



Annual report 2018

**WASH
SDG** 
programme

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Table of Contents

Acronyms & Abbreviations	6		
Introduction	10		
Section A: Global programme	14		
1. Global achievements against the three strategic objectives	16		
2. Learning and knowledge development	18		
3. Innovation fund	20		
4. Monitoring and evaluation	21		
5. Programme collaboration and external relations	22		
6. Planning and reporting	24		
Section B: Programme country reports	26		
1. Bangladesh	28		
1.1 Bangladesh urban sanitation sub-programme	28		
1.2 Bangladesh WASH Alliance sub-programme	35		
1.3 Country-level updates	42		
2. Ethiopia	43		
2.1 Ethiopia WASH Alliance sub-programme	43		
2.2 Ethiopia Bahir Dar Zuria and Lasta sub-programme	49		
2.3 Country-level updates	55		
3. Indonesia	57		
3.1 Nusa Tenggara (WINNER) sub-programme	57		
3.2 Sustainable and inclusive cities sub-programme	63		
3.3 Country-level updates	69		
4. Nepal	71		
4.1 Nepal 4 city sanitation sub-programme	71		
4.2 Sindhuli Sunsari sub-programme	79		
4.3 Nepal WASH Alliance sub-programme	85		
4.4 Country-level updates	91		
		5. Tanzania	92
		5.1 Arusha Shinyanga urban sanitation sub-programme	92
		5.2 FINISH FORT sub-programme	99
		5.3 Country-level updates	105
		6. Uganda	107
		6.1 Uganda WASH Alliance sub-programme	107
		6.2 Kamuli Buyende Nebbi sub-programme	114
		6.3 Country-level updates	120
		7. Zambia	122
		7.1 Chambeshi Lukanga sanitation sub-programme	122
		7.2 Chongwe Kafue sub-programme	129
		7.3 Country-level updates	134
		Section C: Annual financial report	136
		1. Introduction	138
		2. Financial overview	139
		3. Financial narrative	141
		Section D: Stories	143
		1. "My husband now helps with household chores"	144
		2. Entrepreneurship and improving access to safe sanitation	146
		2. Entrepreneurship and improving access to safe sanitation	146
		3. WASH SDGs for inclusive and sustainable cities: explaining an advocacy process in Tasikmalaya	148
		4. Coordination with the district local government for sustainable WASH services	150
		Annexes	
		Annex 1: Financial annual report 2018 (Detailed budget vs. expenditure)	

Acronyms & Abbreviations

Full report

AfDB	African Development Bank
Akvo	Akvo Foundation
Amref	Amref Flying Doctors
BCC	Behavioural change communication
CLTS (H)	Community Led Total Sanitation (and Hygiene)
CSOs	Civil society organisations
CVR(A)	Climate vulnerability and resilience (assessment)
DGIS	Directoraat Generaal Internationale Samenwerking
EKN	Embassy of the Kingdom of the Netherlands
FGD	Focus group discussion
FSM	Faecal sludge management
GESI	Gender equality and social inclusion
IRC	Stichting IRC International Water and Sanitation Centre
IRF	Institutional regulatory framework
IWRM	Integrated water resources management
LGI	Local government institution
M&E	Monitoring and evaluation
MDG	Millennium Development Goals
MFIs	Microfinance institutions
MHM	Menstrual hygiene management
MoU	Memorandum of Understanding
NGO	Non-governmental organisation
OHS	Occupational health and safety
OSS	On-site sanitation
Plan	Plan International
PLWD	People living with disabilities
PRACTICA	PRACTICA Foundation
RAIN	RAIN, a brand of Aidenvironment
RUAF	Resource Centre for Urban Agriculture and Food Systems or RUAF Foundation

SDG	Sustainable Development Goal
Simavi	Stichting Simavi
SGM	Sexual and gender minority groups
SNV	SNV Netherlands Development Organisation
SP	Sub-programme
ToC	Theory of Change
WAI	WASH Alliance International
WASH	Water, Sanitation and Hygiene
WASTE	WASTE (via Nedworc-STIP)
Wetlands	Wetlands International

Country-specific sections

Bangladesh

DPHE	Department of Public Health and Engineering
GCC	Gazipur City Corporation
GDWR	Greater Dhaka Watershed Restoration
GoB	Government of Bangladesh
LGED	Local Government Engineering Department
NGOAB	NGO affairs bureau
TLCC	Town level coordination committee

Ethiopia

BOFEC	Amhara national regional government bureau of finance and economic cooperation
OWNP	One WASH national programme

Indonesia

AKKOPSI	Association of mayors for sanitation
APBD	District and city budget
Bappenas	Public Works and Planning
FORKALIM	National association of wastewater operators
NTB	West Nusa Tenggara
NTT	East Nusa Tenggara
Pokjas	Sanitation working groups
SaniFOAM	Sanitation focus, opportunity, ability, motivation.
STBM	Sanitasi Total Berbasis Masyarakat (in English, community led total sanitation)
TCAs	Technical assistance contracts
WINNER	Women and Disability Inclusive WASH and Nutrition Project

Nepal

CSP	City Sanitation Plan
DP	National development partners
DWSSM	Department of Water Supply and Sewerage Management
MoWS	Ministry of Water Supply

NSHMP	National Sanitation and Hygiene Master Plan
SWC	Social Welfare Council
WASH CC	WASH coordination committee

Tanzania

DPG W	WASH development partner group
FINISH	Financial inclusion improves sanitation and health
PORALG	President's Office regional and local government
TAWASANET	Tanzanian WASH CSO network
TWG	Technical working group
WSDPII	Second water sector development programme

Uganda

UWASNET	Uganda water and sanitation NGO network
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Zambia

CBEs	Community based enterprises
CC	Community champions
CDAs	Community development assistants
CHA	Community health assistants
DWASHE	District water sanitation and hygiene education
EHTs	Environmental health technicians
GRZ	Government of the Republic of Zambia
MWDSEP	Ministry of Water Development Sanitation and Environmental Protection
NRWSSP	National rural water supply and sanitation programme
NUWSSP	National urban water supply and sanitation programme
OSAW	Own saving for wealth creation
SAGs	Sanitation action groups
SMAG	Safe motherhood action groups
SUN	Scaling-up nutrition
U-CLTS	Urban Community Led Total Sanitation

Introduction

The **Netherlands Water, Sanitation and Hygiene Sustainable Development Goal programme** (WASH SDG programme) aims to sustainably improve access to, and use of, safe drinking water for at least 450,000 people, sanitation for at least two million people and improve the hygiene behaviours of 1.6 million people before the end of 2022. The programme started in July 2017 and is planned to finalise in December 2022. The present report provides an overview of progress made during 2018, covering the last semester of the inception phase and the first semester of the implementation phase.

The WASH SDG programme is implemented in Bangladesh, Ethiopia, Indonesia, Nepal, Tanzania, Uganda and Zambia, and has two or three sub-national level programmes (sub-programmes or SPs) per country. It is led by the **Netherlands WASH SDG Consortium** formed by the partners **WASH Alliance International (WAI)**¹, **SNV Netherlands Development Organisation (SNV)** and **Plan International Netherlands (Plan)**. With support from the **Ministry of Foreign Affairs Directoraat Generaal Internationale Samenwerking (DGIS)/Inclusive Green Growth (IGG)** department, the programme responds to the Dutch commitment to contribute to the SDGs, particularly SDG 6, with the aim of reaching an improved WASH situation for all. The programme is built on three core strategic objectives: (1) increase demand for improved WASH facilities and practices; (2) improve the quality of service provision; and (3) improve governance of the sector. In addition, gender equality and social inclusion (GESI) and climate vulnerability and resilience (CVR) are integrated transversally in each of the three strategic objectives.

The year 2018 was an important and intense period for the programme. The first six months were dedicated to advancing and concluding the inception phase. All sub-programmes (SPs) built upon the inception activities and results reported in 2017 and continued gathering and analysing the information required to further refine programme targets and develop context-specific strategies and action plans aimed at achieving the anticipated programme outcomes. Enabling environmental factors were taken into account throughout and special attention was paid to building and/or strengthening the relationships with the key stakeholders and ensuring their greater understanding and involvement in the programme, with a particular focus on the more vulnerable groups that were pre-identified as at risk of being left behind. Key information was consolidated and presented in the inception report sent to the donor on July 31, 2018.

During the second half of the year, programme implementation started and activities were carried out to set the base for the development of each of the three pathways in the different sub-programme intervention areas. The commitment of the local authorities to the programme and the intended outcomes in each intervention area was confirmed with the

¹ Consisting of Simavi (lead), Amref, Akvo, RAIN, WASTE (via Nedworc-STIP), IRC, Wetlands, Practica and RUAF

signing of memoranda of understanding (MoUs) that included an article on their agreement with the sustainability compacts. At the end of the reporting period, the sub-programmes were mostly on track. This report is structured as follows:

Section A gives an overview of progress made at the WASH SDG global programme level, particularly related to general programme coordination and activities.

Section B provides highlights of the work carried out in 2018 in each of the countries: Bangladesh, Ethiopia, Indonesia, Nepal, Tanzania, Uganda and Zambia.

Section C presents a summary of the 2018 financial report on programme expenditures and provides a brief narrative overview of the main trends (see Annex 1 for complete financial report).

Section D presents three interesting stories taken from the field to describe the reality of the work and highlight some of the successes that the programme achieved in 2018.

The following table provides a summary of the progress made towards the indicators 1–3 targets, to facilitate DGIS annual reporting to Parliament.

WASH SDG programme						DGIS	
Outcomes	Ref.	Indicator	Disaggregation	Baseline (IR 2018)	AR 2018 (i)	WASH SDG indicator data may provide relevant information for the following DGIS indicators (ii):	AR 2018 figures that may contribute to report to Parliament (iii)
Long term outcome: Sustainable and equitable use of WASH by all	1	Number of people (and % of people) who reach basic and/or safely managed service levels of drinking water of the JMP ladder.	Total (#)	–	–	1a&b	–
			Rural (%)	0%	0%	2a	0%
			Urban (%)	0%	0%		0%
			Female	–	–		–
			Male	–	–		–
	2	Number of people (and % of people) who reach basic and/or safely managed service levels of sanitation of the JMP ladder.	Total (#)	–	–	1d&e	–
			Rural (%)	0%	0%	2b	0%
			Urban (%)	0%	0%		0%
			Female	–	–		–
			Male	–	–		–
	3	Number of people (and % of people) who reach basic levels of handwashing practices of the JMP ladder.	Total (#)	–	–	1f	–
			Rural (%)	0%	0%		0%
			Urban (%)	0%	0%		0%
			Female	–	–		–
			Male	–	–		–

i – WASH SDG programme will update progress on the indicators after the mid-term review (reported in AR 2020) and the end-term report (reported in the final report). Annual reports for other years will report values as zero (0)
ii – DGIS indicators are taken from the M&E framework developed by IRC (v.8), as requested by DGIS. Please note that WASH SDG indicators are aligned but not exactly equivalent.
iii – Information will not be available on a yearly basis for IGG to report to Parliament but rather, will feed the updates to Parliament on the years directly after the WASH SDG programme mid-term review and the end-term report.



Section A: Global programme

Source: Simavi (Uganda)

1. Global achievements against the three strategic objectives

Source: Plan (Uganda)

Inception phase (January to June 2018)

During the first semester of 2018 all sub-programmes pressed on with the inception phase activities started the previous year. Although at different stages of the process, the majority had completed their secondary WASH data analysis, contextualised the global Theory of Change (ToC) and developed sustainability compact assessments and national and sub-national stakeholder analyses. In 2018, work focused on the development of a number of assessments to guide the sub-programmes. These included a sub-programme specific gender and social inclusion assessment (GESI), a climate vulnerability and resilience assessment (CVR), a baseline analysis and report and, where relevant, the piloting of promising concepts or approaches. Inception findings led to the development of 15 sub-programmes for implementation, all of which started implementation during the second semester of 2018.

A global overview of the programme, as well as a summary of these reports, key baseline data and programme targets per sub-programme and other inception deliverables were presented in the inception report sent to DGIS on July 31, 2018. The content and analysis of the information gathered during the inception phase can be found in the inception report and is out of the scope of this annual report.

Implementation phase (July to December 2018)

Fourteen of the 15 sub-programmes started their implementation in the third semester of 2018. The only exception was the Indonesian Women and Disability Inclusive WASH and Nutrition Project (WINNER) sub-programme where the earthquakes on the island of Lombok on July 29 affected the sub-programme West Nusa Tenggara (NTB) intervention areas of Mataram City and Lombok Tengah. This was communicated to DGIS on September 9, 2018. In general, it is expected that despite the slightly delayed start, the sub-programme will be implemented without any significant changes.

At this stage (month six of 54), most of the programme activities carried out were orientated to implementation start up. From a global perspective, important work was carried out to lay the foundations to make progress in each of the pathways.

- **Pathway 1: Improve behaviour change interventions**
- **Pathway 2: Improve WASH service provision**
- **Pathway 3: Strengthen WASH governance and institutional framework**

Of the 15 sub-programmes, almost all were on track with respect to their annual plans at the end of the reporting period. Those that reported slight delays (Tanzania's financial inclusion improves sanitation and health (FINISH FORT) sub-programme, all Nepal sub-programmes) had adjusted their 2019 work plans accordingly and have indicated that they were gradually coming back on track by the first semester of 2019. In terms of other broader achievements and the view of reaching overall programme targets and goals, progress was adequate although it is too early to make a global programme analysis.

In section B, a detailed overview is given of the progress made per sub-programme in the different programme pathways. In the case of this annual report, it is worth noting that at the request of DGIS, an additional section per pathway was included prior to the 2018 updates to describe the overarching vision of change per pathway. The vision statement presents what change the sub-programme aims to achieve in that pathway (what success would look like at the end of the programme) and how the sub-programme intends to achieve this change. In future annual reports, progress per pathway will be reported with respect to that vision as well as the respective annual plans.

2. Learning and knowledge development



Source: Plan (Nepal)

During the first semester, the Consortium agreed to develop a learning and knowledge development (LKD) framework and work plan for the implementation phase of the WASH SDG programme. The assignment was undertaken by IRC and aimed to define learning and knowledge development in both a practical and theoretical sense across the different programme levels and locations and to map out a set of principles and deliverables that articulate those aims. Particularly, guide the Consortium on how to:

- determine potential learning strategies for the prioritised LKD topics
- ensure learning processes have input from different programme levels (ensuring feedback from different levels – sub-programmes, country, organisational, Consortium, etc.)
- ensure lessons learned feedback into the programme
- determine selection criteria and processes for new learning themes, if relevant and feasible during programme implementation
- share evidence and proof of concepts with the wider WASH community and policy-makers in the Netherlands and internationally
- determine pre-identification of possible research partners for specific topics, if relevant.

The list of possible learning questions presented in the approved WASH SDG programme proposal was further refined during the inception phase. The proposed learning questions reflected the interests and areas of expertise of the Consortium partners, anticipated activities and challenges that were likely to be encountered during the course of the programme. They were also designed to be flexible and open ended enough to be modified or added to throughout the course of the programme. Two learning topics were selected, namely:

- **Process/learning and adaptive management:**
 - sustainability clause, checks and compacts (SCCC)
- **Thematic/sector learning:**
 - gender and socially inclusive WASH programming

Taking into account the programme LKD needs as well as the key technical and thematic expertise required for the two topics above, the Consortium divided the global LKD component into three separate assignments during the first phase of programme implementation. Three separate terms of reference were developed during the second semester of 2018, the first two addressing the two key learning areas and therefore looking for core experts in these themes. And the third, to provide general support to the programme from the perspective of the facilitation of the learning trajectory and process. The terms of reference were published between December 2018 and January 2019.

3. Innovation fund



Source: SNV (Tanzania)

There will be two innovation fund calls during the full programme implementation period. The first of these is programmed to take place in the last semester of 2019.

The selection procedure briefly described in the inception report will also be further developed in 2019. Progress will be conveyed in future reports.

4. Monitoring and evaluation



Source: SNV (Nepal)

In 2018, all baseline information was collected and analysed, including the data relevant to the 11 outcome indicators. Consortium partners used the WASH SDG monitoring and evaluation (M&E) framework that was developed jointly with DGIS in 2017. Data was presented in the inception report and later published on the International Aid Transparency Initiative (IATI).

In terms of the sustainability clause, compacts and checks (SCCC), in 2018 Consortium partners focused particularly on the sustainability compacts. The commitment of the local authorities of each intervention area to the programme and the intended outcomes in each intervention area was confirmed with the signing of memoranda of understanding that included an article on their agreement with the sustainability compacts. Most of these had been signed by the end of the reporting period. Partners communicated that those that were pending will be finalised in early 2019. Although some agreements exist on the sustainability checks, there was still lack of clarity on the operationalisation of these within the programme. At the end of the reporting period, DGIS and the Consortium programmed a workshop for January 2019 to further discuss.

5. Programme collaboration and external relations

Source: Simavi (Bangladesh)

In 2018, internal Consortium coordination was positive. Based on programme needs, Consortium partners collaborated whenever possible at both the country level (between sub-programmes) and at the global level (steering and technical committees, consortium programme coordination). Based on one of the points in the memo from DGIS on the inception report, the Consortium carried out an exercise to evaluate some aspects of our partnership and collaboration (Consortium focus, policies, general coordination and procedures for programme implementation, technical assessments, implementation in country, coordination in country, LKD and external communication of the programme). As discussed in the meeting with DGIS of September 11, partners self-evaluated collaboration positively although some areas were identified as needing improvements (e.g. coordination in-country, external communication on the programme).

The Consortium also took steps to foster greater collaboration with DGIS this year. Technical meetings were requested both before the inception report (to allow DGIS to view preliminary findings and present feedback or input to improve the report) and after (to clarify and address any key questions that arose after reading the report). Higher-level meetings to provide a more general overview of the programme also took place between the steering committee, Brecht Paardekooper and Carola van Rijnsoever (May) and Karin Roelofs (February and September). The support from the external consultant to DGIS, Aquaconsult, at the end of the year was also very positive in terms of providing guidance on some of the ongoing discussions with DGIS on sustainability. However, from the perspective of the Consortium, both in-country and in the Netherlands, programme management and steering could have been even more efficient if procedures, templates and other requirements regarding SCCC, indicators and reporting had been clearer from the onset of the programme.

The country reports provide greater details of the collaboration efforts and relationship building in each country. At the global programme level, it is worth highlighting a growing collaboration with WaterWorX and the Blue Deal, with whom the Consortium is carrying out a quarterly coordination meeting. The Consortium is also participating and sharing information on the WASH SDG programme with other WASH programmes. In terms of Dutch-funded programmes, notably Watershed, Voice for Change (V4C) and FINISH²) and in platforms such as the Netherlands Water Partnership (NWP).

In terms of international events, during the Stockholm World Water Week 2018, SNV shared some perspectives on leaving no-one behind in urban settings and the complex strategic choices and significant investments cities needed to reach SDG6³. The results from the WAI baseline on GESI were also presented in the 2018 Water and Health Conference of the University of North Carolina⁴.

² - FINISH Consortium Aqua for All, WASTE and Amref Flying Doctors.

³ - The SDG6 debating game ([SIWI session](#))

⁴ - Dynamics of Exclusion in the WASH sector: Insights from Bangladesh, Nepal and Uganda. ([click here to access factsheet](#))

6. Planning and reporting

Source: SNV (Tanzania)

In 2018, the following reports and plans were developed and submitted.

Planning & reporting requirements	Period covered	Deadline
Annual narrative and financial progress report	Jan 1 to Dec 31, 2017	Jun 30, 2018
Annual audit opinion and audit report together with report of findings ⁵	July 1 to Dec 31, 2017	Jun 30, 2018
Inception report	Jan 1, 2017 to June 30, 2018	July 31, 2018
Annual plan	Jan 1 to Dec 31, 2019	Nov 1, 2018
IATI periodic updates (per partner) (IATI identifier: XM-DAC-7-PPR-4000000454)	Previous quarter	Apr 30, Jul 31, Oct 30)

It is worth noting that the inception report was developed in line with the outline previously approved by DGIS. The country sections partially summarised findings that were analysed in much greater depth in a series of contributing reports developed in 2017 and 2018, mainly:

- at the country level: secondary WASH data analysis, sustainability compact assessments and national stakeholder analysis
- at the sub-programme level: sub-national stakeholder analysis, GESI assessment, a CVR assessment and baseline analysis and, when relevant, pilot reports.

⁵– As established in the Beschikking Addendum 1 (January 25, 2018), the annual audit report 2017 = a clear presentation of the WASH SDG programme in the audited annual accounts 2017 of Simavi.

At the end of the reporting period, the inception report had not yet been approved. An additional report on the enabling environment bottleneck analysis and systems strengthening approach was commissioned by DGIS. This was carried out for one country (Ethiopia) with a deadline of November 13, 2018. During the workshop of November 20, 2018, agreements were reached on next steps. DGIS commissioned another report for all countries that focused on section 4.2 of the Enabling Environment report developed for Ethiopia, due on January 5, 2019. It was also agreed that a second workshop would take place to review this report and was programmed to take place before the end of January 2019.

Also, DGIS sent a memo with some additional issues on the inception report on November 12, 2018. The Consortium responded to the points of the memo on December 22, 2018. DGIS acknowledged and approved it on March 21, 2019.



Section B: Programme
country reports

Source: Plan (Uganda)

1. Bangladesh



Source: SNV (Bangladesh)

1.1 Bangladesh urban sanitation sub-programme

1.1.1 Overview of progress

The Bangladesh urban sanitation sub-programme is a city wide programme in three urban areas: Jashore (pop. 221,700) as a fast growing secondary city, Benapole (pop. 40,100) as a small frontier-town with India and two high dense zones of Gazipur City Corporation (pop. of both zones 895,000⁶) within the metropole of Greater Dhaka.



Source: SNV (Bangladesh)

The sub-programme start was delayed because of the lengthy formal approval process by the Government of Bangladesh (GoB) and the national elections. However, the sub-programme has caught up since, is progressing well and on track with anticipated activities and results.

In the first part of 2018, the inception activities were completed which included developing rapport with and the confidence of the city council members, as well as the official signing of MoUs with Jashore and Benapole. It was also decided to add a third location (Gazipur) at the request of the GoB and considering the relatively small programme size (in terms of population without services). In the second part of the year, the sub-programme focused on building interventions

⁶ - Total population of Gazipur City Corporation is 2,153,534 in 2016. However, programme area population is 895,000 only.

based on baseline findings, and further developed broader city specific comprehensive SDG 6.2 action plans for Jashore and Benapole and a baseline for the Gazipur locations.

1.1.2 Narrative on results against plan at sub-programme level Inception phase (January to June 2018)

The annual report 2017 provided some details on the initial activities carried out at the start of the inception phase and included: discussions by the stakeholders of the selected programme areas on urban WASH issues as well as the objectives of the sub-programme; a desk review on policies, strategies and guidelines was done to assess gaps and areas of alignment for the sub-programme; and a stakeholder analysis conducted with sector stakeholders and later validated with cities. Several workshops and meetings were organised with the leaders and stakeholders to discuss their demands and commitments to improving WASH services, including sustainability compact. National level stakeholders were informed throughout.

A detailed baseline study was conducted during February–May 2018 for Jeshore and Benapole which included three surveys in Akvo FLOW as well as key informant interviews and focal group discussions (FGDs). The sample for households, schools and health facilities was 2,813 households, 60 educational institutes and 40 health facilities. The baseline also measured the joint Consortium outcome indicators. Also, the gender and social inclusion (GESI) and climate vulnerability and resilience (CVR) assessments were conducted, both pointing to key issues to be taken up in the sub-programme. The different studies provided the basis for identifying and implementing interventions in each city, aiming at systemic change.

The sustainability compact analysis was done at national level. It revealed that most of the monitoring systems were project based. Upon termination of projects, monitoring became non-functional. It also found that different ministries have their own system with different indicators for progress monitoring. Since then, the SDG coordinator under the Prime Minister's office has initiated the development of a comprehensive monitoring system for the SDGs. For WASH, the responsibility has been given to the local government division (LGD) and is under development. The sub-programme is tracking the progress and coordinating with stakeholders to align with national initiatives.

Initiating intervention in Gazipur: Several meetings were held with Gazipur City Corporation (GCC), specially the wastewater management committee and 2030 water resource group of the World Bank to initiate a joint wastewater management project in Gazipur's Greater Dhaka watershed restoration (GDWR) workstream. GDWR will focus mainly on infrastructure investment and development of public-private partnership (PPP) models, and the sub-programme will focus on ensuring capacity for safely managed sanitation services. Finally in December 2018, the mayor approved the initiation of a baseline study survey⁷.

⁷ - The baseline sample in Gazipur included 1,695 households, 238 educational institutes and 50 health facilities.

Pathway 1: Improve behaviour change interventions

The findings of the baseline in Jashore and Benapole show that 95% of households uses water from a tube well or bore hole, while 3% uses piped water and 1% bottled water. 77% of households have access to at least basic sanitation and 13% of households to unimproved, shared facilities. However, only 21% of sanitation is found to be safely managed. In terms of use, maintenance and cleanliness of toilets, the majority (91%) is found to be functional, but most (88%) are not clean or private. Challenges include the presence of used cleaning materials, faecal smears and the absence of a door. This is a common issue among all wealth quintiles. Non-use is found more often among shared toilets. Handwashing with soap after defecation is only found in 9% of households, with around 50% not having a handwashing station, and around 40% lacking soap. Menstrual hygiene management (MHM) is a challenge in the households of the poorest wealth quintiles. In the poorest and poor wealth quintiles, 71% and 52% respectively, women do not find a private place to change, let alone wash during menstruation. In schools the challenge is the absence of sex-separate toilets. Cleanliness and privacy is less of an issue in schools, though in some it is related to a lack of running water. The absence of handwashing after defecation and the lack of facilities for MHM are the biggest challenges in schools. In health facilities, sanitation services are limited due to the absence of accessible facilities for people with disabilities. Moreover, in 65% there is no provision for handwashing with soap. Handwashing at points of care is better, though 15% lacks provisions. However, 83% does not have a place for MHM, and 68% does not manage solid waste storage. None of the health facilities practice proper management of health care waste.

The inception phase baseline findings show the enormity of behaviour and service issues to address, across different types of premises and target groups. Addressing all of these adequately might not be feasible which is why the sub-programme aims to engage with the health and education sector to advocate for priority behaviours in institutions to be taken up. The sub-programme itself will focus on working with the city authorities to build capacity for the following four behaviours (prioritised with city councils and stakeholders):

1. Improve and use environmentally safe toilets to prevent contamination of surface or groundwater.
2. Build/maintain improved toilets with pit/septic tank.
3. Hygienic use and maintenance of clean toilets with privacy.
4. Regular/timely safe (mechanical and manual) services for sludge removal from septic tank/pit.

The vision of the sub-programme for this pathway is that by the end of the programme, *the city council will have the capacity and will be implementing an effective behavioural change communication (BCC) strategy around these behaviours, and the health and education sector will have incorporated priority WASH behaviours in their facilities in their ongoing quality improvement efforts. An effective BCC strategy is evidence based, targeted and monitored for results.* In order to make progress towards this, the sub-programme will support the city council in the collaborative formulation and implementation of city specific BCC strategies and action plans, and building the capacity of relevant staff.

During the second half of 2018, the following activities were done to move towards the vision:

- As a first step, the sub-programme together with the cities conducted consumer research on behaviour change and demand-creation for faecal sludge management (FSM). The research studies the above behaviours of different target groups, including low income households (slums) and non-residential settings (schools, hospital/clinics, government offices, markets and public toilets). The study aimed to gain knowledge on behaviour determinants (barriers, drivers, motivations, opportunities and abilities) that affect behaviour adoption (specific attention was given to low income areas, and separate FGDs were conducted with vulnerable groups to consider GESI-related determinants). On this basis, during 2019, a BCC strategy will be developed and implemented.
- In parallel to the study, key messages were disseminated during the sanitation month organised by Jashore municipality, through local TV channels, colourful rallies and others.

Pathway 2: Improve WASH service provision

As mentioned under pathway 1, the baseline found a number of challenges in WASH service provision. These are somewhat different because of the different context of both municipalities. Benapole is a small border town, in which the daily transient population is nearly the size of the resident population. With people passing on average four hours within it, the provision of public toilets is essential to maintaining a hygienic urban environment. Jashore, however, is one of the oldest cities in Bangladesh and an important business hub in the region with airport, train and bus stations and potential growth in connectivity with India is increased with the Padma Bridge and other bi-lateral projects.

Both cities have on-site sanitation facilities and over the past year, 20.5% of households have emptied their pit/septic tanks, but 60% has never emptied it. This suggests that there is a smaller part of the population that empties regularly, while a large part does not. On the other hand, 6% of households are discharging directly to drains and 70% do not practice timely and safe emptying. The latter is partly due to disposal in drains and regularly overflowing containment. Moreover, the safety of emptying practices is problematic, with a predominance of unsafe manual emptying. Neither Jashore nor Benapole have treatment facilities, and several uncoordinated sanitation investment streams have been engaging with the municipalities.

Considering the above, **the vision of the sub-programme for this pathway** is that by the end of the programme, *the three cities will have a clear, safe, viable sanitation service model (for emptying and treatment), with aligned infrastructure investment, servicing the different consumer segments: domestic, educational, health and public places as a priority.* This will be achieved by developing and testing business models for different zones of the city, facilitating the dialogue of the municipality with different infrastructure investment initiatives (including resource recovery initiatives) and engaging with emptiers to professionalise their work (including occupational health and safety).

In order to make progress towards this and assure city-wide improved sanitation services, the sub-programme focuses on the different existing market segments (households, educational institutions, health centres, public spaces and low income areas).

