which include politically sensitive government resource allocation decisions.

Some examples of actual and planned arrangements are given in Box 14, but they also include development partners and non-governmental stakeholders in addition to the exclusively government entities proposed for a Sanitation Coordinating Council. Success to date has been limited, partly because the bodies have not been given sufficient authority or strong links to the national economic planning function.

Recommendation 2: *Roles and responsibilities should be clearly defined*

The multiplicity of stakeholders means that the clear attribution of roles and responsibilities between them, avoiding gaps, overlaps, and conflicts of interest, is complex and difficult. Annex 2.2 suggests attributions of both governance and service functions at all levels, based on an in-depth study by Ngamlagosi and Mutegeki (2019).[3] Note that the designations and areas of responsibility of ministries are unique to each country, and the institutions named in the table are by way of example. Functions envisaged under a Ministry of Local Government might equally fall under a

Ministry of Rural Development or Ministry of Urban Affairs. The ministry responsible for sanitation is assumed to be a Ministry of Water [and Sanitation] but could be a Ministry of Public Works, Infrastructure or Health [and Sanitation].

Box 13: Key attributes of a Sanitation Coordinating Council

- If possible, this should be established under a high-level government entity, such as the president's, vice president's or prime minister's office, or the entity responsible for economic planning, to mediate potential conflicts between sector ministries. If this idea lacks political traction, it could be attached to the ministry which has lead responsibility for sanitation, but co-chaired by two or three key ministries, including the entity responsible for economic planning.

- Decision-making power is conferred by an official government instrument also setting out the Council's mandate, membership, and governance. As the outcomes of its decisions will depend on the activities of individual member institutions, it should function by consensus.

- A coordinator or executive secretary reports to the most senior person in the ministry responsible for sanitation, which should also supply the minor secretariat functions required.

- Membership includes senior (director level) representation by:
  - the ministry responsible for economic planning
  - the ministry responsible for local government
  - all sector ministries and government agencies with roles in sanitation.

- The Sanitation Coordinating Council may call on key development partners or other non-government entities, when relevant, to contribute to the discussion of specific issues under consideration.

Photo: FSMA

Box 14: Some examples of coordination bodies

- In Kenya, a National Sanitation Council has been proposed, similar to a board of directors, comprising representatives of all the main government stakeholders and partners in the sector. It would not be attached to any particular ministry and would reach its decisions with the support of a paid facilitator accepted by all the parties.
- In Rwanda, a similar setup has already been established, but is attached to the lead sector ministry (Infrastructure). However, it faces challenges in bringing together all the ministries involved.
- In Ethiopia, it is proposed to attach the coordination body to the President's or Prime Minister's Office, partly to overcome potential institutional rivalries. However, this has not been implemented and it is co-chaired by the Ministries of Health and of Water, Irrigation and Energy.
- In Nigeria (and as proposed in Senegal) the National Task Group on Sanitation (NTGS) acts as a forum for knowledge and debate. Although it lacks decision-making power, the Clean Nigeria Campaign, empowered by an executive order from the President, can bring ideas from the NTGS to quarterly inter-ministerial meetings.

Recommendation 3: *Sanitation should be managed at a highly visible, senior level*

Given its scope and importance, sanitation is managed most effectively in national or local government at the directorate level. If combined under a water and sanitation entity or department, sanitation and water supply should be managed at the same level. This will facilitate cross-sectoral communication and enable the clearly identifiable allocation of resources to sanitation (see Box 15).

At the level of service provision, the combination of sanitation with water supply, solid waste management or other related services may open possibilities of economies of scope and scale, and of cross-subsidy. This can be a viable option under many circumstances if sanitation is led at the same managerial level as the other services.

Recommendation 4: *An effective regulatory framework should be established*

If it is decided to oversee sanitation through a regulatory authority, it is important to clarify any changes in institutional mandates arising from the transfer to the regulator of powers previously attributed to other government entities (see Chapter 7). Sanitation regulation should coherently cover the whole service chain from capture to reuse.

Policy should consider and, where necessary, call for the introduction of new regulations for previously unregulated activities, particularly for non-sewered (onsite) sanitation or for new technologies and approaches such as condominial or simplified sewerage.

Box 15: Sanitation and environmental health in Ghana

Before the mid-1990s, the Environmental Health Department (responsible for sanitation) was under the Ministry of Health, which was dominated by doctors with a focus on curative services. It was then moved to the Ministry of Local Government on the basis that sanitation is a basic service to be provided in all human settlements. As a greater focus was placed on sanitation, it was elevated to become a Directorate in the mid-2000s.

In 2017, it gained further prominence under the newly formed Ministry of Sanitation and Water Resources. As a result, more resources are channelled towards sanitation, and local governments are more closely monitored and held accountable for achieving sanitation targets.

It is also important to remove potential bureaucratic blockages where multiple authorities are concerned, e.g. faecal sludge transport may be subject to rules specified by the ministry responsible for sanitation, the environment agency, and the water resources agency, as well as licensing by local authorities. The regulations may need to be aligned to remove inconsistencies and different regulatory processes combined under a single administrative process to avoid the need by operators for multiple permits or licences. This may require negotiation between several different regulatory bodies.

Recommendation 5: *Regulatory responsibilities should be separated from service provision*

Where some sanitation services are provided directly by local government, it is recommended that these functions are, at a minimum, ring-fenced or transferred to separate legal entities, whether publicly or privately owned, to enable effective regulation.[4] If this is done, it must be clearly reflected in the attribution of new institutional roles and responsibilities, and arrangements for ensuring their financial viability. If it is decided to continue with service provision by a local authority, then clear intra-governmental accountability mechanisms must be specified.

Recommendation 6: *Urban sanitation service provision should be assigned to an existing utility where possible*

In urban areas, if an economically stable and technically competent water utility exists, economies of scope and scale can be achieved by also mandating it to manage sanitation. However, before committing to this approach, it is important to assess the economic viability of the combined utility model and identify new sources of assured funding to cover any possible deficit. If a standalone sanitation service provider is to be supported, its economic viability and the assurance of the necessary funding must similarly be assessed. In the case of a combined utility, this may be in the form of a levy on water bills as discussed in Chapter 9. Even if an existing utility is already responsible for sewerage, it is likely that new skills and knowledge on non-sewered sanitation will be needed, requiring an expansion of its mandate and restructuring to accommodate these new posts.

If sanitation mandates are split between municipalities and utilities (for example based on sewered and non-sewered services), an effective planning, coordination, and oversight mechanism is required to ensure that the whole urban area is being efficiently and equitably served.

Recommendation 7: *Sustainable arrangements for rural sanitation should be ensured*

Rural sanitation depends largely on self-provision, possibly supported by the private sector. A rural water supply and sanitation programme can be well suited to initial community triggering and behaviour change promotion but might not have a longer-term presence in target communities to provide the necessary follow-up. Where there is a rural water service provider, it may be possible to expand its mandate to include sanitation. This will require adding appropriate new staff and securing additional funding streams, externally or via cross-subsidy. Where there is no service provider, an alternative could be to enlist local governance structures (e.g. village or neighbourhood heads) with technical support provided through visiting health or agricultural extension workers, or to expand the mandate and funding of the rural water supply and sanitation programme to include ongoing community support. Whatever institutional arrangement is chosen, clear budgeting, monitoring, and accountability arrangements are needed.

In small rural towns, there is usually a need for sanitation services dependent on shared infrastructure, e.g. a small sewerage system serving the commercial centre and faecal sludge management for emptiable non-sewered facilities in addition to single-use pit latrines (covered and replaced when full) in the peripheral areas. Again, the simplest solution may be to assign the infrastructure-dependent sanitation services to the water service provider; otherwise, it may be necessary to establish a separate sanitation service provider, possibly in partnership with a private enterprise, backed by a sustainable funding stream.

Recommendation 8: *Legislation and enforcement mechanisms should be established or strengthened*

Adoption of a more comprehensive approach to sanitation usually requires new legislation (both national and in local ordinances or byelaws) which may currently cover only some types of sanitation, typically conventional sewerage and septic tanks; however, this need will vary greatly between countries. Other sanitation technologies and approaches can be codified by including them in the framework of standards for sanitation (see Chapter 4).

Although non-coercive mechanisms for encouraging compliance with sanitary regulations and legislation are preferred, enforcement powers are also necessary. An existing Environmental Health Inspectorate can combine enforcement with inspection, health risk assessment, monitoring and promotion of good sanitation and hygiene practices. To do this effectively, the capacity and institutional status of the Inspectorate will usually need strengthening; these new functions should be reflected in staffing and funding arrangements.

Where no such legally empowered body exists, formal mechanisms can be developed to combine legal enforcement with inspection, health risk assessment, and monitoring. The policy should clearly specify these mechanisms and associated institutional arrangements.

Specific provision should be made to avoid penalising poor households, which cannot afford to invest in sanitation facilities.

Recommendation 9: *Private sector involvement in service delivery should be enabled*

It is recommended that the policy explicitly states that private sector participation in service provision is encouraged, where appropriate; that adequate legislative and regulatory provisions will be made to provide a stable and predictable environment for sanitation businesses; and that appropriate mechanisms for public-private partnerships will be established. It is also recommended to include a complementary provision to build relevant private sector capacity to provide sanitation services, including both technical and business training, and facilitated access to capital.

Non-sewered sanitation often includes many informal sector desludging service providers (both manual and mechanical), which represent a resource that can be tapped and supported to gradually formalise and provide safe desludging services and safe working practices. However, if they bypass the regulations, they may become potential competitors to regulated operators, providing cheaper but unsafe services. The policy should recognise the existence of the informal sector and state clearly how it is to be formalised and regulated. How this is done should not be imposed from the outside, but rather, developed through a dialogue with the formal and informal service providers involved and linked with a capacity building programme.

Recommendation 10: *Mechanisms should be specified for communication and community engagement*

The effective delivery of sanitation services requires a substantial communication and promotion effort, with several different facets, including:

- a dialogue with users to align plans with user needs and aspirations, and to identify and resolve problems in service provision;

- promotion of improved hygiene practices and sustained, consistent use of sanitation facilities by all members of the household, at all times and in all settings (see Chapter 5) and of good environmental stewardship; and

- promotion of the payment of sanitation charges.

Promotion activities require the involvement of actors, such as advertising and media partners, teachers, and informal service providers who may not have a good understanding of the subject matter. In addition, public authorities may question what can amount to significant expenditures on intangible but necessary products. Failure to invest in communication campaigns has been repeatedly shown to be a false economy and there needs to be a clear policy statement that communication and promotion activities will be undertaken, identifying the institutions responsible for these efforts and specifying how resources are allocated to them.

Recommendation 11: *Responsibility should be assigned for sanitation in public institutions*

Sanitation in public institutions (e.g. healthcare facilities, schools and prisons, commercial hubs, such as markets and transport stations, or in emergencies and camps for IDPs and refugees) should be under the responsibility of the entity that manages the respective facility rather than the organisation with overall responsibility for sanitation. The ministry responsible for sanitation should, however, have the authority to set standards and an obligation to provide technical guidance where necessary.

6.4 Sample policy statements

Statement 1: A Sanitation Coordinating Council shall be formally established to coordinate action on sanitation, with representation at director level from the ministries responsible for economic planning and local government, and all sector ministries and government agencies with roles in sanitation. (Note: Depending on the progress made in the stakeholder discussions, institutional roles and responsibilities may have been agreed already and should be set out in the policy document. However, it is advisable to have a provision to enable modifications to be made to this).

The Sanitation Coordinating Council shall:

- oversee the development and periodic updating of a National Sanitation Strategy, as required by government;
- facilitate binding agreements on the roles and responsibilities of the individual ministries and agencies for planning and delivering both sewered and non-sewered sanitation services;
- facilitate the formulation of a comprehensive package of fully aligned and coordinated actions on sanitation, to be incorporated into the strategies and plans of the individual ministries and agencies; and
- advise the entity responsible for economic planning on the allocation of resources to sanitation through the relevant ministries and agencies.

Statement 2: Sanitation shall be established at directorate level in [specify the responsible ministry] **and in local government, and at department level in publicly owned utilities.**

Statement 3: Local governments shall be responsible for:
- coordinating the activities of all sanitation stakeholders at the local level;
- planning the development and funding of sanitation services;
- integrating sanitation into a package of basic services in all human settlements;
- overseeing the delivery of basic and safely managed sanitation according to government policies, strategies, and plans; and

- the development and enforcement of ordinances, regulations, and byelaws to support sanitation delivery.

Statement 4: Responsibility to ensure adequate sanitation shall be separated from responsibility for service provision to improve accountability.

- Where a sanitation service provider is an integral part of a local government administration, it shall be given financial and administrative autonomy and preferably a distinct legal identity.

- If services are to be provided by local government authorities, clear intra-governmental accountability mechanisms shall be specified.

Statement 5: The private sector is recognised as an essential partner in the delivery of sanitation.

- A well-defined legal and regulatory environment for private sector sanitation service providers aimed at enabling and promoting their participation in the sector shall be established.

Statement 6: Effective channels of communication with sanitation users shall be established.

- Feedback and accountability mechanisms for sanitation services shall be established to ensure that the voices of all categories of users are heard.

- Users shall be involved from an early stage in the design of all sanitation interventions.

- Continuous communication campaigns shall be undertaken together with hygiene and sanitation behaviour change promotion to ensure that users take up improved sanitation services and pay applicable sanitation charges.

Statement 7: Sanitation facilities shall be provided by the entities responsible for public spaces.

- In all healthcare facilities, schools, and prisons, the corresponding ministry or agency shall be responsible for providing and managing toilets for users.

- The organisation managing a commercial hub, such as a transport station, market or shopping mall, shall be responsible for providing and managing toilets for users.

- The national agency involved in managing an emergency, or camps for displaced persons or refugees shall be responsible for providing and managing sanitation for the affected people in accordance with national and international standards.

- The [ministry responsible for sanitation] shall set standards for sanitation in these facilities and provide technical guidance were necessary.

6.5 References

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Photo: USAID/Nina Terrell

Chapter 7. Regulation

This chapter provides guidance on the regulation of sanitation for inclusion in a sanitation policy. An explanation of the meaning of regulation and the importance of specifying it in a sanitation policy is provided in subchapter 7.1. Guidance on factors to consider is provided in 7.2, and recommended practices are in 7.3. Sample policy statements are set out in 7.4.

Additional sources of information are provided in Annex 5.3. Definition of concepts used is given in Annex 6.5.

7.1 What is regulation and why is it important in a sanitation policy?

The term regulation refers to the authoritative rules or orders issued by a government agency, often being enforceable by law. Regulating is the action or process of imposing, monitoring, and enforcing standards and conditions on specific activities, including the provision of public services. (For a discussion on the evolving role of regulators in driving urban sanitation service improvements, see WSUP and ESAWAS, 2020[1]).

Safe and equitable sanitation depends on effective regulation of the sector, providing clear guidelines for those working within it. For regulation to be effective, it must be adapted to and cognisant of the local institutional and political context, or it may not lead to service improvements.

The economic and technical regulation of sanitation services includes oversight of pricing and tariff setting, service quality, performance imperatives, work safety, promotion of investment, and enforcement of compliance by service providers. To achieve safely managed sanitation services, sanitation policies need to stipulate a regulatory framework that ensures the development of safe sanitation systems and delivery of services, which comply with prescribed laws, regulations, rules, byelaws, guidelines, and standards. Service providers (such as utilities or municipalities, but also private providers) should be accountable and supported to perform effectively so that tariffs and other financing tools help achieve sustainability of service provision.

For many years, regulation has focused mainly on a few indicators related to sewered sanitation, while non-sewered sanitation received little, if any, regulatory oversight, except for the construction of containment facilities in some urban areas, and the operation of emptying services in a few instances. For the regulation of sanitation to be effective, governments should consider both sewered and non-sewered sanitation services across the entire service chain.

7.1.1 Regulatory objectives

A government's broader policy objectives determine what role regulation will play in achieving these, so gaining clarity on sector objectives is a critical first step. In most African countries, the government's regulatory objectives on (water supply and) sanitation policy should include:

- increasing access, especially to peri-urban and rural areas, and to poor and vulnerable groups;
- improving quality of service delivery;
- improving efficiency of service providers; and
- securing access to private and public capital for sector financing.

In order to achieve these objectives, regulation balances the interests of users, service providers, and government (both central and local) in the provision of sanitation services along the entire sanitation service chain from capture and containment through emptying, transport, treatment (onsite or offsite), and final disposal or end-use. It considers social concerns, such as equity and affordability, the health and safety of workers, and the need to safeguard public health and the environment. In other words, regulation ensures a good balance between the quality of service (demanded by government and users), the financial sustainability of the service providers, and the affordability of services.

7.1.2 Approaches to regulation

Regulatory mandates are implemented (monitored and enforced) using different approaches depending on the prevailing governance arrangements. The most effective regulatory approach varies according to factors such as a country's legal system, sector policies, governance structure, and the extent of decentralisation. Regulatory frameworks for sanitation that are applicable in African countries are summarised in Table 7.

These five regulatory approaches can be further classified into two main types: (a) regulating by institution, which mainly involves the first four approaches; and (b) regulating by contract. In some cases, a hybrid of the two models may be used.

(a) Regulating by an independent organisation

This involves the establishment of an independent regulatory organisation to regulate service provision. An independent regulatory agency (also called regulatory authority, regulatory body or regulator) is a public authority or government agency established by law, responsible for exercising autonomous authority over a service, and usually governed by a board of directors. Regulation by institution is an approach in which a regulatory body is given discretionary powers by government to control tariffs and service standards, subject to the existing laws and the regulatory body's mandate. An example of regulating sanitation services by an independent organisation is presented in Box 16.

Table 7: Water and sanitation sector regulatory frameworks relevant to Africa	
Regulatory framework	**Description**
Sector-specific national or state regulator	Water and sanitation sector-specific regulator mandated to oversee private and public service providers. Roles and responsibilities may include issuing licences, setting and monitoring performance standards, approving tariffs, ensuring consumer protection, performing audits, evaluating business plans, building capacity, and reporting regularly. Sector-specific regulators operate across a vast number of countries including Colombia, Egypt, Mozambique, and Peru. In large federal countries where water and sanitation services and regulation are at the state level, the national regulatory model outlined above can be replicated at the state level.
Multisector regulator	Multisector regulation provides economies of scale, consistent regulatory processes, and knowledge exchange between different sectors. Although a multisector regulator might avoid regulatory capture by a specific sector, certain sectors may not receive sufficient attention. Ghana has an established a multisector regulator responsible for oversight of the energy and water sectors. Tanzania, Angola, and Cape Verde have similar regulators, with varying degrees of success.
Self-regulation at the municipal level	This takes many forms but essentially the public entity providing the service (municipal department, agency, and corporation) is overseen by a municipal council, or a designated governing board. In some cases, a municipally owned ring-fenced corporation is responsible for service delivery, and oversight is carried out by the board of directors. The board represents the municipality and has the power to approve tariffs. Cambodia offers an example of self-regulation whereby policy making, service delivery, and regulatory functions are implemented by the Water Supply Authority.
Government department	Traditional form of water and sanitation regulation through the same ministry (or Secretary of State) that develops policy and operates water systems.
Regulation by contract	Performance contracts between the government and a private entity responsible for O&M of the water and sanitation facilities. The contract monitoring entity performs functions similar to that of a regulator, although with significantly less professional support staff and discretion. Burkina Faso implements a performance contract arrangement between the service supplier and the government. The contract specifies performance targets such as expansion of services to informal areas.
Source, WSUP and ESAWAS (2020)[1]	

Box 16: The Rwandan Utility Regulatory Authority (RURA)

Rwanda, through the Rwandan Utility Regulatory Authority (RURA), regulates faecal sludge emptying and transportation services by identifying and licensing service providers (utility, private sector, CBOs) and zoning service areas and facilitating competitive selection of sanitation service providers.

Utility regulation by an independent organisation is the preferred model in most African countries. Some have established independent agencies for regulating several utility services, including electricity, water, and sanitation, while others have a separate regulator for each type of utility. Most of these operate within a system of common law with wide discretionary powers over decision-making.

Where sanitation services are provided by an autonomous entity, such as a private or publicly owned company, regulation by an independent organisation is often most appropriate. However, where a local government authority (LGA) is mandated to regulate sanitation services (e.g. faecal sludge emptying and transport) while also providing those services, a policy should require the LGA to delegate that responsibility. Alternatively, the policy could identify a distinct independent accountability mechanism, including for instance, a private sector or an autonomous entity such as a water and sanitation utility[2] to avoid a conflict of interest as shown in Box 17.

Box 17: Example LGAs

LGAs in Lesotho and Mozambique have a mandate to regulate urban and peri-urban sanitation. At the same time, the LGAs have a mandate to provide sanitation services, leading to conflicts of interest.

To avoid a conflict of interest where the same entity is responsible for both the provision and supervision of that service, the roles and functions of sanitation service regulation should be left to one entity, which assumes the role of regulator, while the provision of the services is delegated to another entity (i.e. public company or delegated management to a private operator).

For those services that are provided by independent small enterprises (e.g. latrine construction or pit emptying) and that are independent of centralised utilities, light-handed regulation with low information requirements and compliance costs is appropriate while still providing clear incentives for good performance. This may be the responsibility of the LGA rather than an independent regulator. The regulator may have a register of small enterprise service providers maintained by the local authorities or another mandated institution in each service area. Also, the regulator may issue light handed Standard Operating Procedures (SOPs) to ensure a minimum level of compliance with health and safety standards. Regulating by an independent body has advantages and disadvantages as shown in Table 8.

Table 8: Advantages and disadvantages of regulation by an independent body[3]	
Advantages	**Disadvantages**
• Insulates technical regulatory decisions from political influence • Removes the quasi-legislative and quasi-judicial aspects of regulation from administrative bureaucracy hence ring-fencing from political interference in undertaking regulatory decisions • A good device for bringing general and specialised skills together, which is hard to achieve in a government departmental system • Clearly established functions and powers (by statute) • Good coordination between policy and regulatory agencies with well defined and distinct functions • Consistency in tariff setting and performance measurement • Standardised licensing provisions (procedure and conditions) • Licensing with penalties and incentives, with accountability through courts and ultimate sanction of termination • Consistency in enforcement of obligations	• An independent regulator may not be responsible to any constituted authority. Dismissal of members of the regulatory body is restricted to a pre-determined process, hence they can easily stand in the way of effective and integrated government administration. • The regulator combines the functions of legislator, prosecutor and judge and can easily act arbitrarily • A regulatory body adds the (regulatory) costs in service provision

(b) Regulating by contract

This model has no separate regulatory agency and may be performed by government entities (ministries, local governments, etc.) with support from licences and contracts, enforced through existing legal mechanisms. In this model, these contracts contain detailed regulatory regimes (including multi-year tariff-setting systems, performance indicators, etc.). Where public infrastructure, such as a sewerage system or wastewater/faecal sludge treatment plant, is concerned, assets are owned by a public sector asset holder and run by a service provider under a contract between them. A third party (e.g. a mayor or a ministry) acts as a referee, monitoring and enforcing the contract.[4]

Regulation by contract is generally used in the case of private sector participation but may also be used to improve the performance of public utilities. Where assets are privately owned (for instance, vacuum tankers for desludging), local authorities may regulate service providers through contracts.

Regulation by contract also allows authorities to enforce sanctions directly on service providers, which achieves accountability at the local level.

There are advantages and disadvantages for regulating by contract as shown in Table 9.

Table 9: Advantages and disadvantages of regulation by contract[4]	
Advantages	**Disadvantages**
• Clear separation of policy function (at national level) and asset ownership and oversight function (at local level) • Performance overseen by local authority • Simplifies achievement of economies of scale by aggregating services across multiple local authority jurisdictions • Flexibility of contracts, which can be amended, with courts deciding on changes of circumstance • Sanctions and incentives through contracts, with the asset owner having the ultimate sanction of termination • Equilibrium between parties and contractual obligations ensured by administrative courts • Some obligations under law for disclosure of information	• Limited regulatory oversight of public operators • Inconsistency in tariffs due to lack of central body setting tariff methodology • Limited capacity of some local authorities • Inconsistent enforcement of contracts • Lack of transparency in award and extension of contracts • Limited disclosure of information and little benchmarking of private operators • Requires an agile and effective judicial system • Requires expertise to draft detailed contracts, and the capacity to interpret contract implications

Examples of regulation of sanitation by contract in Africa are not common, hence an example in water supply services is provided. In Burkina Faso, the contracts setting out performance targets for ONEA (the national water and sanitation utility) are assigned by the Government of Burkina Faso. In Senegal, a 10-year affermage contract (whereby a private operator is responsible for operating and maintaining but not necessarily for financing the expansion of utility services) governing operation of the water supply system was signed between three parties: the State – represented by the Ministry; the state asset-holding company – Société Nationale des Eaux du Sénégal (SONES); and a private operating company – SDE. Other examples of regulation by contract in the water and sanitation sector are found in France and Germany.[4] The example of regulation by contract in Senegal is summarised in Box 18 opposite.

Box 18: Regulation by contract in Senegal's urban water sector

Senegal has promoted Public-Private Partnership in the WSS sector since 1996, starting with the large PPP contract between Sénégalaise des Eaux (SDE) and Société Nationale des Eaux du Sénégal (SONES). SONES, as the state asset-holding company, was authorised to manage the sector through a 30-year concession contract with the State, represented by the Ministry of Water. SONES also signed a sector development contract (Contract Plan) with the Ministry, which outlined its investment. The 10-year affermage contract governing operation of the system was signed by three parties: the Republic of Senegal, represented by the Ministry, SONES, and a specifically formed private operating company, Sénégelaise des Eaux (SDE).