During the second half of the 2018, several studies were conducted to understand the current sanitation situation and initiate specific interventions for these segments:

- School sanitation consultation meetings and a planning workshop were held with authorities from the education department, schools and municipalities to set sanitation goals and objectives.
- A public toilet scan was conducted to assess the needs as well as provision of public toilets in terms of design, operation and maintenance and overall management. As a result, national and municipal resources were leveraged for new investments in public toilets. Jashore municipality approved the construction of a new public toilet block in a public park, and in Benapole, two new public toilets will be constructed under a government project following the study's proposed locations. To assure sustainability of both the new facilities and existing ones, the sub-programme initiated the development of a management model study to support municipalities on the proper management of the city's public toilets.
- In the two municipalities, manual emptying is predominant and there is no culture of safety around this work. The sub-programme initiated the development of an emptiers' database in Jashore and Benapole. The objective is to support the local government institution (LGI) official to train, certify and supervise the emptiers on occupational health and safety (OHS). A total of 445 emptiers in Jashore (male: 230, female 215) and 71 emptiers in Benapole (male: 32, female: 39) are included in the database.
- Existing emptying services were assessed both in terms of infrastructure and service models, which provided the basis for an improvement plan.

Pathway 3: Strengthen WASH governance and institutional framework

As per the local government act, municipalities are mandated for ensuring safe sanitation services and environmental health. The recent institutional and regulatory framework (IRF) for faecal sludge management has provided higher level guidance to municipalities. However, it is not yet clear how sanitation governance is linked to the national frameworks of and the policies of local government division under the Ministry of Local Government, Rural Development and Cooperatives, as this is work in progress. The entry point for the two municipalities is the town level coordination committee (TLCC) headed by the mayor with members from municipal council, other government representatives and civil society. The committee meets once in three months and discusses development issues which should include sanitation. However, in neither of the cities, the TLCC is engaged in sanitation, in spite of government investment projects coming to the city. Budget allocation (the mandatory 20% for sanitation), monitoring and planning should all address sanitation, but this is limited to drain cleaning and road sweeping. Also, the master plans of the municipalities lack a broader vision on sanitation. Multi-stakeholder coordination around the sub-sector is absent.

The vision of the sub-programme for this pathway is that by the end of the programme, *the municipalities have a city-wide service delivery framework that prioritises the key enabling conditions and is led by the respective local authorities*. In order to make progress towards this vision, the sub-programme will strengthen the capacities of local authorities to regulate, enforce and coordinate sanitation plans, budgets and service provision, and promote business models and financing systems that support effective and sustainable services with a pro-poor lens.

During the second half of 2018, the following activities were done to move towards the vision:

- After the signature of the MoUs with municipalities and launching workshops in April and May 2018, a range of advocacy activities were undertaken to increase awareness of the mayors, councillors and other officials in the cities. Specific topics were the importance of the sanitation service chain, Bangladesh's institutional regulatory framework (IRF) and the Sustainable Development Goals for WASH (SDG 6).
- A joint planning workshop was organised with each of the municipalities, in which draft sanitation action plans were developed with a focus on achieving SDG 6.2. To complement these workshops, exposure visits were carried out to the faecal sludge treatment plants in Jhenaidah and Kushtia to understand treatment and re-use technologies (wetlands, drying beds, co-compost with solid waste); as well as to understand different public toilet management models and faecal sludge emptying services in Dhaka. The city authorities are now more aware and committed to improving city wide sanitation in their areas. Both municipalities have also allocated specific budget for sanitation activities for 2019. National level coordination and relations have been strengthened. Sub-programme staff and municipal partners also have a clearer understanding of how to capitalise on the data collected through national processes so that this feeds into and informs local decision-making processes, supporting evidence-based planning and budgeting.

1.1.3 Approach to sustainability

The municipalities signed a memorandum of understanding (MoU) with SNV which included the following reference to the sustainability clause:

- Local government institution (LGI) commits to report to the donor, DGIS, on the access and use of sanitation services in the programme area for a period of ten years after the end of the programme.
- A management response by the LGI on the results of the monitoring is part of the reporting. In case that report identifies a decline in access and use of sanitation services, the LGI commits to make reasonable professional efforts to correct the situation in order to ensure the sustainability of the sanitation services.

In addition to this, SNV is supporting the strengthening of monitoring systems at local and national level. The focus is to increase the evidence across the sanitation service chain and encourage the use of evidence for decision making through the sanitation mapping initiative.

1.1.4 Risks and mitigation

No additional risks identified beyond those mentioned in the inception report. The sub-programme is working closely with the municipal authorities and will develop plans to mitigate any risk to ensure smooth operation and minimise disruption to activities.

1.2 Bangladesh WASH Alliance sub-programme

1.2.1 Overview of progress

The 2018 inception phase concluded with the inception report in July and the preparation of the implementation plans for the first two years of the programme. The programme team worked on setting up the programme and aligning the partners' proposed activities in their joint intervention areas. Each local partner proceeded with applying for clearance from the Bangladesh NGO affairs bureau (NGOAB), which in some cases took several months and hindered some partners from receiving their first instalments. Additionally, the December 2018 elections created additional delays for the implementation of many activities.



Despite these delays, the programme started with initial activities. Key implementation phase activities included the kick-off meetings in the intervention areas with partners, local authorities and communities to raise awareness about the programme and provide clarity about the roles and responsibilities of each stakeholders, signature of MoUs with local authorities, preparation work for the 2019 training activities for WASH entrepreneurs, and local staff orientation training to help them understand the programme and their roles. Overall, these factors led to some delays in 2018 and activities were slightly off-track at the end of the reporting period. However, these were taken into account in the 2019 planning and are expected to get back on track in the coming months.

1.2.2 Narrative on results against plan at sub-programme level

Inception phase (January to June 2018)

The inception phase continued with the presentation of the results of the studies and pilots that were conducted in 2017. The studies encompassed the baseline study, a stakeholder analysis, the climate vulnerability resilience analysis and a GESI assessment. The five pilots deepened the understanding on specific aspects of the sub-programme: budget monitoring; entrepreneurial opportunities in the WASH sector; economic study on faecal sludge management; opportunities in the sanitation chain linking to other sectors; and a small piped water system as a rural business.

The results of these studies and pilots were presented during a 2018 validation workshop to internal and external stakeholders, including government officials, and their feedback was used in the programme development workshop to set the foundation for the programme strategy and formulating the intended results. The fifth pilot on the small piped water system began during the inception phase, but was completed only in the second semester of 2018,

due to the delayed approval of the project by the NGOAB. This fifth pilot provided a feasibility study on a business case of a piped water system that was planned to be realised in Barguna Sadar Upazila, which subsequently influenced the planning of this system. The results and related content of all the other aforementioned processes and activities were summarised in the country inception report sent to DGIS in July 2018.

In terms of external coordination, the WAI country coordinator met the relevant government officials from the intervention areas and informed them of the intention to prepare a MoU to follow the national monitoring system on monitoring SDG 6 and on sustaining service levels post-programme implementation. The Bangladeshi partners were asked to facilitate the signing of the MoU with LGs, which took place in the second semester of 2018.

Pathway 1: Improve behaviour change interventions

The inception phase, including the baseline assessment, has given the Bangladesh WASH Alliance sub-programme rich information to confirm the key problems and prepare the programme's implementation. Overall, the WASH situation is mixed within the different municipalities and rural areas. Issues of water quality, lack of knowledge on handwashing practices, and inadequate services in schools and health care centres, are examples of issues that require attention.⁸ However, influencing changes on these, necessitates involvement of those people who are affected, which is challenging in the Bangladeshi context. For example, as presented in the baseline and GESI assessments, women have a limited intra-household and governance decision-making power in addition to having limited access to resources. Socially excluded groups are also facing numerous barriers in accessing WASH services and participating in meetings, and have a minimal influence in decision making for WASH service delivery.⁹

Against this backdrop, **the vision of the sub-programme for this pathway** is that by the end of the programme, *there will be visible behaviour changes whereby community people, with a focus on women and socially excluded people, will be taking decisions that will lead to their increased access to, and their use of sustainable, acceptable and safe WASH products and services.* Qualitative information from awareness-raising and capacity-building activities will provide insights on annual progress. These will be read along with the results of the social mapping. All partners are encouraged to document information on access and use of facilities.

In order to make progress towards this, the sub-programme will first work on increasing the awareness of the importance of using sustainable and safe water and sanitation, and practising key hygiene behaviours. A demand-creation strategy will be further developed and implemented to create increase demand by community people for WASH in general, but

⁸ – Inception report Bangladesh, p. 64–68.

⁹ – See e.g. Inception report Bangladesh, p. 67; Baseline report Bangladesh, 31 March 2018, p. 32; and WASH SDG – WAI sub-programme Bangladesh, GESI assessment report, April 2018, p. 16, 20.

also disaster-proof, climate resilient, and tailor-made WASH products. As their understanding and demand is strengthened, the sub-programme will empower them to influence the decision-making process at local government and household levels. The entry point for this will be new and existing community structures such as courtyard meetings, community group meetings, etc. With the development of a demand-creation strategy, other channels will also be identified and used to influence the community. The second entry point to achieve this pathway's vision will be with institutions (schools and health centres), where this sub-programme will seek to increase the awareness of school staff, health officers, students and teachers about the need to access and use safe, acceptable and sustainable WASH facilities in schools. To achieve this, the activities will be implemented with various school committees (youth-led, government, etc.). It is foreseen that increased awareness and capacities of these targeted stakeholders will sensitise them and accordingly motivate them to mobilise necessary resources for improved availability and accessibility to WASH products and services in the intervention areas (e.g. availability of emergency sanitary pads in schools, menstrual hygiene topics discussed in schools, handwashing activities, monitoring of WASH access by authorities, etc.).¹⁰

During the second half of 2018, the following activities were done to move towards the vision:

- Community groups have been formed or re-activated to create space for them to have increased awareness, via e.g. courtyard meetings, ward level coordination committee meetings, SDG citizen committees, etc.
- In Barguna and Satkhira the targeted population (a majority of women, with other interventions engaging men as well) has gained knowledge on basic WASH information through community meetings which are organised under this sub-programme to help behaviour change.
- Participants have been identified and prepared for the training that will take place in 2019. The pre-training meetings helped participants understand the expectations of the training and similar practicalities, but the actual behaviour change interventions will start in 2019 because of the aforementioned delays.
- Student fora were formed to help raise awareness about WASH issues through menstrual hygiene coaching and the development and dissemination of public WASH messages that will both take place in 2019.
- Local partners have a common understanding around women's economic empowerment, through a four day capacity building workshop that took place in July in Dhaka.

Pathway 2: Improve WASH service provision

Improving provision of WASH services in the intervention areas is closely related to the capacity of WASH entrepreneurs and service providers to provide such products and services. In the intervention areas, safely managed sanitation is a challenge in both rural

¹⁰ – It is to be noted that the work on menstrual health in schools within the WASH SDG programme will benefit from the lessons learned and interlinkages with the Ritu programme (also implemented through Simavi in Bangladesh), which focuses on menstrual health and includes national advocacy work.

and urban environments, with unsanitary toilet options being more prevalent among lower income groups.¹¹ Insights from the baseline report have shown that WASH entrepreneurs do not have products and services for the more marginalised people but they are willing to be more responsive to the needs of the different groups of people.¹² There is a need to work with them to improve the financial and technical management of their business.¹³ With respect to service provision, it is also noteworthy that the existing WASH infrastructure is threatened by climate change, which is considerably impacting Bangladesh and this sub-programme's intervention areas.¹⁴ Particular attention needs to be paid to this issue in the design and delivery of WASH services.

Considering this, **the vision of the sub-programme for this pathway** is that by the end of the programme, *WASH business capacities will be strengthened to provide user-friendly tailored and sustainable services and products so that these will become available and used* (e.g. disaster prone sanitation infrastructure, soap, sanitary napkins, etc.). This means that the number of individual entrepreneurs offering sustainable WASH services and products will have increased.

In order to make progress towards this, entrepreneurs' capacity-building will focus on WASH financial, technical and marketing capacities, so that they can develop their business plans in a financially sound manner and reach out to their customers with the right social marketing strategies. Technical support on the diamond approach will also be provided to support the understanding of the connection between the various stakeholders in the WASH business. The collaboration with microfinance institutions, banks and investors, will be strengthened through this sub-programme to help the functioning of WASH business through financial support. In addition, in light of the Bangladesh gender and social inclusion assessment undertaken during this programme's inception phase, entrepreneurs will gain knowledge to better identify and understand the needs of women and socially excluded people, and female entrepreneurs will be targeted for economic and social empowerment training. Because it is expected that through pathway 1 there will be an increased demand from the community people for climate-proof and disaster-resilient services and products, another component of this pathway will be to work with entrepreneurs to ensure their availability by the end of the programme, to address the findings from the climate change vulnerability risk assessment undertaken in the inception phase.

¹¹ – Rationale behind the proposed country programme and sub-programmes from the perspective of country needs: Bangladesh, 17 January 2019, p. 5.

¹² – Baseline report Bangladesh, 31 March 2018, p. 40–43.

¹³ – Baseline report Bangladesh, 31 March 2018, p. 43–45.

¹⁴ – Rationale behind the proposed country programme and sub-programmes from the perspective of country needs: Bangladesh, 17 January 2019, p. 3.

In 2018, some results are already visible and enabling to work towards the vision of this pathway.

- There is clarity on the opportunities and challenges (e.g. support network for recognising WASH business as a business; scattered business; low capacities; entrepreneurial opportunities for women in Barguna) of inclusive WASH business development in Satkhira, Kolaroa and Barguna as a result of the completion of a gap assessment undertaken in three municipalities (Satkhira, Kolaroa and Barguna).
- Good linkages with microfinance and financial institutions have been established through meetings that were held between them and WASH entrepreneurs. These will pave the way to increased financial capacities of inclusive WASH entrepreneurs and businesses, and scale-up.
- The public sector provision is more comprehensively addressed under pathway 3 in this sub-programme.

Pathway 3: Strengthen WASH governance and institutional framework

In Bangladesh, a large number of WASH policies and strategies have been prepared, but it has been observed that the implementation of these instruments is lagging. In most cases the duty bearers are not aware of their existence and there is also a lack of human resources, adequate coordination among authorities and monitoring of service delivery,¹⁵ which has an impact on the sustainability of public WASH services. Budget allocation and processes also require particular attention, with the clear financial gap that prevails in the WASH sector as depicted in the SDG Financing Strategy until 2030 from the general economic division of the Ministry of Planning.¹⁶ At the same time, many policies and strategies are not yet aligned with the SDGs, which makes it still pertinent to streamline all possible plans and strategies in line with these goals.¹⁷

In light of this analysis, the vision of the sub-programme for this pathway is that by the end of the programme, targeted responsible governmental (local and national) authorities will be adopting and implementing inclusive and sustainable WASH policies and governance instruments. This means that relevant WASH public stakeholders¹⁸ will be aware of: (i) WASH- and integrated water resources management (IWRM)-related governance instruments that concern them (e.g. water rules; circular on menstrual health; SDGs; water-related human rights, etc.); (ii) the Government of Bangladesh commitments on SDGs and water-related human rights. They will also demonstrate clarity regarding institutional roles and responsibilities to implement them, which is expected to contribute to improved public services delivery.

¹⁵ – Baseline report Bangladesh, 31 March 2018, p. 48; see also Rationale behind the proposed country programme and sub-programmes from the perspective of country needs: Bangladesh, 17 January 2019, p. 3.

¹⁶ – Rationale behind the proposed country programme and sub-programmes from the perspective of country needs: Bangladesh, 17 January 2019, p. 3.

¹⁷ – Rationale behind the proposed country programme and sub-programmes from the perspective of country needs: Bangladesh, 17 January 2019, p. 2.

¹⁸ – Governmental WASH authorities, whether national or local (in the intervention areas).

In order to make progress towards this vision, direct lobby and advocacy tools and methods (e.g. direct participation in stakeholder meetings, policy briefs, creation of committees, campaigns) will be used to call for law enforcement and fulfilment of the responsibilities of relevant stakeholders. This approach will be used at various levels as relevant and according to the respective responsibilities of the targeted stakeholders: from national authorities to local governments and mayors. The WAI country coordinator will be also supporting the work of the partners on this matter, and through this leading role in the Menstrual Hygiene platform. This sub-programme is also strong on national lobby and advocacy on Menstrual Hygiene. In the lobby and advocacy work, a point of attention will be on accountability and inclusiveness in the budgetary process. WASH and IWRM budgets will be monitored through various tools to ensure appropriate allocation to excluded people, for water resources management and for inclusive public WASH services delivery. Supporting and coaching authorities responsible for service delivery is also expected to help them with planning and fulfilling their roles and responsibilities. Finally, this sub-programme also addresses the linkages between WASH and IWRM. It will therefore join forces with the Watershed programme implemented in Bangladesh to work on advocacy issues related to the WASH/IWRM interlinkages.

In 2018, the programme achieved the following:

- Civil society organisations (CSOs) and communities are aware that a WASH gender budget can be prepared by the authorities thanks to a gender and socially inclusive budget monitoring tool developed by Development Organisation of the Rural Poor (DORP). The tool is used to collect budget-related data from relevant authorities (Department of Public Health Engineering (DPHE) *Upazila* Parishad, Union unit, Disaster Management Authority) for advocacy purposes. As it was too early to compile information in the second half of 2018 (the fiscal year's information is needed), this tool was used as a means for CSOs to reach out to different authorities and raise awareness about the need to allocate and spend an adequate and inclusive WASH budget. The results from the collected data should start being visible next year after the next budget session.
- The local government division (LGD) ministry has started the implementation of the regulatory framework for faecal sludge management. This was enabled namely through the participation of the programme partners in a variety of meetings with the LGD to raise awareness on the importance of implementing such regulation. This is expected to be translated into four implementation plans, on which a multi-stakeholder committee has been formed and started working in 2018.
- The national strategy for water supply and sanitation was revised, and a final draft has been adopted in 2018 integrating the inputs provided by this programme's partners.
- The WASH SDG programme is aligned with the Watershed programme implemented in Bangladesh in terms of advocacy; the programmes have developed a joint advocacy strategy that integrates linkages between WASH and IWRM. It is expected to be finalised and rolled out in 2019.

1.2.3 Approach to sustainability

In 2018, dialogue took place between the programme implementers and local authorities with a view to developing a MoU on the programme that included a sustainability compact. Meetings took place between partners and local authorities during the second semester of 2018, so that there is an increased understanding among the authorities of the meaning and purpose of the sustainability compact and associated commitments both during and after programme implementation. The signing of the MoUs began towards the end of the year and most were concluded in 2019 after the elections.

1.2.4 Risks and mitigation

Bringing GESI issues up for discussion within local government structures as well as CSO committees is a challenge because the authorities' WASH planning process is not very receptive towards the inclusion of marginalised groups like women, elderly people and people living with disabilities. A lack of understanding from the authorities would create a risk to the success of the programme because inclusion of all groups of people in governmental processes is necessary to leave no one behind. However, as this risk was already identified during the formulation of the programme, GESI has been adopted as a priority issue. The programme will focus on bringing conceptual clarity as well as on the practical dimensions of exclusion and inclusion, such as identifying who is excluded and why they should be included. It is expected that this attention to GESI from the beginning will enable us to mitigate the aforementioned risk.

1.3 Country-level updates

1.3.1 Monitoring, evaluation and learning

During the inception phase, the Consortium partners agreed on the learning agenda. The priority for the first two years is to focus on sustainability of services and the operationalisation of the sustainability clause. Other potential learning topics could be: WASH governance; mainstreaming interventions within annual development planning; IWRM, WASH nexus, transparency and social accountability.



The Consortium partners participate in the discussions on the national SDG monitoring framework hosted by the SDG coordinator under the Prime Minister's office. In addition to the national contribution, the Consortium partners aim to support goals at the local level. For example, this means integrating the indicators within regular city council meetings and in the discussions of the relevant standing committees. The Consortium also seeks to support local governments to integrate the goals into their existing monitoring systems.

1.3.2 Country programme management and coordination

The Consortium partners hold monthly meetings to discuss the country sub-programmes. As both SNV and WAI are active members in different WASH related national forums and committees, there is also a lot of informal exchange and coordination. For example, both Consortium partners are active in FSM network where issues related to urban sanitation, primarily FSM, are discussed. Also, partners extend invitations to their events and use their existing network and other projects to gather inputs for the programme. For example, SNV is part of the working committee for development of the national action plan for the implementation of FSM institutional and regulatory framework (IRF), and also implements a project with the municipal association of Bangladesh.

Coordination with Dutch embassy (EKN) is done on a needs basis and EKN representatives participate in WASH events including the local consultative group. For the implementation phase, half yearly formal progress discussions with the EKN have been planned. The Consortium members are also invited by EKN to regular networking events.

2. Ethiopia



2.1 Ethiopia WASH Alliance sub-programme

2.1.1 Overview of progress

The Ethiopia WASH Alliance sub-programme implemented in Arsi Negele (urban and rural) and Shashemene Zuria (urban and rural) is mainly on track. Activities take place in a coordinated way, where each WAI partner complements each other along with a continuous partnership with the local government. The WAI partners implementing this programme are BBBC (through WASTE), Wetlands International, IRC and with Amref Ethiopia as the lead.



The implementation phase started with a joint launch event of the sub-programme. At this event, WAI partners created awareness of the sub-programme with relevant stakeholders working in the intervention area. As project registration with the local government is necessary in Ethiopia, all partners registered. Amref developed two Memoranda of Understanding (MoUs) with both Arsi Negele and Shashemene Zuria to embed the sustainability clause.

The second half of 2018 has been used to set up the implementation of the project. Within this process, qualified staff members were hired, a field office set up and the project was registered at district level (Oromiya district), as per requirement of the Ethiopian government.

2.1.2 Narrative on results against plan a sub-programme level

Inception phase (January to June 2018)

During the inception phase many preparatory tasks were completed in 2018. These included: (i) collection and analysis of the baseline data; (ii) GESI assessment; (iii) CVR assessment and (iv) stakeholder analyses. In addition, the ToC was contextualised and validated and all partners, sites and intervention strategies were selected. These tasks were conducted by WAI-Ethiopia partners together with the local governments. The outputs of these surveys and analyses were used to feed into the design of the sub-programme under implementation. The inception phase concluded with a multi-stakeholder training workshop held in Shashamane town in July 2018. The workshop aimed to raise awareness and create local ownership for the project activities at local level. Participants included key stakeholders and local decision makers such as the West Arsi Zone and Arsi Negele and Adami Tullu Jido Kobolcha district administrations and relevant sector offices, community based organisations (CBOs) such as WASHCOs, youth associations/ watershed teams, development agents (DAs), health extension workers (HEWs) etc.

Pathway 1: Improve behaviour change interventions

The findings in the inception phase of this project show that rural people do not associate defecating in the open with disease and also the use of soap is often uncommon. The availability of water is more important than the quality and safety of water. We also see the women are especially affected by the burden of WASH related issues: (i) the burden of water transport is mainly with the women and girls; (ii) cleaning the house is a women's daily task; (iii) taking care of children that have become ill because of drinking unsafe water is also mainly felt by the women. The gender disparity also shows at the Global Gender Gap Index, where Ethiopia scores 109th (out of 144). Therefore, it is key to train the stakeholders in the communities to create WASH awareness and set up local WASH campaigns that are social and gender inclusive.

From our country analysis it became apparent that the national policy environment for accelerating access to sustainable WASH services is strong. However, the main challenge is to ensure sufficient capacity at the local (*woreda*) government level to implement national WASH policies and the One WASH National Programme in a sustainable manner. We see that at *woreda* level, there are insufficient skills to develop and roll out behaviour change campaigns which also lack the social inclusion point. Also, there is insufficient knowledge and skills at *woreda* level to ensure sustainable use of WASH facilities and resources.

The vision of the sub-programme for this pathway by the end of the programme, is (i) to change the handwashing practices of households during the critical times; (ii) to increase the use of toilets rather than defecating in the open and (iii) the proper follow up by the local government in such a way that they assure that the communities have sustained access and use of sanitation facilities (also linked with pathway 3). Ultimately, communities are changing behaviours and reaching sustained open defecation free (ODF).

Our entry point to achieve progress in this pathway are the health extension workers, the Women's Development Army and different local government partners. Building their capacities in Community Led Total Sanitation and Hygiene (CLTSH), sanitation marketing and social behaviour change campaigns, will create a solid basis to start behavioural change on the ground. *Woreda* officials will be involved to leverage their government budget and will also be trained on GESI and the principles of social inclusion. The programme is developed in such a way it will empower women, girls and other socially marginalised or excluded groups.

During the second half of 2018, the following was achieved towards the vision:

- Amref did a rural water supply management system assessment (WASHCO). The main objective was to assess the potential water supply source to be constructed. The assessment also focused on the rural water supply inventory, WASH facilities in health institutions, school WASH facilities, and household hygiene.
- The areas of improvement in the management system to be supported by the WASH SDG project were also identified. The conclusions of this report will be the basis to implement the programme. The conclusions will also feed into the activities to be planned under pathway 2 and 3.

Pathway 2: Improve WASH service provision

The two districts where the Ethiopia WASH Alliance sub-programme is implemented have approximately the same size in population. The status for drinking water is more or less at the same level for both rural and urban. Sanitation levels are more deplorable in rural areas. In the inception phase, WAI ascertained that most of the installations that have been built in the past were not designed or implemented according to local conditions and general standards. This has reduced the resilience of water resource systems and sanitation facilities against natural hazards. There are multiple cases of failed water points. Other issues identified were poor environmental management and water governance, low understanding of climate hazards and risks, inadequate financing, poor design and construction, increased population and water quality problems. Based on the water quality and quantity assessment for the intervention areas, the type of technology for water supply has been analysed. Together with the local stakeholders (governments and private sector) spring or deep well technology development is needed together with the extension of network systems. To ensure better resilience of the water and sanitation systems this needs to coincide with proper water catchment management and restoration.

In the inception phase the WAI carried out extensive research on the existing gaps of WASH service providers and local microfinance institutions (MFIs). The sustainable finance for WASH services is limited, resulting in insufficient operation and maintenance. WASH providers/entrepreneurs lack the business skills and interest to accommodate the needs for WASH products and services that are inclusive for all. Consumers and entrepreneurs also lack access to financial resources to improve the services the consumers need and for consumers to acquire the services. The provision of inclusive sanitation products/services

and spare parts, and the provision of hardware now mainly rest on the regional government which suffers from an ineffective supply chain and budget constraints. By stimulating the local private sector through improved business skills and access to finance we will create a local WASH market that is also gender inclusive.

The vision of the sub-programme for this pathway is that by the end of the programme, *the access and use of sustainable and safe drinking water supply will be increased because of augmented financial resources allocated to safe water services by the government and WASHCOs who are able and willing to maintain water supply sites. For sanitation our vision is that the two implementing districts will become ODF.* We will improve the service level of the latrines (from unimproved to at least a basic service level). The partners in the project will create demand and supply for latrines through behaviour change communication (BCC) and train SMEs in business skills to provide qualitative latrine.

In order to make progress towards this service provision, the WAI will engage with financing institutions as an entry point (SACCOs and micro credit institutions) to ensure credits become available to households for latrine construction and to entrepreneurs for small WASH businesses. The Consortium will build the capacity (with regard to business skills and proper resilient and sustainable construction) of water and sanitation service providers. We will also work on bringing down the costs of construction by choice of designs and by making use of local materials to ensure more people can access WASH services. Meanwhile, we will also create a proper demand through sanitation marketing based on BCC.

Private sector stakeholders such as flower farms and agricultural producers will also be engaged in the proper maintenance of the WASH services. They are large users of water and need to be involved to ensure sustainable use of WASH. The way they will be engaged is by setting up social contracts and a clear monitoring system.

During the second half of 2018, the following was achieved towards the vision:

- Based on the initial project work plan, Wetland International Ethiopia conducted a context and risk analysis aimed at understanding existing opportunities and challenges in the provision of sustainable and inclusive climate WASH in the Central Rift Valley of Ethiopia. Together with stakeholders, they identified target intervention *kebeles* for the construction of water schemes and for integrated catchment planning and restoration activities. Dolle and Haro Kello *kebeles* were identified as the most marginalised and underserved communities in terms of WASH infrastructure and services. These communities will be the focus of our WASH interventions of this project implementation. Additionally, the catchment restoration sites will enable proper groundwater recharge contributing to better access of drinking water throughout the year.

Pathway 3: strengthen WASH governance and institutional framework

In Ethiopia, there exists an institutional framework for WASH that covers federal level to community level. In Shashemene and Arsi Negele, we see that the *woreda* and *kebele* officials have little capacity for WASH programming. They lack the technical skills to ensure that the WASH interventions are inclusive, resilient and sustainable. There is limited coordination among the relevant government organisations, and enforcement that contributes to sustained water usage is absent. Also the knowledge to ensure adequate evaluation and monitoring is weak. This is not only the case in these districts where this programme is implemented. These limitations have also been acknowledged at national level in the One WASH programme.

We have seen in this sub-programme that the competition for scarce water resources is high and leads to over-utilisation by many different users, such as large scale flower farms, self-sufficient farmers, nomadic herdsman, households etc. This over-utilisation might lead to the depletion of resources. The *woredas* and *kebele* officials need to be trained in how to deal with competing demands and proper water management and enforcing laws and regulations.

The vision of the sub-programme for this pathway is that by the end of the programme, *the district WASH professionals are capacitated and putting into practice a good WASH management. More specifically, they will put a planning and monitoring system in use which will also monitor the issues of gender, social inclusion and climate change. Furthermore, they will reduce the amount of non-functioning water schemes and increase real time water supply services. By the end of the project a learning and sharing WASH mechanism will be established.*

In order to make progress towards this vision, the sub-programme will collaborate closely with relevant government bodies for the enforcement of the existing laws and regulation to sustain the environment (mainly water resources). Influencing channels will be the generation of evidence for advocacy, lobbying and awareness raising (targeted at governments, communities and other stakeholders), capacity building or strengthening of WASH, social inclusion and IWRM (targeting local governments, communities and other stakeholders) and budget tracking (targeting districts and lower local government).

Awareness raising of the integration of WASH, watershed management/wetlands restoration, SDG 6 and the regional growth and transformation plan will also be stimulated through influencers and key stakeholders, such as CBOs, District Authorities, *woreda* sector offices such as water, environment, natural resources management (NRM) and agriculture offices. Together they will be facilitated to reach a consensus on the need for joint planning and implementation to promote integrated and sustainable catchment planning and restoration.

During the second half of 2018, the following was achieved towards the vision:

- MoUs between Amref (on behalf of the WAI) have been signed with the district water offices in the two implementing districts, which includes the sustainability compact.
- IRC made a life-cycle cost analysis and monitoring assessment during this reporting

period. The objective of the financing assessment was to provide recommendations for the advocacy activities during this programme. The report is expected to be finished by February, 2019.

2.1.3 Approach to sustainability

In the programme design, the elements of sustainability [financial, institutional, environmental, and technological and social (FIETS)] have been thoroughly considered. In doing so, WAI partners are working on the different elements of FIETS to ensure adequate monitoring of the different sustainability dimensions. Water catchment treatment and climate resilience of the WASH services are the main focus of this project.

Amref Health Africa has signed a separate MoU with the two district water offices of Arsi Negele and Shashemene. Within these documents a sustainability compact was enclosed with a 15 year commitment whereby both governments pledge to obtain the results of the projects, and the government has committed to active participation which we have also experienced during the first phase of the project.

2.1.4 Risks and mitigation

The security situation in the region in general, and the district in particular, has improved a lot in this reporting period as compared to previous years, and has created very good conditions to start programme implementation activities and continue working in the area in the future. The situation remains volatile with relatively frequent demonstrations towards the government still ongoing.

2.2 Ethiopia Bahir Dar Zuria and Lasta sub-programme

2.2.1 Overview of progress

This report covers the 2018 annual progress report of the Plan International Ethiopia (Plan) sub-programme in Ethiopia. During the inception phase (first half of 2018) the status of the WASH services was assessed and a baseline survey was conducted. The collected data were analysed in collaboration with local government and target communities and the perspectives of women, girls and excluded groups were taken into account. The data and analyses gave input to a refined Theory of Change and full programme proposal.



The programme implementation phase began on July 1, 2018. The implementation is on track. Highlights of the implementation phase are that Plan conducted a gender and WASH monitoring tool (GWMT) training with the government and that MoUs, which include the sustainability compacts, were signed by both target districts (Lasta and Bahir Dar Zuria).

2.2.2 Narrative on results against plan at sub-programme level Inception phase (January to June 2018)

During the first half of 2018 (inception phase), the following activities were done:

- A baseline survey was conducted. Plan International Ethiopia programme staff and district government staff were trained in the use of Akvo FLOW software for the data collection and project activity progress reporting.
- Part of the baseline was a market assessment for gathering secondary information on WASH services, policies, demand-creation strategies and regulations in the two target districts. It focused on the uptake of sanitary pads and sanitation products such as slabs, at retailing shops in the towns of Lasta and Bahir Dar Zuria.
- An assessment was conducted on WASH policies, demand-creation strategies/regulations in the two programme intervention districts.
- Staff from the water, health, education and women and child affairs offices of the district government and from Plan International Ethiopia were trained on GESI to develop and implement a gender transformative approach in their WASH programmes.
- Development of the CVR and the GESI assessments.
- Based on the findings gathered from the baseline survey report, the CVR and the GESI assessment reports, the programme ToC was further refined and the programme proposal was developed.
- The results and related content of all these processes and activities were summarised in the country inception report sent to DGIS in July 2018.

Pathway 1: Improve behaviour change interventions

WASH needs are still high in Bahir Dar Zuria and Lasta, although over the past two decades, the Government of Ethiopia (GoE) has prioritised water, sanitation and hygiene in national development policies. The One WASH National Programme (OWNP), launched by the GoE in 2013, has set ambitious targets for WASH. Although national standards and policies for WASH are in place (also gender specific policies), implementation at local level is still a bottleneck due to lack of skills, capacity and budget at the district level. In general, sanitation and hygiene are given less priority than water. In order to achieve the WASH targets, building the capacity of government partners on demand-creation strategies as well as increasing people's knowledge, participation and investment will be needed to increase the use of WASH facilities.

Ethiopia is a patriarchal society with large gender disparities. Gender inequalities are depicted by lack of participation and decision making. At local government level there are currently insufficient skills to ensure GESI within the implementation of WASH programmes.

Based on the analysis of these main bottlenecks, **the vision of the sub-programme for this pathway** is that by the end of the programme, *at least 30 communities in the target areas reach the open defecation free (ODF) status¹⁹ and that they have moved up the sanitation and hygiene ladder²⁰. Women, girls and other socially excluded groups are empowered resulting in an increased level of participation of women/girls and other excluded groups in WASH activities in the community, shared WASH workload and decision making in the household and an increase level of leadership positions in communities around WASH. Fathers and mothers have improved their knowledge and practices about baby WASH²¹ and students, parents and teachers about MHM.*

In order to make progress towards this vision, the sub-programme will enhance the capacity of the district offices to effectively use gender transformative and inclusive demand-creation tools and guidelines, so that health extension workers will implement these in the communities to eliminate open defecation and beyond. Through WASHCOs (community level WASH committees) and school WASH and nutrition clubs, capacity will be built on WASH conditions, MHM and baby WASH. The sub-programme promotes an increase in household investment in WASH (see also pathway 2). The level of participation in decision making of women, girls and socially excluded groups about WASH activities in the community will be increased. The sub-programme creates awareness among women, girls and socially excluded groups of their rights and supportive communities, so that WASH practices and services will be more equitable and sustainable. The gender and WASH monitoring tool will be used to improve and monitor levels of participation of women and socially excluded groups throughout the programme. Through these tools, men and boys will also be targeted to ensure women and

¹⁹ - Progress will be measured on a yearly basis.

²⁰ - Targets are mentioned in the inception report and progress will be measured during the MTR and end evaluation.

²¹ - A hygiene approach that focuses on improved hygiene for babies through the 5 Fs: fingers, flies, faeces, fluids and floors.

girls are given the space within WASH activities and decision making and the (baby) WASH workload is shared more equally.

During the second half of 2018, the following was achieved towards the vision:

- A familiarisation workshop on WASH policies, strategies, approaches/tools was organised, in which working strategies and manuals/tools were identified. Three WASH guidelines/tools were translated into Amharic (WASH community conversation, school WASH guidelines, gender and WASH monitoring tool) for community level use. The district level WASH team was organised under the framework of the OWP strategy, enabling them to work together for the implementation of the WASH SDG programme.
- Menstrual hygiene management skills training were organised for five target school WASH clubs. A total of 80 students, parents and teachers (36 females and 44 males-) took part. From this total 49 participants were students (25 girls and 24 boys). The training focused on life skill awareness (peer to peer education and self-value), taboos, myths and facts in order to reduce negative attitudes on menstruation and gradually reduce schoolgirls' challenges in school attendance and improve their self-image.
- WASH SDG programme staff from Plan International Ethiopia, together with district government staff of Lasta and Bahir Dar Zuria were trained as trainers on the gender and WASH monitoring tool (GWMT). The training had both theoretical and field level practical elements and was facilitated by Plan International Australia. The training had a total of 33 participants (nine females).
- The planning to cascade the GWMT to target communities and schools has already been completed. The rollout of the tool will be undertaken in 14 communities, already selected, of the two districts (eight in Bahir Dar Zuria and six in Lasta). Health extension workers and district office experts will be trained on the use of the GWMT.

Pathway 2: Improve WASH service provision

In Bahir Dar Zuria and Lasta there is low involvement and stimulation of the private sector, although a stronger WASH market is needed to be able to bridge the existing financing gap in WASH and achieve the WASH targets as set in the OWP. The capacity of WASH entrepreneurs to run a profitable business is low and access to credit for households and entrepreneurs is a challenge. The knowledge and experience of linking WASH with MFIs is still in its initial stages. The absence of affordable and appropriate WASH products and services in the target area is hampering not only access to WASH but also the gender transformation process in Ethiopia as women and girls are restricted much more than men by the absence of WASH facilities and products such as sanitary pads.

Though the government has made a tremendous effort to expand the WASH infrastructure, most of the installations were not designed or implemented according to local conditions and general standards. This has reduced the resilience of water resource systems. Poor environmental management, water governance and a low understanding of climate hazards and risks, combined with inadequate financing, cause multiple cases of failed water points.

Based on the analysis of these bottlenecks, **the vision of the sub-programme for this pathway** by the end of the programme is *to increase access to water by the construction or rehabilitation of 36 water schemes in the two districts in collaboration with the district government, the private sector and the communities. The sub-programme will improve the WASH market in the districts by strengthening new and existing entrepreneurs in producing and marketing affordable WASH products and by increasing the value of loans given by MFIs and others to producers of WASH products. At least 13.5% of these entrepreneurs will be women.*

In order to make progress towards this vision, Plan will work closely with the regional WASH bureau, district offices, private sector parties and the communities on the planning, construction and rehabilitation of water schemes and will strengthen them on climate resilience. Plan will establish and strengthen WASH marketing groups of local entrepreneurs to increase the production and provision of WASH products like sanitary pads, soap and climate resilient latrine options. Female entrepreneurs will be included in the groups and will be motivated and strengthened to run a profitable WASH business. To increase access to credit for WASH businesses, Plan will promote and/or strengthen the WASH entrepreneurs and groups and link them to financial institutions.

Plan will train teachers and school pupils (girls and boys) in school WASH clubs on how to make reusable sanitary pads. In order to improve sanitation in schools, Plan and the school management will construct latrines and handwashing facilities for boys and girls. The latrines will include a toilet for people with disabilities and MHM facilities. All facilities will only be constructed after the school management has developed a financial sustainable operation and maintenance plan.

During the second half of 2018, the following was achieved towards the vision:

- A study team with staff from Plan International Ethiopia and Amhara region WASH bureaux and district offices was established. Team members' specialisation include hydrology, geophysics, public health, hydraulic engineering and electrical/mechanical engineering. Feasibility studies are planned by the team for the construction and rehabilitation of water schemes taking into account the CVR and GESI assessments that were done during the inception phase to improve the design and the location of the water schemes in order to reduce climate vulnerability and improve access for women and socially excluded groups.

Pathway 3: Strengthen WASH governance and institutional framework

In Ethiopia there are a multitude of different WASH policies in place, at both national, *woreda* (district) and *kebele* (community) level, which are also governed by a multitude of different ministries. Alignment of all these policies and coordination between all these different ministries is a challenge that the OWNPN had started to tackle by developing a nationwide plan for delivering the WASH goals, shifting away from an uncoordinated project-based approach towards a single GoE coordinated plan. However, effective coordination remains a challenge that needs further strengthening. The GoE indicates that one of the main challenges for the

implementation of the OWNPN is that there is no adequate overall sub-sector (government, private and community) capacity to fulfil and manage the WASH demand. This is especially at the *woreda* and *kebele* delivery and governance level where there are insufficient skills to ensure and monitor inclusive and sustainable WASH services. Operation and maintenance of WASH facilities is challenging. Besides that, the biggest part of the WASH budget available nationwide is used for water. Sanitation and hygiene are given less priority. Budget allocation for WASH in general and for sanitation and hygiene specifically, should increase to bridge the funding gap, especially at local level.

Based on the analysis of these bottlenecks, **the vision of the sub-programme for this pathway** is that by the end of the programme *district offices are able to implement service improvement action plans and have improved capacity in monitoring and evaluation of WASH results and expenditures. This will lead to stronger and more coherent WASH sector policies and regulations and increased budget allocation by the district offices for WASH service delivery.* The sub-programme calls for gender, inclusion and climate resilience being prioritised in the WASH programmes and sufficient budget allocation to implement these programmes. At a local level, WASHCOs and caretaker committees will have improved capacity in the operation and maintenance of sustainable and inclusive WASH services. Through strengthened WASH governance at district, local and community level in the two districts (Bahir Dar Zuria and Lasta), the government will be able to deliver gender transformative, inclusive and sustainable WASH services in an efficient and effective way.

In order to make progress towards this vision, Plan makes use of several entry points, focusing mainly on strengthening the different levels of governance structures. The district health office, the district water office and the district education office will be supported in the development and implementation of their service improvement action plans for which regular meetings between government, service providers and users will be ensured. Through these mechanisms, government may be held accountable and will be supported in increasing the district's WASH budgets. The local level governance structures, the WASHCOs and caretaker committees, will be established and/or strengthened so that they will improve their governance and have participatory, inclusive decision-making processes. Resources mobilised by the community will be promoted by the programme.

During the second half of 2018, the following was achieved towards the vision:

- The WASH SDG programme MoU was signed by Plan International Ethiopia and Amhara national regional government bureau of finance and economic cooperation (BOFEC) and regional WASH sector signatories.
- A start up workshop was organised at Gondar with the purpose of getting the regional bureaux and offices comment on the programme implementation strategy and plans; to reach consensus on programme interventions and scope; to ensure transparency between Plan International Ethiopia and the regional government on programme budgeting; to share accountabilities and responsibilities with regional bureaux and offices; and to

improve the team spirit between Plan and the local government offices for programme implementation. The start-up workshop had 55 participants (eight female) who came from the regional bureaux and the district water, health and education offices.

- Materials and services were provided to Amhara regional water bureau to support the ongoing national WASH inventory initiative.

2.2.3 Approach to sustainability

The institutionalisation of WASH governance at the target districts ensures the sustainability of programme achievements. The programme also aims to strengthen the sustainability of achievements by making the sustainability compact part of the programme agreement. Accordingly, the MoU signed with the programme target districts (Lasta and Bahir Dar Zuria) and Plan International Ethiopia in January 2019 included an article on the sustainability compact. This commitment will help target districts monitor WASH services and will also give Plan Ethiopia the chance to work with districts on the sustainability of the programme.

2.2.4 Risks and mitigation

There are no new risks other than those mentioned in the proposal.

2.3 Country-level updates

2.3.1 Monitoring, evaluation and learning

In 2018, the following agreements were reached in terms of country learning:

- Consortium members have agreed to hold quarterly experience-sharing meetings and/or workshops. The first experience-sharing workshop was organised by Amref at Adama in November 2018. In December, Plan International Ethiopia invited the WAI team members to their start up workshop, organised at Gondar in December 2018.
- Consortium partners will conduct field visits to programme implementation areas. Plan International Ethiopia will be hosting a first field visit and will also share with the WAI on how Plan is making WASH interventions more gender sensitive. The WAI will provide extra learnings on climate vulnerability and resilience from a more landscape/catchment approach. These learnings will lead to more understanding of each other's approach and better programming.



One of the WAI partners, IRC, conducted a study on the monitoring system and WASH financing of the two districts. This study is an assessment of the current WASH monitoring system in the implementing districts and recommends the areas where WAI can support improving the M&E system. The evidence from these studies will be used to support the WASH offices (mainly water mines and energy office) to strengthen the M&E system. The financing study also contributes to programme advocacy against the low budget allocation to the WASH sector on different levels.

2.3.2 Country programme management and coordination

A schematic diagram of coordination of the WAI sub-programme was prepared to facilitate internal coordination. The WAI partners meet on a quarterly basis and more often when needed. In Amref's field office in Shashamane, a room has been assigned to the programme to facilitate cooperation between partners. The WAI coordinator and the Plan focal person meet every week for a brief update, and quarterly to discuss the programme's progress and to define a joint learning agenda. It has been decided that Plan will provide joint learning sessions on GESI and the WAI, through Wetland International, will lead the learning agenda on climate resilience on WASH service delivery.

A planning workshop was conducted with 15 participants (Amref, IRC, BBBC, WI and Plan) from 29–30 November 2018. The WASH SDG implementing partners reflected on their achievement since June 2018. All partners were in preparation phases including office set

up, staff recruitment, partnership and coordination, and project intervention site selection. The target kebeles selection was discussed and approved by all of the partners. Bilateral discussion among partners took place to ensure activity integration and alignment. During the 2019 WAI planning workshop, the leverage concept in the WASH SDG programme was also discussed. Each WASH SDG partner calculated the leverage for their organisation that can be created from the WASH SDG Consortium programme implementation.

In terms of coordination with external parties, the WAI coordinator, facilitated and hosted by Amref Health Africa, is responsible for coordination with external stakeholders such as the EKN in Ethiopia and the One WASH National Programme of the Ethiopian government. Additionally, the country coordinator and Amref representative engaged proactively at national WASH policy level through participation in the WASH technical committee. There were also meetings with EKN and national bodies to enhance visibility of the programme.

3. Indonesia

Source: Plan (Indonesia)

3.1 Nusa Tenggara (WINNER) sub-programme

3.1.1 Overview of progress

This report covers the 2018 annual progress report of the Women and Disability Inclusive WASH and Nutrition Project (WINNER) sub-programme in Indonesia which is implemented by Plan International Indonesia (Plan).



Source: Plan (Nepal)

During the inception phase (first half of 2018) the status of the WASH services was assessed and a baseline survey was conducted. The collected data was analysed in collaboration with local government and target communities, and the perspectives of women, girls and excluded groups were taken into account. The data and analyses gave input to a refined Theory of Change and full programme proposal.

The programme implementation phase began on July 1, 2018. The implementation is on track despite the earthquakes on Lombok in August and September 2018, which caused an initial delay of two months. Highlights of the implementation phase are that Plan was able to conduct a workshop with the government to develop a STBM²² (Sanitasi Total Berbasis

²² - The national sanitation and hygiene policy that focussed on five pillars: (1) Stop open defecation; (2) Handwashing with soap; (3) Drinking water and food management; (4) Domestic solid waste management; (5) Domestic liquid wastewater management.

Masyarakat – in English, community led total sanitation or CLTS) GESI module after which the manual was trialled by the government.

3.1.2 Narrative on results against plan a sub-programme level

Inception phase (January to June 2018)

- In January 2018, Plan conducted a WASH stakeholder analysis at national, provincial and district level. This analysis mapped out the WASH/STBM actors in Indonesia (government and non-government) and clarified the relation, coordination and capacity of each WASH/STBM actor. Results from this analysis were used to determine the support needed by the WASH working groups (Pokja AMPL) on all levels.
- A CVR and GESI assessment was conducted in Mataram City, Central Lombok, Malaka and Belu district in March/April 2018. The goal of CVR and GESI assessment was to analyse the vulnerability and the resilience of the community against disaster and climate change in relation to STBM behaviour and practices. Results from the assessment provided input for the project proposal of the sub-programme and will also be used to determine which STBM products are climate resilient and inclusive.
- A baseline survey for the WINNER project was conducted in the three project areas in February 2018. Data was collected on WASH access and the community's behaviour related to five STBM pillars within the sub-programme locations.
- A sustainability compact analysis conducted with SNV reveals different monitoring systems have been developed by different ministries at different levels to track progress on the Millennium Development Goals which are still being converted to SDGs.
- During the inception meetings, the proposed sustainability compacts were shared with the target district and the city government of Mataram for reflection and discussion.

The results and related content of all these processes and activities were summarised in the country inception report sent to DGIS in July 2018.

Pathway 1: Improve behaviour change interventions

The findings during the inception phase showed that the Government of Indonesia (GoI) has a strong commitment to reaching universal access to water and sanitation by 2019 and reaching the SDG. However, it also shows they are behind on reaching these targets. Currently Indonesia holds the second highest number of citizens defecating in the open²³ and inequity in access to sanitation is also significantly increasing in Indonesia. The interests of the people most affected by poor sanitation and hygiene (women, people with disabilities and poor and marginalised people) are rarely acknowledged and addressed by governments, or even by communities themselves. Although the commitment for universal access to sanitation has been legalised as a regulation through Presidential Decree 189/2014 at national ministerial level, progress at the local level has been variable as a large gap remains to convert this policy to implementation at the sub-national level. This is especially the case in the Eastern Islands where access to WASH is lacking.

²³ – 2015 WHO/UNICEF JMP.

The sub-programme of Plan will support, strengthen and align with the STBM policy of the GoI and strengthen the capacity of the target districts and city council to implement effective, sustainable and GESI STBM programmes.

The vision of the sub-programme for this pathway is that by the end of the programme, *100 pilot communities and 40 pilot schools in the target areas have reached open defecation free (ODF) status²⁴ and have moved up the sanitation and hygiene ladder²⁵ through the use of the GESI STBM approach, within the first two years of the programme. In the third and fourth year of the programme the capacity of the district government is enhanced sufficiently to replicate these efforts with funding from the district and city budget (APBD). Women, girls and people with disabilities are empowered.*

This will result in: (1) an increased level of participation of those groups in WASH activities in the community; (2) increased levels of shared WASH workload; (3) increased level of decision making on WASH in the household; and (4) an increase level of leadership positions in communities. Fathers and mothers have also improved their knowledge and practices around baby WASH²⁶.

In order to make progress towards this, Plan will develop a GESI STBM training module to train the different WASH working groups (Pokja AMPL) from the provincial to the village level. Capacity of these Pokja AMPLs will also be enhanced by promoting baby WASH. Plan will also support the establishment of active Pokja AMPLs that are able to lead the implementation of STBM as stipulated in the national STBM policy. Plan will support district Pokja AMPL with the formation of at least 40 sub-district STBM teams that are active and functioning to assist in implementing STBM in the community. Plan will encourage membership and leadership from women/people with disabilities in the membership of Pokja AMPL and sub-district STBM teams.

During the second half of 2018, the following activities were done to move towards the vision:

- In August 2018, Plan Indonesia conducted the WINNER sub-programme start up workshop involving the project team and the project implementation partners, both in East Nusa Tenggara (NTT) and in West Nusa Tenggara (NTB).
- The project WINNER team, partners and the government conducted a learning visit to Dompu, in NTB to gain lessons on the STBM-MHM implementation from the SEHATI²⁷ project which has been successful in implementing STBM and MHM.
- Plan facilitated several coordination meetings of Pokja AMPL in NTB and NTT provinces. The coordination meetings were conducted to ensure ownership of the government for the implementation of the WINNER project activities 2018 and 2019.

²⁴ – Progress will be measured on a yearly basis.

²⁵ – Targets are mentioned in the inception report and progress will be measured during the MTR and end evaluation.

²⁶ – A hygiene approach that focuses on improved hygiene for babies through the five Fs: fingers, flies, faeces, fluids and floors.

²⁷ – In most cases there are no Pokja AMPL yet or they have no budget to operate.

²⁸ – Sustainable sanitation and hygiene in Eastern Indonesia project funded by EKN Indonesia.

- Plan also oriented and involved the NTT and NTB provincial women organisation (PKK) a disability organisation within the implementation of the sub-programme.
- In October 2018, Plan organised a workshop to formulate the research framework for the cohort study on baby growth monitoring. The workshop was conducted in NTT province and involved the health agency and partners. It was facilitated by academician partners; Cendana University, Kupang Polytechnic School of Health, the Ministry of Health and Mataram City.

Pathway 2: Improve WASH service provision

Plan will work in three rural districts and one city. The findings during the inception phase showed that faecal sludge management in Mataram is a big issue as illegal dumping is common and even happens behind the municipality office. Clear city regulations (PERWALI) on the standard operating procedure (SOP) to prevent the illegal dumping of faecal sludge are missing. Both in Mataram, and especially in the targeted rural districts, private sector involvement in WASH service provision is low and, if available, not affordable for the lowest wealth groups. In cities, WASH products are available but no entrepreneurs that solely focus on the production and marketing of affordable WASH products are active.

The vision of the sub-programme for this pathway is that by the end of the programme, *the target communities and schools have access to affordable and sustainable products that support attaining all the five STBM pillars:*

- Pillar 1: sale of toilet pan, toilet, inclusive latrine package and regular faecal sludge emptying service.
- Pillar 2: construction of sink and handwashing tools for children.
- Pillar 3: water service provision and water filters.
- Pillar 4: provision of community-based waste management services or products.
- Pillar 5: service provision for liquid household waste management (sewer).

In order to make progress towards this, Plan will conduct a sanitation marketing study to find out which products are currently not available or affordable in the target areas. Plan will train existing and new entrepreneurs on business and marketing skills in all four target areas and will encourage women and people with disabilities to take a leading role as entrepreneurs or within WASH businesses. New WASH product designs, made by the local entrepreneurs with support from Plan, will be piloted to check they suit the market in the target areas. Plan will also support the Mataram City government with the formulation of city regulations to prevent the illegal dumping of faecal sludge.

During the second half of 2018, the following activities were done to move towards the vision:

- Plan had a meeting with Pokja AMPL of Mataram City to discuss the formulation of city regulations (PERWALI) on the standard operating procedure (SOP) to prevent the illegal dumping of faecal sludge. The PERWALI is expected to be the legal foundation in the implementation of urban sanitation management in Mataram City.

Pathway 3: Strengthen WASH governance and institutional framework

The findings during the inception phase showed that the interests of the people most affected by poor sanitation and hygiene (women, people with disabilities and poor and marginalised people) are rarely acknowledged and addressed by governments, or even by communities themselves. These groups are not consulted or part of national level WASH decision-making processes. Also national ministries are still reviewing policies and aligning indicators with the SDG framework. Currently STBM is also under review as it is not yet aligned with the SDG target on safely managed services.

The vision of the sub-programme for this pathway is that by the end of the programme, *the STBM-GESI is reflected in national, provincial and district WASH policies and that the STBM-GESI training module is embraced and used by the national, provincial and district level governments responsible for the coordination and implementation of STBM. Within Pokja AMPL, women's organisations and disability organisations are enabled by the government to participate and hold strategic positions in WASH decision making. National monitoring systems are adjusted to track progress on SDG 6 and national definitions on the WASH ladders have been agreed upon and are contextualised.*

In order to make progress towards this, Plan will support the national government on how to include data on ODF and the other five pillars in the online STBM monitoring systems. Through the national WASH working groups, Plan will support the national government with the operationalisation of the SDGs. Plan will support the formation of the city/district Pokja AMPL and lobby for city/district policy and adequate budget from the Bupati/Walikota (city/district head). The active and functioning Pokja AMPL will conduct regular coordination meetings that involve all members from across the institutions/agencies where they²⁹ will conduct STBM.

During the second half of 2018, the following activities were done to move towards the vision:

- The gender WASH monitoring tool (GWMT) training of trainers was conducted in May 2018 for the project team and local NGO partners during which their capacity to monitor gender equality in STBM was improved.
- In May 2018, Plan, in cooperation with Jejaring AMPL (national WASH network), celebrated MHM day in Jakarta.
- In October and November 2018, the MoU was signed between Plan and the provincial government of NTT and NTB in which they declared their support for the implementation on WINNER project areas.
- In October 2018, Plan conducted a STBM-GESI module development workshop for Plan staff, women's organisations and disability organisations. This STBM-GESI module will be used as a guideline for the government in implementing STBM.
- In November 2018, the STBM-GESI national workshop had been conducted. This activity was a joint cooperation between Plan Indonesia, the Ministry of Health and Jejaring

²⁹ – STBM is implemented by different government officials at different ministries.

AMPL. The objective of this workshop was to create awareness on gender equality and social inclusion in STBM implementation. Plan invited representatives from women's organisations and disability organisations as participants.

- In December 2018, Plan conducted the STBM-GESI module trial. It involved project partners from the WINNER project areas. As a result the partners gained input to improve the STBM-GESI module which is now under development. The next module development process will involve the national government and will be conducted in 2019.

3.1.3 Approach to sustainability

The MoU between Plan Indonesia and the Mataram City government, Central Lombok district government, Malaka district government and Belu district government was signed in March–April 2018. In the MoU, Plan and the government agreed to support STBM implementation. Through this MoU, Plan agreed to fund the STBM on 100 pilot villages and the city/district government will implement STBM on replication areas with funds from their own budget (APBD).

The sustainability compact had not been signed at the end of this reporting period as discussions are ongoing. Plan aims to get the compacts signed in 2019.

3.1.4 Risks and mitigation

No new risks have been identified

3.2 Sustainable and inclusive cities sub-programme

3.2.1 Overview of progress

The sub-programme WASH SDGs for sustainable and inclusive cities is implemented in three cities: Bandar Lampung (pop. 997,700) and Metro (pop. 158,400), both in Lampung province and in Tasikmalaya (pop. 659,700) in West Java province. In the first half of the year, the baseline studies and inception report were finalised, while the second half of the year was dedicated to broader sharing of findings and planning. A further set of assessments and consultations conducted both at national and local levels to inform the design of the intervention. These were converted in factsheets/research sheets and used as evidence to inform and mobilise the national and targeted local governments for the entirety of the sub-programme. The second semester of the year was dedicated to conducting a structured dialogue with the main sanitation stakeholders, particularly with the city authorities that ultimately led to an agreement on the key strategies and targets, as well as to the signature of the sustainability clause. The commitment of the targeted governments was publicly announced during kick-off meetings in all targeted cities, following the preliminary endorsement granted by the national ministries of Home Affairs and Public Works and Planning (Bappenas). Finally, an awareness raising process targeting the local communities was initiated.



Source: SNV (Indonesia)

Overall, the sub-programme remained on track, with all activities conducted and results achieved according to plan.

3.2.2 Narrative on results against plan at sub-programme level

Inception phase (January to June 2018)

Considering the governance setting in Indonesia, relations and alignment with national level stakeholders is essential at city level. Special attention was given to maintaining these relationships and informing the stakeholders throughout the inception phase as well as during planning. At the start of the inception phase, kick-off meetings were held with key national stakeholders as well as with the city partners. The programme was also shared in the national level sanitation partners group of which SNV Indonesia is a member. Also, SNV is part of the Presidential Office advisory group for the introduction of the SDGs in Indonesia, supporting the country's alignment with the WASH SDGs in its forthcoming national development plan (2020–2025) and related indicators.