SDE also signed a performance contract with SONES that was included as an annex to the affermage contract, to take effect on the same date for the same duration (10 years). The contract was renewable every five years after the first ten years, with review of performance targets every two years. This contract outlined SONES' responsibilities with respect to ensuring infrastructure was available to the operator, investments made (including a three-year investment programme, adjusted each year, which takes into account the proposals of the operator), prompt execution of works relating to system investments, responsibility for obtaining financing for the works, and adjustment of tariffs in accordance with the ***Contract Plan.***

7.2 Factors to consider when formulating policies on regulation

7.2.1 Regulation is a quasi-judicial, quasi-legislative, and quasi-executive function

There are three key factors that need to be considered when formulating a policy on sanitation regulation, namely (i) the regulator is quasi-legislative in the sense that it makes rules and prescribes procedures and guidelines; (ii) it is quasi-judicial in that it gives orders and enforces penalties; and (iii) it is quasi-executive in that it implements sanitation policies, exercises fiscal powers, and administers its staff.

Irrespective of the type of regulatory framework, regulation plays a central role in creating incentives for improved performance, through requiring accountability, transparency, customer responsiveness from service providers, and promoting competition within the sector.[5] Policymakers need to consider the following aspects (see Box 19) when formulating the regulation section of a sanitation policy.

7.2.2 Regulator's role: balancing the interest of stakeholders

The regulating Accountability Triangle (Figure 5) underlines the balancing act that must be performed between i) policymakers, legislators, and the government policy they determine; ii) service providers, who depend on the financial viability and sustainability of the services they provide; and iii) consumers,

with their right to affordable and quality services. The regulator's fundamental task is to balance the financial sustainability of service providers with affordability of services for low-income consumers, through appropriate tariffs, charges, and subsidies.

Box 19: Key considerations in the design of a regulatory framework [6]	
• What are the principles of regulation? • What activities should be regulated? • What are the functions of regulator(s)? • Should regulatory functions ever be contracted out? • Should there be more than one entity regulating the sector?	• How much discretion should the regulator have? • What are the powers of the regulator? • What recourse is there against regulatory decisions? • What is the source of the regulatory powers? • Is the regulator to be independent?

Figure 5: The regulating Accountability Triangle

Adapted from: World Development Report (2004)[7]
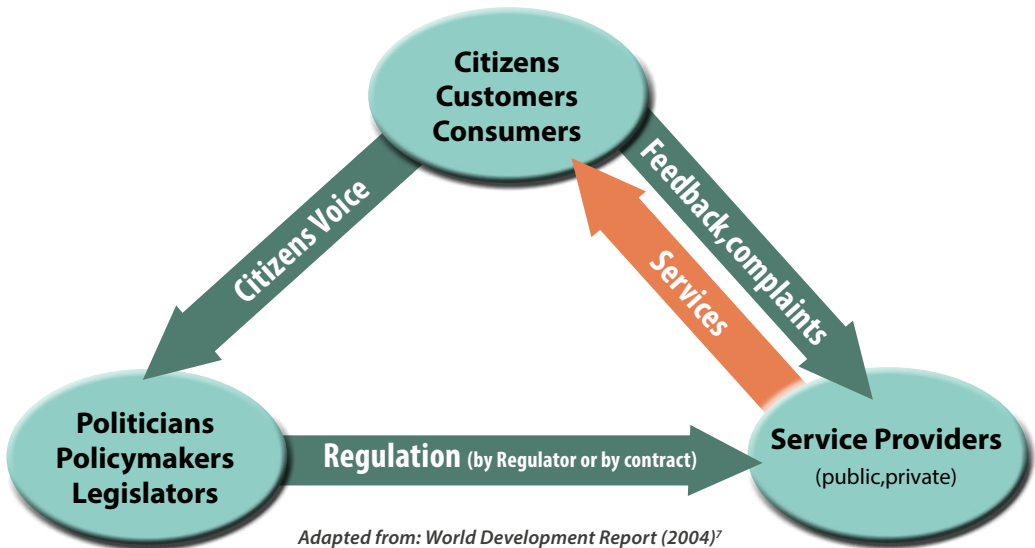
7.2.3 Safeguarding the independence of a regulatory agency

Regulatory decisions, such as the approval of tariffs and the issuing of licences, need to be independent of political influence. Common ways to safeguard regulatory independence include:

- providing the regulator with a distinct legal mandate, free of ministerial control;

- providing the regulator with a reliable source of funding, usually through levies on regulated firms or consumers; and

- ensuring that the regulator maintains a distanced and non-intrusive relationship with regulated firms, consumers, and other private interests, to avoid regulatory capture.

Independence needs to be counterbalanced with measures to ensure that the regulator is accountable for its actions. Sanitation policy needs to strike a balance between independence and accountability through the following measures:

- mandating rigorous transparency, including open decision-making and publication of decisions and the reasons for these;

- prohibiting conflicts of interest through an established and enforced code of ethics;

- establishing an appeal mechanism regarding whether the law is being applied correctly for regulatory decisions; and

- undertaking a periodic review of procedures carried out by another government organisation, such as a legislative committee, ministerial task force, or a government accounting office, to examine whether resources are being used effectively and that the agency is implementing public policy.

7.3 Recommended practice

Recommendation 1: *Sanitation policies should consider regulation requirements for each part of the sanitation chain for both sewered and non-sewered services.*

Policy should cover capture and containment (private and public toilet facilities and containments/storage), sewage conveyance/emptying and transportation services, faecal sludge and wastewater treatment, disposal and/or reuse services.

Recommendation 2: *Government should encourage improving service provider performance through regulation*

Monitoring the performance of sanitation service delivery by utilities can help improve performance in service provision. The sanitation policy should give the mandate for the regulator(s) to perform the functions listed below.

- Monitor compliance by sanitation service providers to minimum standards for sanitation facilities and quality of service along the sanitation service chain to ensure the following objectives:
  - to protect and promote public health by separation of faecal wastes from people, including protection of sanitation workers;
  - to protect the environment;

- systems should be simple, operated with locally available resources;
- to promote cost recovery from tariffs while considering that costs should be within the users' ability to pay (affordable);
- to implement and/or advise on the implementation of government subsidies (direct or indirect) to the cost of services for users where the actual costs exceed their ability to pay;
- to ensure all users have equitable access to sanitation facilities, irrespective of income levels, gender, ability, etc.; and
- to consider cultural values and adapt to local customs, beliefs, and preferences.

- Monitor compliance with KPIs for sanitation services along the service chain to measure how effectively a sanitation service provider is achieving their key business targets with the following objectives:
  - to ensure sustainability of the service provider;
  - to ensure the quality of services;
  - to provide services under normal and emergency situations;
  - to protect public health;
  - to protect the environment;
  - to promote sustainable development of the community;
  - to meet users' needs and expectations; and
  - to ensure service providers have adequate and documented risk assessment and management plans and operating procedures in place to safeguard public health along the service chain.

- With respect to non-sewered sanitation services, the following objectives apply:
  - to promote generic technical options for emptying and primary transportation and require that utilities and service providers sensitise and promote the technologies to their consumers;
  - to promote sanitation businesses, where appropriate, by creating service areas (zoning) for emptying and transport services to promote economies of scale; and
  - to ensure sanitation service providers have the required, documented, standard operating procedures for emptying septic tanks and latrines, transportation, treatment of faecal sludge, and disposal or end-use.

- Regulators need to design information systems for collecting and reporting sanitation data from service providers and ensure the reliability and accuracy of the information. The sanitation policy should require regulators to set KPIs for both sewered and non-sewered sanitation.

Recommendation 3: *Government should enhance financial sustainability of service providers through tariffs*

Sanitation policies should guide regulators to approve business plans, tariff structures, and levels for sanitation services that encourage the efficiency and viability of providers while guaranteeing affordable, equitable, and quality services for the consumer (see Box 20). The most important principles of tariff regulation are:

- **Cost recovery:** tariffs should maximise cost recovery for service provision to ensure that economic sustainability is achieved. Service provision costs include operating costs, capital maintenance commitments, and a reasonable return on capital to attract loan or investment finance to ensure that the level of service satisfies agreed standards and expectations.

- **Economic efficiency:** sanitation services need to be provided in the most efficient manner, i.e. the costs should be the minimum needed to meet service level standards.

- **Affordability:** cross-subsidies or government subsidies targeting poor and vulnerable users to ensure affordability need to be considered.

- **Resource conservation:** tariffs should encourage resource conservation by service providers and consumers (e.g. payment for environmental services, or higher tariffs for high consumers, reduced tariffs for water recycling).

- **Social inclusiveness:** there should be guaranteed provision of sanitation services to all consumers regardless of income, disability, gender, ethnicity, etc. This can be through a national/local social policy but must be implemented transparently and be fully funded by the policy sponsors.

- **Cost reflectivity:** this requires that each consumer group incurs charges that reflect the costs they impose on the system. Consumers are grouped into similar types and their charges are set to reflect the costs imposed by the group.

Sanitation regulators may also require that sanitation service providers design and propose to the regulator or the government subsidy mechanisms targeting the poor, such as (a) cost-sharing for the construction of capture and containment facilities; or (b) provision of transfer stations and transportation services to the treatment plant to reduce the price of manual and mechanical emptying services (WSUP, 2012).[9] The sanitation policy may guide implementation of regulatory cross-subsidisation, where some types of consumers are charged higher tariffs to fund lower tariffs for low-income consumers of sanitation services (see Chapter 9).

Recommendation 4: *Embed accountability, transparency, consultation, and reporting in regulatory decisions*

The sanitation policy should clearly specify the governance, transparency, stakeholder consultation, and engagement requirements for regulatory decisions. These would include:

- basic elements of the regulator's governance, scope, and legal mandate;
- the nature of relationship of the regulator with the government and the regulated entities;
- principles to be applied in funding it, preferably through charges to regulated service providers rather than government transfers;
- requirements for reporting, transparency, stakeholder engagement, and consultation in decision-making;
- the basis for appeals against regulatory decisions; and
- the basis for periodic review of its performance and procedures.

Box 20: Good practices related to tariff setting for sanitation services

- Tariffs take into account the sustainability of services and the affordability of basic sanitation to all people in the service area.
- Policy requires sanitation regulators to conduct periodic affordability studies to determine how each customer group can afford sanitation services under the approved tariffs.
- Policy requires service providers to identify the poor using different methods including:
  - Household Budget Surveys implemented by government entities responsible for national statistics. Where such data are not available, local authorities may have other registers of poor and vulnerable households.
  - Social safety net (SSN) systems, which are becoming increasingly common in African countries, help improve the lives of vulnerable families and individuals. Examples of SSNs are non-contributory social pensions, in-kind and food transfers, conditional and unconditional cash transfers, fee waivers, public works, and school feeding programmes.[8]

7.4 Sample Policy Statements

The following policy statements are provided as examples of policy positions that could be adopted by governments to support sustainable and efficient accountability of sanitation service providers. Generally, policy statements should be structured as responses to the issues identified in the previous section.

Statement 1: A regulatory framework shall be established through legislation to oversee and regulate provision of services across the service chain by the sanitation service providers.

Statement 2: Sanitation (sewered and non-sewered) service providers shall be subject to licensing or service agreements with conditions for performance.

- Licences and licensing conditions for all segments in both sewered and non-sewered sanitation service chains shall be designed by the regulator. Regarding capture and containment, the regulator shall issue non-binding recommendations/guidelines to the respective LGAs/municipalities.
- Service providers may sub-contract some of their responsibilities to other entities through a permit or performance contract.

Statement 3: The body responsible for sanitation regulation shall establish monitoring mechanisms to track development and service provision.

- A sanitation monitoring and reporting system for collecting sanitation data and information shall be developed.

- Performance targets and minimum service levels for sanitation services shall be developed and monitored.

- Annual sanitation performance reports for both sewered and non-sewered sanitation shall be published and clear performance monitoring mechanisms, including KPIs and penalties for failing to meet the standards, shall be established.

Statement 4: Compliance monitoring shall be established to ensure adherence of capture and containment facilities to standards.

- Local governments shall monitor quality of capture and containment facilities.

- A register of qualified artisans (where appropriate) for construction of capture and containment facilities shall be maintained by the sanitation authority (service provider) for consumers to select.

- LGAs shall enforce official provisions on the design and siting of onsite sanitation facilities, and the use of approved emptying services.

Statement 5: The body responsible for sanitation regulation, not the service provider, shall establish the methodology to determine sanitation tariffs and charges.

7.5 References

[1] WSUP and ESAWAS. *Referee! Responsibilities, regulations and regulating for urban sanitation.* Eastern and Southern Africa Water and Sanitation Regulator Association (ESAWAS) and Water and Sanitation for the Urban Poor (WSUP), 2020. [Online] Available from: https://www.wsup.com/insights/referee-responsibilities-regulations-and-regulating-for-urban-sanitation/ [Accessed 28 February, 2021].

[2] Ngamlagosi, F. and Mutegeki, M. *Regulation Strategy and Framework For Inclusive Urban Sanitation Service Provision Incorporating Non-Sewered Sanitation Services*. East and Southern Africa Water and Sanitation Regulators Association (ESAWAS). 2019.

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[9] WSUP. *Sanitation surcharges collected through water bills: a way forward for financing for pro-poor sanitation? Discussion Paper* (DP#004). London: Water and Sanitation for the Urban Poor, 2012. [Online] Available from: https://www.wsup.com/content/uploads/2017/08/DP004-ENGLISH-Sanitation-Surcharges.pdf [Accessed 28 February, 2021].

Photo: FGSMA

Chapter 8. Capacity Development

This chapter provides guidance on how to include capacity development in a sanitation policy. A definition of capacity development and why it is an important element of a sanitation policy is provided in 8.1. Factors to consider when specifying capacity development in a policy are outlined in 8.2 and recommended practices in 8.3. Sample policy statements are provided in 8.4.

Principles for a capacity development programme are also provided in Annex 2.3.

Additional sources of information are provided in Annex 5.2.

8.1 What is capacity development for sanitation and why is it important in a sanitation policy?

Capacity development can be defined as the development of the ability of government entities, formal and informal private enterprises, non-profit entities, and individuals to perform their assigned roles in sanitation effectively. It can be subdivided into four dimensions as outlined in Box 21.

Box 21 Four dimensions of capacity development

- *Human resources development:* ensuring that institutions employ the right types and numbers of adequately qualified, trained, and motivated personnel.

- *Organisational development:* ensuring that institutions are adequately empowered and use effective systems and procedures.

- *Research and innovation:* undertaking applied research to develop better technical and managerial solutions for sanitation service delivery that are directly relevant to conditions encountered in the specific country.

- *Resourcing:* ensuring that the institutions have access to sufficient financial, material, and technical resources.

It is important to emphasise that capacity development is far more than just training, which constitutes only a part of human resources development as listed in the first point above.

It is important to include capacity development in sanitation policy for the following reasons.

- The low priority historically given to sanitation in Africa has resulted in a shortfall of capacity in all the dimensions set out above. Investments made in institutions and infrastructure without addressing capacity needs result in failing services and a waste of scarce funds.

- Developing the necessary capacity is not a one-off task; the scale of delivering sanitation to every community creates a constant need for new human resources to compensate for those who leave the sector or retire, and to address the demands of a growing population. Knowledge, skills, and institutions to deliver sanitation and improved hygiene practices are seriously inadequate. This is further compounded as advances are made up the sanitation and hygiene ladder, and human settlements (from small towns to big cities) undergo rapid change and generate growing demand for sanitation services. Addressing these challenges demands a permanent and programmatic approach, embodied in policy.

8.2 Factors to consider with respect to capacity development

(a) Human resource development is key

Sanitation is a large-scale activity – it must reach every single member of the population – and so requires a large number of personnel across the many institutions involved. This requirement is increasing as it becomes recognised that sanitation is an essential basic public service and cannot be left to individuals to deal with on their own. However, motivation and retention of public sector sanitation staff are often low, exerting downward pressure on staff numbers. This can be due to several factors, including:

- low status, weak accountability, poor working conditions, and lack of equipment and funds; and

- in the private sector, an unclear legal and regulatory environment and lack of systematic capacity development measures, which result in a slow rate of growth.

In addition to insufficient numbers of personnel, there is often a shortage of knowledge and skills, particularly with respect to non-sewered sanitation and non-conventional approaches to sewerage provision, sanitation, and hygiene behaviour change promotion (handwashing with soap and MHM), and community engagement, especially communication with low-income customers. A wide range of personnel is involved in sanitation, but local level staff (local government, utilities, and service providers) represent both the greatest numbers and the highest priority. The human resource shortfall is felt most acutely at local level, where sanitation services are planned and delivered.

Frontline sanitation work such as pit emptying, sewerage maintenance, and treatment plant operation, has a traditionally low status. In many cases training is neglected and workers learn from their peers, remaining ignorant of many technical details and health and safety issues. This leads to costly damage to sanitation infrastructure and to illness and death among these workers.

Limited resources are often focused on the central level and skilled staff may be reluctant to live away from the amenities of the capital city. However, a commitment to ensure adequate sanitation for all means that diploma and graduate level staff are needed at local level to take the initiative in adaptive planning to meet constantly changing needs. Professional engineers often lack knowledge on non-

sewered sanitation as it is usually absent from university curricula. This may be starting to change, with several initiatives currently under development, for example, through the Global Sanitation Graduate School (GSGS),[1] eawag's Department of Sanitation, Water and Solid Waste Management,[2] and a number of online courses (see Annex 5.2). However, in the short to medium term, specialised materials and training on non-sewered sanitation for engineering professionals are needed. There is also a growing need for staff skilled in mitigating the effects of climate change on sanitation.

The significant numbers of staff required for sanitation, especially in urban areas, present employment and business opportunities, which experience shows can be attractive to youth and women who would otherwise struggle to earn a living.

Further guidance on specialist training needs for sanitation is given in Annex 2.3.

(b) Organisational development must accompany institutional reform

Little can be achieved without political backing to prioritise development of the sanitation sector and empower relevant stakeholders and organisations. However, many decision-makers lack an understanding of the importance of sanitation to health, wellbeing, and the economy. Information and advocacy at the political level are, therefore, an ongoing need as local and national politicians change through the democratic process.

Local government and utilities have a key role to play in overseeing and delivering sanitation services but may be constrained in undertaking the necessary reforms. Restrictions on the number of staff and rigid and heavily unionised structures in utilities can be further constraints. New sanitation approaches, particularly the more systematic management of non-sewered sanitation and non-conventional approaches to sewerage services, will require adjustment of the existing skills mix, the addition of new skills, and the formation of new departments and units.

A more service-oriented approach to sanitation, with a higher degree of interaction with users and increased activity on non-sewered sanitation, means that the organisational culture, systems, and procedures of local government sanitation departments and utilities may need to change. It is important that these institutions receive ongoing support in this change management process.

New posts in national, subnational, and local government will be needed to manage the expanded sanitation agenda. This is especially true at local level, where enhanced capacity for outreach and adaptive planning is needed to deal with social issues related to sanitation, climate change, and the rapidly changing environments in human settlements, from major cities to villages. It may be possible to fill some of these posts through redeployment of existing staff, but new staff and skills will also be needed. A clear policy commitment to making the necessary modifications to government service regulations in terms of both numbers and job specifications is an important foundation for what may be a difficult and time-consuming process.

A well-balanced gender, ethnic, and cultural mix among sanitation personnel is important to enable a fully responsive relationship with users that takes gender, social factors, and taboos into consideration. Achieving this may be a challenge in an area that is often dominated by men and specific ethnic groups, and this requires an explicit focus on capacity development activities.

Many informal and small-scale private and CBO sector service providers will need to adapt their management and finance systems in line with the new regulations to enable them to deal with new partners. This may also involve their formal registration as businesses. They may move into completely new areas of business such as running faecal sludge treatment plants and will need assistance to increase the scale and quality of their services. While the private sector is expected to invest in its own human resources, equipment, and institutional development, complementary capacity development support provided by the public sector will produce quicker results, better aligned with sanitation policy.

(c) Facilitation is needed to unlock funding for private sector service providers

The development of the private sector's capacity to access and provide repayable finance is important to unleash its potential. For instance, private sector service providers such as desludging operators may have viable businesses but find it difficult to borrow money for new equipment due to their limited assets, an informal approach to business, and the unfamiliarity of financial institutions with the sanitation business. In some circumstances, larger-scale investments in treatment/processing of faecal sludge and wastewater or sewerage systems may also present viable business opportunities. Access to repayable finance by the private sector can be facilitated using public funds to share risks with lending institutions, e.g. through a guarantee fund, concessional lending or a revolving fund (see Chapter 9). This can be further facilitated by technical assistance to both borrowers and lenders to help them understand each other's needs.

(d) Research and innovation are needed to drive progress in sanitation

There are many areas where knowledge, skills, and techniques to address current challenges are lacking. Furthermore, rapid changes in both large urban areas and small towns and growing access to roads and telecommunications reaching even the remotest areas, are creating new challenges and opportunities, both technical and institutional. Research and innovation are needed to meet these challenges and benefit from these opportunities (Box 22).

Non-sewered sanitation on a mass scale has only recently received much scientific and technical attention; there is a need to improve the capture, storage, collection, treatment, and end-use of faecal sludge, as well as finding better ways of managing non-sewered sanitation service chains. Bringing approaches such as container-based sanitation and non-conventional sewerage to scale also requirefurther development. Applied research to develop new sanitation solutions presents a double opportunity: it increases the efficiency of services and provides a real-life laboratory for research institutions with limited budgets.

Box 22: Areas for research and innovation

- Systematic management of non-sewered sanitation
- Providing formal services to previously unserved communities
- Connecting the unconnected to sewerage systems
- Promotion of handwashing and menstrual hygiene
- Behaviour change for urban sanitation

- Community outreach
- Pit emptying and faecal sludge processing technology (including a focus on reuse and safety considerations)
- Appropriate low-cost sewerage and treatment systems
- Greywater management in unsewered areas
- Greenhouse gas capture and energy generation

Projects can range from the use of final-year students in surveys, to the development of faecal sludge treatment and processing technologies, to evaluating non-conventional service provision approaches, to mobile apps to improve services management. Collaborations between local sanitation authorities, service providers, and academic institutions should be encouraged and supported to ensure the effective adoption of innovations. An excellent example is the collaboration between the eThekwini Municipal Water and Sanitation Utility and the University of Kwa Zulu Natal in South Africa. A policy commitment to research and innovation for sanitation will unlock research funds to the benefit of the sector.

8.3 Recommended practice

This subchapter sets out recommendations and good practice for incorporating capacity development into policy.

Capacity development is a tool to support policy implementation (see Chapter 11). However, it does require substantial commitments from government, which should be set out in policy so that they can be properly resourced.

Recommendation 1: *Capacity development should be a permanently ongoing activity*
Sanitation requires a large number of personnel, so there is a continuous need for capacity building at many levels to maintain and expand numbers and ensure a well-balanced gender, ethnic, and cultural mix.

Recommendation 2: *The principal focus of capacity development should be at local level*
This is the level where sanitation is delivered, where services are provided, and where problems need to be solved in a continuous adaptive process. Learning should be shared across localities and provision made for peer-to-peer support.

Recommendation 3: *Capacity building for sanitation should be integrated into curricula*

To be most effective, it makes sense to include sanitation in the curricula of universities and vocational training schools, and other specialised institutions such as local government training schools.

Recommendation 4: *New staff posts are needed to work in traditionally neglected areas, such as non-sewered sanitation, non-conventional sewerage, and hygiene promotion*

Where these are in government or other public sector institutions, considerable effort may be needed to create new posts, so the need for them must be clearly established.

Recommendation *5*: *Peer-to-peer learning and mentoring are effective in sanitation*

If this is explicitly recognised, resources can be made available for exchanges within the country and with African countries experiencing similar issues.

Recommendation 6: *The private sector should be included in the capacity development effort*

While the private sector has some ability to develop its own capacity – which it will in any case eventually charge for indirectly – public sector investment in this area will yield faster and better results.

8.4 Sample policy statements

Statement 1: Capacity development for sanitation shall be undertaken on a continuous long-term basis. Human resource and institutional capacity building shall be supported for personnel involved in planning, managing, and enforcing safe sanitation, and in delivering sanitation services.

- Design of capacity building shall be based on a continuous dialogue and ongoing assessment of needs at local level, in support of adaptive sanitation planning and services management.

- Capacity building shall include technical assistance, support for peer-to-peer learning, workshops, short courses, and sponsorships for relevant qualifications. Local governments shall be supported to share their experiences and learn from each other.

- Government resources shall support capacity building, and at least [X%] of funds invested in sanitation shall be used for capacity building.

- Curricula of universities, technical, and vocational training institutions shall be revised to provide the appropriate knowledge and skills needed to deliver sanitation under the current and future conditions prevailing in the country. Sanitation shall be incorporated into government training curricula in all relevant subjects.

- Strategic investments shall be undertaken to increase the participation of female professionals in the sanitation sector and to mainstream gender in all intervention areas.

Statement 2: **Government support shall be provided for the development of small-scale, private sector sanitation service providers.**

• Training shall be provided in technical matters, health and safety, and business management.

• Access to finance shall be facilitated, by bringing banks and micro-credit institutions together with service providers, providing guarantees and tax breaks, making small grants, etc.

• Specific training courses and modules for both formal and informal sanitation service providers shall be developed and delivered through the technical and vocational training system.

• The development of female sanitation entrepreneurs shall be encouraged.

Statement 3: **Applied research on sanitation to address the real needs of all the different areas and communities in the country shall be supported, and collaboration shall be established between service providers and academic and research institutions.**

Statement 4: **Government service regulations shall be adjusted to reflect the need for adequate numbers of appropriately qualified personnel to manage all aspects of sanitation.**

8.5 References

[1] *Global Sanitation Graduate School.* [n.d.][Online] Available from: https://sanitationeducation.org/ [Accessed 28 February, 2021].

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Photo: WaterAid

Chapter 9. Funding

This chapter provides guidance on funding arrangements, including funding sources and financing options for delivery of sanitation services and infrastructure. An explanation of the concept of funding and why it is important is provided in subchapter 9.1. Factors to consider when formulating policies on funding arrangements for sanitation are presented in 9.2 and recommended practices in 9.3. Sample sanitation policy statements are provided in 9.4.

Additional sources of information are provided in Annex 5.4. Definitions of concepts used are presented in Annex 6.6.