Before the start of the programme, SNV Indonesia conducted a legal scan *desk review*, including the key WASH sector policies and strategies. This was used as input for the programme.

The inception phase activities in 2018 included the planned assessments, namely: the baseline assessment, that presents and analyses impact and outcome level data in the three targeted cities³⁰; the CVR analysis; and the GESI assessment. These deliverables added to the stakeholder analysis and sustainability compact assessment conducted in 2017.

A number of workshops and meetings were conducted to present and discuss these findings with the main stakeholders. At the national level these included the ministries of Home Affairs, Public Works, Health, Bappenas, AKKOPSI (association of mayors for sanitation), the multi-stakeholder platform of the sanitation partners group and the Dutch embassy. At the local level, multiple meetings and workshops were organised with the mayors, local parliaments, the different line agencies and also with the media, community and religious authorities and other development partners. The objective was to have a common understanding of the intended results of the programme and clarify the different roles and responsibilities of each actor, in line with the existing institutional arrangements. The results and related content of all these processes and activities were summarised in the country inception report sent to DGIS in July 2018.

Finally, a discussion was initiated with three universities in the biggest city, Bandar Lampung, to assess how student and youth groups could be involved in raising the community's awareness around the WASH SDG programme. This is a pilot initiative that pending progress and results will be scaled up to the other two cities.

Pathway 1: Improve behaviour change intervention

The baseline findings from the surveys in the three cities show that 65% of households uses water from an unimproved source. A large part of this is bottled (11%) and refill (36%) water, which are classified as unimproved sources by JMP. Another 16% of households use their dug well or open well in the yard (predominantly in Metro). In terms of sanitation, none of the cities have sewers, and 87% of human waste from households remains untreated in the living environment. Lack of access to a sanitation facility affects 5% of the total population, 25% resorts to unimproved sanitation, with a further 18% having toilets that are leaking/overflowing or directly discharging into the environment. The vast majority of the remaining on-site facilities, at 65%, are not timely emptied or are emptied but dumped into nearby drains. Finally, the small percentage (4%) that is conveyed to the treatment plant is only partly treated due to current technical and operational limitations.

Following the results of the research and consultation meetings conducted during the inception phase, it was verified that the demand for safely managed sanitation and hygiene is generally low. Overall, people find open defecation unpleasant, but understandable in the absence of household toilets; believe that a good containment is one that never needs to be emptied; that direct discharge from toilets into drains or water bodies is acceptable as the

³⁰ – Sample of the baseline survey was: 5,038 households, 285 schools and 62 health facilities.

water will take it away and that handwashing with soap is necessary only when hands are visibly dirty. At the local government level, it was observed that the focus is almost entirely on the eradication of open defecation but through the provision of sanitation facilities, with limited attention to behaviour change promotion. Other critical behaviours, like handwashing with soap are unsystematically promoted or not addressed at all, such as menstrual hygiene management in schools.

The vision of the sub-programme for this pathway is that by the end of the programme, *local governments systematically promoting and monitoring progress of local communities in key WASH SDGs related behaviours, namely on the adequate access and use of sanitation facilities (including emptying of on-site systems), handwashing with soap and menstrual hygiene management, also in schools and health facilities.*

In order to make progress towards that vision, the understanding by local governments on sanitation and hygiene services and behaviours needs to be increased, as well as strengthening the capacity of local agencies to design, implement and monitor behaviour change interventions.

During the second half of 2018, the following activities were done to move towards the vision:

- A first result sought within this pathway was to build on local governments understanding of the ODF/MDGs narrative to also consider safely managed sanitation and hygiene services, and the comprehensive set of behaviours that needs to come with it. This proved to be a challenge as the development agenda in the sector was being severely influenced by the national target of reaching 100% access to sanitation by 2019, so there was limited interest to think beyond ODF. A number of workshops and information sessions on the WASH SDG and its targets were conducted, using the findings of the inception phase as evidence and most notably the sludge flow diagrams that were subsequently developed as a visual aid. The sub-programme also resorted to the use of national level policies and frameworks, notably Presidential Decree 59/2017 that commits the country to the SDGs and the safely managed sanitation and hygiene targets as set by Bappenas for the forthcoming five-year plan (2020–2024). Concurrently, the sub-programme also sought to promote local government understanding of the key constraints and opportunities for the main hygiene behaviours by organising structured discussions on the results of the SaniFOAM³¹ and willingness to pay for research.
- Forthcoming results sought during 2019 include strengthening the capacity of local agencies to design, implement and monitor behaviour change interventions in line with the research findings. This will include the production of communication materials and

³¹ – SaniFOAM is a conceptual framework designed to help program managers and implementers analyse sanitation behaviours to design effective sanitation programs. Sani stands for sanitation, FOAM stands for Focus, Opportunity, Ability, Motivation. A rapid technical assessment of on-site systems was conducted, as well as an analysis of funding and financial streams at the national and at cities level; SaniFOAM research on key behaviours and willingness to pay for sanitation services; and an analysis of the sanitation service providers capacities, and cost and quality of their products and services.

the implementation of pilots in targeted areas of the city, with findings closely monitored and used to re-visit the approach prior to city-wide implementation in the following years.

- A close relationship with the local media was also established. A series of meetings in which the results of the baselines, the impacts that poor sanitation has on public health and on what reaching safely managed sanitation entails were conducted with chief editors and journalists. The result is that the media now provide regular coverage of sanitation and hygiene initiatives, with the double benefit of increasing the awareness of the city's population on the WASH SDGs and of making governments publicly accountable for progress.
- A specific behaviour change intervention was initiated with 50 youth groups in the city of Bandar Lampung. The aim was to build their awareness and capacity to act as agents of change within their organisations and ultimately in their own communities. This intervention is being taken as a pilot initiative, closely monitored and the results expected by mid-2019 will determine its potential upscale to the other targeted cities.

Pathway 2: Improve WASH service provision

The results of the research conducted during the inception phase revealed that current WASH service provision across the three cities is generally poor. While public operators conduct their activities without SOPs and observance of operational health and safety principles (OHS), private providers are seen to operate in a regulatory void, with no supervision from the city authorities and also with limited (if any) compliance with basic safety procedures. A mismatch was observed between the quantities of sludge reportedly collected at the household level and those received by the treatment plants, which confirms that illegal dumping is a common practice. Reports of manual emptying were collected from households in narrow streets that the existing trucks cannot reach. Also, none of the operators interviewed has a business plan or a marketing strategy in place, with maintenance costs not provisioned for or long-term investments considered.

In this scenario, **the vision of the sub-programme for this pathway** by the end of the programme is *to ensure the availability of professional (as in standardised, safe and compliant), affordable (in terms of outreach, considering underserved customer segments) and sustainable (as in sound, business wise) WASH service provision.*

In order to make progress towards this, key activities include promoting an enabling regulatory framework; strengthening responsible line agency capacities for monitoring and oversight; training service providers so as to meet compliance standards, improve marketing and outreach strategies and improve financial sustainability; increasing the adequacy of technological solutions used.

During the second half of 2018, we saw varied results across the cities.

- In Tasikmalaya, it was not possible to meet any of the reportedly seven existing private providers; in Bandar Lampung, the public operator was not interested in engaging with

the programme. Responsible line agencies remain hesitant to observe existing regulations as they often overlap the regulator with the operator role. In order to overcome these challenges, the sub-programme placed its efforts at the national level, working with the Ministry of Environment to encourage its local agency to meet its oversight responsibilities and building a partnership with the national association of wastewater operators (FORKALIM), aiming to use this institution as an entry point for the private operators, while assessing their capacity to act as a local capacity builder within a peer to peer learning strategy.

Pathway 3: strengthen WASH governance and institutional framework

Coordination of the different line agencies around a common vision for safely managed sanitation, related support from elected leaders, effective and efficient use of existing resources, attention to the needs of women and other vulnerable groups, anticipation and mitigation of climate change impacts, limited monitoring capacity and implementation/enforcement of policies and regulations were all identified as the main WASH governance challenges during the inception phase.

Accordingly, **the vision of the sub-programme for this pathway** is that by the end of the programme, *city authorities coherently fund, steer and lead towards inclusive, sustainable and climate change resilient sanitation and hygiene service provision, in line with Presidential Decree 59/2017 on the WASH SDG.* This includes having the cities prepared to mobilise funds available from the provincial and national levels and diverting them from subsidised approaches and into market driven, revenue-generating solutions, such as scheduled desludging.

In order to make progress towards this, the sub-programme will push for increased political prioritisation and commitment, evidence-based influencing on financial investments for city-wide sanitation, and increase public accountability, among others.

During the second half of 2018, the following activities were done to move towards the vision:

- Key changes sought within the second half of 2018 focused on establishing a common understanding of safely managed sanitation and hygiene as per SDG 6 for the different line agencies (Indonesian Ministry of National Development Planning – Bappenas-, district health offices, public works and housing, environment and education ministries) in the context of the local sanitation working groups (Pokjas). The following step is to have this understanding reflected in the next planning cycle that will take place during June 2019. Establishing a calendar for the Pokja meetings and mobilising Bappenas to lead them was only partly achieved as the sub-programme struggled to overcome a long established inertia and individualised approaches for city sanitation and hygiene development. This remains a continuous work, requiring ongoing technical assistance from the sub-programme and most importantly, a strong political prioritisation by the

elected leaders, notably the mayors. To this end, the sub-programme engaged the National Alliance of Mayors (AKKOPSI) and mayors (Bupati) concerned with sanitation to directly advocate the mayors for increased focus – that will ultimately led to additional budgeting – for sanitation investments. Progress was observed in the political commitment publicly stated by the mayors of Tasikmalaya and Metro, but Bandar Lampung's mayor remains a challenge.

- Additionally, the sub-programme used the findings from its sanitation financing research as evidence to challenge the common misleading perceptions that sanitation development is beyond the city's financial capacity and that it is a money drain of public funds. This step builds into the next stage of the intervention, of having the cities prepared to mobilise funds available from the provincial and national levels as well as to have them diverting from subsidised approaches and into market driven, revenue-generating solutions, such as scheduled desludging.
- Evidence based advocacy was the key approach used for all the activities described, with further support coming from the engagement with local media stakeholders, as a strategy to increase the public accountability of the government towards its constituents.

3.2.3 Approach to sustainability

Following a multi-phased discussion process with the Ministry of Home Affairs – as local governments are not free to celebrate agreements with foreign organisations without their consent – technical assistance contracts (TCAs), describing the main objectives and expected results of the sub-programme were signed by the mayors of all targeted cities. The TCAs included the sustainability clause, through which local governments committed to monitoring and reporting on the sustainability of the results achieved, as well as taking corrective measures where constraints are observed.

The results of the sub-programme seek to ensure sustainability through the approach used. First, the sub-programme is fully aligned with national policies and targets, so the ownership and responsibility for its short and long term results are clearly with the city authorities. This means, for instance, that the sub-programme targets are to be embedded in the local planning and financing mechanisms and reflect the 2020-2024 SDGs aligned national strategic plan. Secondly, the sub-programme builds the capacities of local governments and other relevant stakeholders (operators, service providers) to make them able to progressively guarantee an inclusive, sustainable, climate change resilient provision of sanitation and hygiene services they can maintain and further post project. Thirdly, the results of the sustainability compact analysis have clearly demonstrated that the country has the necessary monitoring frameworks in place and that the cities will be able to identify progress and constraints, and report on those accordingly using the structures and mechanisms already available.

3.2.4 Risks and mitigation

No new risks were identified against the set presented in the inception report. Mitigation measures hold valid at this point.

3.3 Country-level updates

3.3.1 Monitoring, evaluation and learning

During the current reporting period, the sub-programme produced a baseline report, a climate vulnerability and resilience assessment, a gender and social inclusion analysis, a rapid technical assessment on emptying conditions, research on key behaviours and willingness to pay, a sanitation financing research and a mapping and characterisation of service providers. All of these have been converted in factsheets/research sheets, with versions available in Indonesian for each city and country versions in English. Findings were shared with local governments across all cities, as well as with national government counterparts and the Dutch embassy.



Out of the many relevant findings, the following are highlighted as they were particularly relevant to serving the advocacy agenda around the WASH SDGs sub-programme both at national and local level. First, the results of the baseline, clearly demonstrate where the cities stand in terms of safely managed sanitation, with the visual sludge flow diagrams proving particularly useful in highlighting where the key problems are across the sanitation chain. These have contributed to improving the level of understanding of key counterparts and to push the discussion forward both at national and local levels. Another baseline finding, furthered by the results of the GESI assessment, is the flaws in MHM in schools, with the gaps observed being used to advocate for a wide scale implementation of the national MHM guidelines, and for the development of specific training modules. The GESI assessment further assisted in showcasing the number of favourable legislation in place for people with disabilities that fails to be implemented, giving enough evidence to advocate for progress in this domain. Finally, the CVR assessment allowed the identification of the critical climate change impacts across the different areas of the city and how these are likely to impact more the most vulnerable communities, notably in slum areas.

Key lessons learned are the difficult transition from an ODF, MDG mind-set, to a more comprehensive and complex view of safely managed sanitation and hygiene as established in the SDGs, including its GESI elements and in a context of acceleration of climate change impacts. This work remains ongoing but as the country evolves and adapts to the new set of ambitions and indicators, it is expected that the challenges observed in the targeted cities will be overcome accordingly.

3.3.2 Country programme management and coordination

Three coordination meetings took place between the consortium members during 2018. A joint presentation was made to the Dutch embassy on the design and progress of the country programme.

Also, the Consortium members worked closely in the context of national level platforms, most notably the Jejaring AMPL, jointly advocating for the roll out of the national MHM guidelines, for the review of the country approach to end open defecation (STBM) in view of the WASH SDG target and for the improvement of WASH in schools.

4. Nepal

Source: SNV (Nepal)

4.1 Nepal 4 city sanitation sub-programme

4.1.1 Overview of progress

The four city sub-programme is implemented by SNV Nepal in Chandannath (20,987 people), Birendranagar (116,160), Nepalgunj (164,989) and Khadak (38,724)³². The cities were selected in dialogue with the Ministry of Water Supply and sector stakeholders, to represent a range of settings including all three ecological zones of the country, small and medium-sized towns, recently formed as well as well-established municipalities, and three different provinces. In spite of initial delays due to the ongoing federalisation process in Nepal, the sub-programme is on track with activities and results for 2018.



Source: SNV (Nepal)

During the reporting period, preparatory work was completed including signing an initiation agreement with each municipality, completing the baseline and GESI and CVR assessments, holding discussions on the sustainability compact indicators, conducting introductory meetings together with other consortium partners with the restructured Department of Water Supply and Sewerage Management. Simultaneously, a number of activities were conducted in the sub-programme area which included the piloting of an innovative BCC

³² - Note: population data at the start of the programme in 2017. This data has been extrapolated from the 2011 CBS census.

programme in schools, designing and carrying out construction activities for gender and disabled friendly public toilets, engaging with one municipality on city sanitation planning, and building the capacity of local government representatives from two cities on (i) city-wide planning and (ii) the process for informed choice for government investments in sanitation.

4.1.2 Narrative on results against plan at sub-programme level Inception phase (January to June 2018)

SNV Nepal has an in-depth understanding of Nepal's sector stakeholders, policies and strategies, through its long-term engagement with the national development partners (DP) working group and its collaboration with the Ministry of Water Supply (MoWS) and their WASH technical working groups. It has also been working in coordination with government stakeholders at national and/or sub-national levels. The team is accompanying these new developments and the direction of the sector as it evolves.

The sub-programme completed the baseline assessment during the first half of the reporting period. Data collection was done on a sample of 2,902 households, 166 health facilities and 142 schools.

The GESI analysis and the CVR assessment were done during the reporting period. After a desk review and analysis of existing GESI studies, a mini-research was conducted to fill gaps, in particular in relation to the WASH status of sexual and gender minority (SGM) groups in Nepalgunj and Birendranagar. For the CVR, a climate change expert was engaged. The sub-programme advisors collected the required secondary data from the respective cities, which was analysed within the framework and recommendations were developed.

In order to engage municipal governments in tangible activities, pilot projects were initiated to address findings of the baseline. All activities were planned and implemented under the leadership of the municipalities. The pilots included:

- An innovative BCC programme in schools operationalising the school WASH guidelines from the Department of Education and the total sanitation guidelines of the Department of Water Supply and Sewage (DWSS). This approach³³ mobilises students through team work, leadership and competition for improving the status of sanitation and hygiene in their school.
- Updated city sanitation plan (CSP) and demonstration activities in Birendranagar. SNV Nepal had facilitated the development of the CSP in Birendranagar in 2016. Since the municipality was re-structured (inclusion of all sectors), had the addition of elected leaders, and was expanded in size, the mayor approached SNV to orient all local leaders and relevant municipality staff on the CSP. Following the orientation, and based on

³³ - Note: population data at the start of the programme in 2017. This data has been extrapolated from the 2011 CBS census.

identified challenges and action areas in the CSP, the programme started implementing pilot activities. The main activity was the upgrading and functionality of public toilets (gender and disabled friendly).

- Support for Nepalgunj City to reach and declare ODF, as it was the only one of the four cities that had not declared ODF. The sub-programme worked with the district WASH coordination committee and the municipality to facilitate the joint monitoring process and declare ODF. To reach ODF the challenges of landless communities without toilets had to be addressed.

Pathway 1: Improve behaviour change interventions

The findings from the baseline show that access to basic water supply, sanitation and handwashing with soap is high at the household level, but for sanitation there is no further management. This is especially seen in Birendranagar where 75% of households remain under the timely-emptying benchmark, whereas in Khadak, the recent construction of toilets means most do not (yet) require emptying. In terms of cleanliness and maintenance of household sanitation facilities, the smaller municipalities, Chandannath and Khadak, score far below benchmark. Cleanliness of toilets and handwashing with soap in schools is a problem across all cities, as is menstrual hygiene management (MHM) with 95% of the schools lacking water for MHM and/or a covered bin. Health facilities generally score well on toilet access and cleanliness, but the service levels remain limited due to the lack of segregated toilets. Handwashing (both after defecation and at points of care) in health facilities also remains below benchmark.

Outcome indicator measurements showed that capacity to develop evidence based behavioural change communication is limited in the cities and mostly centred around rural behaviours. Only two of the cities, Chandannath and Birendranagar, use the district level BCC strategy for sanitation.

Based on the above, **the vision of the sub-programme for this pathway** is that by the end of the programme, *cities have and implement their city BCC strategies, which should guide BCC for the specific priority behaviours for each type of user (households, schools, health facilities), and should be aligned with higher level sector strategies (local government, WSS, education, health) as well as Nepal's post-ODF goal of achieving total sanitation. The city BCC strategies should be sensitive to the needs of women and potentially disadvantaged groups, in particular landless groups, people with disabilities and transgender people.*

In order to make progress towards this, the sub-programme will continue the ongoing prioritisation of behaviours. These will most likely include:

- total sanitation behaviours
- demand for timely pit emptying (all)
- hygienic use and cleanliness of toilets (schools)
- handwashing with soap after defecation (schools)

- ensuring conditions for safe menstrual hygiene management (schools)
- use of standardised procedures for improved hygiene in service delivery (e.g. hand hygiene of health workers, occupational health and safety of pit emptiers).

The sub-programme is adopting a range of strategies to achieve the above vision, including participatory formative research; building institutional capacity on implementing BCC strategies developed under the governance pathway by supporting awareness campaigns using multiple platforms, channels, and disability inclusive communication materials; and enabling service providers and institutions in developing and implementing standard hygiene procedures.

During the second half of 2018, the following activities were done to move towards the vision:

- The sub-programme extended the BCC campaign of other sanitation programmes by SNV in Nepal to the four cities. This campaign brings all sanitation messaging under a single banner of "I promise" (Mero Bacha in Nepali) with recognisable symbols associated with the female community health volunteers who are universally respected and listened to. The campaign links individual pledges for behaviour change with community and organisational pledges. Visual materials were drafted under the Mero Bacha campaign banner and shared through a multi-stakeholder process by the national health education information communication centre in November.
- The sub-programme also completed a pilot activity BCC in schools (see under inception phase pilots). Results in the 44 schools are visible with: students leading sanitation and hygiene improvements in their school; resources leveraged from multiple sources to support facility improvements; and an increased awareness within the school management committees and among school teachers on how to improve sanitation and hygiene. Notably, the municipality mayors, vice-mayors, and/or other representatives participated actively and are keen to apply the same methodology in other schools, especially private schools. Self-monitoring by the students showed an average improvement of 49% (baseline average 28%, end line average 77%) across the six sanitation and hygiene indicators monitored in all schools.

Pathway 2: Improve WASH service provision

All four cities rely on on-site sanitation and the baseline findings show that there is some form of emptying services available in each, but none have treatment facilities for safe disposal. In the two big cities both manual and mechanical emptying services are available; in Chandannath only manual; and in Khadak only mechanical services from neighbouring towns. In Nepalgunj and Birendranagar these are highly profitable businesses and in Khadak they can cover their operation costs, but nowhere are these services affordable for households in the poorest wealth quintiles, requiring 32% and 57% of their monthly income. While occupational health and safety is better among formalised mechanical emptiers than among the manual emptiers, who generally do not operate in the formal domain, none have protocols. As mentioned, none of the cities have treatment or disposal facilities and dumping

on agricultural land is common. In both bigger cities, farmers reuse this sludge on their fields without any safety measures (for themselves or consumers). While they are aware of health risks, they do not consider these to be significant.

An additional weakness is that on-site sanitation facilities are prone to flooding in some areas and therefore pit management becomes critical. Separately, although access to sanitation is high, people with disabilities face challenges in using toilets conveniently and comfortably.

In view of the above, **the vision of the sub-programme for this pathway** by the end of the programme is *to make progress towards affordable, safe and professional emptying services as well as treatment in all cities. This entails access to supplies and services for construction and/or upgrading of toilets, handwashing facilities and containment units that meet the needs of different consumers and are environmentally safe.* The focus is on premises that do not have a toilet and/or environmentally safe facility, premises that are in flood-prone areas, and households with a member with disabilities. It also requires ensuring access to properly functioning sanitation and hygiene facilities in public spaces for men, women, transgender, and people with disabilities. Furthermore, it needs households, institutions, commercial and public areas throughout the city to have access to affordable, convenient, and safe faecal sludge and solid waste emptying/collection, transport, treatment and reuse/disposal services that minimise the environmental footprint and public health risks.

In order to progress towards this, the sub-programme is adopting strategies that are integrated within the behaviour change and governance pathways as well as focused initiatives on services strengthening and treatment/re-use. The service provision pathway focuses on strengthening the capacities of service providers to provide professional services to different consumer groups, based on viable business models, and with incentives to reach and provide services to potentially disadvantaged groups (e.g. poor, people with disabilities, low-caste and minority groups, women-headed households). The behaviour change pathway supports the uptake of the services and willingness to pay by consumers and implementation of occupational health and safety by service providers. This in turn is linked to the regulatory function of the local government developed under the governance pathway to ensure service and safety standards.

The sub-programme further emphasises the development of appropriate technologies where relevant, such as enhanced capacity of masons on accessible design, explore ways of improving pit emptying equipment, support design of treatment facilities that are disaster resilient and easy to operate, and innovations in customer outreach. Strategies also include strengthening linkages between service providers and target groups.

During the second half of 2018, the following activities were done to move towards the vision:

- The sub-programme incorporated the findings of the GESI analysis and the formative research conducted on SGM groups during the inception phase to develop the design of the public toilets in Birendranagar and Nepalgunj. Practically, this means that a separate unit with accessible design is being made in each toilet that can be comfortably used by transgender and people with disabilities, and that menstrual hygiene management facilities are made available. The design was finalised in consultation with the National Federation of Disabilities Nepal and approved by the respective municipalities, and construction is proceeding accordingly.
- In Birendranagar, the sub-programme supported the municipality in developing a concept for an integrated solid waste and faecal sludge treatment and disposal site at a tentatively identified site in the periphery of the municipality. The municipality submitted the document to the cabinet to initiate the process of designating the land (belonging to the forestry sector) to the municipality for such purpose.

Pathway 3: Strengthen WASH governance and institutional framework

The baseline findings for the component of urban sanitation governance show that basic capacities for urban sanitation and hygiene sector steering, alignment, enforcement and inclusive governance are in place. This is largely owing to the country's well-established sanitation movement that aims to make the country ODF in the near future and the mechanisms that were put into place following the Nepal Sanitation and Hygiene Master Plan (NSHMP) 2011. However, the national sanitation campaigns have been less focused on the complexities in urban contexts with its different types of settlements, premises and the needs beyond ODF. Moreover, with the restructuring of the government, reshuffling of staff and the changed mandates, city-level multi-stakeholder processes in sanitation have been disrupted or disappeared. While the municipal authorities in Birendranagar and Nepalgunj are setting targets and priorities (related to the city sanitation plan and the ODF ambition respectively), all cities are still seeking clarity on their mandate in sanitation and hygiene. Formally all basic services are falling under the municipality, but practically this is not the case as staff have been placed within municipalities without clear guidance and line agencies still have separate offices in the area.

The baseline findings show that all municipalities are leveraging resources for sanitation, either from the municipality itself or from the central government, but they do not have a clear overview of the financial health of key sanitation services in the city nor do they have a city-wide investment plan or seek to implement a tariff system to meet the needs of the various population segments.

In terms of capacity for enforcement of premises-level sanitation standards, the national building code specifies certain standards, but their implementation is weak. The bigger cities have operationalised these through local by-laws that are familiar to authorities and premise

owners, but not fully enforced. Smaller cities still need to develop these. All will require support for broader application of by-laws.

Looking at the aspect of inclusion in decision making, much progress was made during the ODF campaigns with women, Dalit and minority groups, and people with disabilities participating actively in the ward level WASH forums and events. However, currently none of the cities have an actively functioning WASH coordination committee (WASH CC). The first opportunity lies in activating such a multi-stakeholder forum and working with the elected members (through reserved seats for women, Dalit/minority groups) and leveraging the recent Disabilities Act which makes participation of people with a disability mandatory (in processes that impact them) to ensure inclusive decision-making processes.

The vision of the sub-programme for this pathway is that by the end of the programme, *municipalities are using city-wide sanitation plans and supporting strategies (on BCC etc.) to develop, implement (including allocation of resources), and monitor sanitation and hygiene activities around a joint vision, objectives, targets, and short-term and long-term priorities.* For this, the municipalities adopt transparent and GESI planning processes and aim at achieving improved behaviour change and services for all population segments of the city. They develop strategies that take into account the differences in consumer preferences, willingness and ability to pay, physical and geographical contexts, and preventing marginalisation or exclusion of poor, low-caste and minority groups and people with disabilities. In planning for services, the municipalities assess public and private service provision modalities, understand life-cycle costs and use various financial mechanisms (e.g. cross subsidies, taxes, transfers) to assure both revenue and affordability. Also, the municipalities enforce local regulations that support compliance.

The sub-programme will adopt the following strategies to progress towards the vision: capacity building of municipal stakeholders on human rights to water and sanitation; city-wide planning; public and private sector engagement to meet different service needs and service and safety standards; strengthening of multi-stakeholder processes with meaningful participation of women; low-caste and representatives of disabled people's organisations; supporting monitoring processes including disaggregation of data and using these to improve planning and implementation; and supporting development of local regulations and enforcement.

During the second half of 2018, the following activities were done to move towards the vision:

- The mayor of Birendranagar, the chief executive officer of Nepalgunj, the joint secretary of the Ministry of Federal Affairs and General Administration, and two programme staff gained clarity on adopting a city-wide perspective and informed-choice process for planning and investment in sanitation after participating in a multi-country learning event hosted in September by the SNV Zambia sub-programme. The SNV sub-programmes from Tanzania, Indonesia, and Bangladesh also participated, and government and

programmes exchanged their experiences and learnings.

- The sub-programme staff also used national platforms to advocate for: safely managed sanitation (presentation during World Toilet Day celebrations in Kathmandu); sustainable urban sanitation and hygiene (panellist in a national event hosted by the Asian Development Bank (ADB) in Kathmandu); needs of trans men in menstrual hygiene (during the MHM mega event in May and national MHM workshop in December). Also, the sub-programme contributed in the national review process of the draft WASH Act and draft WASH in health care facilities guidelines.

4.1.3 Approach to sustainability

With the recent implementation of the federal system of governance in Nepal, political and administrative powers have been devolved to the local government and the municipalities are responsible for the provision of WASH services. However, the distribution of roles and responsibilities between the national line ministries, provincial structures, district offices, and municipalities is still being sorted out. This includes the role of data collection and monitoring. In addition, with the restructuring of the municipalities, many of the existing monitoring systems³⁴ are in disuse. The Ministry of Water Supply (MoWS) are developing an updated information management system (IMS) with updated data management to align with the country's SDG indicators. Several entities (World Bank, UNICEF) have also started their own initiatives all using slightly distinct indicator definitions. In this panorama, SNV has been keeping track of the developments, contributing to the national government-led process and discussing with the four municipalities the importance of regular monitoring.

During the reporting period, the sub-programme team engaged with representatives of the municipality and held discussions on the governance processes. The municipalities showed willingness to share data with the sub-programme following the sustainability compact. However, currently there is no standard process in place for data collection. The country implements national surveys periodically (national census, national demographic and health surveys, and multiple indicator cluster surveys) but these are not annual and there is a time lag between data collection and reporting. Therefore, the sub-programme will collect data on the sustainability indicators during the life of the programme and follow the national level and local level developments to find opportunities for strengthening monitoring systems.

4.1.4 Risks and mitigation

No new risks identified.