9.1 What is funding and why is it important to specify funding arrangements in a sanitation policy?

Funding is the provision of financial resources to meet specific needs. In the context of these Guidelines, funding refers to financial resources allocated to the sanitation sector. Funding is usually sourced from payments by users of sanitation services; domestic tax revenues from central or subnational governments; and support from external donors. Mobilising funding for sanitation is essential to cover the costs of developing and maintaining services. As sanitation requires large upfront investments, financing mechanisms that enable the costs of immediate improvements to be deferred are important.

Financing refers to financial resources that are from donors or the financial market (e.g. commercial banks) and that need to be repaid in the future.[1] There are multiple financing instruments that can be mobilised for sanitation as detailed in section 9.2.3.

In most African countries, funding required to meet sanitation policy objectives is considerable. Clarifying which funding sources and financing instruments can be mobilised and the roles of each entity in funding sanitation is crucial if countries are to meet their aspirations in the most cost-effective and efficient manner. Choosing the funding arrangements that work best requires an understanding of the costs of sanitation (what needs to be funded) as well as the different funding sources and financing mechanisms available.

A sanitation policy makes explicit funding arrangements for sanitation, i.e. what is to be funded and by whom, what funding sources and financing instruments can be used, and how funding is to be coordinated.

9.2 Factors to consider when formulating policies on funding arrangements for sanitation

The main factors to consider when specifying funding arrangements are listed below.

(a) Lifecycle costs of sanitation systems and services. These include:

- the costs of developing, operating, and maintaining sanitation systems and services;

- the costs of developing and sustaining an enabling environment; and

- the cost of supporting activities (e.g. behaviour change/awareness-raising campaigns, demand creation, capacity development, and monitoring and evaluation.

(b) The most appropriate funding sources and financing instruments.

(c) The involvement of all levels of government, where relevant, in addition to users (households and commercial users) and development partners.

9.2.1 The costs of sanitation systems and services

Developing, operating and maintaining sanitation systems

The costs of sanitation systems and services include both capital costs (one-off investments) and operation and maintenance (O&M) or running costs. If those who invest in sanitation systems have borrowed funds to cover the capital costs, then they are also likely to incur financial costs (interest payments). Table 10 illustrates the different types of costs related to sanitation systems and services.

These costs need to be covered for sanitation systems to deliver sustainable services, including through subsidies if there is a public policy decision to offset some of the related costs. If the full costs of sanitation cannot be funded, services cannot be extended to all or cannot be sustained over time or both. For example, there are many examples of African cities that have built sewerage systems that function sub-optimally due to limited resources allocated to their O&M. Furthermore, without adequate O&M, the physical infrastructure deteriorates and, as well as not functioning properly, the costs associated with the subsequent rehabilitation of the infrastructure are generally higher than the deferred O&M costs.

The majority of Africans use non-sewered services in both rural and urban areas. Yet, in the past, African governments have tended to focus investment on the development of sewers and associated infrastructure such as wastewater treatment plants in urban areas. This has created a situation where the costs of non-sewered services fall primarily on individual users while those using sewers, usually commercial premises and urban dwellers in higher income brackets, receive government support. In effect, this means that the subsidy arising from the use of public resources goes to those who can most afford to pay and need the public investment the least.

Table 10: Types of costs and examples	
Types of costs	**Examples of specific costs**
Capital costs	• Building sewers and associated infrastructure • Building containment structures (toilets) • Building wastewater and faecal sludge treatment plants • Acquiring emptying trucks
Operation and maintenance costs	• Electricity costs for operating and maintaining the sewer system and associated infrastructure • Running costs of faecal sludge and wastewater treatment plants • Fuel for emptying trucks • Staff costs for routine maintenance • Staff costs for billing and collection • Behaviour change, communication, and demand creation • Administration costs (e.g. costs of testing/sampling of influent and effluent within the treatment locations)
Large capital maintenance costs or rehabilitation	• Major repairs and rehabilitation work • Periodic replacement of major spare parts (e.g. electromechanical equipment)
Financial costs	• Costs of borrowing (interest rates)
Taxes	• Taxes paid by service providers to tax authorities (e.g. business tax)
Source, Based on TrackFin (World Health Organization, 2012)[2]	

Funding sanitation means securing financial resources to cover the costs of appropriate and cost-effective systems where they are needed, especially to enable those on low incomes and facing affordability constraints to access services. The sanitation policy should make it explicit that public funds for sanitation can be used to develop and maintain non-sewered sanitation services as well as sewered sanitation, whichever is the most cost-effective in any given case. Sewerage can be particularly capital-intensive in the short to medium term and requires a well-functioning water system; it can also require reliable power, skilled operators, and ongoing maintenance, although it is cost-effective at higher population densities. However, there is a range of non-conventional sewered approaches such as condominial sewerage, which can significantly reduce the costs of the sewerage network when compared to conventional sewers. There is also a wide range of non-sewered alternatives, with significant cost differences between them depending on the context (Box 23).

Box 23: Cost implications of different sanitation systems

A study conducted in four African cities, Kisumu (Kenya), Nakuru (Kenya), Malindi (Kenya) and Kumasi (Ghana) and one Asian city (Rangput, in Bangladesh) showed that the costs of developing and maintaining sanitation services depend primarily on the context and the sanitation systems selected. The study considered multiple types of sanitation systems within one city: (i) sewerage; (ii) mini-sewers connecting three toilets to a communal septic tank; (iii) container-based sanitation (or CBS, a service that leases portable self-contained toilets to households and collects the accumulated faecal waste every few days); and (iv) other non-sewered underground containment, such as lined pits, septic tanks, and vaults.

Testing these different sanitation systems for each city, the study revealed that municipal expenditures required to address sanitation needs and achieve universal access to high-quality sanitation by 2030 varied widely across sanitation approaches. For example, if Kisumu, Nakuru, and Malindi address their sanitation needs by constructing sewerage, their costs would range from USD$67-137 million. If these cities instead invest in onsite sanitation or CBS, the required municipal expenditures would only amount to USD$4-17 million. Household expenditures also varied greatly, depending on the sanitation systems. The study found that capital expenditures for building a complete one-door toilet (containment, user interface, and superstructure) ranged from USD$475 (toilet connected to mini-sewer) to USD$2,091 (toilet connected to septic tank). Although sewered systems offer additional benefits such as the management of grey water (whilst only certain non-sewered systems can offer this), these results indicate the wide range of costs associated with the options available to governments when planning sanitation investments.

Source, Delaire et al. (2021)[3]

Establishing and sustaining the enabling environment and supporting activities

In addition to sanitation systems and services, the costs of sanitation include those of developing and maintaining a conducive enabling environment, particularly for building and maintaining institutions, a regulatory framework, and the development of programmes and plans and service performance standards. Crucially, inadequate provision of funds for institutions to implement their mandates means that the policy may be developed but not disseminated or implemented; or when it is implemented, progress in achieving the policy objectives may not be tracked. Enforcement and capacity building are other key areas that deserve specific attention when allocating funds. A sanitation policy should explicitly recognise the need to provide adequate funding to the enabling environment and support activities.

9.2.2 Funding sources for sanitation

Ultimately, sanitation systems and services are funded from three sources (often referred to as the '3Ts'): (a) tariffs and self-supply expenditures; (b) domestic transfers, also referred to as 'taxes' which are nationally or locally generated revenues; and (c) transfers (grants from development partners). Funds borrowed (either commercially or at a concessional rate from development partners) need to be repaid and this is carried out using these sources of funds. Therefore, a distinction is made between funding sources and financing instruments, which mobilise funds that need to be repaid. More details on funding sources are provided below. Section 9.2.3 provides examples of financing instruments that are suitable for sanitation.

(a) Tariffs and self-supply expenditures

Tariffs are fees paid for a continuous service provided by a third party (e.g. sewer services), while self-supply expenditures are managed directly by users and are often one-off expenses, for example, for the construction of a household sanitation facility, such as a pit latrine or a flush toilet.

Ideally, tariffs should be 'cost-reflective', i.e. set at a level which enables service providers to meet all costs, including O&M, depreciation (capital costs), and a return on investment for expansion of sanitation services. In practice, however, the sum of tariffs and the costs of self-supply that make up the full cost of services may be unaffordable for many potential service users, especially those on low incomes. In such contexts, tariffs and self-supply expenditures should be subsidised to secure the public goods (health and environmental benefits, among others) delivered by sanitation (see 9.2.3 on sources of funds and instruments for subsidies).

(b) Domestic transfers

Governments and subnational governments may use public funds (such as revenues from taxes) to make major upfront investments and/or cover the costs of providing ongoing services if cost-reflective tariffs cannot be levied. Governments can channel those funds as grants or subsidies, described below.

- A grant or fiscal transfer is the transfer of financial resources from one government entity to another 'free of charge', without expectations that the funds will be repaid.

- A subsidy is a type of grant; it can be 'explicit' corresponding to the effective transfer of resources from one institution to another (or to individuals) or 'implicit' (or hidden) where institutions or individuals are exempt from certain costs (e.g. where a utility is exempt from paying the full energy bill).[4]

(c) International transfers

Governments can draw on grants from international donors, charitable foundations, and NGOs interested in supporting the sector.

9.2.3 Financing instruments for sanitation

Where large investments are required to develop sanitation services, and domestic transfers and tariffs are not sufficiently large to meet the initial investment costs, additional funds can be mobilised via other financing instruments. The most used instruments in the sanitation sector are repayable finance instruments (loans). Other instruments that can be promoted are public-private partnerships (PPPs) and land value capture instruments.

Repayable finance instruments

Repayable finance is funding that may be derived either from private sources, such as commercial banks, or from public development banks, which often offer concessional rates. All funds raised in this way need to be repaid, either through tariffs or via domestic transfers. The ability of governments or service providers to access repayable finance depends on their creditworthiness and the revenue potential of the sanitation business. Repayable finance can be mobilised for public, private sector, and household investments.

(a) Repayable finance for public investments

Governments and subnational governments seeking to invest in sanitation may mobilise, among other instruments:

- Loans: these may or may not be on concessionary terms from various domestic and international sources, such as commercial banks, private and institutional investors; and

- Bonds (where these can be issued): when a bond is issued, the bond issuer needs to pay bondholders' interests (also known as 'coupon') and the principal, usually paid at a fixed term in the future (at 'maturity'). Bonds are of particular interest for municipal investments as they can unlock significant finance and can have long maturity suitable for the large capital investments required for sanitation. However, as of 2020, very few subnational governments in Africa have issued bonds as few are creditworthy.

(b) Repayable finance for the private sector

Private enterprises involved in sanitation may also seek to mobilise loans (and microloans, see below) as well as bonds, depending on their creditworthiness and the strength of local financial markets. They can also attract equity investments. Equity is the ownership of assets; equity finance mobilises funds from private investors or capital markets to buy a share of ownership interest in the company in exchange for dividends. Although equity finance for sanitation businesses is not developed in Africa, it is a type of financing instrument for sanitation which can potentially incentivise private investors.

Small and medium size private companies (for example, faecal sludge emptiers) may need small-scale finance (or microfinance) delivered by specialised institutions.

The private sector can be supported by the public sector for accessing repayable finance via:

- technical assistance to financial institutions to increase understanding of the sanitation sector and for sanitation service providers to fulfil the requirements to apply for loans (service providers can be supported, for example, to prepare business plans);

- provision of financial guarantees that reduce the risks for the lender and can then reduce financial costs;

- off-take agreements between the public entity and the private sector for the payment of services (e.g. amount of wastewater treated) that secure predictable revenue streams; and

- setting up lines of credit dedicated to sanitation in financial institutions for on-lending at concessional rates to private enterprises delivering sanitation services.

(c) Repayable finance for households or service users

Households or service users can also access repayable finance for their investments via microfinance. Microfinance is often offered by dedicated financial institutions (microfinance institutions or MFIs) or a specific department within a large commercial bank. Microfinance mainly refers to financial products and portfolio management methods tailored to small (or micro) businesses. Some MFIs also offer products to individuals for consumption loans (e.g. to cover school fees). This type of financing offers opportunities for the sanitation sector as it can help households spread the costs of investments and charges (e.g. for a sewer connection) over time. Microfinance is particularly suitable for enabling household expenditures on their own facilities.

Just as for the private sector, the public sector can intervene to support households accessing repayable finance where necessary to allow them to make investments.

Public-Private Partnerships (PPPs)

A PPP is 'a long-term contract between a private party and a government entity, for providing a public asset or service, in which the private party bears significant risk and management responsibility'.[5] PPPs can help mobilise finance for sanitation, where the private sector has obligations to invest under a PPP contract. A common form of PPP in the sanitation sector in Africa is a concession contract for the O&M of a faecal sludge treatment plant, which might typically have a duration of five to ten years and include investment by the operator which it recoups via tariffs. Some PPPs also include the transfer of funds from the government to the private operator when tariff revenue is not sufficient to meet costs. A Design-Build-Operate (DBO) PPP contract is used where the contractor is subsequently responsible for operation of the facility, which incentivises design efficiencies. Annex 5.4 provides references to a guidance document on PPP contracts that can be used for sanitation.

Due to low tariffs and an inadequate enabling environment (e.g. a legal framework for PPP or lack of policy on the role of the private sector), PPPs for sanitation remain very limited in Africa, whereas they have been used extensively to build wastewater treatment facilities and entire sewerage systems in China and Latin America.[6]

Although traditional service contracts are not PPP contracts in the strict sense (since the private sector is less exposed to risks related to demand for services), they can also be mobilised to improve service efficiency. Service contracts can include minimum performance criteria to incentivise, for example, the performance of faecal sludge service providers. Such service contracts can be valuable for mobilising private sector expertise at an efficient cost.

Land value capture instruments

Land-based, or 'land value capture' instruments have been used in many developing countries, notably in rapidly growing urban centres in China,[7] but are less common in Africa. These instruments generate local level funding where subnational governments have control over land assets. They include:

- a 'land betterment levy' imposed on private owners following the development of infrastructure: this is where the local government imposes a tax on landowners to recoup municipal investments in infrastructure (e.g. sewers) on the basis that the land has increased in value;

- acquiring, developing, and reselling public land, where public owners acquire land for development, before reselling it for a profit; and

- selling or leasing the land to unlock funding.[8]

The value of land may also increase due to environmental improvements such as improved sanitation.

9.2.4 Involving subnational governments in funding sanitation

Where subnational governments have devolved responsibility for planning and managing sanitation services, they can draw on local taxes and other locally generated funds such as property taxes, as sources of funding for sanitation. The active involvement of subnational governments should be specified in a sanitation policy. If subnational governments (and users) are not able to cover the costs of developing and maintaining sanitation services, national governments can channel additional resources to them, with the support of development partners by way of grants or concessional lending. Incentive structures can be designed where local governments can access special national funding windows if specified sanitation performance indicators are achieved.

9.3 Recommended practice

Recommendation 1: *Public funding allocations should be linked to detailed planning and costing*

A sanitation policy should specify that a funding strategy must be put in place to ensure that sanitation systems are developed and operate in a sustainable manner, with adequate funds allocated for maintenance and renewal. Such a funding strategy should be part of the policy implementation strategy (see Chapter 11).

It is recommended that the funding strategy is linked to a national sanitation programme, which clearly states the specific objectives to be achieved within a specified timeframe and the full costs of achieving such objectives. Among these, the national programme should define suitable sanitation systems and service levels, supporting activities related to the enabling environment, and capacity building. The funding strategy should specify how these costs would be covered, including through which funding sources and financing instruments, and which entities are responsible for covering the costs. It should specify how public funds from both domestic and international sources will be effectively channelled, and include clear financial commitments from government and development partners to fund sanitation services. Where sanitation services are decentralised, national planning should be based on local level plans.

Recommendation 2: *Subsidies should be carefully designed and targeted*

Good practice is to set tariffs that cover at least operating costs and incentivise service providers to recover their costs through user tariffs and charges. Regulation can also provide incentives for operational efficiencies (cost reduction) but these should be accompanied by regulation of service levels (e.g. coverage rates, service continuity or treatment quality) to ensure that efficiencies are not introduced at the expense of service quality (see Chapter 7).

However, cost recovery and economic efficiency are not the only considerations that should guide tariff setting. Other considerations include:

- **Equity:** access to sanitation services should be equitable, i.e. accessible regardless of service users' income levels, gender, and other social determinants; and

- **Affordability:** sanitation services should be provided to people regardless of cost or ability to pay.[9]

Where full cost recovery tariffs are not possible for equity and affordability reasons, the funding strategy should state that services will be subsidised. Subsidies can take a multitude of forms and can be funded by government funds (national or subnational) or cross-subsidies from other users or sectors. The specific funding strategy put in place should be built on an assessment of costs and affordability constraints, both for service users and the public purse.

Some subsidy mechanisms that can be included in the policy are:

- **Subsidies to service providers** via the transfer of funds directly to service providers (e.g. per sewerage connection, for each sanitation containment facility built or for each faecal sludge emptying job) as part of a contract agreement; any such subsidy mechanism should be accompanied by strong incentives for service providers to make efficient use of available funds (see Chapter 7 on Regulation); or

- **Subsidies to service users** in the form of vouchers, for example, to reduce their expenditure on sanitation services, including for non-sewered containment solutions.

Funding for subsidies can be raised from government budgets but also from some categories of service users. Such funding sources include, for example:

- The application of a surcharge on the sewerage tariff paid by certain users: In this case, additional charges are added to the sanitation bill of targeted customers (for example, as a percentage of the sewerage bill) and revenues raised are used to fund non-sewered sanitation interventions. Such a surcharge is implemented in Ouagadougou (Burkina Faso).

- Cross-subsidies between services: For example, a portion of revenues from water tariffs can be used to fund sanitation services; such cross-subsidies are financially sustainable where water tariffs are set above full O&M cost recovery.

Where such subsidy mechanisms are put in place, the policy should clearly state which funds are used to cover them, which service users should benefit (usually the poor), and how they will be targeted. The ideal targeting mechanism will be the most cost-effective at identifying poverty, or an effective proxy of poverty. Some countries use, for example, registers of existing social programmes already targeting the poor; specific geographic locations where households are clustered in economically homogenous neighbourhoods; and assessment of housing characteristics where economic classification can be easily perceived.

Recommendation 3: *Public funds should be allocated for the enabling environment and support activities*

All enabling environment activities, and supporting activities (for sanitation systems development and the promotion of sanitation) should preferably be funded through domestic public funds with support from development partners if needed. Sufficient funds need to be allocated in government budgets, not only for staff costs but also for a working budget to cover equipment, travel costs or consultants. It is best practice not to rely on development partner funds as these can be unpredictable; however, the economic context in most countries in Africa means that this long-term support may be necessary.

Recommendation 4: *Subnational funding should be supported and incentivised where relevant*

Where decentralisation is effective, subnational governments should be incentivised to plan, budget, and fund the sanitation services that they have the responsibility to deliver. This might cover, for example, enforcement costs, behaviour change promotion, monitoring, and sanitation systems development and maintenance. Regional/local funding can be through a mix of local taxes and fees, and development funds (from central government). Allocating a clear budget code for sanitation allows the extent of local contributions to be tracked. In India, for example, the Swachh Barat programme channels at least 27% of its budget via decentralised local governments.[10]

Recommendation 5: *Subnational governments and service providers should be supported via the central government budget*

Central government budget should be allocated to support sanitation investments. Considering the large investment needs, decentralised local governments (or service providers with responsibility for funding investments) may require central government funding support. Ideally, this is allocated

based on equity criteria, assessed according to the financial capacity of local governments and the rate of access to sanitation services in specific areas. Central government funding should be channelled to those subnational governments and service providers clearly lagging behind in terms of sanitation coverage. In areas or regions where capacity is lacking or where there are other constraints to developing services, good practice is to set progressively more ambitious milestones (e.g. institutional and financial reform targets) for local authorities to achieve before going on to the next level of funding.

Recommendation 6: *Options should be explored for private sector financing*

It is recommended that the policy states that private sector financing of sanitation services is actively supported. In most African countries, the private sector is de facto involved in delivering sanitation services, mainly for the construction of toilet facilities and the provision of faecal sludge emptying services. The private sector may invest in public infrastructure, such as faecal sludge and decentralised treatment plants, under PPPs or other agreements.

Governments can introduce incentives for the private sector to increase or better allocate investments in sanitation infrastructure and provide direct support to private sector through:

- developing a predictable policy and regulatory environment attractive to formal operators, including contractual arrangements;
- identifying investment opportunities and taking on the costs of project preparation (e.g. feasibility studies);
- capacity building to meet regulatory requirements and improve business management skills;
- facilitating access to repayable finance to promote investments; and
- sharing data on the sanitation market.

Recommendation 7: *Public funds should be used to increase access to repayable finance*

The sanitation policy should state whether repayable finance can be mobilised for sanitation and which institutions are eligible to borrow. If the policy does envisage repayable finance, it should acknowledge that the government has a role to play in enabling households and service providers to access affordable finance. The use of public funds can unlock private capital and enable service providers to access 'blended finance'. Governments and development finance institutions can help de-risk or limit perceived risks of sanitation investments using the following:

- Concessional lending to financial institutions for on-lending to service providers (e.g. for investment in equipment or infrastructure) or households (e.g. to build containment solutions). Public funds are used to lower the cost of finance, which can be managed by a commercial bank (for larger loans) or microfinance institutions (for smaller loans).
- Seed funding into a revolving fund managed by a financial institution.

- Guarantees (where a third party underwrites a financial commitment between two other parties) can be used to reduce risks to lenders, improve borrowers' creditworthiness, or improve lending terms. They can be used to facilitate access to finance for sanitation enterprises.

The choice of instrument should be based on a careful assessment of barriers to entry for sanitation enterprises or household constraints, to ensure that the solution is appropriate.

9.4 Sample policy statements

Statement 1: Responsibilities for funding sanitation shall be shared between the national government, subnational governments, and users of services.

- The responsibility for funding sanitation shall be allocated clearly between national, regional and local government, based on an evaluation of their capacity to fund and to manage funding of sanitation.
- The national government shall support service authorities to mobilise resources for investing in sanitation services expansion.
- A budget code for sanitation shall be established so that sanitation can be budgeted at all levels.
- Financial commitments shall be made public and monitored.
- Funds generated locally by local governments shall be used to fund sanitation, including revenues from local taxes and licences and land value capture instruments.
- Where domestic and locally generated funds are not sufficient, national and subnational governments as well as service providers shall coordinate to mobilise external resources from development partners.
- Tariffs shall be based on the full costs of services unless clear affordability constraints have been identified.

Statement 2: Public funds (including from national and local governments) for sanitation shall be used for developing sanitation systems and services, including communications and behaviour change, and the enabling environment and supporting activities such as M&E and capacity building.

- National and local government, and public utilities where relevant, shall mobilise funding for infrastructure development, including containment, emptying, transport, and treatment facilities.
- The national government shall commit to assessing resource requirements at local level for carrying out behaviour change and enforcement activities and for monitoring policy objectives, and shall channel resources for such activities accordingly.
- Local governments and public utilities, where relevant, shall also mobilise funding for carrying out behaviour change and enforcement activities and for monitoring policy objectives.

Statement 3: Subsidies shall be made available to support access to sanitation.

- Where fully cost-reflective tariffs and prices paid for services (such as toilet construction, sewer connection and use charges, and faecal sludge emptying) are not affordable for all users, subsidies shall be channelled to users facing affordability constraints.

- Subsidies can be sourced from public funds, from other service users, or from revenues from other services (cross-subsidies).

- Responsibilities for funding these subsidies shall be set according to the institutional and budgetary framework for sanitation.

- Affordability constraints and the need to incentivise operational efficiencies shall be considered.

- Subsidies shall be allocated equitably. Discrimination that denies a subsidy based on ethnicity, gender, existence of disability, age or any other basis is not acceptable.

- Subsidies shall be explicit, transparent, and carefully targeted, with priority given to the most vulnerable.

- Subsidies provided to service providers shall be accompanied with strong incentives for operational efficiencies to ensure the most efficient use of available funding.

Statement 4: Private sector participation in financing and delivering services is encouraged.

- The national and local government and public utilities, where relevant, shall foster an adequate enabling environment to support private sector participation in financing and delivering sanitation services.

- Where relevant, the national and local government and public utilities shall subsidise private sector delivery, where financial constraints to sustainable operation have been identified.

Statement 5: The national and subnational government and service providers shall seek to raise market-based or commercial finance for developing sanitation services.

- The national government shall engage with the local financial sector to present investment opportunities in the sanitation sector.

- National and subnational governments and service providers can use a range of instruments to attract private finance, including loans, bonds, and equity finance.

- PPPs shall be implemented, where they provide opportunities to attract private finance and improve service efficiency.

- National and subnational governments or any relevant national authority shall identify opportunities to attract blended finance to the sanitation sector, by using public funds in a strategic manner.

Statement 6: **Provided that they provide the required service quality, the most cost-effective technologies and service models shall be selected.**

- Local governments and public utilities, where relevant, shall promote appropriate technologies acceptable to customers and users. Where non-sewered sanitation options are the most cost-effective in the short to medium term, these shall be actively promoted and strengthened.

9.5 References

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Chapter 10. Monitoring, Evaluation, and Review

This chapter provides guidance on what a sanitation policy should say about monitoring and evaluation (M&E) and how to carry it out.

A definition of monitoring and evaluation and their importance in a sanitation policy is provided in subchapter 10.1. Factors to consider in monitoring and evaluation are discussed in 10.2 and recommended practices in 10.3. Sample policy statements are set out in 10.4.
Additional sources of information are presented in Annex 5.5. Definitions of concepts used are given in Annex 6.7.

10.1 What is monitoring, evaluation, and review and why is it important in a sanitation policy?

Monitoring and evaluation is the periodic assessment of routinely collected information. Whether monitoring progress against national sanitation targets or against sanitation policy objectives, the purpose of M&E is to generate and analyse relevant information needed for informed decision-making, planning, and course correction. Monitoring and evaluation information should be translated into analytical, action-oriented reports that facilitate effective decision-making. The purpose of monitoring is to produce reliable information that government and other stakeholders can use to periodically review and/or evaluate their progress against national targets and against policy objectives.[1]

Figure 6: Sanitation governance cycle adapted from OECD (2015)[2]

Monitoring and evaluation are central to policy formulation and implementation. Good governance requires good decisions. Good decisions require good information. Ensuring that policy formulation is informed by evidence about what works will strengthen the achievement of policy objectives, inform research and learning, and promote accountability and public trust (Figure 6).

Effective routine monitoring enables sanitation policy implementers and decision-makers to track their progress against national sanitation targets and sanitation policy objectives. Periodic review helps to inform decisions about how to bridge the gaps identified so that sanitation implementation strategies, approaches, and resources can be better aligned to meet the sanitation policy objectives and targets set by government.

Since public policy determines what actions government will take, what effects those actions will have on socio-economic conditions and rights, and how those actions can be altered if they lead to undesirable outcomes, periodically evaluating policy should be included in national monitoring and evaluation systems.[3]

Monitoring and evaluation information can also be used to support evidence-based advocacy, including media advocacy, budget advocacy, and policy advocacy, and to promote transparency and public participation.

Monitoring and evaluation enable:

(a) Accountability:

- Monitoring and evaluation are key components of public administration. M&E enables governments to check how well they are implementing the democratic values and principles of public administration.

- Public officials have a legal obligation to be accountable for how plans and policies are implemented, how funds are spent, and how they make administrative decisions and take administrative actions. M&E provides information that allows the scrutiny of public service activities. Accountable public service is central to good governance.

- Government departments are obliged to assess and report on their performance in terms of regulations, norms, and standards; to engage independent evaluators to assess the relevance, effectiveness, and efficiency of their interventions; to publicly disclose evaluation results and findings and disseminate them to a broad range of stakeholders; and to use key findings and lessons to inform resource allocation and other decisions.[4]

- Monitoring enables public accountability, which is a core governance function. Monitoring and evaluation data, decisions, budgets, and plans must be publicly accessible across all sectors and departments. A publicly accessible website with updated information is advisable.

(b) Adaptive management:

- Monitoring and evaluation systems strengthen communication and management and provide evidence for decision-making about resource allocation, approach, and programme design and implementation. The accuracy of information and the manner in which it is presented are important to support sanitation policy decisions and implementation strategies, and to inform budgeting and the strategic allocation of human resources.[3]

(c) Learning:

- Monitoring data and evaluation findings are rich sources of learning and innovation. Through a skilfully facilitated review of monitoring information, particularly by multiple stakeholders, such as government officials, CSOs, practitioners, and user groups, important lessons and insights can be generated and actions identified to address bottlenecks and constraints to inclusive, sustainable sanitation services.

- Monitoring information can also be used to inform research about approaches that are most effective, efficient, and equitable.

- M&E generates new knowledge. Capturing findings, institutionalising learning, and organising this information can strengthen sanitation institutions.[5]

Evaluations can generate knowledge about what works and what resources and approaches are needed to meet policy objectives, which in turn, can enable governments, service providers and other actors to refine plans and introduce improvements to future efforts. Useful evaluations require a careful selection of evaluation questions, methods of analysis, and mechanisms to share findings widely and to facilitate the integration of the evaluation conclusions, lessons, and recommendations into policy decision-making.[6]

10.2 Factors to consider in monitoring and evaluation

(a) Monitoring must be made possible by a monitoring and evaluation plan

The targets and policy objectives of a sanitation policy will be operationalised into annual implementation plans or strategies (see 10.7), which allocate clear actions, roles and responsibilities, timeframes, and resources. The sanitation policy development team should develop a plan for M&E with SMART indicators to measure progress in achieving sanitation policy targets and milestones, i.e.:

- **Specific:** Provide a clear description of what is to be measured;

- **Measurable:** Quantify change, generally reported in numerical terms such as counts, percentages, proportions or ratios;

- **Achievable:** Have a target value that can be attained;

- **Relevant:** Answer information needs; and

- **Time-bound:** The target value evolves depending on the time needed to achieve the expected results.

M&E data gathering and analysis methods and reporting tools and formats must be fit for purpose, i.e. to enable informed decision-making and strengthen accountability. This requires sufficient resources allocated for gathering, analysing, and reporting on monitoring data.

(b) Management Information System (MIS)

The benefits of M&E are realised through the development of a tailored and responsive Management Information System (MIS). An MIS facilitates ongoing data collection and calculates indicators in real time, providing valuable information on coverage, services quality, and sustainability. An MIS can present this information in an intuitive fashion through a dashboard and can be used to generate a host of reports.

An MIS, as opposed to one-off or periodic reports, allows governments and sector institutions to access and use data to improve their day-to-day operations, enabling officials to identify where interventions are required to address a lack of progress or performance and to effectively target technical assistance.

(c) Sanitation is more than toilets and what to monitor must be carefully chosen

Governments are encouraged to set national targets that make incremental progress towards 'safely managed' sanitation.[7]

- The global indicator selected by UN Member States for monitoring SDG target 6.2 is the 'Proportion of population using (a) safely managed sanitation services and (b) 'handwashing facility with soap and water'. Safely managed sanitation creates a new service norm and represents an additional 'rung' at the top of the JMP sanitation service ladder.[8]

'Safely managed sanitation' is defined as 'the use of an improved sanitation facility which is not shared with other households and where excreta is safely disposed in situ, or excreta is transported and treated offsite'.[9] However, different indicators are needed for all components of the sanitation chain, from capture to containment, emptying, transportation, treatment, and reuse or safe disposal of excreta. These indicators should be disaggregated, where relevant, by income, sex, age, race, ethnicity, migratory status, disability, and geographic location, in accordance with the fundamental principles of official statistics.[10]

The UN Special Rapporteur on Water and Sanitation (2017)[11] notes that monitoring and reporting processes are to be guided by the human rights framework, meaning that equality is an integral part of the definition of 'safely managed' services and not additional or complementary, and that data should be disaggregated by gender, geographical location, and socio-economic characteristics in order to address discrimination in sanitation service provision. Box 24 defines equality and non-discrimination in relation to WASH.

Box 24: Equality and non-discrimination

Equality and non-discrimination are core principles of the Human Rights to Water and Sanitation and are legally binding. Equality does not mean that everyone must have the same services, but that no one is left behind and that those without access are levelled up to at least basic sanitation service levels. To reach national and international targets, the progressive reduction in inequalities requires that underserved groups have higher rates of progress in sanitation (and water). Inequalities must be measured for four population groups:

• poorest vs richest wealth quintile
• rural vs urban
• informal settlements vs formal urban settlements
• disadvantaged groups vs the general population

Both public and private providers can be held accountable to the regulations and standards set in a sanitation policy by monitoring compliance. Table 11 is an excerpt from Uganda's Water and Environment Sector Performance Report (2018)[12], showing performance indicators for rural vs urban areas.

Table 11: Excerpt from Uganda's Water and Environment Sector Performance Report 2018 (Sanitation and Hygiene)

Performance Indicators (n/a – not applicable, ND – No Data)		2015/16	2016/17	2017/18
Basic sanitation: Percentage of population using an improved sanitation facility not shared with other households	Rural	n/a	ND	ND
	Urban	n/a	ND	36.3%
Safely managed sanitation: Percentage of population using safely managed sanitation services	Rural	n/a	ND	ND
	Urban	n/a	ND	26%
Open defecation: Percentage of population practising open defecation	Rural	n/a	ND	8%
	Urban	n/a	ND	12.6%
Handwashing: Percentage of population with handwashing facilities with soap and water at home	Rural	36%	37%	36.5%
	Urban	39.1%	40%	39.6%
Schools: Percentage of pupils enrolled in schools with basic handwashing facilities		34%	35%	40%

(d) Sanitation monitoring is aligned with national monitoring systems

When sanitation monitoring data are integrated into national M&E processes and into an institutionalised MIS system, clear synergies are seen between subnational, national, regional, and global monitoring systems. A lack of this alignment has been seen in country consultations to be a barrier to monitoring and achieving sanitation and hygiene improvements.[13] This has included a lack of alignment between the monitoring systems and indicators of different sector departments (all having responsibilities for sanitation and hygiene), and the lack of alignment between subnational, national, regional, and global monitoring systems. Sanitation and hygiene monitoring indicators and tools need to be harmonised across departments, actors (including the private sector) and subnationally. This requires multisectoral development of an inter-ministerial M&E framework with institutional responsibilities allocated across different sector departments and agreed through the national sanitation coordination mechanism. The National Bureaus of Statistics are essential stakeholders in this, and the WHO-UNICEF JMP is an essential reference point.

10.3 Recommended practice

This subchapter sets out recommendations and good practice for incorporating monitoring and evaluation into policy.

Recommendation 1: *Sanitation policy should include clear objectives*

It is recommended that policies include a clear objective and implementation strategy that can be routinely monitored and periodically evaluated. The implementation strategy must set out SMART (Specific, Measurable, Attainable, and Time-bound) objectives with clear roles and responsibilities, indicators, timeframes, reporting formats, and the necessary resources for these, including for monitoring and evaluation (see Chapter 11).

Recommendation 2: *Targets should be aligned*

Ensure that national targets align with the WHO/UNICEF JMP indicators and that a baseline is obtained against the agreed targets against which future progress will be measured. Harmonised monitoring systems and indicators, in line with the objectives of the sanitation policy, should be agreed by the relevant sector departments.

The global goals such as the SDGs should take account of different national realities, capacities, and levels of development, and respect their policies and priorities. Each government needs to formulate its own targets tailored for their national circumstances while incorporating these aspirational, global targets into national planning processes, policies, and strategies.[14]

Recommendation 3: *Government should lead sanitation monitoring*

Government should lead sanitation monitoring because sanitation is a public service with direct impacts on public and environmental health and on the attainment of all other socio-economic gains.

Lead departments can use the evidence generated from M&E to guide their policy and programmatic decisions and to inform the allocation of human and financial resources. Ideally, the plan and policy should involve the development and sustaining of a national WASH MIS that can effectively inform all levels of decision-making.

Recommendation 4: *Accountability should be enabled*

Sanitation data should be publicly accessible so that civil society and the media can use it to hold public officials and private providers accountable. Reporting formats should be accessible to and understandable by the public and policy decision-makers.

Recommendation 5: *Coordination, learning, and adaptive management should be strengthened*

Convene and lead regular multi-stakeholder reviews to share and review the findings from monitoring data and to feed emerging questions into the research agendas of learning institutions and organisations. Use monitoring information to adapt to and manage new challenges and opportunities.

Recommendation 6: *Joint Sector Reviews should be carried out regularly*

Relevant stakeholders should be brought together to jointly reflect on sanitation progress and lessons and to strengthen inter-sectoral coordination. The findings from joint reflections on progress towards targets and policy objectives in annual multi-stakeholder Joint Sector Reviews should strengthen inter-sectoral coordination and implementation. Sanitation policies should be reviewed every five to ten years to coincide with the review of other policies and plans, such as relevant development plans or poverty reduction strategies. Joint Sector Reviews and the findings and recommendations of independent evaluations are useful for reviewing sanitation policies in the medium term.

Recommendation 7: *The government should engage in inter-country dialogues on progress on sanitation*

Inter-country and Africa regional dialogues such as AfricaSan, UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water (GLAAS) workshops, Sanitation and Water for All events, and regional associations of sanitation regulators such as ESAWAS and AfWA, provide valuable opportunities for peer learning and exchange between countries and for reflection on progress and can strengthen government leadership of sanitation and hygiene.

Recommendation 8: *Independent evaluations should be carried out and the results made public*

It is recommended that evaluations are led by external, independent evaluators with the requisite skills. Evaluation findings should be easily comprehensible and suitable for public distribution. In order to provide evidence to inform decision-making, the completed evaluation reports should include a summary of findings linked to policy objectives, intervention logic and assumptions, monitoring indicators and results, evaluation questions and findings, and key lessons learned by government and implementing partners.

Recommendation 9: *Monitoring and evaluation results should be publicly disseminated*

Government departments are required to monitor and report the results of their policies, strategies, and plans. Importantly, performance information needs to be accessible to enable the public and oversight bodies to assess whether public institutions are delivering effectively, with integrity and efficiency.

Recommendation 10: *Monitoring data should incorporate the standards and principles of the human rights to water and sanitation*

The UN Special Rapporteur on Water and Sanitation[11] notes that monitoring and reporting processes are to be guided by the human rights framework, meaning that equality is an integral part of the definition of 'safely managed' services and is not additional or complementary; data should be disaggregated by gender, geographical location, and socio-economic characteristics to address discrimination in sanitation services provision. It is recommended, therefore, that monitoring indicators address:

- the extent to which the provision of sufficient, safe, acceptable, accessible, and affordable WASH services is prioritised in national plans and policies;

- whether the needs of vulnerable groups are considered in pricing policies and in the design of new WASH infrastructure; and

- whether there are specific measures to reduce inequities in access and levels of service.

10.4 Sample policy statements

Statement 1: Sanitation policy objectives, national targets and implementation plans shall be regularly monitored and results shared with the public.

Statement 2: The [specify government entity responsible for sanitation] shall ensure that sanitation monitoring data are integrated into national M&E systems, ideally a national WASH MIS that covers access, service quality, and sustainability of service provision, and that there are clear synergies between subnational, national, regional, and global monitoring systems.

Statement 3: Progress against national targets and policy objectives shall be reviewed annually by all relevant stakeholders and departments, led by the government entity responsible for sanitation, and aimed at strengthening equitable and effective sanitation provision and inter-sectoral coordination.

Statement 4: Monitoring and evaluation results shall be updated on the website of [specify government entity responsible for sanitation] biannually, followed by publicly broadcast media and civil society engagement sessions.

Statement 5: Equity is integral to sanitation improvement and monitoring data shall be disaggregated by gender, geographical location, and socio-economic characteristics to address discrimination in sanitation services provision.

Statement 6: Specific indicators shall be included to measure the reduction of inequities in access to sanitation and levels of service.

10.5 References

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Photo: SuSanA Secretariat

Photo: AFDB

Part 4

Developing a policy implementation strategy

Part Four provides guidance for developing a policy implementation strategy for sanitation. This implementation strategy can be developed as soon as the policy has been approved or in parallel with the policy.

In line with the policy document, this guidance recommends the development of a single implementation strategy document for rural and urban sanitation to ensure equity in service provision in all geographic areas and because 'what is rural today is urban tomorrow'.

Chapter 11 is divided into five subchapters, 11.1 and 11.2 - considering what an implementation strategy is, 11.3 - its importance, 11.4 - its development process, and 11.5 - guidance on strategy formulation.

An example of an outline and contents of an implementation strategy is included in Annex 4.1

An example of a sanitation policy implementation strategy matrix is included in Annex 4.2

Definitions of concepts used are presented in Annex 6.8

Chapter 11. Guidance for developing an implementation strategy

11.1 What is an implementation strategy?

An implementation strategy sets out the specific objectives for the sanitation sector over the medium term (five to ten years) to drive progress towards the national policy objectives. The strategy also identifies the specific activities that will be implemented to achieve those objectives.

A strategy can be developed at national level with country-wide objectives, or it can be developed at subnational level by subnational governments with objectives relevant to a specific administrative area. In some countries, the national strategy is developed following the formulation of subnational strategies. In other countries, the national strategy is used as guidance for developing subnational strategies and plans. These Guidelines assist in formulating a national strategy that informs the development of local strategies and plans.

The level of detail included in the strategy can vary. Some countries include detailed sanitation services development plans and related costs; these strategies can also be referred to as 'programmes'. In other countries, the strategy remains a high-level document used to prepare plans and programmes. These Guidelines provide guidance for developing the latter type of strategy, which can then be used to develop programmes.

All strategies must include specific objectives relating to sanitation systems and service level objectives (e.g. to achieve 100% access to basic sanitation), enabling environment objectives (e.g. formalising and professionalising sanitation service providers), and supporting activities (e.g. capacity building).

In addition to objectives, the implementation strategy sets out the underlying activities and institutional responsibilities for progressing towards those objectives. Box 25 contains some key principles to keep in mind when developing the implementation strategy.

Box 25: Key principles of a policy implementation strategy

A strategy should:

- align with the sanitation policy: the strategy is based on the policy and seeks to operationalise the policy objectives, elaborating on specific action points and responsibilities
- be timebound, setting actions and specific objectives to be achieved within for example, five or ten years
- be practical, setting 'SMART' (specific, measurable, achievable, relevant and timebound) objectives
- be detailed with clear roles and responsibilities, costings, and indicators for measuring results to be achieved during the timeframe of the strategy
- be developed inclusively with wide stakeholder engagement

11.2 How is an implementation strategy different from a policy and a sector programme?

An implementation strategy differs from a policy in that it:

- provides time-bound objectives for the sector, to be achieved within a specific timeframe, in contrast to policy objectives, which have no specific timeframes;

- further defines roles and responsibilities for implementing activities; and

- provides an overall estimate of the funding requirements for implementing those activities and achieving strategic objectives.

Through its strategic objectives, the implementation strategy also provides the context for the development of a sector programme combining national and subnational plans with clear funding requirements. A key strategic objective should be the development of subnational plans (ideally feeding into a national plan) for sanitation, which identify the systems and services to be developed (including supporting activities such as behaviour change). These plans will be costed and prioritised based on demand as well as the commitments of government and development partners in a sector programme. A typical sector programme will set programme performance indicators to be achieved over five years.

11.3 Why is it important to develop an implementation strategy?

All too often, policies for sanitation are drafted and adopted, but lack a clearly sequenced and resourced set of actions to achieve the policy objective and indicators for measuring progress towards the objectives. An implementation strategy clearly sets out those action points, stakeholders' responsibilities, and results indicators, thereby increasing accountability for reaching the policy objectives.

In addition, the implementation strategy indicates financial requirements for achieving the policy objective. As such, it can also be used for informing the dialogue between sanitation sector stakeholders, other government stakeholders (the ministry of finance in particular) and development partners on the funding requirements, including how users will contribute to financing sanitation services.

11.4 The process of developing an implementation strategy

Relevant stakeholders must be actively engaged in developing the implementation strategy. Stakeholder engagement can happen in two phases (see Figure 7):

Phase 1: Policy dissemination and early engagement with stakeholders on the strategy.
Phase 2: Formulation of specific implementation strategy objectives through a dialogue with stakeholders.

These phases are detailed overleaf.

Figure 7: Overview of key strategic objective areas

POLICY

Sets the overall government policy: what is the aspiration for sanitation?

Sets out positions, roles of institutions, sanitation systems and services, hygiene, capacity needs, funding, regulation and M & E

IMPLEMENTATION STRATEGY

Includes timebound strategic objectives and underlying indicators to achieve the policy objectives.

Sets out the activities to be carried out to achieve strategic objectives and allocates responsibilities.

Identifies a ballpark estimate of funding requirements.

PROGRAMME

Includes subnational and national plans for sanitation systems and services to be developed.

Set out a funding plan with contributions from the government and development partners.

Includes programme performance indicators.

11.4.1 Policy dissemination and early engagement on the strategy

The purpose of dissemination and early engagement is two-fold:

• To create further awareness of and buy-in to the sanitation policy and to prepare stakeholders for their future actions and responsibilities.

• To incorporate stakeholders' experiences with sanitation systems, services, and wider enabling environment support activities to inform the implementation strategy and facilitate service delivery at scale.

Who leads dissemination and strategy engagement?

The policy dissemination and strategy engagement should be led by the national authority in charge of policy development for sanitation. Given the resources required and the need to proceed rapidly towards policy implementation, the national authority should call on other national institutions (e.g. the ministry for local governments and the key sector ministries) and partners from civil society (particularly local WASH, community development and social justice NGOs), to support strategy dissemination and engagement. Where multiple layers of subnational government exist, each should be tasked to disseminate the policy to lower government tiers.

Dissemination efforts should be led at the highest level within the ministry responsible for sanitation to build momentum for policy implementation. A national sanitation policy launch can be organised gathering senior level officials from the lead ministry, other relevant ministries, and subnational leaders. Following this, dissemination events organised throughout the country can target technical departments of subnational governments in charge of sanitation and local leaders. Where present, the sanitation directorate within the ministry responsible for sanitation leads these efforts and provides

guidance to CSOs, supporting the dissemination process through the provision of advocacy and information material and mobilising subnational technical staff and local leaders.

When does the dissemination and strategy engagement start?

Dissemination starts as soon as the policy has been approved and includes engagement on strategy development.

Who are the relevant stakeholders for policy dissemination and engagement on the strategy?

Policy dissemination – and strategy development – should be led by the 'champion' designated to lead on the efforts of policy development. The champion should ensure that policy is disseminated to all relevant stakeholders including:

- relevant national politicians and public servants, including those leading national development planning (ministries of planning and finance);
- regional and local authorities;
- local traditional leaders;
- national and local utilities;
- the private sector;
- development partners;
- civil society including local NGOs;
- service users; and
- the ministry of information and the media.

What policy and strategy information is disseminated?

- The policy objectives and policy statements are the main focus for dissemination. Institutions in charge of policy dissemination (national authorities and other key actors such as designated CSOs) should highlight what changes the policy is bringing to the sanitation sector for each of the policy core elements; for example, how the policy is reconceptualising sanitation systems, institutional arrangements, or the regulation of non-sewered sanitation. It is advised to focus on some core elements that may be new such as regulation, and the recognition of safely managed non-sewered sanitation systems.

- The dissemination process is also the opportunity to gain insights into how to operationalise the policy, and therefore, what strategy should be put in place in the medium term to achieve the objectives. Engagement on the strategy should identify the needs at local level in terms of sanitation systems and services, capacity development, funding, planning, and institutional reforms, which can then be embedded as strategic objectives.

- In addition to the needs of the sanitation sector, strategy engagement can identify and build consensus on specific approaches and practices that help develop and sustain sanitation services. This consensus should be based on local experiences related to sanitation systems and institutional and funding models for delivering sanitation services. The dissemination and engagement process should, therefore, encourage the active participation of service providers (including from the private sector and across the sanitation service chain) and representatives of service users.

How is the dissemination and engagement carried out?

National and local events, press releases, social media, and TV spots can be used to begin the process of increasing visibility for sanitation. Localised events can focus on the more technical aspects of sanitation, using existing platforms, such as sanitation working groups or WASH forums.

- CSOs have an important role to play in this dissemination effort and should be involved from the outset. Initial orientation meetings with relevant CSOs can ensure they understand the policy and the dissemination process and purpose.

- Communication materials include the printed policy document and an abridged version, which should include the basic facts and concepts of sanitation and key highlights of the sanitation policy. These materials are most effective when tailored to the audience, in terms of language and clarity.

- Media coverage (include via social media platforms) of the dissemination process is encouraged to target service users to raise awareness of the sanitation policy. Specific information materials, details of events, and press releases can be provided to media organisations and journalists. Mobilising key public figures (such as popular artists) can also help build the momentum for sanitation.

What resources are required?

The policy dissemination and strategy engagement process requires significant resources for:

- the organisation of national and local events (including media, CSOs, NGO mobilisation);

- the preparation of communication materials and policy booklets;

- training for those who will lead the technical discussions on the policy and strategy; and

- any additional training for subnational and local technical staff.

11.5 Formulating strategic objectives and activities

The second step in developing a sanitation implementation strategy is to formulate strategic objectives and the activities needed to achieve them through a dialogue with stakeholders. Strategic objectives are the focal point of the implementation strategy and provide the rationale for the activities specified.

This involves:

- developing a preliminary proposal of strategic objectives, related activities, and a timeframe;
- preparation of a preliminary costing for implementing the activities; and
- consultations with budget ministries, other relevant ministries (e.g. planning, local government), and development partners to finalise the strategic objectives and the overall budget requirement.

11.5.1 Identification of strategic objectives and related activities

As presented in Figure 8 below, an implementation strategy identifies three types of strategic objectives relating to:
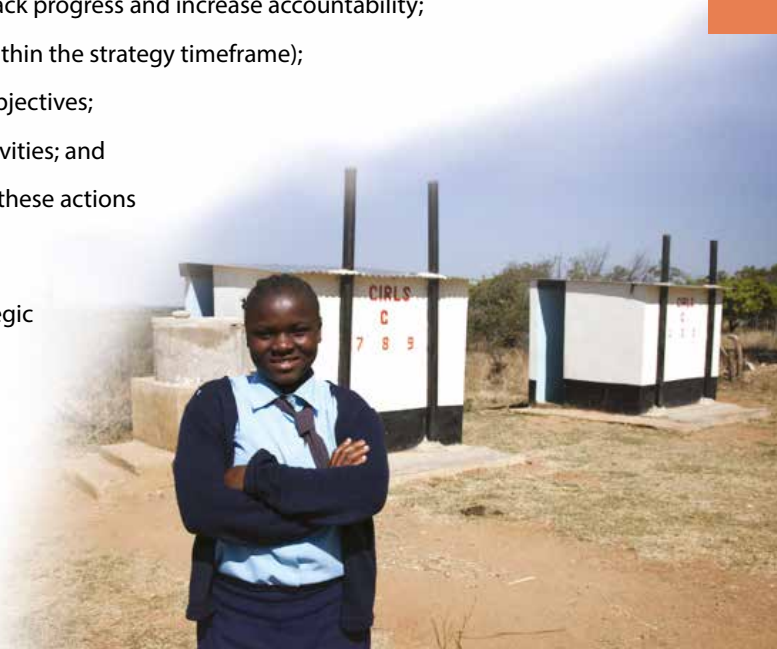
- service delivery;
- enabling environment; and
- supporting functions.