³⁴ - This is the minimum conditions and performance measurement (MCPM) indicators for urban municipalities which included WASH, as well as the sector information management system (IMS) that collected data through the National Management Information Project (NMIP), last in 212, and the Water Supply and Sanitation Divisional Offices (WSSDO), last in 2018.

4.2 Sindhuli Sunsari sub-programme

4.2.1 Overview of progress

This report covers the 2018 annual progress report of the WASH SDG sub-programme implemented by Plan in Nepal. During the inception phase (first half 2018) a baseline study and assessments were conducted, which gave input to the design of the detailed sub-programme. The implementation phase concentrated on the selection and institutionalisation of the partnership agreements with two implementing partners. Capacity development of the partners was conducted and the behavioural change communication (BCC) training package was prepared. The formalisation of the partnership agreements with the Nepalese partners took a bit longer than expected which led to a slight delay of the start-up activities. Activities were slightly off track at the end of the reporting period. However, these were taken into account in the 2019 planning and are expected to get back on track in the coming months.



The sustainability clauses signed in tri-partite MoUs with 11 out of 12 municipalities is a key achievement of 2018. With regard to monitoring, evaluation and learning, the sub-programme focused on activities enhancing learning, capacity development among Plan and partner staff, including an annual review and reflection among partners and government officials, orientation and discussion on the meaning of gender transformative WASH and the SDG goals related to WASH.

4.2.2 Narrative on results against plan at sub-programme level Inception phase (January to June 2018)

- Plan International Nepal programme staff was trained in the use of Akvo FLOW software for the data collection. Questionnaires for households, schools and health facilities surveys were developed and tested, followed by the baseline survey conducted by Plan staff.
- Local governments and representatives in both districts were involved from the start of the sub-programme through participating in the ToC and baseline workshop.
- Several assessments (GESI, CVR, market assessments, stakeholders' analysis, sustainability compact analysis, demand-creation strategy review and policy analysis) were conducted to understand the baseline status of the sub-programme. The outcomes served to set final targets for the sub-programme and for the M&E framework.
- Plan organised programme planning workshops for partners resulting in a planning process for the sub-programme and understanding among the partners about the implementation modality of the sub-programme.
- The findings of the baseline and related assessments were shared and validated with local

- government representatives, including deputy mayors from most of the 12 municipalities.
- A gender and WASH monitoring tool (GWMT) training was organised by Plan International Nederland in Indonesia and attended by Plan International Nepal. As a result, Plan agreed to use the tool for the sub-programme and to adapt it to the context of Nepal.
- Plan initiated the development of a monitoring and reporting system, including tools considering the data quality.
- Sustainability and its mandatory clauses from DGIS were discussed extensively with local government representatives, who agreed to incorporate it as a key clause in the MoU. At the end of 2018, 11 out of the 12 MoUs were signed.
- The results and related content of all these processes and activities were summarised in the country inception report sent to DGIS in July 2018.

Pathway 1: Improve behaviour change interventions

Nepal was successful in meeting its MDG targets for both water supply and sanitation and is defining national level indicators for the SDGs. The national sanitation and hygiene masterplan, envisioned achieving 100% sanitation access by 2017. In general, sanitation and hygiene are given less priority than water. On paper, GESI operation guidelines and the Disability Rights Act ensures the right of people with disabilities to participate in formulating WASH policies and WASH implementation. In practice, however, the disparity in access and inequality in WASH services between urban and rural, geographies, caste/ethnicities and potentially disadvantaged groups is one of the main challenges, as is the case in the municipalities where the Plan sub-programme is being implemented. Also decision making by women and participation of socially excluded groups are limited, which is also the case for household investments and awareness on hygiene and sanitation, especially women and girls are not yet aware of the importance of MHM and hygienic use of sanitary pads. Additionally, the lack of investment by municipalities in effective behaviour change strategies, where new people assume responsibilities without always having the relevant training, background and experience, especially on software approaches that ensure gender transformative and socially included WASH, are bottlenecks which are addressed by this sub-programme.

The vision of the sub-programme for this pathway is that by the end of the programme, *households, schools and communities in the two districts, with 12 municipalities selected, have improved their WASH behaviour, attitudes and practices, and have moved up the sanitation and hygiene ladder³⁵. Women, girls and marginalised groups³⁶ are empowered to participate in WASH activities and influence in decision making for improving WASH conditions³⁷, focusing on the control of and equitable and sustainable sanitation and hygiene services. Women, girls, men and boys understand the importance of MHM and hygienic use of sanitary pads. Families have knowledge and practise hygiene sensitive WASH and schools apply menstrual hygiene management. New municipalities implement gender transformative and socially*

³⁵ – See the inception report for targets and indicators for measurement.

³⁶ – i.e. Dalits and Janajatis.

³⁷ – See targets inception report.

inclusive community demand-driven approaches and effective ODF campaigns. Household level investment in WASH services and products have doubled³⁸.

In order to make progress towards this, Plan will enhance the capacities of the 12 newly formed municipalities regarding their roles and responsibilities towards gender transformative and social inclusive community demand-driven approaches. Plan will work with and capacitate WASH champions³⁹, selected from within the communities and endorsed by the municipalities, who will act as WASH resource persons to trigger both communities and schools to change the behaviour resulting in total sanitation. Additionally, the level of participation of women and girls in decision making in WASH activities will be increased and monitored through the gender and WASH monitoring tool. Basic sanitation facilities (including handwashing and MHM facilities) at schools and health facilities will be improved, which will allow for improved WASH behaviour. WASH coordination committees will be (re)established to improve the WASH status and behaviour within schools to a basic level, through regular meetings and participatory decision-making processes. Drinking water systems and WASH user committees will be strengthened and will manage and sustain community-based small water schemes and related WASH activities, including effective female participation in decision-making process⁴⁰.

During the second half of 2018, the following activities were done to move towards the vision:

- The formation and revitalisation of ward level water sanitation and hygiene coordination committees (W-WASHCCs).
- The development of the social behavioural change communication package was initiated focusing on gender transformative WASH in communities, schools and the municipalities.
- Selection and capacity building of WASH champions at cluster level and from within the communities the capacity building of the WASH champions started and is ongoing.
- The gender and wash monitoring tool (GWMT) was contextualised and translated into Nepalese, which was preceded by gender training for PLAN staff.
- PLAN conducted orientation sessions on gender transformative and social inclusive WASH programming and implementation with the municipalities, who were initially not aware of gender transformative and social inclusive WASH, and as a consequence were receptive towards this approach.

³⁸ – According to the baseline, the demand for WASH services and products is limited.

³⁹ – The champions of change are selected from within the communities, based on a specific set of criteria. Most of them are women (18+) already experienced as volunteers, and also coming from the socially excluded groups and lower castes. The selection is endorsed by existing WASHCCs on a ward level and municipalities. So far 106 have been selected; the selection process is still ongoing.

⁴⁰ – 33% of members is female.

Pathway 2: Improve WASH service provision

In the two districts (and their respective targeted municipalities) there is equally low involvement of the private sector in suitable WASH service provision, and female entrepreneurship is practically non-existent. Effective demand-creation strategies are lacking and household investments in WASH are low. The use and availability of sanitary pads in the targeted communities and schools is low, which is also hampering the gender transformation process as women and girls are restricted much more than men and boys by the absence of WASH facilities (e.g. at schools) and products. As mentioned in the inception report, only a quarter of the rural water schemes in rural Nepal are fully functional. Existing water supply systems in both districts are lacking and/or have shown to be dysfunctional because of the lack of institutional, technical and financial capacity of the local government and user committees. These gaps in both coverage and functionality have resulted in the inclusion of a water component in the Plan sub-programme.

The vision of the sub-programme for this pathway is that by the end of the programme, *the WASH market has improved by strengthening new and existing entrepreneurs in producing and marketing affordable WASH products. Target communities, especially girls, women and socially excluded groups have improved hygiene behaviours and as a result, demand for WASH products and services and have access to affordable and suitable WASH products, mainly sanitary pads and soaps. Girls and women will have access to affordable WASH products locally through the presence of local entrepreneurs (young women's groups) and who will produce and offer mainly MHM products at an affordable price and build linkages with WASH service providers. Selected communities will have access to water service provision.*

In order to make progress towards this, Plan will support the local private sector to develop WASH products that are accessible and affordable. Specifically, a selected group of 65 local producers, retailers and new entrepreneurs will be supported by Plan, who will produce and market soap and sanitary pads in a profitable and sustainable way. At least four female entrepreneurs will be supported to run their own profitable and sustainable WASH business. Plan will strengthen the marketing and sales of new and existing entrepreneurs and producers through capacity building and exchange visits to producers and entrepreneurs of WASH products. In addition, women and girls are aware of the importance of MHM and hygienic use of sanitary pads, through training, enabling both teachers, boys and girls to make pads. Plan will work together with the municipalities on the planning, construction and rehabilitation of water schemes within targeted communities, resulting in access to 15 sustainably managed community-based drinking water systems. Thirty five existing and new water sanitation and hygiene user committees will be strengthened and functional through regular meetings, water tariff collection and proper management.

During the second half of 2018, the following activities were done to move towards the vision:

- The guidelines were developed for the selection of schools and health facilities and for the communities, which will be selected for access to water schemes.
- Discussions were held with municipalities for resource leverage in construction work of the water systems.

Pathway 3: Strengthen WASH governance and institutional framework

Since the Government of Nepal has to revisit much of its WASH legal framework and align it with the new federal set-up, the Plan sub-programme will closely follow and respond to potential new developments. Guided by the national sanitation and hygiene masterplan and total sanitation guidelines, the municipalities are in the process of developing local WASH plans and guidelines. On paper, gender equality and social inclusion operation guidelines outline the GESI aspects and the Disability Rights Act ensures the right of people with disabilities to participate in formulating WASH policies and WASH implementation. In practice, the disparity in access and inequality in WASH services between urban and rural settings, caste/ethnicities and potentially disadvantaged groups is one of the main challenges, which is also the case in the municipalities where the Plan sub-programme is being implemented. Supporting the restructured rural municipalities in taking over the role of ensuring the implementation of WASH policies, plans and services is a key component of the Plan sub-programme.

The vision of the sub-programme for this pathway by the end of the programme is to *have strong administrative structures, meaning that the 12 municipalities recognise and assume their new roles and responsibilities and develop and implement gender transformative and social inclusive WASH policies, based on evidence based planning, a strong monitoring and evaluation system and sufficient budget for WASH in annual plans. Municipalities implement effective OFD campaigns and gender and social inclusive demand-creation strategies. Policies on 33% representation of female participation in government structures are put into action and policies on participation of the socially excluded groups are now part of government structures as well, including the water and sanitation users committee at community level. Local governments (municipalities/rural municipalities) have adopted national WASH standards which equal SDG standards. After the development of the guidelines on total sanitation, they will be uniformly applied across the country to support the communities to improve on the sanitation ladder through inclusive, effective and sustainable approaches and realise total sanitation outcomes.*

In order to make progress towards this, Plan will enhance the capacity of the newly formed municipalities in the development and implementation of inclusive policies and evidence-based plans⁴². Plan will support the development of WASH monitoring mechanisms in cooperation with local ward and municipal representatives. A gender transformative WASH planning will be introduced, taking into account GESI outcomes, at ward/municipality level. Plan will support the establishment of WASH coordination committees at municipal level.

⁴² - Inclusive policies and plans refer to the involvement of decision making by women and marginalised people on sustainable WASH programming, budgeting and implementation.

During the second half of 2018, the following activities were done to move towards the vision:

- After the preparatory meeting in the inception phase, local government representatives participated in the planning process of the sub-programme and MoUs were prepared and signed. Opportunities for leverage in WASH activities at local level were further discussed and identified.
- WASH plans by municipalities were developed and discussed with partners.
- Training for WASH plans were prepared for with the local government representatives, who offered their support for the technical facilitation process, consisting of the formation of a technical committee responsible for the preparation and the hosting of workshops and the collection of information and documentation.
- Plan facilitated exchanges on the importance of participation of girls, women and marginalised people during orientation sessions with two of the municipalities.
- Plan supported the design of monitoring tools for a well-functioning monitoring system and a template which can be applied from local (field level) to municipality level. Learnings were gathered and shared with local government as input for the next year's planning process.

4.2.3 Approach to sustainability

Memorandums of Understanding were shared and discussed in detail with the 12 municipalities, focusing on roles and responsibilities of the implementing partner organisations of the sub-programme, Plan International Nepal and the local governments.

Sustainability and its mandatory clauses from DGIS were discussed extensively with local government representatives, who agreed to incorporate it as a key clause in the MoU. One example is the case of the Dharan Sub-Metropolitan City where the mayor, and other government representatives, were impressed by the vision of the sub-programme which resulted in the signing of the tri-partite MoU for effective implementation of the WASH SDG sub-programme, ensuring sustainability of WASH services in the communities of Dharan Sub-Metropolitan City. Apart from signing the MoU, the mayor expressed willingness to work together for developing a monitoring system and formulating WASH plans at a sub-metropolitan level and committed to increasing the budget in the WASH sector during next fiscal year's planning process at the ward and sub-metropolitan levels.

4.2.4 Risks and mitigation

Initially there was a lack of expertise and ownership from the local, newly installed government, which considered it a risk with medium impact. In order to mitigate this risk, Plan established frequent coordination meetings with the local government since the inception phase. The municipalities have shown genuine interest in working together, which was visualised through the signing of the MoU, leading to a decrease in perceived risk.

4.3 Nepal WASH Alliance sub-programme

4.3.1 Overview of progress

The inception phase was concluded according to plan in 2018 with the completion of the baseline survey, the cross-cutting GESI and CVR assessments and the two pilot studies on integrated water resources management (IWRM) and business/finance respectively.



In the implementation phase that followed, most activities consisted of planning and preparation. The approval process from the social welfare council (SWC) and municipalities was initiated, sub-contracting negotiations and arrangements with local implementing partners were completed and programme staff was recruited. Detailed implementation plans and budgets for the first phase of the programme were being drafted by the local partners, supported by the resident country coordinator of the sub-programme.

Although some programme activities were done in the implementation phase, such as the kick-off workshop, awareness raising in local government and performing a survey for a city-wide sanitation plan for Kohalpur, the sub-programme was off track by the end of 2018. This was mainly caused by sub-contracting of the local partner organisations and the negotiations proving more complex and therefore more extended than was expected. Also, the recruitment of qualified staff by local partners also created delays in the implementation of the programme, which was also affected by the numerous changes in key management positions in the WAI lead, like that of programme manager and country coordinator. Finally, approval from the Social Welfare Council took longer than anticipated.

At the time of this report, however, all vacancies have been filled. Partners have deployed their teams to the field and reviewed their work plans. It is therefore expected that no further delays will be encountered.

4.3.2 Narrative on results against plan at sub-programme level Inception phase (January to June 2018)

In addition to the inception phase activities reported in the annual report of 2017, the baseline assessment was performed in January 2018. This included a household survey, consisting of 1,069 interviews and school and health centre surveys. Key informant interviews (KIIs) were conducted to get qualitative information about the current WASH system, in terms of policies, market and the availability of loans. Random sampling methods were applied, and for data collection Akvo FLOW was used⁴³; the baseline enumerators were trained by Akvo during a workshop in Kohalpur in January 2018.

Cross-cutting GESI and CVR assessments were undertaken to provide contextual information on the area. The GESI study consisted of a literature review, over 20 focused group discussions and key informant interviews in urban and rural settings in Banke and Surkhet.

Two pilots were done:

1. A WUMP (water use management plan) pilot was performed and the results discussed in a workshop with the local partner organisations in May 2018. WUMP is a process for inclusive and integrated water planning.⁴⁴
2. A business and finance study was performed to assess business opportunities in WASH and discussed with partners during a workshop in April.⁴⁵ The latter proved an important input to the diamond model multi-stakeholder approach to WASH, which is taken on board during the implementation phase. These various assessments, together with the ToC provided input for the inception report and the implementation plan.

Two local partner organisations were contracted to implement the sub-programme in Nepal. ENPHO in Banke district and Lumanti in Surkhet district. Further sub-contracting of four other partners was done through these two lead partners. Friend service council Nepal (FSCN) was selected to carry out the activities related to GESI and disaster risk reduction (DRR), the federation of water sanitation and hygiene coordination committees (FEDWASAN) was selected to carry out the activities related to advocacy and lobbying on the right to WASH, Biogas support program (BSP) was selected to carry out the activities related to Biogas promotion and rainwater harvesting.

From the Dutch WAI partners, Simavi is the lead implementing partner and besides managing and coordinating the programme will also be providing capacity strengthening support on demand-creation, GESI and WASH governance. RUAF will be providing technical support on productive use and liquid wastes, composting, urine, biogas, multi-stakeholder approaches and integrated school WASH. WASTE will support the set up and management of the guarantee fund, technical and financial sustainability of sanitation services including FSM and solid waste, design and implementation of service level agreements. Akvo will provide support for reporting and monitoring purposes. PRACTICA will provide support in managing water supply schemes, WASH and technical innovations, support informal WASH service providers and FSM. RAIN will provide support in community based IWRM, create awareness for water buffering, support in building environmental sustainable WASH and climate change resilience facilities and services, capacity building of local municipalities and WASH in schools.

⁴³ – Akvo FLOW is a technology that uses smartphones to gather reliable, geographically referenced data that can be used straight away.

⁴⁴ – More information on this pilot can be found in the report: Integrating water resource management planning at a local level by Aideenvironment/Helvetas.

⁴⁵ – More information on this pilot can be found in the report: Financial modality and business plan of WASH by Bishwa Karki.

Pathway 1: Improve behaviour change interventions

The bottleneck analysis presented in the Nepal Section 4 report (Jan, 2019) and the inception phase report both indicate that behavioural change is critical in generating the demand for WASH services, sustainability of these services and improvement in overall hygiene status of individuals, households, institutions and public places. Behavioural change activities are also crucial in managing service level expectations, addressing for example issues like the willingness to pay, without which sustainable services is not possible.

Based on these findings, **the vision of the sub-programme for this pathway** by the end of the programme is *to have made substantial progress towards attaining increased demand for and use of inclusive and sustainable WASH services. Communities will have the power and capacity to demand inclusive and sustainable WASH services and products from both private and public service providers. Their capacity to be actively involved in planning and decision making of WASH on household, community and local government level will be strengthened, as well as their capacity to hold the government to account. There will be increased participation of women and girls in decision making on WASH. The number of households that has invested in WASH facilities in their household or is contributing user fees to WASH services will have increased.* As the local partners will be closely working with the communities, the evaluations from the awareness raising and capacity-building activities will enable us to periodically monitor the progress on increasing capacities and participation of the population in WASH decision making.

The sub-programme is using two entry points for change, focusing first on raising awareness in the communities on the right to inclusive and sustainable WASH and then on the water and sanitation user committees (WSUC) to become and work more inclusive. This will be achieved through a series of mass community sensitisation and awareness campaigns as well as capacity building activities in communities and the WSUCs. These activities will trigger the importance of WASH, its structures and accelerate the community's understanding for the need of sustainable WASH facilities.

During the second half of 2018, the following activities were done to move towards the vision:

- ENPHO started to recruit and mobilise volunteers for the Community Led Total Sanitation (CLTS) campaigns in Bheriganga and Baharatal municipalities.

Pathway 2: Improve WASH service provision

The bottleneck analysis presented in the Nepal Section 4 report and the inception report both confirm that one of the main challenges in Nepal is the disparity in access and inequality in WASH services between urban and rural geographies, caste/ethnicities and potentially disadvantaged groups. One of the main bottlenecks being the lack of a sector financing strategy. However, there is an ambition in national policies to improve WASH service delivery, both in terms of number of people with access and in terms of service levels. The Consortium supports these priorities by adopting a perspective of service provision for all and building the

capacities of stakeholders to deliver area-wide services. From the supply side, cooperative and financial institutions as well as the private sector are supported to develop WASH products that are accessible and affordable.

Based on these findings, **the vision of the sub-programme for this pathway** by the end of the programme, *is to have improved the performance of private businesses in WASH, in the delivery of sustainable and inclusive WASH services. This vision refers to increased outreach and suitability for WASH products and services for all consumers, especially those at the bottom of the pyramid.* As a result, sales of WASH businesses in the intervention area will have increased as is the uptake of loans for WASH facilities by households. This will be reached by increasing the willingness and ability of households to pay for household facilities through monthly tariffs or buying them through loans or savings. It also includes the interest and preparedness of entrepreneurs to invest in offering quality, affordable and inclusive WASH services and facilities and that of financing institutions to provide loans to consumers to construct their own toilet or water facilities. Municipalities will invest sufficient budget to attract private sector investment (blended finance) and provide WASH facilities in institutions and public places. The number of entrepreneurs active in WASH services and the uptake of loans by consumers are some of the indicators that will be monitored in this pathway during the project.

In order to make progress towards this, the sub-programme is using a multi-stakeholder approach, called the diamond model⁴⁶, strengthening the government as a provider of policies, banks and financial institutions as loan providers, entrepreneurs as business developers and linking the communities that are interested in WASH to companies, supporting the development of new technologies and the whole WASH service chain.

Inclusive access to and use of WASH facilities will be promoted in this pathway by focusing on identification and training of female WASH entrepreneurs.

During the second half of 2018, the following activities were done to move towards the vision:

- A kick-off workshop was organised in October in Surkhet. Participants included the key stakeholders, including local elected representatives (two mayors and all deputy mayors), representatives from local financing institutions, entrepreneurs, private companies, social enterprises, water and sanitation users committees, representatives of the district coordination office, and WAI partners from Nepal and WASTE, Netherlands. During this workshop, training on the diamond approach was done as a first step toward sensitisation of especially government authorities on their roles and responsibilities in providing WASH services after the restructuring of the local administration in Nepal.

⁴⁶ – The diamond model is based on a multi-stakeholder approach to WASH where four types of key actors need to work together to achieve a common goal. This requires that: 1) Government implements and improves laws and regulations on sanitation standards; and government stimulates bottom of pyramid sanitation market growth and public private partnerships for improved sanitation. 2) Demand is created through behavior change in communities through sanitation marketing and promotion of hygienic behavior; 3) Finance sector develops and issues financial WASH products; 4) Business sector offers cost effective, new and improved products and services for WASH.

Pathway 3: Strengthen WASH governance and institutional framework

Fragmented policy and institutional set up and weak capacities in the WASH sector were identified as major issues in the bottleneck analysis. Gaps were identified in both urban and rural municipalities in terms of (1) evidence-based and GESI WASH planning, as well as (2) the enabling environment for the WASH private sector.

Supporting the restructured rural and urban municipalities in taking over the role of ensuring WASH services was identified in the inception report as a key building block for the WASH SDG programme.

Based on these findings, **the vision of the sub-programme for this pathway** is that by the end of the programme, *local government facilitates the inclusive and equitable access to WASH services with involvement of the private sector⁴⁷. This vision will be reached when the local government creates rules and regulations on inclusive and sustainable WASH delivery, in line with existing national policies.* This can be monitored for instance by the existence of inclusive WASH plans. *Local government will have increased its budget for inclusive and sustainable WASH services (5% yearly), sufficient for O&M and capital expenditure.* To achieve this, local authorities will be cooperating with the private sector by improving WASH financing mechanisms like PPP and blended finance.

In order to make progress towards this, the sub-programme will focus on: 1) building the capacity of the local government to ensure water security and climate resilience inclusive WASH facilities and services; 2) supporting the local government in establishing WASH sections, developing and revising regulations and policies and enforcing regulations; 3) empowering communities to lobby and express their demand for inclusive WASH services, and to hold government accountable, for instance, for budget tracking; 4) supporting the local government in attracting the private sector to invest in WASH; 5) supporting the local government in the facilitation of multi-stakeholder dialogues. Progress can be tracked by following up and reporting on budget allocations, investments and development of policies.

During the second half of 2018, the following activities were done to move towards the vision:

- Municipal WASH coordination committees were established in Kohalpur and Baijanath municipalities after meetings of lead partner Lumanti with the municipality.
- A survey for preparing a city-wide sanitation plan (CSP) was initiated by lead partner Lumanti in Kohalpur municipality. The elaboration of this plan is done by a consultancy group, consisting of 500B Solutions and Eawag-Sandec, Switzerland. The WAI programme has established linkages with the city-wide sanitation plan because it provides an opportunity to link up the programme activities with the official WASH planning process in Kohalpur and make it more resilient and inclusive. This plan will eventually include a strategy for the management of solid waste and sludge with a vision to create a healthy environment for the city.

⁴⁷ – Local government counterparts are: Barahatal rural municipality, Bheriganga municipality, Baijanath rural municipality and Kohalpur municipality.

4.3.3 Approach to sustainability

The sustainability compact had been discussed with municipalities (mayors) but had not been formalised at the end of the reporting period because Simavi cannot be a signing party as it is not registered as an NGO in Nepal. There are, however, bilateral agreements between the two lead local partners and the municipalities. How to involve Simavi as lead organisation, not formally registered in Nepal, in this is still being explored at the time of writing.

4.3.4 Risks and mitigation

A new risk is that the large number of implementing partners involved may compromise efficiency and effectiveness of the sub-programme. This risk is currently mitigated by the appointment of lead partners. The performance of these lead partners will be monitored closely.

The in-country partners have limited experience on WASH financing, business and leverage issues, which are key elements in pathway targets for WASH private sector improvement and (especially) financial sustainability. This may delay the progress on pathway 2. There is a need to enhance the capacity of partners early on in the programme as was initiated in 2018 with the introduction of the diamond approach during the kick-off workshop in 2018.

4.4 Country-level updates

4.4.1 Monitoring, evaluation and learning

The WASH SDG Consortium in Nepal prioritised the learning topics as follows:

- Strengthening local bodies in effective WASH service delivery (including WASH financing).
- Capacity building for the establishment of WASH monitoring by the local authorities.
- GESI: PLAN is focusing on gender transformative programming by developing women entrepreneurship in WASH and applying the gender and WASH monitoring tools (GWMT) It can be used for learning among the country team.



Since all sub-programmes were focused on completing the inception phase and setting up their programmes, no specific progress has been made on the learning agendas. However, during the quarterly meetings, as well as in informal communication, continuous information has been exchanged about the developments in WASH monitoring systems and the new roles of local bodies.

4.4.2 Country programme management and coordination

During the reporting period, the Consortium partners participated in national platforms that facilitate learning and coordination. All three partners participated in various meetings of the national sanitation and hygiene coordination committee, MHM partnership alliance, and/or global celebration days (MHM, World Toilet Day, Global Handwashing Day).

In December, the organogram of the restructured Ministry of Water Supply and Department of Water Supply and Sewerage Management (DWSSM) was announced and people appointed to the key leadership positions (the rest of the staff are not yet allocated). Following the restructuring, representatives from SNV Nepal, Plan International and the WAI held an introduction meeting with the new DWSSM leadership in mid-December. First a brief overview was presented to the director general. This was followed by a meeting with the deputy director general and selected division chiefs.

Within the Consortium, meetings were held quarterly during the year to share the processes and deliverables to be completed during the inception update, share experiences on the sustainability compact and prepare for the meeting with the DWSSM on the progress in each of the sub-programmes.

5. Tanzania



Source: SNV (Tanzania)

5.1 Arusha Shinyanga urban sanitation sub-programme

5.1.1 Overview of progress

The Arusha Shinyanga urban sanitation sub-programme is a city-wide programme in Arusha (535,084 people) and Shinyanga (188,983 people). Overall the sub-programme is on track with anticipated activities and results for 2018. In the first part of the year, the inception phase activities were completed, while the second part of the year, the foundations were laid for an evidence based intervention: a tri-partite MoU between council, utility and SNV, joint planning and further assessments. Good coordination has been established at the level of the Consortium in Tanzania, as well as with WaterWorX who is active in one of the cities of this sub-programme.

Considerable time has been invested in the relation and collaboration with the city council departments and utilities as primary partners in the two cities. This investment is considered crucial to the longer-term sustainability of the programme by embedding changes and improvements within the institutions themselves.



Source: SNV (Tanzania)

5.1.2 Narrative on results against plan at sub-programme level

Inception phase (January to June 2018)

A desk review of key WASH sector policies, strategies and dialogue platforms was done at the start of the inception to assess gaps and areas of alignment for the WASH SDG programme. After this a stakeholder analysis was jointly conducted with strategic partners to identify key actors and potential partners in planning and implementing this programme, and is continuously being refined to strengthen coordination and collaboration. Based on this, the decision to focus the programme on urban sanitation was re-confirmed, considering the investment of other stakeholders in water supply⁴⁸.

The sustainability compact analysis was done at a national level. In terms of the sustainability compacts, while relations with local stakeholders were developed, the initial agreement only covered the inception phase, and it took a long time, through the involvement of different levels, to reach an agreement. This was only achieved after the inception phase when the compacts were finally signed.

A detailed baseline study was conducted between January and April 2018, which included three surveys in Akvo FLOW as well as key informant interviews and FGDs. The samples for households, schools and health facilities were respectively 3,468 households, 168 schools and 54 health facilities. The baseline also measured 18 outcome indicators, including the nine agreed consortium outcome indicators. Also, GESI and CVR assessments were conducted, both pointing to key issues to be taken up in the programme. The different studies provided the basis for identifying and implementing interventions in each city, aiming for systemic change. Numerous workshops/field visits with key partners from both the national and sub-national level were organised throughout the inception phase culminating in a multi-stakeholder learning event (June 2018) that took stock of the baseline findings and outlined the way forward. Discussions with key development partners, including the Dutch embassy and Vitens-Evides International (VEI) also shaped the programme. The results and related content of these processes and activities were summarised in the country inception report sent to DGIS in July 2018.