Strategic objectives are based on what is known from the consultation process about appropriate sanitation systems and services in different geographic settings and the relevant institutional and funding models so that sustainable services can be developed. The strategy is also aligned with the sanitation policy objectives, elements or pillars. Using the consultation process to identify and build consensus on the strategic objectives increases acceptance among sector actors and prepares them for the implementation phase.
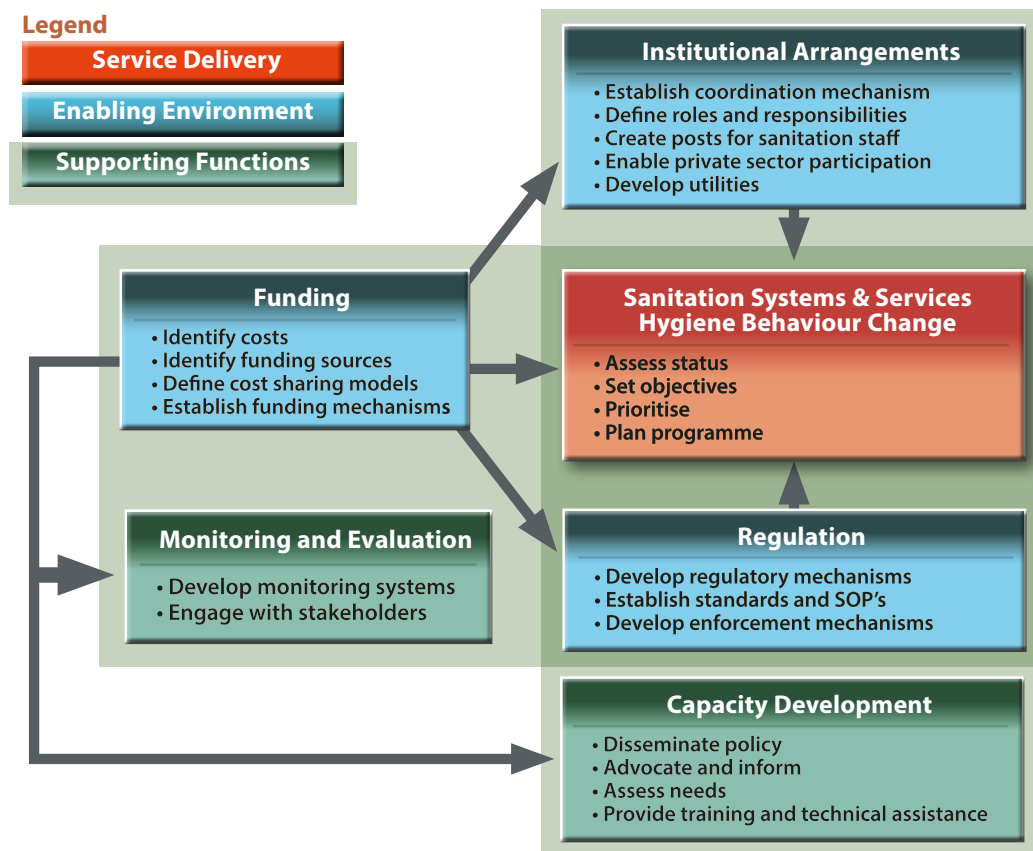
Strategic objectives should be clear and simple, underlined by:

- SMART indicators that can help track progress and increase accountability;
- a timeframe for reaching them (within the strategy timeframe);
- specific activities to achieve the objectives;
- resources to implement these activities; and
- responsibilities for implementing these actions among sector actors.

More details on each type of strategic objective are provided overleaf (see Figure 8).

Photo: WaterAid/Anna Kari.

Figure 8: Overview of key strategic objective areas and some typical activities

Legend

Service Delivery

Enabling Environment

Supporting Functions

Institutional Arrangements
• Establish coordination mechanism
• Define roles and responsibilities
• Create posts for sanitation staff
• Enable private sector participation
• Develop utilities

Funding
• Identify costs
• Identify funding sources
• Define cost sharing models
• Establish funding mechanisms

Sanitation Systems & Services Hygiene Behaviour Change
• Assess status
• Set objectives
• Prioritise
• Plan programme

Monitoring and Evaluation
• Develop monitoring systems
• Engage with stakeholders

Regulation
• Develop regulatory mechanisms
• Establish standards and SOP's
• Develop enforcement mechanisms

Capacity Development
• Disseminate policy
• Advocate and inform
• Assess needs
• Provide training and technical assistance

Strategic objectives for service delivery

The strategic objectives for service delivery relate to:

• access to sanitation and hygiene services in households, schools, and other institutional settings (e.g. healthcare facilities and prisons) with attention to sanitation systems and services adapted to the needs of women and girls; and

• access to sanitation in different geographical settings, typically differentiated between urban and rural areas; strategic objectives can also be set based on population size, for example, for towns and cities over 10,000 people vs settlements of less than 10,000 people.

It is recommended that strategic objectives related to service delivery align with the policy on monitoring and evaluation. In line with recommendations from these Guidelines, global standards for measuring service levels, such as those defined by WHO-UNICEF Joint Monitoring Programme, should

be used to move the country towards achieving the policy objectives and commitments related to the Sustainable Development Goals (see Chapter 10). Furthermore, where the strategic objectives are not to provide safely managed services for all, a pathway of incremental improvements needs to be identified -possibly spanning multiple strategy periods – addressing the move from basic service to safely managed service, the use of shared facilities, the use of waste treatment facilities and standards etc.

Box 26 provides an example of a strategic objective for sanitation systems and services and related activities.

Box 26: Examples of strategic objectives for sanitation systems and services, and hygiene

Strategic objective: To achieve at least basic sanitation for all households by [date]

Indicators:

- By [date], 100% of the population have access to basic sanitation
- By [date], at least 50% of the population have access to safely managed sanitation in urban areas
- By [date], at least 60% of the population have access to safely managed sanitation in rural areas

Activities to achieve objectives:

- Define minimum requirements of sanitation systems in rural areas, small towns, urban areas, and densely populated areas
- Define standards of sanitation systems resilient to climate change depending on the country context and adapted to the needs of women and girls
- Develop national and subnational plans for sanitation to identify the most appropriate and effective technologies relating to, for example, topography, water table, reaching vulnerable groups, and population growth
- Build and sustain demand for improved sanitation
- Build and sustain the supply chain for sanitation systems and services

Strategic objective: To achieve at least basic hygiene services for all by [date]

Indicators:

- By [date], 100% of households in all settings have access to at least basic hygiene

Activities to achieve objectives:

- Develop a programme to promote good hygiene practices
- Mobilise communities to support communication and behaviour change campaigns, particularly through the involvement of women
- Develop and promote innovative handwashing facilities

Strategic objectives for the enabling environment

The strategic objectives for the enabling environment relate to institutional, regulatory, and funding arrangements. Examples include:

Institutional arrangements:

• Clearly define authorities at subnational level to plan and oversee sanitation services.

• Establish local byelaws to empower the enforcement of sanitation service level standards.

• Clarify roles and responsibilities across all functions.

Regulation:

• Develop service operating standards, including for non-sewered sanitation.

• Make explicit the role of utility companies regarding sanitation, both sewered and non-sewered, as part of their service delivery mandate.

• Create instruments for utilities and/or subnational governments to enter into performance agreements with private operators.

• Issue contracts and/or licences to regulate private sector participation.

Funding arrangements:

• Develop costed subnational sanitation service plans aligned with subnational development plans to prepare multi-annual and/or annual budgets, depending on the country's budgetary framework.

• Budgets for sanitation to include clearly differentiated funding sources from national and subnational governments and development partners.

• Increase funding contributions from subnational governments.

• Enable service users to smooth out investments in sanitation systems over time via microfinance and other financial instruments.

• Introduce reporting requirements for all development partners' activities and funding.

Box 27 shows a more detailed example of a strategic objective related to the enabling environment.

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Box 27: Example of an enabling environment strategic objective

Strategic objective: Formalisation of non-sewered sanitation service provision
Indicators:
- By [date], all sanitation service providers, including those involved in constructing toilet facilities, emptying, transport, and treatment services are operating under a sanitation service licence
- Number of mechanical pit latrine emptiers that provide services according to Standard Operating Procedures
- Performance agreements in place with service providers

Activities to achieve objectives:
- Mapping exercise of all service providers
- Develop SOPs for the different services of the sanitation service chain
- Develop contractual models for the construction of toilet facilities

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Strategic objectives for supporting functions

The strategic objectives for supporting functions relate to capacity development, monitoring and evaluation, and reflect the policy positions related to these tasks. Examples include:

Capacity development (also see Chapter 8).
- Develop the capacity of subnational (regional/state/county and local governments) to plan and oversee sanitation services.
- Build skills for designing and operating sanitation systems.
- Build the capacity of private operators to meet construction and operating standards.

M&E (also see Chapter 10)
- Set up an annual review of progress towards strategic objectives.
- Develop a monitoring framework to track progress in access to sanitation services for the poorest quintile.

11.5.2   Preliminary costing of the implementation strategy

Following the identification of strategic objectives and related implementation activities, it is advised to carry out a preliminary costing exercise to estimate funding requirements, i.e. how much it will cost to implement those activities listed in Table 10, Chapter 9.

In the context of the strategy development, it is advised to use previous projects or programmes as a basis for estimating these costs, e.g. for an indication of costs per capita of developing and maintaining sanitation systems. It is important to factor in O&M costs of sanitation systems so that an adequate funding strategy is developed to cover these costs. Additional costs related to the enabling environment should also be factored in if programme budgets have overlooked these. At the strategy development phase, this costing exercise need only be approximate, to provide an overall envelope of resources required. A more precise but onerous alternative is to carry out a bottom-up costing exercise, based on examples of city and town planning. This can be carried out at a later stage during programme development.

This preliminary estimate of financial requirements helps to prioritise interventions and engage with potential funders, including the budget ministry and development partners.

11.5.3   Engagement with the budget ministry and development partners

Engagement with key government departments (e.g. ministry of finance, ministry of planning) and development partners is critical at this stage of the strategy development (before it is finalised). This helps to:

- **Build buy-in for the sanitation sector:** presenting a detailed strategy that addresses all key elements of the sanitation policy may increase confidence among key ministries and donors that the ministry responsible for sanitation and other stakeholders have a vision, a willingness, and capacity to develop sanitation services; presenting specific strategic objectives related to institutions, funding, and regulation will increase confidence that investments will be sustainable.

- **Provide a 'reality check' on the strategy:** funders should be able to indicate how much they can commit in support of the implementation strategy; engaging with funders as the strategy is being developed will provide the opportunity to prioritise activities to reflect available resources and commitments.

This step ensures that the strategy is realistic, meeting both the ambitions of the policy and the capacity of the national and/or subnational governments to support them.

11.5.4   Finalising and rolling out the strategy

This step consists of bringing together the outcomes of the stakeholder engagement into a consolidated strategy document for sanitation, which serves as a binding framework for developing the sub-sector over the medium term, with specific objectives, activities, allocation of responsibilities, and a budget.

From this, sector plans and programmes can be designed, which will specify the time-bound targets, interventions to be implemented over the following three to five years, and the specific costs and budget associated with them. Sector plans and programmes will build on secured commitments from funders.

Photo: WaterAid_ Basile Ouedraogo

Photo: BORDA

Annexes

Additional resources

Annex 1.   Supplementary resources for the policy development process

This annex contains supplementary resources and tools to support the operationalisation of the Guidelines. The materials and tools provided in this annex is intended to provide practical materials and sample templates that policy makers can adapt to suit their contexts.

All online links were correct at the time of publication.

Annex 1.1   Sample Terms of Reference for conducting a sanitation situation assessment

Sample Terms of Reference for conducting a sanitation situation assessment

1. Background
- A brief background on policies and the importance of a good sanitation policy.
- The mandate of the agency managing the assessment and what they are looking for.

2. Objective
- The overall objective of assessing an existing sanitation situation, including related policies, strategies, and plans, is to evaluate how adequately the policies facilitate the provision of sanitation services, and address global and regional goals and country level sanitation targets. The specific objectives include the following:
  - to review basic data, particularly those related to sanitation coverage and access;
  - to review existing sanitation-related laws, policies, strategies, and programmes; and
  - to conduct an in-depth situation assessment of the existing sanitation situation.

3. Detailed activities and deliverables
Review basic data and existing legislative framework and policies on sanitation
- Collect and review basic population data, sanitation access, and coverage by different population groups.
- Collect and review background documents on water and sanitation policy and all other sanitation-related policies, with a focus on national and subnational policy framework.
- Review existing laws, regulations, and byelaws on sanitation and related issues.
- Review existing institutional responsibilities for sanitation services as well as any existing sectoral coordination mechanisms (e.g. among ministry and sector agencies, etc.)

Assessment of existing sanitation situation
- Conduct a detailed assessment of the existing sanitation situation using appropriate methodology.
- Ensure that a cross-section of the stakeholders (e.g. users, service providers, policymakers, implementation organisations, advocacy groups, donors, etc.) are consulted for the various elements to be assessed. These may include key informant interviews, focus group discussions, and workshops.

cont/d ...

- Schedule and complete interviews with senior- and mid-level government officials who are knowledgeable about the policymaking process and about sanitation and water issues. Target key government ministries and agencies, NGOs, CBOs, and donor organisations.
- Develop detailed interview guides covering all the core topics outlined in Box 5, Chapter 2, and map topics/questions against the appropriate stakeholders.

- *Reporting of review and assessment*
- On completion of the desk review, compile the basic data and a summary of the review of existing policies and legislative framework into a cohesive report. Identify gaps in the information that need to be filled through detailed assessment of the existing sanitation situation.
- Prepare a concise report synthesising sector data from above, incorporating the assessment of the key elements and outlining conclusions and recommendations for policy revision or formulation.
- Disseminate findings through debriefings and workshops with stakeholders, including user groups, contracting government authorities, inter-ministerial government officials responsible for sanitation, NGOs, CBOs, and development partners.

4. Key qualifications of the assessment team
- In-depth knowledge of the policy process.
- Good knowledge of the sanitation and water supply sector.
- Minimum of 7-10 years' experience in public policy analysis related to sanitation, health, and environmental issues.
- Excellent interview skills and the ability to consult effectively with mid- to senior-level government officials, NGOs, CBOs, donor agency officials, and user groups.
- Good facilitation skills and experience of facilitating focus group discussions with a range of stakeholders.
- Experience of organising and facilitating workshops with various stakeholder groups.
- Strong presentation and report writing skills.
- Advanced degree in one or more of the following areas: public policy analysis, public health, water and sanitation, or environmental policy issues.

5. Timelines and logistics
- Indicate the timelines for the review and assessments.

6. Application process
- Outline the application process, including deadlines and where to submit applications to posts advertised externally (when these are contracted out).

(Adapted from Elledge et al.[1])

[1] Elledge, M. F., Rosensweig, F., and Warner, D. B. Guidelines for the assessment of national sanitation policies. Washington DC: EHP, 2002. [Online] Available from: from http://www.ehproject.org/PDF/Strategic_papers/SRSanPolFinal.pdf

Annex 1.2   Information needs and indicative sources for a sanitation situation assessment

Information	Data needs	Indicative sources	Methodology
Basic statistics	Geographic area, population, and population growth rates (area, total population, urban rural, women, men, income levels, land tenure status, etc.)	Census data World population prospects	Desk review
Health indicators	General life expectancy, infant and child mortality rates Sanitation-related disease prevalence (e.g. diarrhoea and parasitic helminth diseases, cholera)	Ministry of Health: Demographic and Health Survey (DHS) Subnational data on diseases rates Multiple Indicator Cluster Surveys (MICS)	Desk review
Coverage	Number of people practising open defecation and number with access to sanitation facility (unimproved, limited, basic, and safely managed service) Number of people with access to limited and basic handwashing facility Number of institutional sanitation facilities with provision for menstrual hygiene management (MHM) Number of people that use surface water, unimproved, limited, basic, and safely managed drinking water sources Who is being left behind (by gender, ability, age, geography, ethnicity, etc.) Proportion of the population with basic handwashing and MHM facilities	WHO-UNICEF-JMP reports Multiple Indicator Cluster Surveys (MICS) Municipal data NGOs (implementing WASH) UN publications (e.g. JMP reports, World Population prospects) AMCOW (Ngor monitoring report) Other country-specific WASH-related reports	Desk review Key informant interview
Service levels for sanitation and hygiene	The degree to which the policy implements the 'leave no one' behind principle, specifically targeting special groups, such as the urban poor in large cities and peri-urban areas, residents of small towns, the rural population, refugees and	Consumer/user groups (especially women, girls, and people living with disabilities) Service providers along the service chain (public, private, and water and sanitation utilities) School teachers and health facility managers	Desk review Key informant interview Focus group discussion Workshop *cont'd...*

	internally displaced persons (IDPs), and women and girls in all settlements (e.g. schools and health care facilities) Understand excreta flow using the 'Faecal Waste Flow Diagram' also known as the 'Shit Flow Diagram' (SFD)	Development partners in WASH WASH forums and sanitation working groups Staff of government departments working on disaster preparedness and response	
Health and hygiene considerations	The extent to which the sanitation policy and its implementation addresses identified sanitation-related health problems (e.g. cholera epidemics, diarrhoea, helminth infections) Handwashing with soap: facilities available in shared, institutional, and public toilets MHM facilities in public, institutional, and shared toilets (e.g. schools, healthcare facilities, etc.) Behaviour and practices related to hygiene around toilet use and maintenance across the service chain (including connection to sewers, bill payment, illegal connections, etc.)		Desk review Key informant interview Focus group discussion Workshop
Performance of sanitation systems and services	Proportion of the population with reliable safe management of human excreta from onsite and offsite systems in all settlement types and institutions Faecal waste flow analysis and diagram (SFD) for: national capital city; state/county capitals; other major cities; and sample rural areas Proportion of piped urban water systems that provide intermittent supplies of water (especially in areas with sewer or planned sewer connections) Information around the workforce delivering sanitation services and the conditions under which they operate	WHO-UNICEF-JMP reports Ministry of Health (e.g. DHS, MICS) Water and sanitation utilities Municipal authorities NGOs (e.g. WaterAid, Care, Save the Children) UN publications (JMP reports, UN Water GLAAS) Websites on FSM	

cont'd...

Gender and vulnerability analysis	Examination of the different constraints, opportunities, and participation rates of girls, women, boys, and men in relation to all aspects of sanitation service delivery systems, including but not limited to, policy formulation, workforce participation, access to services, management of resources, and responsibilities	Women's groups CSOs and NGOs Staff responsible for gender issues in key ministries	
Vulnerability to climate and adaptation options	Review of existing climate vulnerability assessment reports to identify risks to sanitation across the service chain and recommended adaptation measures Note geographic areas that have been identified as most likely to be exposed to and severely affected by climate-related hazards (e.g. areas that are prone to flooding, landslides, water scarcity or salinization that can impact sanitation infrastructure) Assess how the sanitation policy addresses environmental degradation in practice and the involvement of the Environment Ministry and agencies in the formulation and implementation of sanitation policy Examination of potential vulnerability of sanitation infrastructure in areas that have been identified or reported as high risk due to climate change Assess the impacts of climate change on sanitation for various population groups, including those based on gender Examine the extent to which adaptations and preparedness measures have been put in place at the national, subnational, and local government levels Examination of incentives and barriers to shifting investments and programming to advance climate resilience	Ministry of Environment (reports and officials) Ministry of Water Resources Local Government UN publications National and subnational officials of the environmental agencies CSOs and NGOs River basin authorities Water and sanitation utilities Residents of areas that are prone to climate-related hazards, particularly women and girls Local and municipal authorities Bilateral agencies Environmental health experts	cont'd…

Financial considerations and costs	Unit capital and recurrent costs, US$/person for construction and maintenance per year for all sanitation systems Water and sewerage tariffs Average household expenditures for sanitation services (non-sewered and sewered)	Lead technical agencies (e.g. water and sewerage utilities) Other water service providers UN Water GLAAS reports Development partners in WASH NGOs National and subnational treasury sources ***Stakeholders*** Ministry of Budget and Planning, Ministry of Finance Subnational authorities for planning and finance Ministries of Water, Health, and Education Development partners in WASH NGOs and CBOs	Desk review Key informant interview Focus group discussion Workshop
Level of priority for sanitation improvement	Political and government public pronouncements related to sanitation Nature of government investment in sanitation (what, where, and when) Total annual investment in water supply and sanitation from all sources (central and state governments) and external sources (grants and loans) Current political and public interests in sanitation and water supply (presidential/prime ministerial statements, electoral promises, and public activism)	Sanitation-related policies, strategies, and guidelines (health, water, environment, housing policies) Midterm review and evaluation reports related to existing policies and strategies Ministries of Finance, Water Resources, Water, and Sanitation AMCOW (e.g. Ngor monitoring data) World Bank and AMCOW websites (e.g. WSP, The Economic Cost of Sanitation) UN Water GLAAS, and TrackFin/WASH Accounts reports NGOs and CSOs National development documents (e.g. National Agendas, Poverty Reduction Strategies)	
Population engagement in sanitation	People's participation in sanitation/hygiene improvements Engagement of users and service providers with respective government levels on the	All segments of the population in all settings, including women, men, girls, boys, people living with disabilities, etc. Sanitation workers	Key informant interview Focus group discussion Workshop

cont'd…

	provision of sanitation services (e.g. demand for their rights to sanitation, health and safety measures for workers, regulation, etc.)		
Monitoring, reporting and periodic review	Assess whether the policy implementation is monitored as specified in the policy, and when and how the policy is reviewed. This includes the existence of clear targets, monitoring framework, and key performance indicators.	Ministries of Water and Sanitation, Health, Education, Gender, Women's Affairs, Statistics, Planning, and social welfare authorities NGOs and CSOs Development partners in WASH	
Institutional arrangements	Assess the institutionally assigned responsibilities for the different sanitation functions among various organisations and their effectiveness in performing these functions: • enabling function: (policy formulation, development of implementation strategy and plan, financing, monitoring and evaluation, regulation) • service provision function: sanitation systems and services, community engagement, behaviour change education, etc. (in urban, peri-urban, municipal/small towns, rural areas, refugee and IDP camps, low-income urban settlements etc.) • programme support (e.g. monitoring and evaluation training, institutional development, etc.) • understand the strengths and weaknesses of institutions involved in sanitation to identify required capacity development needs, and potential for private sector involvement	Key informants knowledgeable in the sector Development partners in WASH UN-Water GLAAS All government ministries and agencies with roles in sanitation Development partners active in sanitation National and subnational sanitation working groups and WASH forums Water and sanitation utilities Sanitation services providers (formal/informal) Academics NGOs and CSOs Media organisations	
			cont'd...

Capacity	Assessment of capacity for programme design, implementation, and monitoring of implementation with the government and non-government stakeholders It is important that sanitation workers are specifically included in the assessment The assessment should aim to identify any capacity gaps to ensure that they are addressed in the policy and the implementation strategies		
Policy and legal framework	Existing sanitation-related policies and legal instruments (laws, legislative acts, decrees, regulations, standards, etc.) How well the policies and legal framework are implemented Processes by which national and state are formulated (including approval procedures and timelines) Review of the progress of commitments and targets previously made by government	National constitution and legislation on subnational/local government building code and other (local) legislation (ordinances, byelaws etc.) containing provisions on sanitation Public health laws Environmental laws Water and sanitation policies Other policies (e.g. health, environment, education). *Stakeholders* Political leaders and government officials Donor representatives Development partners in WASH Service providers (public and private) Consumer/user group representatives Government officials and legal advisers CSOs and NGOs	Desk review Key informant interview Focus group discussion Workshop
Regulation considerations	Understand how sanitation is regulated at various levels and the effectiveness of the regulation. This should include, but not be limited to, understanding (a) who regulates (e.g. by setting standards) and (b) who enforces the regulation and what mechanisms are used?	Regulator (depends on the country context) Ministries of Water and Sanitation, Health, Education, Gender, Women's Affairs, and social welfare authorities Rural and urban development authorities	Key informant interview Focus group discussion Workshop cont'd...

	• *Performance regulating* (setting and monitoring KPIs and targets for delivering services, efficiency of operations, transparency of operations, etc.) • *Economic regulating* (approving and reviewing business plans and tariff/revenue data and requests) • *Social regulating* (enforcing social regulations including labour, environment, public health regulations)	Water and sanitation utilities Environment agencies Sanitation services providers (formal/informal) NGOs and CSOs Development partners in WASH	
Monitoring, reporting and periodic review	Assess whether the policy implementation is monitored as specified in the policy, and when and how the policy is reviewed. This includes the existence of clear targets, monitoring framework, and key performance indicators.	Ministries of Water and Sanitation, Health, Education, Gender, Women's Affairs, Statistics, Planning, and social welfare authorities NGOs and CSOs Development partners in WASH	

Annex 1.3 Template for reporting a desk review

Reporting template for the review of basic data and legal frameworks

Chapter	Content
Introduction	This section gives a brief introduction to the review. It should also indicate: • the purpose of the review • data collection methods • the contents of the report
Basic statistics	This section includes basic information on the country such as: • geographic areas • population (at the time of the review), including projections, segregating the data by gender, urban and rural, age groups, etc.
Health indicators	This section highlights general health indicators and health impacts of the lack of sanitation, including: • general life expectancy (by gender) • Infant Mortality Rates (IMR) – infant deaths under one year/1000 live births • Child Mortality Rates (CMR) – child deaths under five years/1000 live births • sanitation-related disease prevalence (e.g. diarrhoea and parasitic helminth diseases) • disease outbreaks (cholera)

Sanitation coverage	This section contains information about the current sanitation, hygiene, and water supply situation, including trends in coverage. **Sanitation** • Proportion of population with access to basic, limited, unimproved sanitation and practising open defecation – national, urban (peri-urban and unplanned), small towns and rural • Proportion of the population using non-sewered and sewered sanitation systems respectively – national, urban and rural • Proportion of people using improved sanitation facilities (segregated by shared and non-shared) – national, urban and rural • Proportion of shared, institutional, and public sanitation facilities that integrate gender and equity considerations (e.g. segregated cubicles for women with doors and locks, accessibility access for all, etc.) • Trends in sanitation coverage (from 1990 or 2015) **Hygiene** • Proportion of the population with basic handwashing facilities, limited (without water or soap), and no facility – national, urban and rural • Trends in handwashing facility coverage • Proportion of institutional sanitation facilities with provision for MHM **Water supply** • Proportion of the population with access to water supply (limited, unimproved, or surface water) – national, urban, and rural • Proportion of the population with access to piped water on premises or to public water points • Trends in water supply coverage

Performance of sanitation systems and services	This section contains information on the extent to which sanitation is safely managed across the service chain.
	
	This covers, but is not limited, to:
	
	Core systems performance:
	
	• Equity: who is served and benefits from public investment?
	
	• Safety: what percentage of waste is safely managed (faecal waste flow)?
	
	  - Excreta flow analysis and diagram of the national capital/state/county/regional capitals, sample cities and towns
	
	  - Working conditions of sanitation services providers
	
	• Financial viability: can costs of services be covered by revenue and national funding?
	
	Outcome performance
	
	• The proportion of the population using non-sewered sanitation systems with mechanisms in place for safely managing faecal sludge (onsite treatment or emptying, transportation, treatment, end-use/disposal) – national, urban and rural
	
	• The proportion of the population with access to sewered sanitation versus the percentage of sewage reaching the treatment plants – national, urban and rural

Financial considerations	**Investments categories (sanitation and water supply)** • Sources of national funding and sources of finance • Allocations of funding and finance by: *cont'd…*

	- use: infrastructure, service subsidies, soft infrastructure
	- recipient type: municipalities, asset holding companies, utilities, etc.
	- geography: rural/urban, subnational regions or states
	• Mechanisms for planning, allocating, and monitoring deployment of funding and finance
	Costs and expenditure
	• Cost of infrastructure and services
	• Expenditure: description of the cost distribution
	• Revenue:
	- sources and adequacy
	- collection efficiencies o equity/fairness
	- integrity (ring-fencing transparency)
Political backing and priority for sanitation	• Political and government public pronouncements and commitments related to sanitation
	• Nature of government investment in sanitation (what, where, and when)
	• Government annual national sanitation budget and disbursement over a certain period; sample state/county budgets (infrastructure capital costs, programme costs, maintenance costs)
	• Current political and public interests in sanitation and water supply (presidential/prime ministerial statements, electoral promises, public activism)
Institutional arrangements	List and briefly describe institution responsible for:
	• policy formulation, development of implementation strategy and plan, financing, monitoring and evaluation (M&E)
	• service delivery, including operation and maintenance of large infrastructure in urban, peri-urban, municipal/small towns, rural areas and special situations (e.g. refugee and IDP camps, low-income urban settlements)
	• programme support (e.g. training, hygiene promotion, institutional development, community organisation)
	• regulation
Policy and legal framework	• Description of the extent to which the existing policy and legal frameworks cover equity, safety, financial viability, and performance of systems and services
	• List and briefly describe existing sanitation-related policies, laws, byelaws, legislative acts, decrees, regulations, official guidelines, sanitation strategies, and plans
	• Outline the extent to which existing policies on sanitation cover the 'core elements' discussed in Chapter 3 of these guidelines (principles/vision/objectives; sanitation systems and service levels; hygiene; institutional arrangements; capacity development; funding; regulation; monitoring; review and evaluation)
	• Outline overlaps, gaps, and linkages with other sector policies, such as health, water supply, water resource management, environment, agriculture, industry, etc.

Annex 1.4 Key informant interview

This method uses a pre-developed topic guide to solicit sanitation-related information from selected individuals who are familiar with the subject matter due to their position, knowledge or experience. Key informant interviews (KIIs) provide opportunities to triangulate the findings from the initial data collected by reviewing existing policies, laws, and reports of sanitation assessments.

Who are the key informants?

The choice of a key informant depends on the topic of interest. Suggested respondents to assess existing sanitation situations may include:

- government officials with knowledge of existing policies and legislative sanitation frameworks, including staff of the ministries of health, water and sanitation, environment, and other national, subnational, and local authorities involved in sanitation;

- CSOs and heads of water and sanitation working in NGOs who have good knowledge and understanding of the existing sanitation situation, laws, policies, and guidelines;

- NGO personnel with knowledge of service provision for various sections of the population;

- informed development partners;

- individuals with detailed knowledge of the legal framework, sanitation policies, and their implementation;

- sanitation users from specific groups (women, girls, people living with disabilities, etc.); and

- sanitation service providers.

Tool

The main tool for this interview is an outline of the topics on which the key informant is knowledgeable. The information needs and indicative sources in Annex 1.2 can be adapted for key informant interviewing.

An additional matrix for assessing the existing institutional setup is shown overleaf in annex 1.4a.

For more information on key informant interviewing, see USAID (1996)[1]

[1]USAID. Conducting key informant interviews. Washington: USAID. 1996. [Online] Available from: https://pdf.usaid.gov/pdf_docs/PNABS541.pdf [Accessed 28 February, 2021].

Matrix for assessing institutional setup					
Function	**Responsibility matrix for sanitation**				
	Rural sanitation	**Urban sanitation**	**Low-income urban areas**	**Municipal/ small towns**	**Refugee/IDP settlements**
Governance functions					
Coordination					
Policy development					
Planning					
Finance					
Capacity building and technical assistance					
Monitoring/evaluation					
Regulation					
Standard setting					
Licensing					
Legislation					
Service functions					
Service planning and development					
Service provision					
Enforcement of standards					
Sanitation and hygiene promotion					
Community organisation					

Annex 1.5 Focus Group Discussion tool

Focus group discussions allow detailed information on a specific topic of interest (e.g. access and experience of sanitation services by women and girls in low-income urban settlements) to be collected from a group of ten to 15 people from similar backgrounds or with similar experiences. In a sanitation context, the purpose is to allow a range of opinions and views related to actual sanitation situations in various settlements to be voiced and to gain an understanding of institutional roles and responsibilities in relation to sanitation and how effectively these are carried out. In this way, understanding based on the desk review and key informant interviews can be further explored and expanded.

Focus group participants are identified based on the specific topic of interest and their ability to contribute information.

FGDs also require pre-developed topic guides. They allow sanitation-related issues raised by participants to be probed further. The information needs and indicative sources provided in Annex 1.2 can be adapted for FGDs.

Annex 1.6 Reporting a sanitation situation assessment

Title Page
- Report title
- Author name(s)
- Date of submission

Executive summary
The executive summary should summarise the findings from the situation report in way that provides readers with a general understanding of the entire report. It is usually written after the main report and consists of:
- an overview of the review and situation assessment including the objectives;
- the approaches and methodologies used;
- highlights of the findings and conclusions; and
- recommendations on how these will be used for drafting the new policy discussion paper.

Acknowledgements

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1. Introduction
- Background information
- Structure of the report
- Aims and objectives
- Methodology
- Descriptions of the review and assessment team
- Review and assessment schedule

2. Basic data

3. Review of existing policies and legislative framework

4. Sanitation situation assessment
- Outline of the elements assessed
- Findings (arranged by topics) (see Annex 1.7)

5. Conclusion including the gaps identified in the existing sanitation policy

6. Recommendations for policy improvements or the formulation of a new sanitation policy

7. References

8. List of persons consulted

Annex 1.7 Stakeholder consultation

Planning for consultation

Preparing for stakeholder consultation
- Agree on the facilitating teams for the consultation (see options below)
- Identify and group stakeholders
- Assign tasks and stakeholders to teams
- Prepare and agree schedule for consultation
- Prepare logistics for consultation (see Chapter 2, section 2.2.6).
- Send out invitations (at least two weeks prior to the consultation date) with clear objectives and programme outline. Attach the discussion paper.

Tips for getting the most out of consultations
- Develop a consultation plan using the consultation list as a guide
- Consider having consultations with government prior to consulting external stakeholders to get buy-in and prevent resistance
- Follow up consultation with brief appreciation notes that also indicate that they will be informed about the final policy decisions   cont'd...

- Check that the proposed consultation approach is realistic given the available resources and timeframe available (cost, staff time, expertise that will be required, skills available in the team/government counterpart, and skills that need to be outsourced)
- Identify the potential impact of scaling back on the ideal consultation

Contents
- Highlights of the findings from the sanitation situation assessment including, among others:
  - shortfall in access to basic and safely managed sanitation among the various population segments in all contexts
  - gender gaps and barriers against access to and coverage by basic sanitation
  - gaps in existing sanitation policies and legal frameworks
- Discussion paper on the proposed policies to address the identified gaps
- Potential channels and approaches for communication and dissemination of the sanitation policy

Participants

The participant list below is indicative and should be based on the individual country context:
- National and subnational government officials with key sanitation roles from all ministries and agencies involved in sanitation. This will vary in different countries but may include the ministries of water, health, education, environment, gender and women's affairs, infrastructure, and local government. Others include officials from agencies such as the environment agency.
- NGOs and development partners working in water and sanitation
- Private sector providers of sanitation systems and services (including the informal sector)
- Civil society organisations and user groups

Timing

This consultation should take place soon after the situation assessment has been completed and the report approved by the sanitation policy drafting coordinator. The coordinator will be responsible for planning the consultations with the different stakeholder groups, with an estimate of one day for each group.

Who?	• Determine who needs to be consulted: why does a particular individual/group need to be consulted?
	  - Government: Minister and Permanent Secretary of the ministry responsible for formulating sanitation policy; high level officers in other key departments and agencies with roles in sanitation; state government officials; municipal or city mayors, etc.
	  - External stakeholders: Development partners supporting water and sanitation, education, and health; NGOs active in the WASH sector; CSOs; formal and informal sanitation service providers; citizens' local representatives; the public, etc.

What?	• Decide what should be the subject matter for the consultations, e.g. a range of sanitation policy options aligned with the respective elements, preferred option, assumptions and principles, etc. Answering the why and what questions will help all those in the policy development team to define the expected outcomes from the consultations and will help shape the 'how' and 'where' of the consultation.
When?	• Determine the timing of the consultations and when to end them, e.g. should consultation be done after the government has endorsed the proposed policy options? Should some individuals and groups be consulted at defined stages in the process and others consulted at other stages?
Where?	• Where are the most appropriate locations to hold the consultations with the various individuals/groups?
How?	• Determine the best methods for consultation, e.g. workshops, round table discussions, or public meetings? Should the internet and other social media be used to solicit feedback? Should the focus group consultations be with sub-groupings of stakeholders? Cost consideration is often a factor in choices and decisions about the approach taken.

Annex 2.   Supplementary resources for sanitation policy

This annex presents resources and tools on the core contents of a sanitation policy, including examples of sanitation systems and services; recommended roles and responsibilities; and principles for a capacity building programme.

Annex 2.1 Examples of sanitation systems and services

System		Type			Capture (toilet)
Non sewered sanitation	Onsite sanitation with onsite treatment	1.		Dry or flush toilet with onsite disposal	Dry or flush toilet
		2.		Dry toilet or urine diverting dry toilet (UDDT) with onsite treatment in alternating or compost chamber	Dry toilet or UDDT
		3.		Flush toilet with onsite treatment in twin pits	Pour flush toilet (squat pan or pedestal)
		4.		UDDT with onsite treatment in dehydration vault	UDDT
	Onsite systems with faecal sludge management and offsite treatment	5.		Dry or flush toilet with pit, effluent infiltration, and offsite treatment of faecal sludge	Dry or flush toilet
		6.		Flush toilet with septic tank and effluent infiltration, and offsite faecal sludge treatment	Pour flush or cistern flush toilet
Sewered sanitation	Offsite systems with sewerage and offsite treatment	7.		UDDT with container-based sanitation with offsite treatment of all contents	UDDT and urine container
		8.		Flush toilet with sewerage and offsite wastewater treatment	Pour flush or cistern flush toilet

Technology			
Containment	**Conveyance**	**Treatment**	**End-use/disposal**
Single pit or VIP			Fill and cover / Arborloo
Fossa alterna, double ventilated improved pit latrine (VIP), Kumasi ventilated improved pit latrine (KVIP), or compost chamber	Manual emptying and transport		Soil conditioner
Twin pits for pour flush	Manual emptying and transport		Soil conditioner
Faeces: dehydration in vault Urine: jerry cans or tanks	Dried faeces: manual emptying and manual or motorised transport Urine: manual or motorised transportation		Soil conditioner Liquid soil fertilizer
Single pit or VIP	Manual emptying and transport	Faecal sludge treatment plant	Soil conditioner, solid fuel, building materials, irrigation surface water recharge, animal feed, water
Septic tank (or anaerobic baffled reactor or anaerobic filter) connected to a soak pit or leach field	Motorised emptying and transport	Faecal sludge treatment plant	Soil conditioner, solid fuel, building materials, irrigation surface water recharge, animal feed, water
Faecal material: portable storage container or cartridge Urine: portable storage tanks or jerry cans	Faecal material: collection and motorised (or manual) transport of storage tanks Urine: Collection and motorised (or manual) transport of storage tanks	Treatment plant for sludge and effluent N/A	Soil conditioner, solid fuel, building materials, irrigation surface water recharge, animal feed, water Liquid fertiliser
	Simplified or conventional gravity and pumped sewers	Wastewater treatment plant – for wastewater and wastewater sludge Waste Stabilisation Pond	Effluent: treated and used for irrigation or surface water recharge

Annex 2.2 Recommended roles and responsibilities

Recommended roles and responsibilities in sanitation

Function	National level organisations		Lower-level organisations	
	Lead organisations	Collaborating organisations	Lead organisations	Collaborating organisations
Governance functions				
Coordination	Prime minister or vice president's office or ministry responsible for sanitation	Ministry/Bureau of Planning Ministry of Local Government Ministries of Urban and Rural Affairs Ministry of Health Ministry of Environment Ministry of Education Ministry of Water/Sanitation	Subnational government Subnational offices of ministries Local government	Other sanitation stakeholders
Policy development	Ministry responsible for sanitation	Ministry of Local Government Ministry of Health Ministry of Environment Ministry of Education Ministry of Water/Sanitation	Subnational government Subnational offices of ministries	Other sanitation stakeholders
Planning	Ministry/Bureau of Planning	Ministry responsible for Sanitation Ministry of Local Government Ministries of Urban and Rural Affairs Ministry of Health Ministry of Environment Ministry of Education Ministry of Water/Sanitation Other sanitation stakeholders	Subnational government Subnational offices of ministries	Other sanitation stakeholders
Finance	Ministry of Finance	Ministry/Bureau of Planning Development partners	Subnational government Subnational offices of ministries	Other sanitation stakeholders
Capacity building Technical assistance	Ministry responsible for sanitation	Ministry of Local Government Ministry of Education Other sanitation stakeholders	Subnational government Subnational offices of ministries Local government	Other sanitation stakeholders
Capacity building Technical assistance	Ministry responsible for sanitation	Ministry of Local Government Ministry of Education Other sanitation stakeholders	Subnational government Subnational offices of ministries Local government	Other sanitation stakeholders
Monitoring	Ministry responsible for sanitation	Independent regulator Ministry of Local Government Environmental Health Inspectorate Environment Agency Water Resources Agency Other sanitation stakeholders	Subnational government Subnational offices of ministries Local government	Other sanitation stakeholders

Regulation	Independent regulator	Ministry responsible for sanitation	Local regulatory group, recognised by regulator	
Standard setting	Independent regulator	Ministry responsible for sanitation Environmental Health Authorities Environment agency Water Resources Agency Bureau of standards	Subnational government Subnational offices of ministries Local government	
Licensing	Independent regulator	Environment Agency Water Resources Agency	Local government	
Legislation	Parliament	Local council (byelaws)	Subnational government Subnational offices of ministries Local government	Environmental Health Inspectorate
Service functions				
Services planning and development			Subnational government Local government	Private and public utilities Private companies NGOs
Service provision			Private and public utilities Private companies NGOs (Public/institutional toilets) Market managers Bus station managers Ministry of Health Ministry of Education Prison administration	
Enforcement of standards			Environmental Health Inspectorate Environment agency Water Resources Agency	Police
Sanitation and hygiene promotion	Ministry of Health	Ministry responsible for sanitation Ministry of Information	Local government	Environmental Health Inspectorate Sanitation service providers Other sanitation stakeholders

Annex 2.3   Principles for a capacity development programme

Sanitation is a very practical undertaking and while there is much that can be learned in the classroom, there is also an important place for technical assistance and, especially, peer-to-peer support, to respond to issues as they arise, in terms of both human resources and organisational development. A permanent sanitation capacity development programme targeted principally at the local level should be established at national or state level, providing a wide-ranging mixture of technical assistance, support to peer-to-peer learning, workshops or short courses, and contributions to curriculum development at the various training institutions.

Principles for a capacity development programme

- Based on continuous dialogue to respond to the needs of the target institutions
- Primary focus at local level
- Include both non-government and government institutions

A capacity development programme needs to address the needs of a diverse group of public and private sector institutions and personnel, including NGOs, CBOs, and informal service providers. The programme should maintain a continuous dialogue with all the institutions involved, basing its programming and annual plans on their evolving needs and prioritising the local level.
It is recommended that a capacity development programme should include:

- human resource development
- organisational development
- research and innovation.

These are further discussed below.

(a) Human resource development

The human resources context varies widely across the continent, in terms of both the availability of qualified personnel and the needs of the sanitation sector. Nevertheless, recent experience shows that there are many common factors, presented here for consideration.

The table below lists the major functions involved in delivering sanitation, the typical training needs related to them, and how the training might be provided. It should be stressed that this is indicative only and should be adapted to the local context following an in-depth assessment of needs.

Training needs and modalities		
Function	**Typical training needs**	**Training modalities**
Governance functions		
Coordination Planning Finance	• Understand importance of sanitation • Understand basic concepts of sanitation • Understand viability of sanitation businesses • Finance for sanitation service providers	• Advocacy and information materials • Workshops • Exposure visits • Improved university curricula
Capacity building Technical assistance	• Understand basic concepts of sanitation • Detailed technical knowledge on sanitation	• Information materials • Improved university curricula
Monitoring	• Understand importance of sanitation • Understand basic concepts of sanitation • Knowledge of monitoring systems	• Advocacy and information materials • Workshops/trainings
Regulation	• Understand importance of sanitation • Understand basic concepts of sanitation • Awareness of sanitation options • Knowledge of sanitation cost structures	• Advocacy and information materials • Workshops • Peer-to-peer learning • Improved university curricula
Standard setting Licensing	• Technical knowledge on sanitation and public health • Knowledge of relevant legal instruments	• Information materials • Workshops • Improved university curricula
Legislation	• Understand basic concepts of sanitation • Awareness of sanitation options	• Advocacy and information materials • Workshops
Service functions		
Sewered sanitation		
Sewerage operation and maintenance	• Sewerage operation and maintenance (networks, electromechanical, treatment, laboratory) • Management of low-cost/simplified sewerage • Connecting the unconnected • Health and Safety training	• Information materials • Workshops/trainings • Vocational training • Peer-to-peer learning
Sewerage network and sewage treatment design and construction	• Sewerage network and appropriate sewage treatment design and construction • Low-cost/simplified sewer planning and design • Effluent and sludge reuse and GHG reduction	• Already covered in university curricula

cont'd...

Non-sewered sanitation		
Toilet construction	• Knowledge of improved, emptiable onsite facilities • Awareness of suitable products (e.g. sato-pan, pour-flush units, sanplats, etc.)	• Information materials • Workshops/trainings • Vocational training
Desludging	• Practical knowledge of improved equipment, emptying methods, health and safety, etc. • Business management skills • Health and Safety training	• Information materials • Workshops/trainings • Peer-to-peer learning
Faecal sludge treatment	• FSTP operation and management • Health and Safety training	
Faecal sludge treatment plant design	• FSTP design and operation, including laboratory	• Information materials • Workshops/trainings • Improved university curricula
Other services		
Overall sanitation management	• Understand basic concepts of sanitation • Awareness of sanitation options • Adaptive sanitation planning • Practical knowledge of monitoring systems • Knowledge of sanitation cost structures • Financial management • Management of private sector partners	• Information materials • Workshops/trainings • Vocational training • Peer-to-peer learning • Improved university curricula
Community engagement in sanitation, MHM and hygiene promotion	• Principles and skills for community engagement • Customer relations' management • Understand basic concepts of sanitation	• Information materials • Workshops/trainings • Vocational training • Peer-to-peer learning
Enforcement of standards	• Standards and enforcement (including prosecution)	• Workshops/trainings • Vocational training • Peer-to-peer learning
Public toilet management	• Standard operating procedures for public toilets • Standards and supervision of public toilets	• Information materials • Workshops/trainings • Peer-to-peer learning

The following methods for training delivery should be considered:

- Peer-to-peer learning is often effective for sanitation, if well managed. It enables the dissemination of good practices as they emerge and facilitates the sharing and application of tacit knowledge to the resolution of specific problems. This applies to both local government and utility staff and service providers. It works well between utilities and local authorities in the same country and in other African countries experiencing similar challenges. Better value may be obtained when an experienced and skilled person leads a group and focuses discussion on relevant issues.

- Workshops and short courses are useful to disseminate new concepts at a local level. They may also be appropriate to provide training on specific topics where there is a widely felt need from local-level personnel.

- Improved university curricula covering both sewered and non-sewered sanitation, and the special needs of rural and unplanned urban settlements, are needed over the long term for sanitation engineers and consultants. Other neglected areas include climate resilient sanitation and innovative sanitation financing approaches. In the short term, online and some face-to-face courses are available, and relevant personnel should be encouraged to participate in them.

- Vocational training is suited to environmental health functions, toilet construction, pit emptying, etc. The sanitation sector capacity development programme should collaborate with vocational and public health training schools to develop relevant modules and courses.

- Government training schools exist in many countries, and consideration should be given to introducing modules on sanitation into the curricula for relevant local government personnel.

The private sector and NGOs often provide customer-facing individual services, such as desludging, container-based sanitation, or toilet construction. There are also successful examples of delegated management of treatment plants by the private sector (e.g. Dakar). They usually need training in technical matters (to achieve prescribed service level standards) and business management (to improve their financial viability). Workshops and short courses are suitable for this type of training.

(b) Organisational development

Accountability and two-way communication with users are key attributes that are likely to need strengthening in the public sector organisations managing sanitation. This requires the development of new systems and procedures and a shift in corporate culture.

Service providers may be within local government, a national or local utility, or the private sector. A major increase in capacity to manage non-sewered sanitation will usually be necessary, which may require entirely new institutional structures, systems, and procedures, and extra staff posts. However, sewerage may also suffer from long-term institutional neglect.

For both organisational change and the development of new capacities, the recommended approach is to provide support through an ongoing engagement with a facilitator/trainer providing mentoring and just-in-time support, in line with the user-responsive management of the capacity development programme.

Where new posts and job specifications need to be introduced in the public sector, the public service authority should be engaged as early as possible in the process, which can be lengthy.

The offer of internships to final year and newly graduated personnel can be an effective way of bringing new skilled staff into the sector. Such active recruitment can overcome some of the negative perceptions of the sector.

Small sanitation businesses, such as toilet construction and desludging, are often informal. By formalising, they can enter a more stable business environment and access capacity development and possibly financial support. A useful complement to formalisation is to promote the establishment of trade associations. This has several advantages, as it:

- facilitates dialogue between sanitation authorities and service providers;
- gives service providers a combined and stronger voice; and
- can assist in the organisation of training events.

(c) Research and innovation

Applied research to develop new sanitation solutions presents a double opportunity; for the responsible authority or service provider it solves a problem or increases efficiency, and for the research institution it provides a real-life laboratory for researchers with limited budgets. Projects can range from the use of final-year students in surveys to the development of faecal sludge treatment and processing technologies or mobile apps to improve services management, and much more. A policy commitment to research and innovation for sanitation will help to unlock funds assigned to research, to the benefit of the sector.

Many areas requiring further research and development have been identified, and some of these are listed below – but this is far from an exhaustive list and each country will have its own agenda:

- Systematic management of non-sewered sanitation
- Improved onsite sanitation facilities and possible mass production to reduce costs
- Pit emptying technology
- Faecal sludge processing technology (including a focus on reuse)
- Connecting the unconnected to sewerage
- Simplified and condominial sewerage
- Greywater management in unsewered areas
- Low-cost wastewater treatment and reuse
- Greenhouse gas capture and energy generation
- Providing formal services to previously unserved communities
- Promotion of handwashing and menstrual hygiene
- Behaviour change in urban sanitation
- Community outreach

Annex 3. Suggested outline of a sanitation policy

Suggested outline of a sanitation policy	
Cover page	• Title and relevant photo if desired • Issuing authority • Place and date
Preface	• Gives the reader a general idea about the policy document, including a summary of the main purpose, and may contain an acknowledgement of those who contributed to the policy development and the final document. Usually signed by the minister.
Foreword	• The history of sanitation policy development and the contents of the policy document. Usually signed by the permanent secretary or the director general of the department responsible for formulating sanitation policy.
Table of contents	• Outline of contents
Acronyms	• Descriptions of acronyms and abbreviations
1. Introduction	• Evidence and rationale, brief history of sanitation legislation and implementation in the country, brief description of the policy development process; demonstration of political will to improve access to safe sanitation for all citizens. • The policy development process • Structure of the policy
2. Situation analysis	• Country profile • Situation and challenges of sanitation and hygiene
3. Policy vision, objectives, and principles	• Vision • Scope of the policy • General objectives - e.g. '*hygienic, sustainable, equitable, and efficient sanitation services*' • Principle/values underpinning the policy

4. Policy elements or pillars	• This section should outline each of the core elements of a functioning sanitation policy as presented in the guidelines.
	• For each core element, state the objective, problem statement, current policy and legislation frameworks, policy positions (see below).
	• 4.1 Sanitation systems and service level
	  - ***Objective***: outline the objective for this element
	  - ***Problem statement***: describe the situation and challenges associated with the existing sanitation systems and service levels
	
	cont'd...