Pathway 1: Improve behaviour change interventions

The findings during the inception phase showed that a number of behaviours of users, as well as service providers, are most likely limiting progress towards universal use of safely managed sanitation and hygiene. These include low awareness and progress⁴⁹ on basic hygiene behaviours (including handwashing at critical times); direct connection of toilets to open drains; dumping of solid waste in pits; illegal dumping of sludge in the environment; unsafe practices by sanitation workers; low awareness about safety of and willingness to pay for emptying services and/or public toilets.

⁴⁸ - In the two urban centres of Arusha and Shinyanga in Tanzania, the access to basic water supply is 59%. And 38% of the city population has limited access to water supply due to the use of public taps. Access to basic sanitation or above is 53%. (Baseline report, 2018)

⁴⁹ - The national sanitation campaign does prioritise building toilets and handwashing with soap within their activities, but so far the progress on handwashing has been limited.

Yet local capacity for evidence-based urban behavioural change interventions is low. In Arusha, a number of city council departments are involved in behavioural change interventions, this includes the health department, sanitation and environment, engineering, water department and community development department. In Shinyanga, the municipal health department is the lead agency for sanitation-related BCC interventions. So far in Tanzania, behavioural change interventions have been centred in the rural areas. Though the second water sector development programme (WSDPII) is now also addressing urban settings. The focus remains on hand hygiene and toilet use. The sub-programme links closely to these national interventions, aligning with the national sanitation campaign and contributing to it.

The vision of the sub-programme for this pathway by the end of the programme is to broaden the scope of urban behavioural change interventions from toilet use and handwashing to include behaviours around on-site sanitation practices at different stages of the sanitation service chain. Furthermore, the sub-programme aims to build capacity of the two city councils and utilities, to develop evidence based behavioural change interventions for their area.

In order to make progress towards this, city authorities need to expand their understanding of behaviour change required to move towards safely managed sanitation (SDG 6) that goes beyond their existing work focused mainly on eliminating open defecation and improving handwashing practices. By focusing on behaviours that affect containment, emptying, transport and treatment, not just capture, the programme is steering city authorities to tackle issues and behaviours throughout the sanitation service chain that are crucial to urban environments. This will be done through training and research, among others.

During the second half of 2018, the following activities were done to move towards that vision:

- Review of behaviours emerging from the baseline assessment and joint selection process with key partners to identify the two priority urban sanitation behaviours the programme should support the local authorities to tackle: (i) unsafe and untimely emptying practices; and (ii) throwing solid waste into pits, including MHM products
- Formative research on both behaviours was conducted, following SNV-led training sessions (using the SaniFOAM framework), through the city council health and community officers, that aimed to gain knowledge on the behaviour determinants (barriers, drivers, motivations, opportunities and abilities) in Arusha and Shinyanga that affect behaviour adoption (specific attention was given to low income areas, and separate FGDs were done with women's groups, men's groups, and school children to consider GESI-related determinants).

Pathway 2: Improve WASH service provision

The two programme towns are different in size and at different stages in terms of sanitation services (e.g. while Arusha currently has sewerage and a treatment plant, Shinyanga does not), so needs are not the same. Both towns do have an established utility and upcoming large scale infrastructure investment (Arusha – moving from seven to 30% of the population by 2020; Shinyanga – designing/constructing sewer network). Baseline findings showed that

while sewer in Arusha is medium priced for the two lowest wealth quintiles, on-site sanitation services are not affordable. Progress towards financial sustainability for both sewer and on-site sanitation services was basic, nearly covering O&M, but not asset replacement. However, timely maintenance and OHS for workers is well below benchmark. Also, the baseline found services around toilet construction as well as public toilet management to be largely low quality. Treatment capacity is insufficient, in particular for on-site, however, investments are centred on sewer.

The vision of the sub-programme for this pathway by the end of the programme is to have made substantial progress towards professional affordable city-wide services for residential, educational and health care premises, as well as in main public places⁵⁰. This includes the services along the sanitation value chain as well as treatment capacity (both immediate treatment capacity as well as longer term plans). Professional services should be financially viable, have regular maintenance and have protocols that ensure worker safety (OHS). In order to make progress towards this, the programme is using several entry points for change, focusing mainly on the on-site value chain, but also aiming to influence some of the choices made in the infrastructure investment and larger management models⁵¹. The entry points include an on-site sanitation upgrading (including climate resilient latrine options), improving emptiers' OHS practices and tools, investing in efficiently managed public toilet models, and developing phase one treatment options⁵² that complement larger sanitation infrastructure investments like sewerage connections.

During the second half of 2018, the following activities in both cities were done to move towards the vision:

- A **local masons database** was developed (using Akvo FLOW), and used to conduct a **capacity assessment** of their skill set, knowledge and equipment in relation to sanitation capture and containment construction.
- Building on the baseline results a detailed **field assessment of current latrine and containment technologies** was conducted to assess the main issues and weaknesses linked to their sustainability, quality, resilience to climate change and ease of emptying/desludging.
- An **action research** was conducted and findings shared on the reasons behind current poor **practices of sanitation workers** (mechanical and manual) and the existing gaps in service provider approaches that aim to limit exposure to the risks and hazards associated with handling sludge.

⁵⁰ – City-wide services means safely managed services for all four types of premises (domestic, educational, health and public) in the city's area. We are not suggesting that this will be achieved fully during the programme, but this is what we are building capacity for. Professional services means having the characteristics of a well-running basic service, as defined in KPIs of water utilities e.g. coverage, quality/continuity of service, billing, clear roles and responsibilities, sustainable cost-recovery, timely O&M, asset replacement, consumer attention, etc. The definitions of how this should look like will evolve in each of the countries, depending on how regulation develops and where the responsibilities will lie.

⁵¹ – The influence depends on the available evidence, relations and opportunities. The description of those processes goes beyond this report.

⁵² – Note, we speak of *phase one treatment options* to indicate that these options would be sized for an emerging emptying market. It is usually unwise to size the investment for a mature market at once.

- A **faecal sludge characteristics analysis study** was rolled out, collecting samples directly from different latrine types and from faecal sludge trucks that will feed into the selection of viable and effective faecal sludge treatment and re-use options.
- **Collaboration and exchange** was sought with the agencies planning to invest in infrastructure in the cities, however, timelines seem to be long.

Pathway 3: Strengthen WASH governance and institutional framework

In Arusha and Shinyanga, city master plans exist but there is limited focus on sanitation and hygiene. The responsibility for sewer lies with the utility, but the responsibility for on-site sanitation has not been fully defined, and tends to lie with the council⁵³. Multi-stakeholder coordination around sanitation in the two towns is limited, as is the capacity of the city council to steer progress in sanitation. Capacity for enforcement at user and service provider level was measured as incipient during the baseline. The city councils do have some understanding of the financial needs of sanitation services in the cities and some overview of life-span of assets in the city, but the scale of financial needs is unknown due to a lack of (reliable) data. City councils prioritised compliance of utilities with their mandate (service provision), rather than seeking sustainable services. This results in unrealistic tariff setting. Sanitation is included in municipal plans with specific budget lines for sanitation works within the municipality, but these remain largely under-funded and financial KPIs are not used (unless there is an external audit either from parliamentary committees or CAG (Controller and Auditors General) audit. Affordability is considered a barrier for sustainability, but the councils do not have a clear overview of which parts of the city face which affordability barriers, although they do aspire to have a pro-poor support strategy. Influence of vulnerable groups in decision making, as measured in the baseline, is limited.

The vision of the sub-programme for this pathway is that by the end of the programme *the process for planning and decision making should have a stronger evidence base and be more inclusive. The city councils are expected to have a leadership role in this and also have a stronger regulatory and oversight capacity.* This in turn, should contribute to an improved enabling environment, within which services and businesses are able to operate and ensure city-wide sanitation services are developed on the basis of sustainable full-cost recovery⁵⁴. In order to make progress towards this the programme and partners have much clearer vision of what it takes to implement a city-wide sustainable sanitation service delivery framework and how to capitalise on the data collected through national processes so that this feeds into and informs decision-making processes, supports evidence-based planning and budgeting, and reinforces regulation and compliance.

⁵³ – This situation is changing though, and it appears that we are in a bit of a transition period with services for on-site sanitation becoming a responsibility for utilities. During the Tanzanian Water Week 2019, the regulator (EWURA) reiterated that utilities will have FSM-related KPIs going forward.

⁵⁴ – ISF-UTS (2014), Financing sanitation for cities and towns: Learning Paper. Prepared for SNV Netherlands Development Organisation by the Institute for Sustainable Futures, University of Technology Sydney.

During the second half of 2018, these activities were done to move towards the vision:

- Detailed planning sessions with the sub-programme's primary stakeholders (namely the city councils and utilities) in each city were conducted, based on the inception phase assessments, resulting in jointly agreed action plans (detailed for 2019) and formalised in the drafting of tri-partite MoUs outlining roles and responsibilities.
- The initial steps of a sanitation mapping initiative were conducted via a partnership with a research institute (Nelson Mandela African Institution of Science and Technology), including a desk review of existing mapping work and a capacity assessment of local authorities' data and mapping skills and tools.
- A legal scan review of all urban sanitation legislation and enforcement mechanisms was conducted in both Arusha and Shinyanga, culminating in a final report and validation workshops in both cities with key stakeholders from councils and utilities. Commitments and follow-up actions are being taken up in 2019.
- National level coordination and relations in the WASH sector have been strengthened through participation in the WASH development partner group (DPG W) that brings together all the major WASH donor and NGO agencies in Tanzania, the national technical working group (TWG) on sanitation and hygiene (SNV is the DPG W co-lead on this TWG), and the Tanzanian WASH CSO network (TAWASANET). SNV also participates in the discussions on the national MHM stakeholders group. Hosting of a monitoring visit by representatives of the President's Office regional and local government (PoRALG), is planned for Q1 of 2019.

5.1.3 Approach to sustainability

The sustainability compact analysis revealed that in Tanzania regular monitoring activities are spread within different ministries and governments, who all have their different indicators for progress. Two new initiatives of web-based management information systems under the second national water sector development programme (WSDPII) will potentially help to align this, but a remaining gap is the quality and use of data. There is also a gap in the collection of data beyond basic coverage. For the Arusha Shinyanga sub-programme this means that monitoring capacity (in alignment with national initiatives) is high on the agenda.

The sub-programme is working in full collaboration with the key city stakeholders. A tripartite MoU between SNV, the city councils and the urban water supply and sanitation authorities (utilities) was jointly developed by the respective technical teams and then reviewed by the entities' legal officers. This MoU contains the following reference to the sustainability clause: *The Arusha city/Shinyanga municipal council and AUWSA/SHUWASA commit to report to the donor, DGIS, for a period of at least ten years after the programme, on the WASH service levels in the programme area.* The MoU represents an agreement that supports the commitment and sustainability of the interventions. In addition, SNV is supporting the strengthening of local authorities' monitoring systems with greater focus on data further along the sanitation service chain (not just on capture). These investments in local capacity are expected to contribute to a sustainable service delivery model for urban sanitation in the two towns.

5.1.4 Risks and mitigation

No additional risks identified beyond those mentioned in the inception report and in the outline year plan 2019 submitted in September (i.e. local elections are planned in Tanzania for the second half of 2019, followed by the national elections in 2020). It is anticipated that during election campaigns local government staff may be less available particularly during the latter part of 2019 and in the run-up to the national elections in 2020. The programme is developing annual work plans with city councils and utilities to mitigate this risk and intensify work with technical government representatives to minimise disruption to activities.

5.2 FINISH FORT sub-programme

5.2.1 Overview of progress

In 2018 the WAI (Amref lead) sub-programme in Serengeti started later than other sub-programmes and is also a smaller, two year programme within the WASH SDG Consortium programme.



Source: SNV (Tanzania)

By the end of 2018 the financial inclusion improves sanitation and health (FINISH) sub-programme was slightly off track especially on the supply side (linking SMEs with MFIs– and training of entrepreneurs). However the project is picking up pace following identification of a local partner by WASTE (responsible for implementing the finance and business elements of this sub-programme) by March 2019.

5.2.2 Narrative on results against plan at sub-programme level Inception phase (January to June 2018)

From January 2018 onwards, the focus in Tanzania was on a contextual analysis, analysis of the financial sector, a stakeholder analysis, various discussions with relevant stakeholders and it ended with a field visit and local workshop with relevant stakeholders. Because of the later start of the programme, a GESI assessment and climate assessment did not take place. A baseline assessment took place in September 2018.

As a result, the ToC was fine-tuned and finalised and the FINISH sub-programme further designed. Targets and objectives were agreed and WAI partners (WASTE) and local partners (HACH) were chosen to achieve the anticipated outcomes.

Several in-country meetings and workshops took place to get everyone on board and to strengthen the local networks. Focus was on linking with the key stakeholders, district and local government, communities, the financial sector and the private sector to be able to start implementation of the sub-programme as soon as possible after the inception phase.

The WASH SDG FINISH sub-programme will be implemented in the rural and peri-urban areas of Serengeti. WAI will focus on 11 wards within the district with a population of 87,500. Initially, the sub-programme started in six wards within the district, including Mugumu township. As Mugumu township is the town authority it was decided to include the wards close to Mugumu adding an additional five wards. The wards were chosen based on vicinity from Mugumu township, with peri-urban characteristics (high population density), availability of sanitation entrepreneurs (material suppliers), easily to reach by FIs (MFI, SACCOS, VICOBA etc.).

Pathway 1: Improve behaviour change interventions

The findings during start-up of the Serengeti sub-programme showed that both users of sanitation services, as well as capacity of service providers, are key challenges limiting progress towards universal use of safely managed sanitation and hygiene. These include low awareness and progress⁵⁵ on basic hygiene behaviours (including handwashing at critical times); social cultural barriers (investment in toilets is not a priority); high level of OD; low awareness about safety of and low willingness to pay for emptying services and/or public toilets; low local skills.

So far in Tanzania, behavioural change interventions have been centred around the rural areas. Though the WSDPII is now also addressing urban settings. The focus remains on hand hygiene and toilet use. The sub-programme links closely to these national interventions, aligning with the national sanitation campaign, and contributing to it. As such, the programme is embedded strongly within the Serengeti district plan.

Yet local capacity for behavioural change interventions is low. In Serengeti, the district health department is not only able to target BCC in all 30 wards each year. This hugely limits the intensity of CLTS messages reaching the rural (and peri-urban) communities.

The vision of the sub-programme for this pathway is that by the end of the programme (2020), *10,000 people (2,000 households) use and maintain safely managed sanitation facilities (in 11 wards in Serengeti district)*⁵⁶. To track annual progress, attention will be paid to the availability of, and cleanliness and quality of safely managed toilets and sanitation facilities that have been constructed/improved. This will be monitored on a monthly basis by community health workers (CHW) using Government of Tanzania monitoring sheets. These 10,000 people also demonstrate hygienic behaviour evidenced through handwashing with soap at critical times. This will be reported by the number of cases/percentages of disease associated with poor sanitation reported by health facilities.

In order to make progress towards the vision, the sub-programme will strengthen CHW skills to: 1) change the behaviour of people who live in the community so that people are aware of the importance of using an improved latrine and improved hygienic behaviour (evidenced by handwashing, using bathroom) by CLTS triggering, followed by sanitation marketing; and 2) increase their ability to link the community to the supply side actors (business and finance (see pathway 2). In all this, government is the provider of the enabling environment and demonstrates a proactive approach in applying the law where necessary, fines for not complying with sanitation standards or increasing its own CLTS approach [see strategic objective (SO) 3].

⁵⁵ – The national sanitation campaign does prioritise building toilets and handwashing with soap within their activities, but so far the progress on handwashing has been limited.

⁵⁶ – Six wards in rural area plus one Mugumu township with five wards totalling to 11 wards of the project area in Serengeti district.

In 2018 progress towards this vision was made in the following ways:

- In November 2018, in a one day meeting attended by 20 religious leaders (Muslims and Christians) the FINISH FORT sub-programme was introduced to promote improved sanitation through cultural and behavioural change to their believers. As a result, the leaders invited Amref to visit their churches for the purpose of educating people on improved sanitation.
- Two trainings were conducted with 40 CHWs. In September 2018, they were introduced to FINISH FORT and oriented on data collection for a baseline survey. During the second training the CHW learned about sanitation marketing, data collection and reporting. As a result, the CHW were able to collect data for the baseline survey in 11 wards and sanitation data at household level throughout the project.
- The CHWs are able to advocate for the importance of improved hygiene practices and having a toilet. In turn, the community has created demand and has been willing to pay for the construction of toilets at low cost through the FINISH FORT sub-programme. As a result, 164 toilets were improved from poor status by the end of 2018.

Pathway 2: Improve WASH service provision

Based on the bottleneck analysis presented in the Tanzania section 4 report (January 2019) and the inception phase findings, the sub-programme found that both demand and access to finance to improve service provision, as well as the number of entrepreneurs providing services and products especially in the rural wards, were very limited. However, both are key stakeholder groups in the diamond approach to increase WASH service provision.

Based on this, **the vision of the sub-programme for this pathway** is that by the end of the programme (2020) *local businesses offer a range of affordable and acceptable, products and services under the service and value chain for safely managed sanitation (an increase of 50% from baseline). This includes financial products (FIs) as well as sanitation products (toilets, building materials etc.).*

In order to make progress towards this vision the sub-programme will work towards: 1) improved sanitation facilities and services through increased capacity and performance of service providers e.g. improved linking skills of CHWs, local leaders building on demand creation in pathway 1 and supply side improvement under this pathway leading to improved technical skills of artisans and sanitation entrepreneurs (through continuous trainings and monthly monitoring visits); 2) establishment of financial partners for increased lending of sanitation funds for improved household sanitation facilities through sanitation entrepreneurship; and 3) development of safe excreta disposal (sanitary) products (quality, acceptability and affordability) and businesses within the target communities.

In 2018 progress towards this vision was made in following ways:

- In close collaboration with Amref Health Africa, a local implementing partner was recruited, local stakeholders engaged, and a strategic plan for FINISH FORT was developed

jointly. With regards to finding a local implementing partner for the inclusive finance and business component of this project, three local partners were recommended by AHA to WASTE who selected a local partner (HACH) through a thorough selection process in November 2018.

- One 'diamond workshop' was conducted, attended by MFIs, government and local NGOs. Also in cooperation with Water.org, the WAI partners engaged with several financial institutions, which unfortunately at the end were deemed unsuitable for the programme. Mapping and identification of potential partner FMIs is ongoing.
- Twenty nine staff from financial institutions, entrepreneurs, district government and the Amref team attended a meeting regarding the financial opportunities available. Discussions about the best ways to explore these opportunities related to the construction of toilets and other business ventures were held.
- A community participatory consultative meeting with the aim of training artisans to develop and pre-test sanitation prototypes was conducted (December 2018) to develop a technological option for toilets to be used in Serengeti, different stakeholders were involved in the meeting, three health officers, three artisans, three CHWs, representatives from men (three people) and from women's groups (three people) in the community and two representatives of religious leaders.

Pathway 3: Strengthen WASH governance and institutional framework

Main issues relating to WASH sector governance and institutional arrangements in Tanzania include relatively weak sanitation planning and stakeholder coordination mechanisms at the sub-national levels, limited use of data to guide planning and decision making (despite data collection and management improvements such as the web based national sanitation and hygiene management information system (NSMIS), limitations with the sanitation legislation that exists at the national level but not adequately incorporated into by-laws at sub-national level. In Serengeti district there was a budget cut in the WASH budget by 27% from 2017/18 and again less budget for 18/19.

The vision of the sub-programme for this pathway is that by the end of the programme (2020) *local government has increased its allocation, and spends budget for sanitation*. In order to make progress towards this the sub-programme will be engaging district and (local) ward government so that the government actors understand and are committed to the FINISH approach and have the capacity and willingness to execute their responsibilities, as happens through budget tracking. In this sub-programme WAI strengthens WASH governance and institutional frameworks in managing and regulating (peri-urban and) rural sanitation services.

In 2018 progress towards this vision was made in the following ways:

- In October 2018, 105 participants attended an introductory meeting including local government leaders (departments for community development, health, cooperative), representatives from financial institutions (banks CRDB, NMB and SACCOS),

representatives from WASTE and staff from Amref Tanzania and Kenya. The Serengeti district commission (DC), Mr. Nurdin Babu DC in the presence of the district executive director, assured the district full support to the project in meeting its objectives.

- During the launch ceremony the partnership agreement (MoU) between Amref Health Africa in Tanzania and Serengeti district council was signed between Dr Aisa Muya (head of programmes for Amref Health Africa in Tanzania) and Eng. Juma Hamsin (the district executive director ((DED)).
- During this meeting, all ward executive officers (from 11 participating wards), signed commitment agreements before the DED to end open defecation in their wards and make sure that every household has a toilet by 31 December, 2018 (though this was recognised as being overambitious). The DC and DED urged people in Serengeti to work with Amref and use Amref's existence as an opportunity to improve the sanitation status at their households' level.

5.2.3 Approach to sustainability

The FINISH FORT sub-programme which is implemented in Serengeti district is likely to be sustainable long term since it is being well institutionalised in the community and in the government system. The sub-programme is also linked with self-financed systems (no subsidies) and environmental integrity.

In October 2018, the sub-programme signed a one year MoU between Amref Health Africa in Tanzania and the government (Serengeti district council) for the programme implementation. A new MoU including the sustainability compact is now under discussion. The MoU includes the full programme, including the activities and responsibilities from the partners that are implementing the programme and also agree on what we expect from the district local government (also in terms of aligning with existing government programmes and achieving the government leverage). The programme further uses the FIETS sustainability approach.

During the programme period, the WAI sub-programme will do the sustainability checks together with the local government (they have already participated in the baseline), aligned with their own monitoring cycle. The focus will be on building the capacity of the district local government to appreciate and value the importance of the sustainability checks, but also to ensure that they can continue with this after the programme has ended.

5.2.4 Risks and mitigation

New risks have not been identified in this phase of the project, however the risk already identified (willingness to pay for sanitation as people have other priorities than sanitation) is being reviewed based on the baseline findings that *based on distribution of monthly income among different households there is an indication that the majority (74%) of household members have a monthly income below USD \$45 with very few family members earning above USD \$230 a month (1%)*. We will validate these findings at household level and at local administration offices to ensure the amount mentioned by households was not purposefully

underestimated with the idea that the project may provide the necessary support to compensate for this (through a subsidy). If indeed household income is as found, the findings confirm that the project is at risk with regards to the willingness and ability to pay. If mitigation is needed depending on the outcome of our research, the project will select communities with clear sanitation needs to work on awareness campaigns, and start in communities with low hanging fruit.

5.3 Country-level updates

5.3.1 Monitoring, evaluation and learning

Based on the baseline outcomes of the two sub-programmes, the WASH SDG Consortium in Tanzania prioritised the following learning themes:

- Gender and social inclusion in WASH, particularly in relation to menstrual hygiene management issues and the participation and influence of vulnerable groups in WASH decisions and plans.
- Climate vulnerability and resilience in relation to sanitation infrastructure vulnerability and appropriate adaptation and mitigation measures.
- Behaviour change and communications, particularly in relation to effective tools and messages tailored to the complexities of the urban sanitation and hygiene context.
- Use of geographical information systems and mapping for improving decision making on improving sanitation and hygiene interventions.



The first two themes have been initiated as part of the inception phase studies carried out by each of the partners. Results have been shared in the different events and meetings at country level, as well as during the AfricaSan 5 meeting. As GESI is also a global learning theme for the WASH SDG Consortium for which next steps are defined, no further steps have been taken other than the integration of GESI activities in programming.

A key lesson from this research is that Tanzania's approaches to sanitation and hygiene are heavily grounded in their experiences of rural context interventions, and therefore urban research contributions are helping stakeholders better understand the complexities and uniqueness of urban settings which inform more suitable implementation decisions.

5.3.2 Country programme management and coordination

As the different members of the WASH SDG Consortium in Tanzania are operating and living in different places, the face-to-face Consortium meetings are linked to relevant activities and organised on a needs basis. For example, Simavi attended the SNV learning event in June 2018, Amref attended the BCC formative research workshop in November 2018. Also, the partners coordinate around their participation in national level stakeholders meetings. In addition to this, SNV coordinates with the WaterWorX programme (Vitens Evides International). Regular meetings take place with the Dutch team leader in Mwanza, most recently around the Tanzanian annual water conference 2018 (AWAC). In Arusha, a Dutch expert from VEI is expected at the end of quarter 1 of 2019, currently coordination takes place with the local team.

The Consortium met with the Dutch ambassador, deputy head of mission and other staff to present the WASH SDG programme in March 2018. The EKN has also been invited to events (though they sent apologies).

6. Uganda

Source: Plan (Uganda)

6.1 Uganda WASH Alliance sub-programme

6.1.1 Overview of progress

In 2018, the Uganda WASH Alliance sub-programme (Agago district) finalised the inception phase with the development of a detailed implementation plan for the first two years of the implementation phase (for the period July 2018 – June 2020). This was developed based on the sub-programme ToC, baseline assessment, GESI assessment and CVR assessment. Based on the implementation plan, Dutch and local WAI partners have been contracted by Simavi.

The implementation phase started in July 2018 and at the end of the reporting period was on track. Key achievements during the early stage of implementation were the signing of an MoU with Agago district local government that includes an agreement on the sustainability compact and the sub-programme launch event organised in Agago district in August. After this, the WAI partners started implementation of the programme focusing on inception meetings and first engagements with the district local government, selected communities, entrepreneurs and other key stakeholders.



6.1.2 Narrative on results against plan at sub-programme level

Inception phase (January to June 2018)

In the first semester of 2018, the sub-programme focused on critical inception activities like the development of a contextualised implementation plan. The baseline assessment was done in January 2018 and included both a quantitative survey conducted at over 913 randomly sampled households, and qualitative interviews with local key informants (e.g. local government representatives, entrepreneurs, community groups). The baseline assessment also covered 45 schools and 14 health centres. In-depth GESI and CVR assessments were undertaken to provide context information on the intervention area: Agago district.

Two pilots were done during the inception phase: (1) the bio-rights pilot focused on providing micro-credits for sustainable development and was conducted with the Bedkigen village savings and loans associations (VSLA) and farmers group. The Bedkigen VSLA and farmers group planned the activities and determined expected results, an implementation guide, signed a contract and received the bio-rights grant; (2) the Acholi wetlands pilot that tested the viability of small-scale green infrastructure to improve water security. This pilot showed promising results that the sub-programme will build on in the implementation phase.

At the ToC validation workshop the various assessments, together with the ToC provided input for the WAI partners to reflect on the implications for the programme design. Following this, the implementation plan was developed and the roles of the different Dutch and local WAI partners were assigned based on their added value (in terms of expertise, track record, local network and interest) towards the programme⁵⁷.

During the inception phase the Uganda WASH Alliance sub-programme involved local and regional government representatives in key activities to get their input and to align the programme with existing government initiatives. Together with those representatives, a first brainstorm on learning themes has been conducted. This will be taken up by the sub-programme during implementation. Lastly, the sub-programme coordinated closely with Agago district local government. An MoU with Agago district local government including the sustainability compact has been developed during the inception phase and signed at the beginning of the implementation phase.

The results and related content of these processes and activities were summarised in the country inception report sent to DGIS in July 2018.

⁵⁷ – The Uganda WASH Alliance sub-programme will be implemented by the following local partners: Agency for Sustainable Rural Transformation (AFSRT), Amref Health Africa – Uganda, Health through Water and Sanitation (HEWASA), Joint Effort to Save the Environment (JESE), RAIN Uganda, Network for Water and Sanitation Uganda (NETWAS Uganda) and Water and Sanitation Entrepreneurs Association (WASEU). The local partners will be supported by the following Dutch WAI partners: Simavi, Amref, Akvo, RAIN, RUAF, IRC and Practica.

⁵⁸ – See the bottleneck analysis presented in the Uganda section 4 report (January 2019) and the inception report.

Pathway 1: Improve behaviour change interventions

The findings during the inception phase showed that Agago district is far from reaching universal use of basic water, sanitation and hygiene. There are several sustainability challenges linked to behaviour change and the community level that are hampering this such as lack of funds for operation and maintenance of WASH facilities in the communities; lack of participation of community members in decision making; and climate change resulting in changing weather patterns that are influencing the availability of water⁵⁸. Also, capacity to implement behavioural change interventions is low at district level. All these challenges combined ask for behavioural change interventions that focus on integrated WASH.

The vision of the sub-programme for this pathway is that by the end of the programme, *community members living in the intervention area, including girls, women and socially excluded groups will live in a clean and hygienic environment. This is possible when all community members have access to, and make use of, sustainable WASH products and services (link with pathway 2). This includes community members have knowledge about the importance of WASH and are able to prioritise WASH within their households.*

In order to make progress towards this vision, the sub-programme will use several entry points for change, influencing community members to improve hygienic and safe sanitation practices⁵⁹, including MHM, through various proven demand-creation approaches⁶⁰ (adapted to the local context). The influencing channels of the sub-programme will work through the identified relevant key stakeholders like community leaders, community health workers and religious leaders. There will be a specific focus on reaching women and socially excluded groups in order for them to be aware about their WASH needs and rights and for them to be able to demand inclusive and sustainable WASH products and services.

During the second half of 2018, the following activities were done to move towards the vision:

- Community leaders of four sub-counties were trained in implementing inclusive demand-creation strategies. They also received training on the use of sanitation performance monitoring tools. From these training, community leaders have been able to do CLTS triggering in 30 villages to create demand for sanitation and hygiene facilities. As a result, construction of new latrines and handwashing facilities was taking place by the end of the reporting period.
- Currently, in all of the ten targeted sub-counties, community members have developed joint sanitation action plans with input from community leaders and lower level local government representatives. The process is geared towards achieving open defecation free communities and creating demand for sanitation and hygiene products and services that will allow these communities to climb the sanitation ladder. There is increased

⁵⁹ – Although sanitation is defined as interventions that improve the management of excreta, often the current sanitation services are not yet fully hygienic (clean) and safe (prevent/no contamination) throughout the sanitation chain from collection to re-use or disposal.