	- ***Current policy and legislative framework***: describe the existing policy and legislative position related to sanitation systems and services, clearly outlining the gaps that the new policy intends to fill - ***Policy positions***: clearly outline and explain the policy positions related to sanitation systems and service levels (see examples in Chapter 4) • 4.2 Hygiene • 4.3 Institutional arrangements • 4.4 Capacity development • 4.5 Funding • 4.6 Regulation • 4.7 Monitoring, review, and evaluation • 4.8 Implementation strategy
References	• List of references and bibliography used
Glossary	• Definition of key terms
Appendices	• List of related acts, policies and strategies, and guidelines

Annex 4. Supplementary resources for an implementation strategy

Annex 4.1 Sample outline for an implementation strategy

1. Introduction

1.1 A brief background summarising the sanitation context

- Context: basic data and summary of the sanitation situation at the time the strategy was written

1.2 Rationale for strategy

- Reference to what was and was not achieved, and what was learned during the previous strategy period (if applicable)
- Description of who is leading (which ministry, department)

1.3 Scope of the strategy

- Whether national or subnational
- Timeframe
- Specific overall goals or targets to be attained during the strategy period

2. Policy and legal framework

- A brief description of the legal context (e.g. water act, decentralisation, etc.)
- A brief description of the key elements of the sanitation policy
  - Sanitation policy vision
  - Sanitation policy objectives
- Key policy statements in terms of sanitation systems, hygiene, institutions, funding, regulation, M&E

3. Strategic objectives (to be achieved within the timeframe of the strategy)

- Strategic objectives for sanitation systems and services
- Strategic objectives for hygiene
- Strategic objectives for institutions
- Strategic objectives for capacity development
- Strategic objectives for funding
- Strategic objectives for regulation
- Strategic objectives for M&E

(Strategic objectives can also be presented or summarised in a matrix format, see subchapter 11.5)

4. Responsibilities for strategy implementation

- National level
- Subnational level
- Private sector
- Civil society
- Services users

5. Policy implementation costs and funding strategy

Annex 4.2   Implementation strategy matrix

All the strategic objectives of the implementation strategy can be summarised into a table/matrix as in the table below.

Sanitation Policy Implementation Strategy Matrix – Period 2020-2030				
S/N	**Strategy**	**Activities**	**Targets**	**Resources (US$)**
	Ensure proper capture, containment, emptying, and transportation of faecal sludge to designated treatment facilities	Identify, register, and train artisans for construction of capture and containment facilities	Safe capture, containment, emptying, and transportation of faecal sludge by 2025	
		Develop legal framework for safe use and emptying of containment		
		Create public awareness on safe containment, emptying, and transportation of faecal sludge		
		Protect and register non-sewered sanitation infra-structures		
		Develop non-sewered asset management plan		
		Rehabilitate and expand faecal sludge treatment facilities		
		Construct decentralised treatment facilities of faecal sludge in all towns		
		Facilitate review of legal framework of emptying and transportation of faecal sludge		

Time (Year)										Implementers	
1	2	3	4	5	6	7	8	9	10	Core	Collaborators
✓	✓	✓	✓	✓	✓	✓	✓				
✓	✓										
		✓	✓	✓	✓	✓					
		✓	✓	✓	✓	✓					
		✓	✓	✓	✓	✓					
		✓	✓	✓	✓	✓					
✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		
		✓	✓								

Annex 5.   Sources of additional information

This contains sources that can provide readers with additional information on sanitation and hygiene; capacity development; regulation; funding; and monitoring and evaluation.

All online links were correct at the time of publication.

Annex 5.1 Sources of additional information on sanitation and hygiene	
Resource	**Description**
Citywide Inclusive Sanitation Planning	This is a World Bank publication. Citywide inclusive sanitation means that: 'everybody benefits from adequate sanitation service delivery outcomes; human waste is safely managed along the whole sanitation service chain; effective resource recovery and re-use are considered; a diversity of technical solutions is embraced for adaptive, mixed and incremental approaches; and onsite and sewerage solutions are combined, in either centralized or decentralized systems, to better respond to the realities found in developing country cities'. https://www.worldbank.org/en/topic/sanitation/brief/citywide-inclusive-sanitation
Compendium of Accessible WASH Technologies	Published by WEDC and WaterAid, the compendium is designed for use by staff working with disabled and the elderly in families in rural areas of Sub-Saharan Africa. It includes examples of technologies that families can adapt to suit their situation. https://washmatters.wateraid.org/publications/compendium-of-accessible-wash-technologies
Connecting the Unconnected: Approaches for Getting Households to Connect to Sewerage Networks	This guide documents experiences of programmes around the world that used a mix of approaches to successfully connect the unconnected. It is designed to help planners, engineers, decision-makers, and other stakeholders to navigate the process of increasing household connections to sewers. It also incorporates examples of conventional and nonconventional sewerage approaches. https://www.worldbank.org/en/topic/sanitation/publication/connecting-the-unconnected
EAWAG Compendium of Sanitation Technologies in Emergencies	'The Compendium of Sanitation Technologies in Emergencies provides a comprehensive, structured and user-friendly manual and planning guide for sanitation solutions in emergency settings'. http://www.washnet.de/wp-content/uploads/emergency-sanitation-compendium.pdf
Faecal Waste Flow Diagram (SFD) Manual, Volumes 1 and 2	Published by the SFD Promotion Initiative made up of the Sustainable Sanitation Alliance, GiZ, University of Leeds, World Bank Group, Global Water Security and Sanitation Alliance (GWSP), WEDC (Loughborough University), CSE, eawag, and the Bill and Melinda Gates Foundation. It was last updated in 2018. Excreta flow diagram (or shit flow diagram - SFD) is a tool to help understand and communicate how excreta 'flow' through a city or town. It shows how all excreta generated in a city is or is not managed as it moves from defecation sites/toilets to disposal or end-use. An accompanying report describes the service delivery context of the city or town. SFDs are a useful tool for advocacy to government decision-makers for improving sanitation in cities and towns. https://sfd.susana.org/_resources/document/default/3-2357-7-1529046600.pdf

FSM Toolbox	'The assessment tool is designed to help users undertake a 360-degree assessment of the FSM ecosystem and identify gaps across financial, infrastructure, institutional and regulatory aspects of FSM in a given region. The assessment tool will help users generate a Shit Flow Diagram- City Service Delivery Assessment'.
	https://www.fsmtoolbox.com/
Faecal Sludge and Septage Treatment: A guide for low- and middle-income countries	Published by Practical Action in 2018. This book is essential reading for planners and engineers working in local government; specialist central government departments; NGOs and consulting firms working on the planning and design of septage treatment plants; researchers and students studying urban sanitation.
	https://practicalactionpublishing.com/book/693/faecal-sludge-and-septage-treatment
Regulation Strategy and Framework for Inclusive Urban Sanitation Service Provision **(Incorporating Non-Sewered Sanitation Services)**	Published by the Eastern and Southern Africa Water and Sanitation Regulators Association (ESAWAS) in 2020.
	The guidelines provide guidance on service provision requirements from containment, emptying, transportation, storage, and treatment facilities as well as disposal/reuse mechanisms. They promote safe and sustainable service delivery with consideration for technology, cost-effectiveness, appropriateness, progressive realisation, gender intentionality, and social inclusion.
	http://esawas.org/index.php/component/jdownloads/send/8-other-esawas-publications/26-regulation-framework-and-strategy-for-inclusive-urban-sanitation-service-provision
Guidelines on Sanitation and Health	Published in 2018 by the World Health Organization (available in 5 languages).
	The guidelines summarise the evidence on the links between sanitation and health, provide evidence-informed recommendations, and offer guidance for encouraging international, national, and local sanitation policies and actions that protect public health.
	https://www.who.int/water_sanitation_health/publications/guidelines-on-sanitation-and-health/en/
Sanitation Safety Planning: Manual for Safe Use and Disposal of Wastewater, Greywater and Excreta	Published by the World Health Organization in 2015 (available in 8 languages)
	Sanitation Safety Planning (SSP) is a risk-based management tool for sanitation systems. The SSP manual focuses on safe use of human waste. It assists users to: (i) systematically identify and manage health risk along the sanitation chain; (ii) guide investment based on actual risks to promote health benefits and minimise adverse health impacts; and (iii) provide assurance to authorities and the public on the safety of sanitation-related products and services.
	https://www.who.int/water_sanitation_health/publications/ssp-manual/en/
Sanitation and Wastewater Atlas of Africa	This atlas – a joint effort by the African Development Bank, the United Nations Environment Programme, and GRID-Arendal – profiles the state and trends in wastewater management and sanitation delivery in Africa, highlights the human health and ecosystem impacts of poor sanitation and wastewater management, and discusses the continent's policy and institutional arrangements. It benchmarks Africa's progress towards the Sustainable Development Goals (SDGs) and other aspirations, including Africa's Agenda 2063 and Africa's Water Vision 2025. The findings of the atlas will allow policymakers to track progress on sanitation and wastewater, making it a valuable tool to accelerate change.
	https://www.afdb.org/en/documents/sanitation-and-wastewater-atlas-africa

State of the World's Sanitation	Published by UNICEF and WHO (2020), this report presents the state of sanitation in the world today and is intended to increase awareness of progress made towards achieving the Sustainable Development Goal targets for sanitation, and to identify opportunities to meet the challenges that remain. It calls on the Member States of the United Nations system and partners to urgently meet these challenges as part of the Global Acceleration Framework (SDG 6). https://www.unicef.org/reports/state-worlds-sanitation-2020
Summary of ISO standards related to Sanitation	**ISO 24511:2007** Guidelines for the management of wastewater utilities and for the assessment of wastewater services. This standard is applicable to publicly and privately owned and operated wastewater utilities and covers systems at any level of complexity (pit latrines, onsite sanitation, sewer networks and treatment facilities). It contains service assessment criteria and related examples of performance indicators, without setting any target values or thresholds. https://www.iso.org/standard/37247.html **ISO 24521:2016** Guidelines for the management of basic onsite domestic wastewater services. This standard supplements ISO 24511 and includes management guidelines from the operator's perspective (including maintenance techniques and training of staff) as well as guidelines from the user perspective (including the design and construction of basic onsite systems). https://www.iso.org/standard/64679.html **ISO 30500:2018** General requirements for prefabricated, integrated non-sewered sanitation systems. This standard considers integrated non-sewered sanitation systems, consisting of a front-end (toilet) and back-end (treatment unit) that is not connected to a sewer network. https://www.iso.org/standard/72523.html **ISO 31800:2020** Safety and performance requirements of Faecal Sludge Treatment Units - Energy Independent, Prefabricated, Community-Scale, Resource Recovery Units. https://www.iso.org/standard/75633.html
Female friendly public and community toilets: A guide for planners and decision makers.	Published in October 2018 and written by WaterAid, UNICEF and WSUP. It explains the need for toilets to be female-friendly and includes essential and desirable features to enable this. It is designed primarily for use by local authorities in towns and cities in charge of public and community toilets. It is also useful for national governments, service providers and others who play a role in delivering these services. https://washmatters.wateraid.org/sites/g/files/jkxoof256/files/female-friendly-public-and-community-toilets-a-guide.pdf
The Sphere Handbook: Humanitarian Charter and Minimum Standards in Humanitarian Response	First published in 1998 with revised editions in in 2000, 2004, 2011 and 2018 by a group of humanitarian non-governmental organisations, the Red Cross and Red Crescent Movement. Its aim was to improve the quality of their humanitarian responses and to be accountable for their actions. The Sphere Minimum Standards for water supply, sanitation and hygiene promotion (WASH) are a practical expression of the right to access water and sanitation in humanitarian contexts. It specifies the minimum standards for water, sanitation, and hygiene in humanitarian situations. https://spherestandards.org/ *cont'd...*

Guidance on Menstrual Health and Hygiene	Published in 2019 by the United Nations Children's Fund (UNICEF).
	This guidance supports the development of programmes related to menstrual health and hygiene (MHH). It focuses on the process of designing and supporting programmes from the vantage point of UNICEF, rather than detailed technical notes and descriptions of menstrual health and hygiene programmes.
	https://www.unicef.org/documents/guidance-menstrual-health-and-hygiene
Menstrual Hygiene Matters	A resource for improving menstrual hygiene management for women and girls, published by WaterAid. It consists of nine modules and tools and covers menstrual hygiene matters in different settings.
	https://washmatters.wateraid.org/publications/menstrual-hygiene-matters
The Handwashing Handbook	Published by the Global Handwashing Partnership, it presents best practices and new concepts to improve the uptake of handwashing. The handbook updates the approach in the Handwashing Handbook published in the World in 2005.
	https://globalhandwashing.org/wp-content/uploads/2020/10/GHP_Handwashing-Handbook_FINAL.pdf

Annex 5.2 Sources of additional information on capacity development

Resource	Description
Sandec, Swiss Federal Water Resources Institute (eawag)	A series of MOOCs are available on Coursera and YouTube, including 'Planning and Design of Sanitation Systems and Technologies' and 'Introduction to Faecal Sludge Management'. https://www.eawag.ch/en/department/sandec/e-learning/
	Sandec also offers online training for Consultant Capacity Development (ConCaD) including core training materials, a ConCad YouTube channel, and a Resource package. https://www.eawag.ch/en/department/sandec/projects/sesp/concad
Global Sanitation Graduate School	'The Global Sanitation Graduate School is a platform to facilitate the development and empower the dissemination of knowledge on sanitation through postgraduate (MSc) programs, online (self-study and instructor-led) courses, face-to-face (on-campus) courses and tailor-made training so that the sanitation challenges can be embraced with deeper insight, advanced knowledge, and greater confidence'.
	https://sanitationeducation.org/
Sustainable Sanitation Alliance (Susana) – Working Group 1	Capacity development for sustainable sanitation - Working group 1 'aims to create a global network to accelerate and strategically influence capacity development to scale up sustainable sanitation'.
	https://www.susana.org/en/working-groups/capacity-development
Sanitation Capacity Building platform (SCBP)	SCBP is a knowledge platform by the National Institute of Urban Affairs, India. It is designed to support and build the capacity of town/cities to plan and implement decentralised sanitation solutions to accomplish national missions: Swachh Bharat Mission, AMRUT, Smart Cities Mission, and Namami Gange Programme. SCBP provides

	a library of important government orders and reports, training modules, and advocacy documents on decentralised urban sanitation. Even though the platform is targeted at India, the training materials can be adapted for African countries. https://scbp.niua.org/
African Sanitation Academy: Feasibility Report	Published by USAID in 2017, the report indicates that a lack of leadership in the sanitation sector is a significant factor contributing to poor performance. Training and career development activities in sanitation are ad hoc and of mixed quality. It concludes that professionals in the sanitation sector (both employees and employers) are interested in connection to information, insights, and products that meet their needs to develop additional competencies for career progression. https://www.globalwaters.org/resources/assets/walis/african-sanitation-academy-feasibility-report
Centre for Affordable Water and Sanitation technology (CAWST)	CAWST is a Canadian NGO and licensed engineering firm founded in 2001 with the aim of addressing the global need for safe drinking water and sanitation by building local knowledge and skills on household solutions that people can implement themselves. They develop the capacity of local organisations to make their own decisions and meet their communities' needs for water, sanitation and hygiene though five core strategies that include 'lead with education and training' and 'build the capacity of public sector organizations'. CAWST provides training workshops, technical, and online support where resources on various sanitation and hygiene topics are provided for free. http://www.cawst.org

Annex 5.3 Sources of additional information on regulation

Resource	**Description**
Regulation Strategy and Framework for Inclusive Urban Sanitation Service Provision Incorporating Non-Sewered Sanitation Services	Published by the Eastern and Southern Africa Water and Sanitation Regulators Association (ESAWAS) in 2019. The objective of this publication is to outline a regulatory framework and strategy that integrates and addresses inclusive urban sanitation service provision (incorporating non-sewered sanitation) such that the WSS regulator can effectively administer its mandate. https://esawas.org/index.php/component/jdownloads/send/8-other-esawas-publications/26-regulation-framework-and-strategy-for-inclusive-urban-sanitation-service-provision
Aligning Institutions and Incentives for Sustainable Water Supply and Sanitation Services	Published by the Water Supply and Sanitation Global Solutions Group, Water Global Practice, World Bank in May 2018. The objective of this publication is to analyse how integrated policy, institutional, and regulatory interventions can help align incentives for more sustainable water supply and sanitation (WSS) service delivery. http://hdl.handle.net/10986/29795
Referee! Responsibilities, regulations and regulating for urban sanitation. Discussion Paper, June 2020	Published by ESAWAS and WSUP in 2020. It synthesises experience from Eastern and Southern Africa and Bangladesh to explore the evolving role of regulators in driving urban sanitation service improvements. The paper argues that effective regulators and regulations are urgently needed to improve urban sanitation services to the poorest and highlights some ways in which this can be achieved. https://www.wsup.com/insights/referee-responsibilities-regulations-and-regulating-for-urban-sanitation/

Annex 5.4 Sources of additional information on funding

Resource	Description
Guidance for determining affordability of services	Published in Water Economics and Policy journal, 2020, based on findings from a World Bank study. This paper proposes an innovative approach to determining affordability of services, borrowing a method used to draw the monetary poverty line. A common method is to compare reported household WASH expenditure with its total expenditure. The alternative method uses the actual costs of quality services (that can be different from reported services), including initial fixed costs and consumption (recurrent) costs. It also proposes an approach to tailor funding policy to different household income level groups. https://www.worldscientific.com/doi/abs/10.1142/S2382624X20500022
Guidance on PPPs for sanitation (and water)	Published by IWA in 2013. This handbook identifies what is needed to establish effective and sustainable water and wastewater service reform when using a PPP arrangement, and how those issues can be addressed contractually. It provides specific recommendations on a comprehensive and detailed approach to contract drafting to ensure effective, sustainable, and long-term provision of water and wastewater services, including an approach for adaptation of public procurement procedures for PPP arrangements. https://iwaponline.com/ebooks/book/583/Public-Private-Partnerships-in-the-Water-Sector
Examples of approaches to develop blended finance	Published by the OECD in 2019. This report brings together examples of approaches to develop blended finance for the water sector in general and includes examples related to sanitation. It provides examples related to: (1) water and sanitation utilities; (2) small-scale off-grid sanitation; and (3) multi-purpose water infrastructure and landscape-based approaches. The publication draws out recommendations for policymakers and practitioners to apply and scale innovative, blended finance approaches where most appropriate. https://www.oecd.org/environment/resources/making-blended-finance-work-for-sdg-6-5efc8950-en.htm
Guidance on developing microfinance for sanitation	Published by SHARE in 2014. This document provides step-by-step guidance for embedding microfinance into sanitation programmes. The document presents in detail some key steps for developing microfinance at scale: (i) to identify the need for microfinance; (ii) to map the supply side (who is delivering microfinance); and (iii) to analyse how public funding could be used to boost the use of microfinance for sanitation. https://assets.publishing.service.gov.uk/media/57a0899be5274a27b200017f/Report__Developing_Microfinance_for_Sanitation_in_Tanzania_June_2015.pdf
Monitoring financial flows to the sanitation sector – TrackFin Methodology	Published by WHO in 2017. This guidance document sets out a methodology to identify and track financing to the WASH sector in a coherent and consistent manner across several countries. It is designed to help countries track financing to the WASH sector on a regular and comparable basis and analyse this information to support evidence-based policymaking based on useful indicators. https://apps.who.int/iris/bitstream/handle/10665/259899/9789241513562-eng.pdf;jsessionid=6DB3919A7CB15E25B9F5D9D127DB8832?sequence=1

Annex 5.5 Sources of additional information on monitoring and evaluation

Resource	Description
Ngor Monitoring Framework	Commissioned by the African Ministers' Council on Water (AMCOW) in collaboration with the AfricaSan International Taskforce - Sub-Committee on Monitoring and Learning as a knowledge resource from the AfricaSan5 process and learnings for the Fifth Africa Conference on Sanitation and Hygiene, AfricaSan5 Conference, 18-22 February 2019 in Cape Town, South Africa.
	This report summarises the results of the Ngor Commitment Monitoring carried out by 39 countries. It provides a baseline three years on from the Ngor Declaration on Sanitation and Hygiene, an overview of the vision and commitments themselves, and the actions required to make progress. It can be read together with the Establishment of a Monitoring and Reporting System for the Water Sector in Africa (AMCOW, 2016). Here, AMCOW describes the African Water Sector and Sanitation Monitoring and Reporting System and provides guidelines for use.
	It is important to note that the Ngor Declaration measures progress in terms of access to adequate and sustainable sanitation, which has been replaced in SDG 6.2 with use of safely managed sanitation services.
	https://knowledgehub.amcow-online.org/resource/59
SIASAR - Rural Water and Sanitation Information System	SIASAR is a management information system (MIS) for rural water supply and sanitation (WSS) developed to assist WSS sector policymakers, planners, and practitioners in monitoring the development and performance of rural WSS services. It is geared specifically towards decision-making for policy formulation, planning, and resource allocation. It is currently being used in 12 countries, with an additional five African countries at various stages of the implementation process.
	http://globalsiasar.org/en
Explore, Monitor and Visualize SDGs Data	The SDG dashboard sets out SDG country data, culminating in the Sustainable Development Report 2020, which includes the SDG Index and Dashboards, an annual review of countries' performance on the 17 Sustainable Development Goals.
	The report covers all 193 UN Member States, analysing current issues in sustainable development, with data on changes over time in SDG indicators, the future of the SDGs amidst COVID-19, and calculations for trajectories up to 2030.
	http://www.sdgsdashboard.org/
Integrated Monitoring Guide for Sustainable Development Goal 6 – Good Practices for Country Monitoring Systems	This report outlines processes and principles for implementing SDG 6 monitoring at the country level, including success factors, institutional arrangements, stakeholder involvement, and resource needs.
	It can be read together with step-by-step methodology for monitoring stakeholder participation (6.b.1) (UN Water, 2016), and with Integrated Monitoring Guide for Sustainable Development Goal 6 on Water and Sanitation Targets and Global Indicators (UN Water, 2016).
	This online presentation introduces SDG 6 and its eight targets, outlining how these contribute to the overall ambition to 'ensure availability and sustainable management of water and sanitation for all', highlighting interlinkages with other goals and targets

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	across the 2030 Agenda for Sustainable Development. The indicators for tracking global progress towards SDG 6 are also presented, together with an overview of where and how the necessary data can be collected, using flexible methods that allow countries to enter global monitoring in line with their existing capacity and resources. https://www.unwater.org/publications/good-practices-sdg-6-monitoring/
Sanitation and Water for All (SWA) Building Blocks for a Well-Functioning WASH Sector	This website provides valuable information on the Sanitation and Water for All 'building blocks': effective, inclusive, and systematic planning, monitoring and evaluation of sector performance to ensure the most effective route to achieve goals; mid- and longer-term review of sector performance through multi-stakeholder platforms and mechanisms for sector dialogue and learning; and clearly defined accountability mechanisms, data transparency, and public access to information. It should be read together with SWA's Mutual Accountability Mechanism (SWA, 2018). https://www.sanitationandwaterforall.org/about/our-work/priority-areas/building-blocks
UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water (GLAAS) (WHO)	This website provides valuable evidence from monitoring the inputs and outputs provided by the UN-Water Global Analysis and Assessment of Sanitation and Drinking-water (GLAAS), Track Fin, and WHO/UNICEF Joint Monitoring Programme (JMP), and helps to guide decision-makers at the local, national and global levels. The forthcoming Sanitation Policy Monitoring and Assessment Tool (PMAT) is a tool to monitor the content of policies, plans and strategies governing sanitation in countries. https://www.unwater.org/publication_categories/glaas/ https://www.who.int/water_sanitation_health/monitoring/investments/glaas/en/
AGORA (UNICEF, 2016)	This guidance note provides a useful orientation to the water, sanitation, and hygiene (WASH) enabling environment. It provides helpful suggestions related to monitoring and evaluation. Strengthening the enabling environment for water, sanitation and hygiene (WASH) Guidance Note (UNICEF, 2016). https://agora.unicef.org/course/info.php?id=2449
Tracking Financing to WASH (TrackFin)	TrackFin is a methodology to identify and track financing to the water, sanitation, and hygiene (WASH) sector at the national or subnational level in a consistent and comparable manner. TrackFin produces WASH accounts that can be used for national benchmarking, cross-country comparisons, and to provide an evidence base to better plan, finance, manage, and monitor WASH services and systems. https://www.who.int/water_sanitation_health/monitoring/investments/trackfin/en/ https://apps.who.int/iris/bitstream/handle/10665/259899/9789241513562-eng.pdf;

Annex 6. Glossary

This glossary presents definitions of some of the key terms used in the Guidelines. The list is not meant to be exhaustive, nor the definitions definitive. Instead, it is designed to assist the reader to understand what is intended in the context of the Guidelines.

The concepts and terms are grouped and organised to align with the different chapters of the Guidelines as outlined below. Definitions that are already provided in the chapters are not repeated here.

- Annex 6.1 - concepts in Chapter 2 (sanitation policy development process)

- Annex 6.2 - concepts in Chapter 4 (sanitation systems and services)

- Annex 6.3 - concepts in Chapter 5 (hygiene and behaviour change)

- Annex 6.4 - concepts in Chapter 6 (institutional arrangements)

- Annex 6.5 - concepts in Chapter 7 (regulation)

- Annex 6.6 - concepts in Chapter 8 (capacity development)

- Annex 6.7 - concepts in Chapter 9 (funding)

- Annex 6.8 - concepts in Chapter 10 (monitoring, evaluation, and review)

- Annex 6.9 - concepts in Chapter 11 (guidance for developing implementation strategy)

All online links were correct at the time of publication.

Annex 6.1 Definition of concepts on policy development process	
Concept	**Definition**
Policy process	The process for developing effective and inclusive sanitation policies. It includes review of existing policies; strategies and legal framework; assessment of sanitation situation; stakeholder engagement, drafting and finalising policies; development of implementation strategy; and endorsement. Policy implementation, though not part of the process, is critical and has been included in Chapter 11 of the Guidelines.
Stakeholder engagement	A stakeholder is a person or group of people who may be directly or indirectly affected by a policy/strategy/project/programme, positively or negatively. Stakeholder engagement is the involvement of all stakeholders from the onset of sanitation policy development (situation analysis) through the review and discussion of draft sanitation policies, finalisation, development of implementation, and strategy implementation.
Policy discussion paper	A policy discussion paper presents the gaps in the existing sanitation policy that the new policies intend to address and the policy suggestions to fill those gaps. It is used for discussion and debate with stakeholders on the proposed new or revised policies.

Annex 6.2 Definition of concepts on sanitation systems and services

Concept	Definition
Sanitation	Access to and use of facilities and services for the safe management of human excreta across the sanitation service chain from capture and containment through to treatment, reuse, and final disposal. More broadly, sanitation can also include safe management of solid and animal waste, and drainage management, which are beyond the scope of the Guidelines.
Excreta	In these guidelines, excreta are defined as human urine, faeces, and menstrual blood.
Faecal sludge	'Refers to the material, largely consisting of faecal solids and urine, which accumulates at the bottom of a pit, tank, or vault'.[1]
Non-sewered (onsite) sanitation	A sanitation technology or system in which excreta (referred to as faecal sludge) is collected, stored and emptied from or treated on plot where it is generated.
Sewered (offsite) sanitation	A sanitation system in which excreta (referred to as wastewater) is collected and transported away from the plot where it is generated. This type of system relies on sewers and flush water for transport.
Simplified/ condominial sewer system	'A simplified sewer describes a sewerage network that is constructed using smaller diameter pipes laid at a shallower depth and at a flatter gradient than conventional sewers. The simplified sewer allows for a more flexible design at lower costs similar to solids-free sewers'. 'Condominial sewers are constructed like simplified sewers but designed for the scale of a housing area involving end-users in planning and implementation'.[2]
Shared sanitation	Sanitation facilities that are not exclusively used by one household. The four categories of shared sanitation facilities are: • Shared household toilets (a toilet in one household also used by other households) • Compound toilets (toilets used only by the people living in a single compound) • Community toilets (non-household toilets used by a restricted group of households) • Public and institutional toilets (open to all).
Safely managed sanitation	Use of improved facilities that are not shared with other households and where excreta are safely treated and disposed of in situ or transported and treated offsite. This is ranked at the top level of the sanitation service ladder reported in JMP estimates.
Improved sanitation facility	Improved sanitation facilities are those which hygienically separate excreta from human contact and include flush/pour flush to piped sewer systems, septic tanks or pit latrines, composting toilets or container-based sanitation.
Sanitation service levels	Sanitation service levels refer to the service levels users have access to or benefit from. The JMP defines five levels of service – open defecation (no service), unimproved, limited, basic and safely managed. cont'd...

Sanitation ladder	Used by JMP to describe and report sanitation according to the following service levels: • Safely managed • Unimproved • Basic • Open defecation • Limited The first three service levels in this ladder (limited, basic, and safely managed) all include improved sanitation facilities.
Basic sanitation	Use of improved sanitation facilities that are not shared with other households. Part of the sanitation service ladder reported in the WHO/UNICEF Joint Monitoring Programme (JMP) estimates.
Limited sanitation	Use of improved facilities shared between two or more households. Part of the sanitation service level ladder reported in JMP estimates.
Unimproved sanitation	Use of pit latrines without a slab or platform, e.g. hanging latrines or bucket latrines.
Open defecation	Disposal of human faeces in fields, forests, bushes, open bodies of water, on beaches, and other open spaces or with solid waste. Part of the sanitation service ladder reported in JMP estimates.
Sanitation system	'A context-specific series of sanitation technologies (and services) for the management of faecal sludge and/or wastewater through the stages of containment, emptying, transport, treatment and end-use/disposal'.[3]
Sanitation facility	Toilet or latrine used to 'capture' excreta. The JMP classifies sanitation facilities as either improved or unimproved for the purposes of monitoring.
Sanitation services	The management of excreta from the capture and storage facilities through emptying and transport/conveyance of excreta for treatment and eventual discharge or reuse.
Sanitation service chain	'All components and processes comprising a sanitation system, from toilet capture and containment through emptying, transport, treatment (onsite or offsite) and final disposal or end-use'.[3]
Capture	This refers to the facilities where excreta is captured. It can incorporate any type of toilet seat or latrine slab, pedestal, pan or urinal.
Containment	A system or facility for collecting, storing, and sometimes treating excreta. It is directly linked to the toilets and includes pits, septic tanks, etc.
Conveyance	A process through which wastewater is conveyed from the toilets via sewers to the treatment facilities. It is associated with sewered sanitation.
Emptying and transportation	Emptying of faecal sludge from containment facilities where human action is required to lift the sludge and septage and transport to treatment facilities (manually or mechanically).
Treatment	Process/es that change/s the characteristics and composition of faecal sludge or wastewater so that it is converted into a product that is safe for end-use or disposal.
End-use and disposal	Methods by which treated faecal sludge or wastewater are ultimately returned to the environment as reduced risk materials and/or reused.
Service provider	These are individuals, groups, institutions (formal and informal) that work in the sanitation service chain. This includes those that provide mechanical and manual emptying services.

[1] Tayler, K. *Faecal Sludge and Septic treatment: A Guide for Low and Middle Income Countries*. Rugby: Practical Action. 2018. [Online] Available at https://www.susana.org/_resources/documents/default/3-3439-7-1540380071.pdf [Accessed 3 March, 2021].

[2] Tilley, E. Ulrich, L. Luethi, C. Reymond, P. Zurbruegg, C. (2014): *Compendium of Sanitation Systems and Technologies*. 2nd Revised Edition. Duebendorf, Switzerland: Swiss Federal Institute of Aquatic Science and Technology (Eawag) Available at https://iwa-network.org/wp-content/uploads/2016/06/Compendium-Sanitation-Systems-and-Technologies.pdf (Accessed March, 2021) PDF

[3] World Health Organization. *Guidelines on sanitation and health*. Geneva: World Health Organization, 2018. [Online] Available from: https://www.who.int/water_sanitation_health/sanitation-waste/sanitation/sanitation-guidelines/en [Accessed 28 February, 2021].

Annex 6.3 Definition of concepts on hygiene and behaviour change

Term	Definition
Hygiene	The conditions and practices that help maintain health and prevent spread of disease: 'a range of behaviours that help to maintain health and prevent the spread of diseases, including handwashing, menstrual hygiene management and food hygiene'.[1] The scope of hygiene in these guidelines is limited to handwashing with soap, MHM, and behaviour change related to sanitation. See also: hygiene ladder, Menstrual Hygiene Management (MHM)
Hygiene ladder	The global indicator for monitoring hygiene, as defined for SDG target 6.2, is the presence of a handwashing facility with soap and water on the premises. The hygiene ladder (also called handwashing ladder) comprises: • Basic hygiene • Limited hygiene • No hygiene facility.
Handwashing facility	Handwashing facilities may be fixed, mobile or contactless and include a sink with tap water, buckets with taps, tippy-taps, and jugs or basins designated for handwashing. Soap includes bar soap, liquid soap, powder detergent, soapy water but does not include soil, sand, or other handwashing agents.
Basic hygiene	Availability of a handwashing facility on the premises with soap and water. Part of the hygiene ladder reported in JMP estimates.
Limited hygiene	The availability of a handwashing facility on the premises without soap and water. It is part of the hygiene ladder reported in JMP estimates. Households with a limited facility will be distinguished from households that have no facility at all.
Hygiene behaviour change	'Hygiene behaviour change is a systematic approach to encourage the widespread adoption of safe hygiene practices, in order to keep people and their environments clean'.[2]
Hygiene promotion	'Systematic approaches to encourage the widespread adoption of safe hygiene practices to reduce diarrhoeal and other water- and sanitation-related diseases. Hygiene promotion focuses on determinants of behaviour change, which may not necessarily be directly related to knowledge of the health consequences of poor hygiene'.[3] cont'd...

Hygiene education	'Hygiene education is the transfer of knowledge and understanding of hygiene practices and their associated health risks. Hygiene education activities are thus one subset of possible hygiene promotion activities'.[4]
Menstrual Hygiene Management (MHM)	MHM refers to the provision of facilities and implementation of activities that allow women to maintain their menstrual hygiene in a private, safe and dignified manner. Though the challenges that need to be addressed go beyond the availability of WASH infrastructure, the emphasis in these Guidelines is in the sanitation facilities and hygiene behaviour change for MHM.
Menstrual Health and Hygiene (MHH)	MHH encompasses both MHM and the broader systemic factors that link menstruation with health, wellbeing, gender equality, education, equity, empowerment, and rights.
Gender	Gender refers to the socially constructed characteristics and differences between men and women, which determine relationships between them. These gender relations are context-specific and can change over time.

[1]UNICEF and World Health Organization. *Progress on household drinking water, sanitation and hygiene 2000 - 2017*. Special focus on inequalities. New York: United Nations Children's Fund (UNICEF) and World Health Organization (WHO), 2019. [Online] Available from: https://www.who.int/water_sanitation_health/publications/jmp-2019-full-report.pdf [Accessed 28 February, 2021].

[2]https://www.wateraid.org/mw/hygiene-behaviour-change [Accessed 28 February, 2021].

[3]Department of Water and Sanitation, South Africa. *National Sanitation Policy 2016. 2016*. [Online] Available from: https://www.gov.za/sites/default/files/gcis_document/201706/national-sanitation-policy.pdf [Accessed 28 February, 2021].

[4]Biran, A. and Hagard, S. *Hygiene Promotion: Evidence and Practice*. London: London School of Hygiene and Tropical Medicine. 2003. [Online] Available from: https://wedc-knowledge.lboro.ac.uk/resources/pubs/Hygiene_promotion_evidence_and_practice.pdf Accessed 28 February, 2021].

Annex 6.4 Definition of concepts on institutional arrangements

Term	**Definition**
Institution	Any government or private sector organisation or other formal or informal stakeholder (including users) playing a part in sanitation.
Delegation of services	Where the public sector entity with statutory responsibility for providing a service contracts or franchises it to a private sector service provider.
Economic planning entity	The national government office responsible for economic planning. It may be a stand-alone planning office, a dedicated ministry, part of another ministry (for example finance) or under the president's or prime minister's office. It is responsible for national macro-economic planning and the allocation of government resources between sectors.
Subnational government	The tier of government administration between national and local level, such as a state within a federal system, a province, a region, a district or a county.

Local government	Town and city councils, communes, municipalities, districts or other government entities mandated to administer a specific local area, usually with the responsibility of ensuring that adequate basic services are delivered to the population.
Private sector	Individuals, associations and firms, formally registered or not, whether with commercial or social objectives, providing goods and services directly or indirectly to users.
Stakeholder	Any individual or organisation with an interest in or influence on sanitation. The interest may be financial, moral, legal, personal, community-based, direct or indirect.
Citizen	Individual person living and/or working in a city, town, village or rural homestead.
Customer	User of sanitation goods and services, who may bear all, part or none of the costs.
Civil society	Non-governmental organisations and institutions that express and promote the interests and will of citizens.
Enabling environment	The conjunction of policies, legislation, regulation, financing, monitoring and institutional mandates and competencies which underlies sanitation service delivery.
Local ordinances and byelaws	Legislation enacted by a local government, applicable within its area of jurisdiction, typically including building regulations and public health legislation.

Annex 6.5 Definition of concepts on regulation

Concept	Definition
Law	A system of rules that society or government develops, enforced through social institutions to govern behaviour. In relation to sanitation, law provides the overall framework in which policies can be embedded to make enforceable.
Policy	Decisions enshrined in laws, regulations and policy documents that convey the will of government towards addressing issues of public good, such as sanitation, water supply and hygiene.
Sector legislation	Laws, considered collectively, as well as the process of making or enacting laws.[1]
Byelaw	A regulation made by a local authority or corporation; a rule made by a company or society to control the actions of its members.
Regulations	Regulations (noun) – dictate what/how to do. Regulations are rules or directives made and maintained by a government agency and have the force of law (NWASCO).
Regulating	Regulating (verb) – monitoring and enforcement with regulations - is the process whereby the designated government authority provides oversight and establishes rules for firms in an industry. It places constraints on behaviour, establishes incentives, and addresses issues that are politically contentious. Decisions are implemented through a rule or order issued by an executive authority/regulatory agency of a government, having the force of law. It is the ongoing process of managing the delivery of the regulations: balancing affordability and user willingness-to-pay against financial viability of service providers and overall sustainability of services.[2]

Regulator	In these guidelines, the word regulator is used in the context of all forms of regulation, whether provided by a politically independent body or regulator, by contract with a ministerial or local government body, or through a hybrid of the two models.
Regulation by contract	A form of regulation (performance accountability) in which the regulatory authority or the asset holder (which could be a mayor or a regulatory commission) monitors and enforces a licence or a performance contract.
Light-handed regulation	Allows sanitation service providers discretion in how they meet regulatory targets. It is less intrusive and designed to reduce information requirements and high compliance costs, while introducing clear incentives for good performance.
Regulatory agency	An agency established by government that sets, monitors and enforces rules for a specified type of business in a sector.
Regulatory independence	To be effective, the government agency providing regulatory oversight of a sector should have autonomy from political pressures to ensure long-term decision-making and consistency in rulings. It means that reporting and decision-making procedures are independent of political interventions.
Regulatory autonomy	Autonomy means that the regulator can be financially self-sufficient based on rights to collect operating costs from fees paid by regulated industry actors and is at an arm's-length relationship with regulated firms, consumers, and other private interests.
Regulatory accountability	Where a regulatory agency follows procedures that are periodically reviewed by another government organisation, such as a legislative committee, a ministerial task force, or a government accounting office, to ensure that resources are being used effectively and that the agency is implementing public policy. An additional review mechanism is the appeals procedures for decisions (e.g. through the judicial system) to check that the law is applied correctly by the independent regulatory body.
Regulatory capture	This occurs when the regulatory agency's decisions are unduly influenced by particular stakeholders' interests. It occurs when: • the agency has inadequate and asymmetrical information about a regulatory point; or • when an influential political entity, policymaker, or the regulatory agency itself is co-opted to prioritise the commercial, ideological or political interests of a particular area, industry, profession or ideological group.

[1]World Health Organization. *Guidelines on sanitation and health*. Geneva: World Health Organization, 2018. [Online] Available from: https://www.who.int/water_sanitation_health/publications/guidelines-on-sanitation-and-health/en [Accessed 28 February, 2021].

[2]WSUP and ESAWAS. *Referee! Responsibilities, regulations and regulating for urban sanitation*. Eastern and Southern Africa Water and Sanitation Regulator Association (ESAWAS) and Water and Sanitation for the Urban Poor (WSUP), 2020. [Online] Available from: https://www.wsup.com/insights/referee-responsibilities-regulations-and-regulating-for-urban-sanitation [Accessed 28 February, 2021].

Annex 6.6 Definition of concepts on funding

Term	Definition
Affordability	That quality sanitation services are available at a price that does not impose an unreasonable burden on the consumer. Affordability will, therefore, vary across households – depending on (a) the specific charges they face to access (at least) the national service level and (b) their income or total expenditure level. There are different methods for assessing affordability.
Blended finance	The strategic use of development finance for the mobilisation of additional (private) finance towards sustainable development.
Bonds	Multilateral financial instruments structured between an issuer and multiple investors, through which the issuer receives a lump sum of money at the time of issuance for either general use (a general obligation bond) or for a specific project (a revenue-generating bond).
Budget	An estimation of revenue and expenses over a specified future period, compiled and re-evaluated on a periodic basis.
Capital	Financial assets and resources such as cash.
Capital Expenditures (CAPEX)	This measures the value of purchases of fixed assets, i.e. those assets that are used repeatedly in production processes for more than a year.
Commercial bank loan	A bank loan provided on market-based lending terms. These differ from 'concessional loans', i.e. loans provided by development banks at conditions that are more advantageous to the borrower than market conditions.
Commercial finance	An umbrella term for commercial bank loans, commercial bond issuances, and private equity investment of all sorts.
Commercially viable	A project or investment that will provide a private investor with the return on their investment required for the project to have a positive net present value for that investor and, as a result, increase the value of the investor.
Concessionary loan (or 'soft loan')	A loan provided on concessionary lending terms, which may include a lower interest rate than the market rate, a longer repayment period or a grace period. It is often provided by development banks, IFIs and other development agencies.
Cost of capital	The required return necessary to make a capital budgeting project worthwhile, including the costs of debt and equity used to judge whether a capital project is worth the expenditure, and by investors to determine whether an investment is worth the risk compared to the return. Cost of capital depends on the mode of financing used — it refers to the cost of equity if the business is financed solely through equity, or the cost of debt if it is financed solely through debt.
Cost of service	The total cost of providing the required service at reasonable levels of efficiency.
Creditworthiness	The current and future capacity of the utility to service debt, that is, to pay interest and repay principal on loans when due. This assessment is usually determined based on the utility's credit history, credit ratings (if available), assets and liabilities, ongoing financial performance, and economic environment. cont'd...

Cross-subsidy	This occurs when one group of users contributes to part of the costs of providing services to another group or when users of a service subsidises users from another service. Cross-subsidies through the tariff in the water sector are common.
Debt	One of two ways in which a business (e.g. project or utility) can raise money. The essence of debt is that the borrower promises to make fixed payments in the future to the lender (interest payments and repaying principal).
Economic efficiency	This requires that prices signal to consumers the financial, environmental, social and other costs that their water and wastewater use decisions impose on the rest of the system and the economy. In practice, this means that service charges should be equal to the costs and marginal costs of bringing additional services. Efficient tariff and charge systems create incentives to ensure that, for a given water supply and sanitation cost, users obtain the optimum aggregate benefits.
Financial viability	Whether or not a project or investment will have a positive net present value and, as a result, increase the value of the investor. This assessment evaluates the direct effects of the project/investment on the cash flow of the investor. It considers whether projected revenues will be sufficient to cover expenditures and whether the financial return is sufficient to provide the return required by the investor.
Financially sustainable	A situation in which the total revenue to the service provider (including reliably provided grants from governments and transfers from donors) equals or exceeds the full cost of providing and sustaining quality service, including the costs of capital maintenance and cost of capital.
Funding sources	These are where funding originates. The OECD typology refers to funding sources as tariffs, taxes, and transfers.
Grant	A form of development aid without repayment obligations. Grants might be unconditional or carry explicit or implied political and commercial obligations.
Financing instrument	A document (such as a check, draft, bond, loan) that has a monetary value or represents a legally enforceable (binding) agreement between two or more parties regarding a right to payment of money.
Transfers	Funds from international donors and charitable foundations (including NGOs, decentralised cooperation, or local civil society organisations) that typically come from other countries. These funds can be contributed either in the form of grants, concessionary loans (i.e. through the grant element included in a concessionary loan, in the form of a subsidised interest rate or a grace period) or guarantees. cont'd...
Land value capture	Funding instruments based on the value of land. They include betterment levies (taxes imposed on landowners when municipal works enhance the land value) and land acquisition and sale after development. These instruments can raise large amounts of funds; therefore, they are well placed to fund sanitation.
Loan	Money, property or other material goods given to another party in exchange for future repayment of the principal amount along with interest or other finance charges. A loan may be for a specific, one-time amount or can be available as open-ended credit up to a specified ceiling amount.
Microfinance	Financial services tailored to individuals, groups or small businesses who cannot access commercial loans.

Microfinance institutions (MFI)	Financial institutions that can extend loans, savings, insurance, money transfers and other financial products to small business, farmers and other low-income borrowers who cannot get access to commercial bank loans.
Operating Cost Recovery	A situation in which the revenues are at least equal to the operating expenses of providing a service.
Operating Expenses (O&M)	Expense incurred by a business or project through its normal business operations. Often abbreviated as OPEX, operating expenses include rent, equipment, inventory costs, marketing, payroll, insurance, and funds allocated for research and development.
Public-Private Partnership	A long-term contract between a private party and a government entity, for providing a public asset or service, in which the private party bears significant risk and management responsibility, and remuneration is linked to performance.
Repayable finance	Sources of finance from private or public sources that ultimately need to be repaid, such as loans (including concessionary loans and guarantees), equity investments, or other financial instruments such as bonds.
Subsidy	A benefit given by the government or project to groups or individuals usually in the form of a cash transfer or tax reduction. The subsidy is usually given to remove some type of burden and is often considered to be in the interest of the public. Subsidies can be channelled for accessing services (to cover the costs of the initial investment) and for recurrent expenses (consumption subsidies), for example to cover the costs of emptying sanitation facilities or treating wastewater.
Tariff	The price charged to customers for the provision of services (such as water users to utilities). It is also a tax imposed on imported goods and services.
Taxes	Involuntary fees levied on individuals or corporations and enforced by a government entity (local, regional or national) to finance government activities. Includes taxes and fiscal contributions levied from service providers, such as: • Taxes on production (corporate tax on profits, property tax, leasing tax for renting fixed assets, taxes for occupation of public grounds or in relation to employees). • Usage charges related to (or earmarked for) the sector such as royalties, levies or duties for the use of water or the discharge of wastewater into water bodies. • Other charges on production levied for earmarked uses such as social contribution.

Annex 6.7 Definition of concepts on monitoring, evaluation, and review

Term	Definition
Evaluation	Evaluation is 'the systematic and objective assessment of an ongoing or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability'.[1] It involves a rigorous assessment of monitoring data against criteria and usually takes place at the end of an implementation period. An evaluation can assess the enablers and barriers to achieving objectives and outcomes, identify lessons, and make informed recommendations. Evaluations may be led by internal or external actors, with different advantages and disadvantages in each case. Evaluation can also take place during an implementation period to improve an implementation approach or strategy; called a 'formative' evaluation.
Indicator	An indicator is a marker of progress. It is a specific, observable, and measurable accomplishment or change that shows the progress made towards achieving a specific objective or target.
Joint Sector Review (JSR)	A JSR is a government-led periodic process that brings different stakeholders in a particular sector together to: engage in dialogue; review status, progress and performance; and take decisions on priority actions. Note that alternative names for JSRs include: annual water sector conference, joint water sector review, multi-stakeholder forum, joint annual review, WASH conference, joint sector assessment.[2]
Monitoring	Monitoring is the routine collection and recording of information. 'A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds'.[1]
Review	A lighter assessment that does not apply the same rigour of analysis as an evaluation. Reviews tend to emphasise operational issues and unlike evaluations conducted by independent evaluators, reviews are often conducted by internal actors. A review uses information gathered through monitoring (and may also use other information) to reflect on what is and is not working, how an implementation plan is progressing towards its intended objectives, and to identify changes that may be needed.[3]

[1]OECD. Glossary of Key Terms in Evaluation and Results Based Management. 2002. Paris: OECD Publications. [Online] Available from: https://www.oecd.org/dac/evaluation/2754804.pdf [Accessed 28 February, 2021].

[2]World Health Organization. UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water (GLAAS) 2019 Report. Geneva: World Health Organization. 2019. [Online] Available from: https://www.who.int/water_sanitation_health/publications/glaas-report-2019/en [Accessed 28 February, 2021].

[3]UNDP. Handbook on Planning, Monitoring and Evaluating for Development Results. New York: United Nations Development Fund (UNDP). 2009. [Online] Available from: http://web.undp.org/evaluation/handbook/get_handbook.html [Accessed 28 February, 2021].

Annex 6.8 Definition of concepts on implementation strategy

Term	Definition
Implementation plan	An actionable plan derived from a longer-term strategy, explaining implementation in detail, often covering a 12-month period. Plans identify: • What needs to be done (activities) • Who does what (roles and responsibilities) • When it must be done • What resources will be required to complete the activities (finances, expertise, supplies, etc.) • How progress will be tracked
Implementation strategy	A strategy that clearly sets out action points, stakeholders' responsibilities, and results indicators, thereby increasing accountability for reaching policy objectives.
Policy dissemination	The action of spreading information on policy to relevant target audiences, in an accessible and comprehensible way. Dissemination starts as soon as the policy has been approved and aims for engagement on strategy development.
Programmes	Detailed sanitation services development plans and related costs.
SMART objectives	Specific, Measurable, Achievable, Relevant and Timebound objectives
Strategy	A high-level plan designed to reach the objectives set out in a policy. Strategies are often specific to the sector and geography (e.g. rural water supply and sanitation strategy) and time-bound for a period of years. Strategies define specific targets, institutional roles and responsibilities and other medium to long-term details, often leading to multi-annual sector programmes.

Annex 7. Country Consultation

Country Consultation meetings				
Country consultations for the African Sanitation Policy Guidelines				
S/n	Country	Date	Number of participants	Facilitators
1.	Uganda	November 28, 2019	43	Charles Niwagaba James Tembo Kitch Bawa
2.	Senegal	January 23, 2020	58	Adama Dogue Awa Thiam Doucoure Patrice Leumeni
3.	Ethiopia	February 4, 2020	31	Samson Shivaji Kitch Bawa
4.	Ghana	February 4, 2020	34	Sareen Malik Charles Niwagaba Comfort Kanshio
5.	Zambia	February 5, 2020	33	Yvonne Magawa James Tembo Paul Orengoh
6.	Niger	February 11, 2020	36	Yaye Sophietou Diop Awa Thiam Maïmouna Tall
7.	South Sudan	February 18, 2020	65	Samson Shivaji Deograttius Chaupendo Kitch Bawa
8.	Kenya	February 21, 2020	39	Samson Shivaji Amaka Godfrey
9.	Nigeria	March 3, 2020	60	Kitch Bawa Amaka Godfrey
10.	Malawi	March 4, 2020	26	Charles Niwagaba Richard Kimwaga
11.	Rwanda	March 10, 2020	26	Richard Kimwaga Comfort Kanshio Deograttius Chaupendo
12.	Liberia	March 10, 2020	75	Kitch Bawa Obinna Anah

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About the African Sanitation Policy Guidelines

Sanitation is essential for health and in addition, provides extensive economic, social and environmental benefits. One of the key constraints to scaling up safely managed sanitation in Africa is that sanitation policies have been unclear, contradictory, fragmented or inaccessible.

The African Sanitation Policy Guidelines provide background information, guidance on the content, and advice on the process of developing national and subnational sanitation policies, including sample policy statements and advice on implementation strategy. The Guidelines are AMCOW's response to multiple requests for policy development assistance from African governments. The Guidelines developed in consultation with different stakeholders, can be applied and adapted at country level for the review, revision, and enhancement of existing sanitation policies and implementation strategies.

The target audience for the Guidelines is policy makers in national and subnational governments and other stakeholders involved in supporting policy reform initiatives and developing implementation strategies.