⁶⁰ – An approach to ensure that end-users have motivation, opportunity and ability to invest in a WASH system which suits their needs and aspirations. The sub-programme will use existing demand-creation approaches such as CLTS, PHAST, CASHE and sanitation marketing.

awareness for the need for inclusiveness in WASH service provision, e.g. community leaders are demanding gender representativeness in community committees because of the training mentioned above. Involvement of district and sub-county officials is also there and is helping to achieve this (link with pathway 3).

- Awareness meetings have been organised for the communities of Omot and Wol sub-counties where the modular water system⁶¹ will be piloted. The targeted communities have shown willingness to pay for WASH services. Discussions are ongoing on tariff setting to strike a balance on how much the community can pay and how much the entrepreneur needs to have a business case to run the system effectively.

Pathway 2: Improve WASH service provision

The inception phase showed the lack of a functioning WASH market in Agago district. There are a limited number of entrepreneurs present and there is a lack of an enabling environment in which WASH business can flourish and where entrepreneurs have the right knowledge on different WASH technologies⁶². There are even fewer women entrepreneurs because they face barriers in starting a business (e.g. in access to finance and land). Also, there are parts of Agago district that have particular environmental challenges, such as rocks that make it difficult to dig a hole for a latrine or a borehole. There is also a lack of data on WASH service provision and coverage which makes it difficult for the government to plan for public WASH service delivery.

The vision of the sub-programme for this pathway by the end of the programme is to have a functional WASH market⁶³ at district level, where WASH service providers offer inclusive, affordable, innovative climate resilient products and services. This includes the presence of various type of entrepreneurs (including women) which have the basic skills (technical and business management) to have a sustainable business and to provide the WASH products and services that are needed within the intervention area. There will be WASH related finance products available for entrepreneurs and households to invest in their business or WASH facilities respectively.

In order to make progress towards this vision, the sub-programme will use several entry points for change, focusing mainly on creating a vibrant WASH market and supply chain, but will also aim to influence some of the choices made by households and by the local government on WASH technologies. The entry points include a business hub/technology centre where entrepreneurs and customers can be linked, training of entrepreneurs on business skills and appropriate technologies, and working with financial institutions on a WASH loan product.

⁶¹ – The modular water system is an innovative technical design that upgrades existing handpumps to low-cost and scalable solar powered mini-grids – termed modular building. The modular building design is based on a business case approach that involves standalone modules. Modular building represents a step-wise approach to higher service levels: from a handpump to stand posts and household connections.

⁶² – See the bottleneck analysis presented in the Uganda section 4 report (January 2019) and the inception report.

⁶³ – A functional WASH market is a system in which the people who demand (need or seek to purchase) a WASH service and the people (or business or organisation) that provide or offer a WASH service are brought together and this demand and supply are aligned to each other.

Women entrepreneurs will be coached in order for them to flourish as well in the WASH market as they face additional barriers to starting a WASH business compared to men. In terms of influencing channels, the focus will be on WASH services and products around MHM. The diamond model⁶⁴ will be used to facilitate the WASH market in Agago district.

During the second half of 2018, the following activities were done to move towards the vision:

- Key market studies were carried out to understand the existing WASH market in Agago district. The studies included the supply chain analysis study, identifying and profiling of enterprises, waste stream analysis and the conducting of business health checks. The information from the key market studies allowed for detailed planning to ensure adequate support to the WASH market in Agago district.
- A total of 211 entrepreneurs have been identified and profiled according to their businesses potential. This allowed for detailed planning of the training for the profiled entrepreneurs, masons, fabricators, public toilet managers, pit-emptiers and training on waste reuse.
- Twenty promising women entrepreneurs with active WASH businesses, or with a potential to start WASH businesses, have been selected and specific interventions are planned to support them in offering high quality WASH services and products.
- To explore the possibility of developing a WASH financial product, one-on-one engagement meetings have been conducted with the staff and management of the two banks in Agago district. Further discussions are needed to make it concrete.

Pathway 3: Strengthen WASH governance and institutional framework

The Government of Uganda has an elaborate policy framework on WASH with strong WASH policies and legislations. However, gaps exist and the implementation is inadequate, especially at a district level. Coordination and alignment with other sectors is limited, human resource capacity is limited, budget is reducing and the general WASH monitoring has no special focus on the disadvantaged groups⁶⁵. The available statistical data on WASH access and coverage is not comprehensive or consistent, and local governments have limited capacity to provide reliable data. This results in Uganda still having a long way to go in achieving SDG 6 targets on water and sanitation.

The vision of the sub-programme for this pathway is that by the end of the programme, *Agago district local government will be adopting and implementing inclusive and sustainable (WASH) policies and governance instruments that are available at a national level. This includes that Agago district local government will be practising inclusive WASH planning and budgeting and will deliver WASH services that last. Besides this, the district will base their plan*

⁶⁴ – The diamond model is based on a multi-stakeholder approach to WASH where four types of key actors need to work together to achieve a common goal. This requires that: 1) the government implements and improves laws and regulations on sanitation standards; and government stimulates bottom of pyramid sanitation market growth and public private partnerships for improved sanitation; 2) demand is created through behavior change in communities through sanitation marketing and promotion of hygienic behavior; 3) the finance sector develops and issues financial WASH products; 4) the business sector offers cost effective, new and improved products and services for WASH.

⁶⁵ – See the bottleneck analysis presented in the Uganda section 4 report (January 2019) and the inception report.

on evidence of the actual WASH situation within the district and they will follow the WASH policies and guidelines that exist. Lastly, the WASH section of the district development plan is developed in close coordination with the different departments within the district. Community members, including women and socially excluded groups have the capacity to raise their needs to the district and demand for accountability within the district development plan (link with pathway 1).

In order to make progress towards this vision, the sub-programme is using several entry points for change, focusing mainly on strengthening existing governance structures at a local level and building the capacity of communities to hold the government to account, but also aiming to influence the local government to implement the sector policies and regulations that exist in Uganda. The entry points include Agago district local government, especially the water, health, education and natural resource departments, catchment management organisations and regional government structures (technical support unit and water management zone). Social accountability tools and evidence based on lobbying and advocacy will be used by the sub-programme to make the vision happen.

During the second half of 2018, the following activities were done to move towards the vision:

- A capacity building training in lobbying and advocacy was organised for WAI partners. As a result, an advocacy campaign framework to restore the River Agago was developed. This advocacy campaign framework provides WAI partners guidance on how to develop or design a people led/centred advocacy campaign to restore a sub river catchment.
- Inception meetings were organised at district level to ensure the district is aware about the programme. As a result of these, representatives from the sub-programme were invited to participate regularly in the district water and sanitation coordination committee (DWSCC) in order to share progress of the sub-programme.
- The sub-programme is lobbying the district that the DWSCC involves appropriate departments to ensure all relevant district staff are aware of the WASH programmes within the district.
- The annotated water integrity scan (AWIS)⁶⁶ was also carried out in November to tap collective knowledge from stakeholders to assess and tackle integrity and governance risks. This is a first step for the relevant stakeholders in the urban and rural water sector to work towards integrity within the sector, but more discussion is needed to make this happen.

6.1.3 Approach to sustainability

As part of the inception phase, the sustainability compact analysis report for Uganda was finalised in January 2018. This report provides insight into the sector monitoring framework and processes in Uganda and provides an entry point to operationalise the sustainability compact with the local authorities.

⁶⁶ – Annotated water integrity scan: A means to quickly assess the integrity situation in the water sector at national or local level, through a participatory workshop, during which stakeholders score identified risk areas in terms of levels of transparency, accountability and participation.

An MoU was developed and signed between Simavi as LIO for the Uganda WASH Alliance and Agago district local government which included an article on the sustainability compact. In principle, the district is in favour of sustainability, however a sustainability compact is new to them and needs capacity building. In 2019, the Uganda WASH Alliance sub-programme will focus on operationalising the article with Agago district local government to ensure the district understands their roles and responsibilities within the sustainability compact.

6.1.4 Risks and mitigation

According to information from Agago district local government, the district will be divided into two effective from mid-2020 onwards: Agago district and Paimol district. For the Uganda WASH Alliance this means developing relations with the new administrative structure of Paimol district and initiating inception meetings as well as drafting an MoU (including the related sustainability compact agreement) with the new district. To minimise the risk related to this administrative change, the Uganda WASH Alliance intends to build on existing relations with the lower local government structures where implementation is already ongoing.

6.2 Kamuli Buyende Nebbi sub-programme

6.2.1 Overview of progress

This annual progress report covers the year 2018 of the Kamuli, Buyende and Nebbi sub-programme in Uganda which is implemented by Plan International Uganda (Plan).



Source: Plan (Uganda)

During the inception phase (first half of 2018) the status of the WASH services was assessed and a baseline survey was conducted. The collected data were analysed in collaboration with local government and target communities, and the perspectives of women, girls and excluded groups were taken into account. The data and analyses gave input to a refined ToC and full programme proposal.

The programme implementation phase began on July 1, 2018 and is on track based on the 2018 year plan. Highlights are that the sustainability compacts were signed by all three district governments. District local government staff were also trained on inclusive CLTS and as a result triggering took place in 40 villages to improve their hygiene and sanitation status. Also at two schools, girls and boys were taught to make reusable sanitary pads.

6.2.2 Narrative on results against plan at sub-programme level Inception phase (January to June 2018)

During the first half of 2018 (inception phase), the following activities were conducted:

- The inception phase started with consultation meetings with the district governments of Kamuli, Buyende and Nebbi. During these meetings the district leadership welcomed the sub-programme and pledged support throughout the sub-programme cycle.
- Plan and government staff were trained on the Akvo FLOW data collection tool, baseline data collection and reporting prior to the baseline data collection. The baseline survey was conducted in the selected districts which revealed low WASH service levels across all three districts.
- The information obtained from the baseline survey was used to refine the proposal and set realistic sub-programme targets. During a three day inception workshop the Plan team designed and built consensus on the sub-programme locations and specific interventions.
- A GESI assessment was conducted jointly by Plan and WAI during the inception phase and completed during the beginning of the implementation phase. Findings and recommendations from both the GESI and the CVR were incorporated into programme design and delivery.
- A sustainability compact analysis was conducted with the WAI which revealed that the management information system (MIS) department at the Ministry of Water and

Environment and annual data collection at district and national levels offer great opportunities for synergy with the Netherlands WASH SDG programme. There is a strongly expressed need in the sector for robust monitoring and regular data updates to track progress and aid planning.

- During the inception meetings, the proposed sustainability clause was shared with district stakeholders for reflection and discussion. The discussions were concluded during the implementation phase with MoUs, including the sustainability clause, signed by all three districts.
- The results and related content of these processes and activities were summarised in the country inception report sent to DGIS in July 2018.

Pathway 1: Improve behaviour change interventions

The government of Uganda has a vision of achieving access to safe water supply of 79% (rural) and 95% (urban) by 2020 and access to basic sanitation services of 80% by 2020⁶⁷. Currently, there is a huge financial gap to reach this vision. Significant household participation and investment will be needed to improve households' access and WASH facilities. The targets for sanitation and hygiene are behind even more than water and are receiving less government budget and priority. For this reason, the Plan sub-programme has chosen to focus its intervention on sanitation and hygiene. Besides the lack of budget, another important bottleneck is the lack of government capacity to implement effective behaviour change strategies that are inclusive and gender transformative and to mobilise household investments in WASH. Uganda has elaborate GESI policies, laws, strategies and guidelines at national and WASH sector level. The gap is in the implementation of the existing policies, laws, strategies, plans and guidelines and a capacity gap of WASH institutions/organisations to mainstream GESI.

The vision of the sub-programme for this pathway is that by the end of the programme, *at least 150 communities in the target areas reach the ODF status⁶⁸ and have moved up the sanitation and hygiene ladder⁶⁹. Women, girls and other socially excluded groups are empowered, resulting in an increased level of participation of women/girls and other excluded groups in WASH activities in the community, shared WASH workload and decision making in the household and an increased level of leadership positions in communities around WASH. Fathers and mothers have also improved their knowledge and practices about baby WASH⁷⁰.*

In order to make progress towards this, Plan will enhance the capacity of the responsible government structures⁷¹ on gender and social inclusive community demand-driven approaches which aims to eliminate open defecation. Capacity will be built on how to improve knowledge

⁶⁷ – Second national development plan

⁶⁸ – Progress will be measured on a yearly basis.

⁶⁹ – Targets are mentioned in the inception report and progress will be measured during the MTR and end evaluation.

⁷⁰ – A hygiene approach that focuses on improved hygiene for babies through the five Fs: fingers, flies, faeces, fluids and floors.

⁷¹ – District local governments in the three sub-programme targeted districts, technical support unit (an arm of the national government, Ministry of Water and Environment), the three line ministries of water, health, education and sports.

attitudes and practices (KAP) for handwashing⁷², MHM and baby WASH. In addition, Plan will support the government in the implementation of behaviour change activities and help them to enhance their monitoring capacity to ensure monitoring and follow up. Other CSOs will be trained so they can support other districts with other donor funding, to enhance their capacity on inclusive behaviour change interventions which include baby WASH messages. Finally, Plan will use the champion of change approach and the GWMT to improve and monitor levels of participation of women and socially excluded groups throughout the programme. For further information on these can be found in the inception report (July 2018). Through these tools, men and boys will also be targeted to ensure women and girls are given the space within WASH activities and decision making and the (baby) WASH workload is shared more equally.

During the second half of 2018, the following activities were done to move towards the vision:

- 40 villages were reached with CLTS triggering to improve their hygiene and sanitation status. So far, the villages triggered have embraced the knowledge and are working towards attaining ODF status and climbing up the sanitation and hygiene service ladders. The triggering was done by the local government extension workers who were trained by Plan. The training was gender sensitive (participants consisted of both female and male staff).
- During the post triggering sessions, Plan held discussions with these communities on how sanitation and hygiene facilities can be climate resilient and inclusively constructed. In the coming period, Plan shall conduct gender task analysis in these communities using the GWMT to stimulate shared households WASH workloads and active participation of women in WASH decision making and leadership.
- Handwashing with soap (basic hygiene) increased from 27% to 32% (5% improvement) in the triggered villages during the first six months of implementation.

Pathway 2: Improve WASH service provision

As mentioned at pathway 1, there is a huge financial gap to reach universal access to WASH in Uganda and significant household participation and investment will be needed. However, access to WASH products and services is not readily available especially in remote rural areas. When WASH products are available they are often not affordable or appropriate for all. The absence of affordable and appropriate WASH products and services in the target area is hampering not only access to WASH but also the gender transformation process in Uganda as women and girls are restricted much more by the absence of WASH facilities and products such as menstrual hygiene pads.

The vision of the sub-programme for this pathway is that by the end of the programme *the target communities and schools have access to affordable and sustainable menstrual hygienic products, liquid soap and climate resilient latrine options*⁷³.

⁷² - Plan will also construct.

⁷³ - Currently Plan International Uganda is conducting a comprehensive WASH product mapping to ensure the chosen products are also those which the communities need the most.
rid of used sanitary pads.

In order to make progress towards this vision, Plan will support the development of locally made liquid soap and climate resilient latrine options⁷⁴ together with community groups (like village health workers) and local entrepreneurs. Plan will train teachers and school pupils⁷⁵ (girls and boys) on how to make reusable sanitary pads. Members of village saving and loan associations (VSLA) and already established small-scale entrepreneurs, especially women, will also receive marketing and financial business skill training to stimulate the beginning of selling reusable sanitary pads, liquid soap and climate resilient latrine options. To increase access to credit for WASH businesses, Plan will promote and/or strengthen the VSLAs in 60 rural communities and link those to the established financial institutions.

In order to improve sanitation and water service provision at schools, Plan, together with the school management, will construct latrines⁷⁶ for boys and girls. These latrines will include a toilet for people with disabilities and MHM facilities⁷⁷. Water points will also be rehabilitated or constructed at 22 schools. All facilities will only be constructed after the school management has developed a financially sustainable operation and maintenance plan.

During the second half of 2018, the following activities were conducted to move towards the vision:

- For increased access to hygienic sanitary pads, Plan facilitated extension workers of Buyende district local government who were previously trained by Plan under an MHM project⁷⁸ to train school pupils (60 girls and 30 boys) and four teachers (two male and two female) on appropriate MHM and reusable hygienic sanitary pad making. This has increased access to hygienic reusable sanitary pads for the girls in two schools (Kigwer and Kinaitakala in Buyende). The pupils from these two schools now make their own sanitary pads and the girls also receive support from the male teachers and boys during their menstruation.
- Myths, taboos and silence on menstruation were broken in these schools. In the long term this change will contribute to keeping girls in school and improving their position in society.

Pathway 3: Strengthen WASH governance and institutional framework

Findings during the inception phase showed that the interests of the people most affected by poor sanitation and hygiene (women/ girls, people with disabilities and poor and marginalised people) are rarely acknowledged and addressed by governments. These groups are not consulted or part of national level WASH decision-making processes. Also national ministries are still reviewing policies and aligning indicators with the SDG framework. The available statistical data on WASH access and coverage is not comprehensive or consistent, and local

⁷⁴ - Outcome of the CVR was that heavy rains and floods would become heavier. Elevated latrine options with stronger roofs are needed to ensure resilience for climate changes.

⁷⁵ - At least in 70 schools.

⁷⁶ - Plan will construct latrines at 22 primary schools and will provide handwashing facilities at 70 schools.

⁷⁷ - A separate room in the girls latrine block that contains water, soap, a mirror to check for spotting and an incinerator to get rid of used sanitary pads.

⁷⁸ - The project is funded by the Dutch National Postal Lottery and named A Bloody Serious Business.

governments have limited capacity to provide reliable data. The lack of sufficient opportunities for public participation in decision making in combination with the lack of reliable data makes it difficult for the government to align planning with the needs within the district itself. It also makes it difficult for the plans to be aligned with the needs of the community, especially for the women and socially excluded groups.

The vision of the sub-programme for this pathway is that by the end of the programme, *the national CLTS manual is revised and is gender and social inclusive⁷⁹ and standardised school latrine designs in the national school WASH guidelines include an MHM component⁸⁰. At the district level gender transformation and social inclusion is mainstreamed in all WASH programmes and sufficient budget is allocated to implement these programmes. The capacity of the district health and community workers has been enhanced and they are now implementing gender transformative and inclusive CLTS. Women and girls and other socially excluded groups will amplify their voices/demand for their WASH rights including active participation in community WASH leadership and decision making. As a consequence at least 50% of the WASH governance committees are represented by women and socially excluded groups and whose voices are heard⁸¹. District local government also has a harmonised understanding of and effectively reports on the SDG 6 indicators, target 6.1 and 6.2.*

In order to make progress towards this, Plan, as the chair of the national CLTS taskforce, will work with the Ministry of Health to revise the national CLTS manual to be gender and socially inclusive and to ensure that standardised school latrine designs include MHM facilities.

Plan will strengthen the WASH planning and coordination at district and national level and work with the technical support unit of the Ministry of Water and Environment (MWE) to facilitate district local governments to review and to add resources to the district based WASH investment plans. Similarly, Plan shall invest time/budget to revamp the Uganda water and sanitation NGO network (UWASNET) hygiene and sanitation thematic working groups to ensure hygiene and sanitation efforts from all CSOs are coordinated and focus on gender and social inclusion. Through training, Plan will strengthen the capacity of the districts to implement gender transformative and inclusive CLTS and the capacity of women and girls will be strengthened through the champions of change approach and through basic leadership and advocacy training to ensure they are able to take up leadership positions in community WASH structures.

During the second half of 2018, the following activities were done to move towards the vision:

- A total of 68 district local government staff and four CSO staff were capacitated through trainers of trainers (ToT) and are implementing inclusive CLTS.
- The DLG trained 178 village health teams (VHT) (129 males and 49 females) on CLTS post triggering follow up and triggered 40 villages.

⁷⁹ – Plan will aim to make it gender transformative.

⁸⁰ – These already include a room for people with disabilities.

⁸¹ – In this case, we shall target the widows, female-headed households, child-headed households, persons living with disabilities.

- Two CSOs were trained on inclusive CLTS. In the next period, Plan will monitor how the trained CSOs are cascading the knowledge within their WASH programming.
- Six WASH SDG sub-programme Plan staff were trained as trainer of trainers (ToT) on GWMT.
- Two schools (Kigwer and Kinaitakala in Buyende) embedded WASH in their annual work plans and budgets after awareness raising sessions with Plan.

6.2.3 Approach to sustainability

The Government of Uganda updated and aligned its performance measurement framework to the SDG JMP indicators. The framework has the potential to provide much of the required data for the sub-programme's sustainability checks. Plan and WAI will work together with UWASNET to operationalise the revised framework within the WASH NGOs and CSOs networks. An important highlight of the reporting period is the successful engagement of the district local governments on the sustainability compact. This resulted in signed MoUs including sustainability compacts, with the local governments of the three targeted districts. The sub-programme will continue to work closely with the three district local governments and the regional government to operationalise the new framework and ensure efficient and effective data collection, verification and analysis as well as reporting.

6.2.4 Risks and mitigation

No new risks were identified during this reporting period.

6.3 Country-level updates

6.3.1 Monitoring, evaluation and learning

In 2018, WAI and Plan decided on two main learning topics to focus on in 2019. These topics are GESI and behavioural change.

a. GESI.

Both WAI and Plan have a strong interest and experience with GESI within their programmes. The aim of the learning trajectory is to exchange learnings on how WASH programmes can mainstream GESI in order to ensure no one will be left behind. Gender transformative and nutrition sensitive WASH will be included. At the national level, experiences from the WAI and Plan sub-programmes will be used to lobby the national government and other likeminded development partners to learn from the experiences of the WASH SDG programme in Uganda.

b. Behavioural change.

This learning topic will be focused on sustainable behaviour change interventions based on the experiences from the two sub-programmes and focused on interventions such as CLTS. The focus will be on how the WASH SDG programme can change the behaviour of the community members towards WASH: how can we make sure community members wash their hands with water and soap, demand for an appropriate latrine and handle water in a hygienic way? and how can behavioural change communication interventions be effective towards this goal? On a national level, experiences from the WAI and Plan sub-programmes will be used for learning with the national government and other likeminded development partners.

The experiences of WAI and Plan on these two topics will be brought from the two sub-programmes to the national level and shared with sector stakeholders through national level platform structures, such as government sector working groups, UWASNET technical working groups, WASH media network and national commemoration days. In 2019, the learning trajectory at the national level will be further operationalised between WAI and Plan when there are concrete results and experiences to share from the two sub-programmes.

6.3.2 Country programme management and coordination

In 2018, there have been quarterly coordination meetings between WAI and Plan to exchange experiences and coordinate activities. During the inception phase, WAI and Plan worked together on the sustainability compact assessment and GESI assessment.

WAI invited Plan to join lobbying and advocacy training organised for the Uganda WASH Alliance sub-programmes as an entry point to think about a lobbying and advocacy agenda



for the WASH SDG programme in Uganda. WAI and Plan will use the acquired knowledge and skills to advocate on a national level for inclusive WASH services and influence budget allocation and government programme implementation.

In terms of programme coordination with external stakeholders, in 2018 WAI and Plan have worked towards joint coordination with key external stakeholders in Uganda. The Embassy of the Kingdom of the Netherlands (EKN) has been updated about the results of the inception phase by means of a joint meeting with WAI and Plan in August 2018. This will be continued on a regular basis in 2019.

As the country lead, WAI has been in contact with the WaterWorX programme in Uganda to look for linkages and an exchange of experiences and learnings. As a result, WAI and VEI are exploring the possibility of an exchange visit in 2020 in order to better understand both the WASH SDG and WaterWorX programmes in Uganda and come with a plan for crosslinking and learning.

The WAI also attended the Watershed Annual Partner meeting in October 2018 in Uganda in order to explore linkages between the WASH SDG Programme and Watershed Programme in Uganda. The result is mutual understanding of the Watershed and WASH SDG Programmes. Concrete plans for joint learning will be explored in 2019.

7. Zambia



Source: SNV (Zambia)

7.1 Chambeshi Lukanga sanitation sub-programme

7.1.1 Overview of progress

The Chambeshi Lukanga sub-programme is a city-wide programme working in five cities under two regional utilities (Lukanga water and sewerage company – Kabwe) and (Chambeshi water and sewerage company – Kasama, Mbala, Mpulungu and Nakonde). Overall the sub-programme is on track with anticipated activities and results for 2018. In the first part of the year, the inception phase activities were completed. In the second part of the year, the foundations were laid for an evidence-based intervention: an MoU between council, utility and SNV; establishment of multi-stakeholder platforms (MSPs) for sanitation; start of the development of by-laws; action planning; further assessments. Good coordination has been established at all levels.

One of the main targets during 2018 has been to strengthen the relation and collaboration with the two utilities and five city councils as primary partners, as well as their awareness about non-sewered sanitation. Also the relation with other partners at local and national level has been a key objective.

7.1.2 Narrative on results against plan at sub-programme level

Inception phase (January to June 2018)

The inception phase completed the agreed steps below, with the objective of embedding the programme into country processes and to inform planning.

The desk review of key WASH sector policies, strategies and dialogue platforms was conducted from November 2017 till January 2018. Following that, a legal scan on urban sanitation was planned, but this was cancelled as GIZ had conducted a similar study which led to the launch of the on-site sanitation regulatory framework in June 2018. After the launch, the government agreed to further pilot the framework for contexts beyond Lusaka.

At the beginning of 2018, a stakeholder analysis was completed. This was done both nationally and locally. At the local level, the objective was to identify the different investments and interventions in the programme towns, in order to fine-tune the added value of the programme.

Based on the sustainability compact analysis carried out in 2017, the agreement with the cities and utilities took the shape of a MoU. This had to be approved by both the Ministry of Water Development, Sanitation and Environmental Protection (MWDSEP) as well as the Ministry of Justice, and took quite some time. Within the MoUs, the sustainability compact has been integrated with the partners committing to report to the donor, DGIS, on the access and use of sanitation services in the programme area for a period of ten years after the end of programme (definitions aligned with the national urban water supply and sanitation programme ((NUWSSP)) and the SDG framework).

The baseline assessment was also carried out and included 2,830 households, 167 schools and 45 health facilities. Household data was disaggregated by wealth quintiles. Based on the baseline information, vulnerable groups were prioritised for the GESI assessment which was done by two individual consultants. The CVR assessment was done in collaboration with the Chambeshi and Luangwa catchment office.

The sub-programme piloted a rapid technical assessment (RTA) for on-site sanitation, in each of the towns. Several workshops and field visits were conducted with local and national partners to get their input and to share findings and progress.

The results and related content of these processes and activities were summarised in the country inception report sent to DGIS in July 2018.

Pathway 1: Improve behaviour change interventions

During the inception phase it was found that basic sanitation coverage across the five towns is 68%, with many households having both flush and dry toilets. This reflects the unreliability of water supply in the towns. Access to basic water supply is only 44%⁸² and a further 29% has limited service. Handwashing with soap is low among households, with 70.5% having no handwashing station at all and a further 20% lacking soap. About half of the toilets are in use, clean, functional and provide privacy. Women consider they have a place for changing during menstruation within their household (94%), but only 54% considered this place also enabled them to manage their period safely. 41% of households indicated that sanitary pads were dumped into toilet pits. Solid waste management on premises is unsafe, with most households facing littering by wind and/or animals. Also, 20% dumps solid waste into toilet pits. Only 1.5% has ever emptied their pit as toilets are fairly new and the rural practice of replacing toilets persists (in spite of space issues). It is estimated that 74% does not yet need emptying and 26% would require emptying (or improvement of containment). Similar figures are found in schools and health facilities.

While there is clearly a need for behavioural change interventions, this is a relatively new concept in Zambia and the focus has been on reducing open defecation with efforts concentrating in the rural areas. None of the cities have a BCC strategy, but the utilities have done some reactive campaigns, e.g. around cholera outbreaks and solid waste in sewers following pipe bursts.

The vision of the sub-programme for this pathway is that by the end of the programme, *the cities and utilities have clearly prioritised behaviours, an established BCC strategy and capacity to address those behaviours.* In order to make progress towards this, prioritised behaviours are likely to be on:

- uptake of emptying services (all premises)
- not throwing solid waste into toilet pits (all premises)
- health care waste management (in health facilities).

Further behaviours that might be prioritised are a willingness to pay for services and/or a willingness to connect, as well as the occupational health and safety of sanitation workers which was found below benchmark for manual emptiers as well as in sewer operations.

During the second half of 2018, the following activities were done to move towards the vision:

- Identification of critical behaviours based on the baseline findings and joint review with stakeholders to select three priority behaviours to be addressed within the first phase of the programme (see above).

⁸² – Note that there are a number of investments in the towns focused on improving water supply funded by BADEA (an Arab investment bank) and AfDB. This is why the programme focuses on sanitation.

- Formative research on the selected behaviours to gain the knowledge on the behaviour determinants (barriers, drivers, motivations, opportunities and abilities) that affect behaviour adoption (specific attention was given to low income areas and separate FGDs were done with women's groups, men's groups, and school children to consider GESI-related determinants). The research is expected to be complete by Q1 2019.
- Support to the city authorities in the celebration of Global Handwashing and World Toilet Days whose themes were Clean hands – a recipe for health and When Nature Calls respectively. This was done through drama and radio (phone-in) programmes.
- In Kabwe, CLTS was introduced in the 11 rural and four peri-urban wards. This involved training of trainers followed by training of community champions who then started triggering the villages.

Pathway 2: Improve WASH service provision

The Lukanga water and sewerage company serves Kabwe along with seven other cities. Kabwe has sewer, partially functional wastewater ponds and a vacuum tanker. The Chambesi water and sewerage company serves 12 towns, four of which are in the programme. Only Kasama and Mbala have areas with sewer and wastewater ponds. The other two towns only have on-site sanitation. In spite of differences, both utilities score relatively low (place eight and nine respectively out of 11) in the 2017 water sector report). For a long time it has been unclear whether on-site sanitation was part of the responsibility of the utilities, but now they have started to include it in their strategies. Water supply and sewerage remain their primary focus.

The outcome indicator measurement showed that, across all towns, emptying services are not affordable for the two poorest wealth quintiles. However, in Kasama and Mbala sewer connections are considered affordable, while unaffordable in Kabwe. Measurement of outcome indicators on the professionalisation of emptying services and sewer operations showed that there is a need for improvement in manual emptying as well as sewer operations. Manual emptiers lack training and procedures, whereas sewer operators lack trained staff, preventive maintenance procedures and a capacity to respond to failures. In four out of the five towns, revenue from emptying services only covers direct costs but not O&M. Only in Kasama some provision for O&M is made. In terms of financial viability of sewerage, all utilities face challenges in dealing with defaulters and in understanding their costs and revenues. Kasama and Mbala face issues more generally in tariff setting and collection.

It is estimated about 20% of the collected wastewater reaches the treatment plants in the three towns with sewer. Emptied sludge is not treated. It is widely known that re-use in agriculture is taking place but there is no information about the scale or health risks involved.

Based on these findings, **the vision of the sub-programme for this pathway** is that by the end of the programme, *each city is to have a clear plan for professional, affordable city-wide sanitation services, and at least some safe functional services starting up in each town.*

The planning should include a combination of short-term treatment options to be explored, while also working with partners to define and align with long-term treatment options and investment plans linked to these. The sub-programme aims to influence decision making around infrastructure investment and promote a process of informed choice in the towns at both the higher (bigger infrastructure) and lower levels (e.g. climate resilient latrine options and toilets accessible for people with disabilities).

During the second half of 2018, the following activities were done to move towards the vision:

- Engagement of manual emptiers in a bid to formalise, train and equip them. Initially the city authority and utility were not accepting their existence but later considering their role for service provision, an emptiers' database was developed.
- Documenting existing service models for emptying across all towns. The study identified the reasons behind current poor practices of emptiers and the existing gaps in the service providers approaches. Discussions were held with external emptying service provider in Kasama, TAZARA, for further strengthening and the possibility of expansion of their services.
- Identification of short-term treatment options was initiated through an assessment of existing facilities in Kabwe, Kasama and Mbala and determining the potential for upgrading/repair of those systems whereas for Mpulungu and Nakonde where no facilities exist, the assessment included evaluating low-cost temporary treatment options.

The activities were done in close collaboration with the city authority and utility officials with the objective of building their understanding of the existing services in their cities as well as the necessary efforts to achieve safely managed sanitation beyond sewer infrastructure construction.

Pathway 3: Strengthen WASH governance and institutional framework

Only with the launch of the OSS and FSM regulatory framework in June 2018, has the responsibility for on-site sanitation service provision in Zambia moved to the water and sewerage companies. Local authorities have the mandate for sanitation planning, monitoring, regulation and enforcement. As these are large, regional utilities, the local authorities constitute the major shareholders to provide oversight to the company. So far the local authorities have not assumed a very pro-active role, and their limited engagement was centred around water supply services. This is also reflected in their capacity to lead multi-stakeholder engagement, which is only above benchmark in Kasama. The regulator (NWASCO) only recently added on-site sanitation to its mandate. While the utilities as well as the local authority in Kabwe have a fairly good overview of the financial health of the sanitation services in their city, this is not the case for the utility and towns in the north.

In terms of enforcement of standards at premise level, the Kabwe, Mbala and Mpulungu city councils have scored themselves at benchmark, however, they also consider that the enforcement is ineffective. The main bottlenecks being the lack of dissemination and

awareness by the users about standards and the lack of incentives for compliance. In the other towns, additional challenges with regards to enforcement are the lack of local by-laws and procedures for enforcement of sanitation standards. Capacities for enforcement of standards around emptying are mostly absent in all towns.

Participation of women and vulnerable groups (elderly, people with disabilities, poor) is variable across the towns but none of them feel that they are able to influence decision making.

The vision of the sub-programme for this pathway by the end of the programme is *strengthened multi-stakeholder sanitation governance for all (off-site and on-site) at city and utility level, with leadership by the local authorities, clarity on roles and responsibilities (including the legal basis).*

In order to make progress towards this, good governance should also include compliance to regulatory frameworks, transparent, evidence-based planning, financially viable strategies and alignment with water related infrastructure investment.

During the second half of 2018, the following activities were done to move towards the vision:

- In Kabwe, a multi-stakeholder platform was initiated as there was no such space for participation. In the other towns, district water sanitation and hygiene education existed which mainly focused on rural sanitation. These have now also taken up the responsibility for urban areas but it is yet to be seen whether this will be effective.
- At the national level, the Ministry of Water Development, Sanitation and Environmental Protection and the national regulator participated in sharing activities of the baseline. These discussions created awareness about the need to address non-sewered sanitation and fed into the process of aligning national sanitation monitoring data to the SDG's framework.
- Following the development of the urban on-site sanitation regulatory framework, a process to develop on-site sanitation by-laws has been initiated. In addition to the programme partners and national level stakeholders, this is done in collaboration with Lusaka city council where similar interventions had started.

7.1.3 Approach to sustainability

The sustainability compact analysis was done at national level and revealed that there are three government-led WASH monitoring systems – NIS, EMIS and DHIS2 – designed for urban, schools and rural sanitation respectively. The NIS is set to be replaced with a new web-based real time system aligning to the JMP/SDGs definitions and report on both sanitation and hygiene service levels accordingly. With a revised NIS covering both urban and rural areas, the future of DHIS2 is uncertain. The new NIS system is still being developed but should be fully functional and reliable within the programme period. The quality and usage of the data remains as a challenge.

The sub-programme is working under the leadership of the local authority and the tripartite MoU (commercial utility, local authorities and SNV) was signed with all the cities after the review by both the Ministry of Justice and the Ministry of Water Development Sanitation and Environmental Protection. These MoUs include a commitment by the partners to report to the donor, DGIS, on the access and use of sanitation services in the programme area for a period of ten years after the end of the programme. The partners also committed to make a management response on the results of the monitoring as part of the reporting, and where a decline in access and use of sanitation services is noted the Partners committed to make reasonable professional efforts to correct the situation in order to ensure the sustainability of the sanitation services. In addition, the sub-programme is also supporting the strengthening of local authorities' monitoring systems with a greater focus on data across the sanitation service chain and also coordinating with central level line agencies for establishing solid M&E system. These investments in local capacity are expected to contribute to a sustainable service delivery model for urban sanitation in the programme cities.

7.1.4 Risks and mitigation

No additional risks were identified than those mentioned earlier.

7.2 Chongwe Kafue sub-programme

7.2.1 Overview of progress

The Chongwe and Kafue sub-programme is working in the rural and urban district of Chongwe and peri-urban area of Kafue. The sub-programme is on track with the planned activities and expected results for 2018. During the inception phase (first half of 2018) assessments and a baseline survey were conducted in order to get a detailed picture of the availability and quality of WASH services.



Source: Plan (Zambia)

The ToC has been adjusted and the detailed programme proposal was developed based on the data analysed in cooperation with local government and beneficiary communities. A MoU including a sustainability compact will be signed with Chongwe municipal and Kafue district councils in the first half of 2019. The Ministry of Justice provided guidance during development of the MoU and Chongwe municipal and Kafue town councils will co-design the MoUs.

The programme implementation phase began on July 1, 2018 and is on track.

7.2.2 Narrative on results against plan at sub-programme level Inception phase (January to June 2018)

During the first six months (inception phase) of 2018 the following activities were done:

- A baseline study was conducted and data was analysed which involved government counterparts at district level and an external international consultant.
- A country specific M&E framework was developed in line with the overall consortium M&E framework.
- The GESI assessment was implemented.
- The sustainability compact was brought in line with the seventh national development plan 2016–2020.
- A CVR assessment was implemented.
- The sub-programme provided technical support and capacity building to agencies including government and local leaders at district and sub-district levels to institutionalise baseline, GESI, CVR and sustainability compact assessment findings in WASH programming.
- The ToC has been adjusted and the detailed programme proposal was developed based on the data analysed in cooperation with local government and beneficiary communities.
- The results and related content of all these processes and activities were summarised in the country inception report sent to DGIS in July 2018.

Pathway 1: Improve behaviour change interventions

In the bottleneck analysis of the section four report (January 2019) it was stated that the Ministry of Water Development, Sanitation and Environmental Protection has made great achievements in WASH developing strategies. However, in the current approaches there is inadequate demand-creation through triggering. There is also no explicit recognition of the need to strengthen the participation of local communities in urban and rural areas in improving water and sanitation management through urban (U)CLTS. CLTS aims to achieve sustained behavioural change and demand-creation through effective community mobilisations and facilitation of understanding the risks associated with open defecation. Plan will work with five ministries and four district governments⁸³ to improve their demand-creation strategies.

To overcome and improve this situation, **the vision of the sub-programme for this pathway** by the end of the programme is *to have improved rural and peri-urban WASH services⁸⁴ in the two selected districts by bringing together relevant stakeholders like finance institutes, retailers, service providers, local builders and community based enterprises. By strengthening the sanitation value chain, WASH services will be improved for approximately 21,000 households of the bottom of the pyramid. Consumers in the target communities will have access to sanitary pads, soap, water filters, water containers, toilet pans and latrine slabs at an affordable price.*

The priorities are likely to be on:

- implementing (U)CLTS tools and guidelines and providing training for local WASH and school WASH committees, nutrition clubs and local government authorities
- MHM promotion in local communities
- selecting and training local champions of change so they can become leaders in the behaviour change process
- involving women, girls and other socially excluded groups in the decision-making process concerning WASH activities so they will have more influence at a household level and also at a community level when it comes to investments and development of WASH services including baby WASH.⁸⁵

To make progress towards this, Plan will work together with local stakeholders like government, WASH committees and champions for change. The sub-programme will strengthen the capacity of local government in implementing UCLTS with a focus on nutrition sensitive hygiene and sanitation, handwashing and elimination of open defecation. By training government staff the sub-programme will stimulate reproduction of the activities in other districts. The role of champions for change is very relevant and they will be selected from local influencers like traditional leaders, community workers and youth.

⁸³ – Ministries are: i) Ministry of Water Development, Sanitation and Environmental Protection; ii) Ministry of Local Government and Housing; iii) Ministry of General Education; iv) Ministry of Chiefs and Traditional Affairs, and v) Ministry of Community Development. District government level partners are: i) local authorities (council); ii) Department of Education; iii) Department of Chiefs and Traditional Affairs, and iv) Lusaka water sewerage company.

⁸⁴ – WASH services also include the necessary capacity building of local entrepreneurs.

⁸⁵ – Approach that focuses on improved hygiene for babies through the five Fs: fingers, flies, faeces, fluids and floors.

During the second half of 2018, the following activities were implemented:

- The annual WASH plans (2019) of the districts Kafue and Chongwe have been consolidated as well as the district WASH partner plans.
- Fifty district staff were trained on promoting legal enforcement in WASH. They were made aware of how they can jointly work on legal enforcement and how this can contribute to sustainability.
- Seven staff members of the focus districts were trained in (U)CLTS, 41 people in gender transformative WASH and 122 natural leaders as champions for change. This way equity and inclusive WASH will be guaranteed.

Pathway 2: Improve WASH service provision

During the inception phase, analysis showed there is inadequate investment in WASH construction, WASH O&M, and in hygiene related products. Women are not adequately consulted when it comes to making decisions concerning WASH activities while at the same time they are the ones in charge of fetching water and taking care of household hygiene. There are not many entrepreneurs, male or female, in the two districts selling hygiene products. In public places like markets there are inadequate WASH services. Most schools lack WASH and MHM facilities. To overcome and improve this situation, **the vision of the sub-programme for this pathway** by the end of the programme is *to have improved rural and peri-urban WASH services⁸⁶ in the two selected districts by bringing together relevant stakeholders like finance institutes, retailers, service providers, local builders and community based enterprises. By strengthening the sanitation value chain, WASH services will be improved for approximately 21,000 households of the bottom of the pyramid. Consumers in the target communities will have access to sanitary pads, soap, water filters, water containers, toilet pans and latrine slabs at an affordable price.*

The priorities are likely to be on:

- the establishment of a range of financing options (micro-credit and revolving funds) to make investment in household and community sanitation possible
- strengthening new and existing WASH enterprises in the two districts and stimulating female entrepreneurship
- promoting sales of WASH products in the two districts so that the sales increase.

The sub-programme will focus on the capacity building and orientation of local service providers on best-fit practices for delivering household-level sanitation services, including a combination of marketing, construction, product sales, financial management and regulatory conformance skills to (female) entrepreneurs.

⁸⁶ – WASH services like affordable sanitary pads, soap and latrine materials. It also includes the necessary capacity building of local entrepreneurs.

To make this possible, MFIs will be involved so they can offer the necessary loans to the enterprises. Local saving groups will be set up or strengthened so they can provide households with the necessary financing to install their own sanitation facilities.

During the second half of 2018, the following was achieved to move towards the vision:

- Support and advise service providers on best-fit practices for delivering household-level sanitation services in Chongwe and Kafue districts.
- Through activities, service providers gained capacity in marketing, construction, product sales, financial management and regulatory conformance skills.

Pathway 3: Strengthen WASH governance and institutional framework

The legal framework for the Water Supply and Sanitation Act (WSS) of 1997 as developed by the national water supply and sanitation council (NWASCO) is fragmented. On the one hand, rural WSS operates under the Local Government Act (Chapter 281) of 1991. On the other, urban WSS operates under the Water Supply and Sanitation Act No 28 of 1997. This creates a risk of possible overlaps or, worse still, gaps in service delivery. Also, there are limited resources available for planning, the capacity of staff is limited, the information system is poor and WASH has low priority. The regulatory system is primarily focused on sewerage services. There is a lack of enforcement of the Public Health Act, and a lack of by-laws that regulate the installation of sanitation facilities in low-income areas. The costs of sanitation and water services are not separated making it difficult to define operation and maintenance costs of sanitation.

To overcome and improve this situation, **the vision of the sub-programme for this pathway** by the end of the programme *is that new and existing local government committees (WASHCOs) will have been strengthened and the government action plans on WASH will have improved. At the district level, gender transformation and social inclusion is mainstreamed in all WASH programmes and sufficient budget is allocated to implement these programmes.*

The priorities are likely to be on:

- organising inclusive dialogues on WASH policies and guidelines
- the planning and coordination of district level WASH interventions to be strengthened through inclusive dialogue and close cooperation
- the development of follow-up implementation of standards for menstrual hygiene management at schools
- working with and capacitating local government organisations like WASHCO and district water, sanitation and hygiene education (D-WASHE) committees.

In order to make progress towards this vision the sub-programme will focus on dialogue and cooperation with relevant government entities in order to not only strengthen the capacity of local government but to also achieve WASH policies and guidelines that will facilitate the necessary investments and acceleration of WASH sector development and upscaling. The sub-

programme promotes the representation of at least 50% women and socially excluded groups in these governance structures. Together with the local government, the sub-programme will improve action plans focusing on WASH service delivery at a community level. Together with the government, Plan will organise joint national communication campaigns to promote the importance of WASH and further increase demand-creation.

During the second half of 2018, the following was achieved to move towards the vision:

- Plan International Zambia supported and participated in the Zambia sanitation summit through a joint national communication campaign to promote the benefits of improved sanitation: Collective action towards sustainable sanitation and hygiene services for all.

7.2.3 Approach to sustainability

To ensure the sustainability of the sub-programme activities, Plan International Zambia involved the local government and raised their awareness on the importance of committing to the sustainability clause check compact (SCCC) included in the MoU. To achieve this, Plan embarked on capacity building of the district and sub-district staff including community members and is strengthening the activities of the D-WASHE committee in coordination, planning, implementation, monitoring and reporting. At the same time, the sub-programme has established integrated yearly planning (e.g. a district annual plan) in the two districts (Chongwe and Kafue).

7.2.4 Risks and mitigation

No new risks were identified.

7.3 Country-level updates

7.3.1 Monitoring, evaluation and learning

The WASH SDG Consortium in Zambia agreed on the following learning agenda during the inception phase:

- Gender and social inclusion in WASH.
- Improved sanitation and land use by landlords.



Learning around the first topic was initiated with the GESI assessments and later discussions. GESI is a global theme for the Consortium and the Zambia team is waiting to align with the findings from the GESI consultancy at a global level.

In addition to these learning themes, the Consortium in Zambia actively engages in the different country level learning networks, particularly the learning activities linked to the UNICEF Zambia health and sanitation programme (ZHSP), which was implemented in 70 rural districts. Another learning experience comes from the Lusaka water supply, sanitation and drainage (LWSSD) project which is focusing on the capital city of Lusaka, through the Millennium Challenge Account. In addition, there is the Lusaka sanitation project (LSP) with a consortium of partners such as different development banks and the Bill and Melinda Gates Foundation. Also, SNV is a member of the national water supply and sanitation sub-technical working group.

Plan has tuned the WASH SDG global M&E framework and monitoring guidelines to align with the overall national government M&E framework for WASH in Zambia. Remarkable progress has been made aligning the WASH SDG global M&E framework and monitoring guidelines to the existing government information system. This way it will be possible to harmonise M&E to SDG 6 indicators in the DHIS2 mobile-to-web reporting system. Plan International Zambia will pilot this system in Chongwe and Kafue districts before the ministry will replicate it in other districts.

Also, SNV Zambia organised the multi-country learning event on infrastructure investment in urban sanitation in which Plan Zambia also participated.

7.3.2 Country programme management and coordination

The Consortium partners held quarterly coordination meetings to update progress and also discuss the issues encountered. At national level, both Consortium partners participated in the preparation and finalisation of the national ODF 2030 strategy and were also involved in the organisation and convening of the first national sanitation summit held in November 2018.

Plan International Zambia participated in the validation of the WASH gender audit report organised by the Ministry of Water Development, Sanitation and Environmental Protection. The participation in these coordination activities enabled Plan International Zambia and SNV to realign their WASH programming contribution to overall government requirements and results.

At the district level, Plan International Zambia attended D-WASHE committee meetings to coordinate WASH programming and leveraging from stakeholder activities and budgets. The D-WASHE meetings enabled Plan International Zambia to share roles and responsibilities contributing to the institutionalisation of the WASH SDG programme.



Section C: Annual financial report

Source: Plan (Nepal)

1. Introduction

This year, expenditures are reported in relation to two different budgets:

- Inception phase budget, as approved by DGIS and annexed to the Beschikking.
- Implementation phase budget, as presented in December 2018 and that DGIS confirmed should be used as reference for the 2018 annual reporting in email communication of February 2, 2019.

A financial report detailing expenditures in the 2018 period is sent separately (annex 1). The tables included in the following section provide a brief overview and clarification of any deviances over 25% of approved annual budget.

It is worth noting that all 2018 expenditure represented below and in the detailed finance report are pending the final approved values based on the audit reports which will be submitted separately on July 31, 2019.

2. Financial overview

Inception phase 2018 (January to June)

Budget Categories		Total WASH SDG Consortium Inception Phase				
		Budget (total inception)	Expenditure 2017 (justified in AR 2017)	Expenditure 2018	Total inception phase	% spent versus budget
A	Impact programmes in-country					
	Total Bangladesh	729.773	116.825	485.580	602.405	83%
	Total Ethiopia	666.869	192.218	461.463	653.681	98%
	Total Indonesia	564.653	146.694	402.561	549.255	97%
	Total Nepal	915.328	199.164	665.181	864.345	94%
	Total Tanzania	406.862	83.058	230.202	313.259	77%
	Total Uganda	718.187	228.915	420.676	649.590	90%
	Total Zambia	564.653	99.760	405.329	505.088	89%
	Total countries	4.566.327	1.066.633	3.070.991	4.137.624	91%
	Other programme costs					
B	Global consortium coordination	100.000	68.306	73.767	142.073	142%
C	Global Learning	265.500	4.361	36.033	40.394	15%
D	Innovation Fund	225.000	-	1.477	1.477	1%
E	Sustainability checks Yrs 2 and 4	-	-	-	-	
F	Sustainability checks after programme impl	-	-	-	-	
	Total other programme costs	590.500	72.667	111.277	183.944	31%
	Total indirect costs (ii)	-	23.787	103.245	127.033	
	PROGRAMME TOTAL	5.156.827	1.163.087	3.285.513	4.448.601	86%

Clarifying Notes:

i) For all budget categories, Consortium partner tariffs include indirect costs. SNV tariffs include % of indirect costs as defined by Bilateral Agreement with DGIS-SNV

(ii) Total indirect costs includes the % of SNV indirect costs not covered by their Bilateral Agreement between DGIS-SNV, up to the % approved by DGIS.

Please note that the 2017 indirect cost expenditure indicated above (23,787 EUR) is lower to what was justified originally in the annual report 2017 (180,801 EUR). When the 2017 annual report was sent, the Consortium had understood that indirect costs needed to be separated from the fees. Upon further dialogue with DGIS, they clarified that it was possible to continue to justify fees, as approved in the original proposal. Based on this agreement, the value justified by WAI and Plan as indirect costs in 2017 was subtracted and redistributed into the corresponding budget categories in the 2018 expenditure. The indirect costs that remain correspond to SNV, excluding fees and up to the percentage established in their bilateral agreement with DGIS.

Inception phase 2018 (January to June)

Budget Categories		Total WASH SDG Consortium Inception Phase		
		Budget (total inception)	Expenditure 2017 (justified in AR 2017)	Expenditure 2018
A	Impact programmes in-country			
	Total Bangladesh	751.712	760.086	101%
	Total Ethiopia	854.390	621.925	73%
	Total Indonesia	498.507	467.901	94%
	Total Nepal	952.172	763.725	80%
	Total Tanzania	353.752	337.840	96%
	Total Uganda	872.240	867.598	99%
	Total Zambia	657.133	536.929	82%
	Total countries	4.939.906	4.356.003	88%
	Other programme costs			
B	Global consortium coordination	70.269	89.096	127%
C	Global Learning	89.680	22.011	25%
D	Innovation Fund	6.160	317	5%
E	Sustainability checks Yrs 2 and 4	-		
F	Sustainability checks after programme impl	-		
	Total other programme costs	166.109	111.424	67%
	Total indirect costs (ii)	145.410	53.104	37%
	PROGRAMME TOTAL	5.251.425	4.520.531	86%

Clarifying Notes:

i) For all budget categories, Consortium partner tariffs include indirect costs. SNV tariffs include % of indirect costs as defined by Bilateral Agreement with DGIS-SNV

(ii) Total indirect costs includes the % of SNV indirect costs not covered by their Bilateral Agreement between DGIS-SNV, up to the % approved by DGIS.

3. Financial narrative

As the figures above show, at the end of the **inception period**, the programme had spent 86% of the total inception budget. This is an overall deviation of less than 25% between the budget and real expenditure. As indicated in the 2017 annual report, the budget that remained at the end of the inception phase was integrated into the full implementation phase budget presented to DGIS in December 2018.

At the budget category level, country expenditure (category A) was mainly on track, with most countries slightly underspent with small deviations that give no cause for concern. The general coordination budget (categories B-D) show important deviations (A: global coordination is overspent by 42%; B: global learning is underspent by 85%; and C: innovation fund is underspent by 99%). However, the Consortium also finds no cause for concern as deviations are justifiable. The inception phase was a particularly intense time in terms of coordination needs. The time and effort dedicated to provide general guidance and to coordinate the implementation and finalisation of the different deliverables was substantial. This included: the facilitation of Consortium level processes; coordination with DGIS to ensure full compliancy with requirements and expectations; the review of all the ongoing country and sub-programme level assessments; and the consolidation of all the information into the final report.

In terms of the under-expenditure in both the learning and knowledge development (LKD) component of the programme and the innovation fund, in retrospect, both were over budgeted for the inception phase and programme start-up. In order for these to take a supporting role to the programme, the related activities and work plan could only be defined based on the findings from the inception phase. For that reason, the Consortium limited the LKD component during this phase to the development of a general framework to orientate LKD during the implementation phase of the programme. And it was decided that the innovation fund will only be expended during the implementation phase.

In terms of the **implementation phase**, expenditures were on track with a small under-expenditure of 14%. Once again, at the budget category level, country expenditure (category A) was mainly on track with deviations ranging from 1% over expenditure (Bangladesh) to 27% under expenditure (Ethiopia).

The only country that presented a deviation over 25% was Ethiopia. In this case, both sub-programmes were underspent (WAI by 18% and Plan by 56%). It is worth noting, that at the sub-programme level, several of the Plan sub-programmes were underspent with a deviation of over 25%. The reason for this generalised under-expenditure of the Plan sub-programmes was largely related to delays caused by lengthy procurement procedures of Plan which the organisation is currently reviewing. This caused a substantial underspending in the country

budget lines: equipment and supplies and country programme management and coordination. However, these administrative delays did not overly effect activity implementation which, as presented in section B, advanced adequately. Plan is monitoring this underspending closely and at the time of writing, the level of expenditures of the Plan sub-programmes were catching up.

The general coordination budget (categories B-D) also showed relatively large deviations (A: global coordination is overspent by 27%; B: global learning is underspent by 75%; and C: innovation fund is underspent by 95%). The reasons are similar to those for the inception phase, but now due to the start-up of programme implementation. On the one hand, programme start-up, as well as additional reporting requirements from DGIS following the inception report, required greater Consortium coordination. On the other, the work plan for LKD and the innovation fund was set to start from 2019 onwards.

The Consortium does not believe this is of particular concern as higher expenditure at the coordination level will naturally peak during the inception phase and the mid-term and end-term evaluation stages and decrease at other times of the programme. It is expected that it will balance out with the lower level of coordination needed during the intermediate periods. In terms of the LKD and innovation fund, budget category expenditure is expected to increase from 2019 onwards.

In conclusion, the Consortium considers that the financial report of 2018 is relatively on track and there are no important causes for concern at this point in the programme implementation.

Section D: Stories

Source: SNV (Tanzania)

1. “My husband now helps with household chores”

Zambia: Chongwe Kafue sub-programme (lead: Plan)

One of the focus areas of the WASH SDG programme is gender transformative and socially inclusive WASH. As part of the programme, Plan International developed the gender WASH monitoring tool (GWMT) that can be used both as a monitoring and as a behaviour change tool. During workshops in Zambia, this tool is used to stimulate community discussion about the different roles of women, men, girls and boys in the households and in the community. The first sub-programme workshops in Zambia were about the division of household chores.

Women tend to do more household chores than their male counterparts in the Chongwe Kafue area in Zambia. But this is starting to change for families in this region, particularly for Charity Mulumba's household. According to Charity, her husband was not used to helping with any form of household chores. *“It was after attending the training in gender and WASH monitoring in Shiyala village, that my husband has significantly changed his behaviour towards household chores. He now performs WASH related chores such as fetching water for domestic use without asking for help from me,”* said Charity. She explained that her husband is now a responsible man willing to share household chores.

Charity also launched a call to other women in her area to encourage their husbands to become involved in domestic duties. *“From my personal experience I can say that we create most problems ourselves because when a man is willing to help with duties, we tend to see it as a sign of weakness, which is a bad reaction. We must be respecting and encouraging our men to share the work in and around the house,”* said Charity.

Mr Mulumba expressed his happiness with the training as well. It has helped him understand the importance of household hygiene. *“The gender and WASH training provided a different perspective on how to contribute to maintaining my household, and this made me realise that I was very unfair to my wife who used to do everything alone,”* he said.

To sustain community behavioural transformation, the sub-programme is closely working with three existing structures: 1) community champions (CCs) at community level; 2) environmental health technologists (EHTs), community development assistants (CDAs) and community health assistants (CHAs) at sub-district level; and 3) district level staff in Chongwe. These three community groups are the drivers of change in this approach and contribute to the practical implementation of gender transformative WASH and to the WASH SDG programme's aim to increase demand for improved WASH facilities and practices through behaviour change.



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Source: Plan (Zambia)

2. Entrepreneurship and improving access to safe sanitation

Tanzania: WASH SDG Alliance sub-programme (lead: WAI/Amref)

Promoting sanitation entrepreneurship and providing sanitation entrepreneurs with adequate training on how to improve the quality of their work are crucial steps in increasing access to safe sanitation in communities in Serengeti district, Tanzania. As part of this approach, the WASH SDG Consortium partner WASH Alliance International, led by Amref Flying Doctors in Ethiopia, organised a participatory meeting to train artisans on how to develop and pre-test sanitation prototypes. Different types of stakeholders were involved in the meeting, including health officers, artisans, community health workers (CHW), religious leaders and representatives from community women's and men's groups.

Based on this consultative meeting, Amref organised an artisans and masons training and practice course in January 2019. The seven day training aimed to equip 35 artisans and masons with knowledge on low-cost construction of improved toilets. The training took place at the Matala primary school and Rwamchanga dispensary in the Serengeti district where the participants were trained to construct two prototypes of toilets.

Revocatus Edward is a trained artisan from Morotonga ward. As he had the right building skills, he was one of the 35 artisans selected by his village to participate in the seven day sanitation training. The training focused on the importance of having and utilising toilets. He learned about the quality of improved toilets and about the importance of the different components of constructing a toilet. It was during the training that he realised that so far, he and his colleagues had not been constructing toilets in a proper and safe way. For example, he was not able to explain the importance of finding a proper location of vent pipes, or to determine the right position of the superstructure wall on the slab or the toilet hole. In addition he was not aware of crucial criteria for pit sizing and structure sizing.

"We have learnt a lot in this training. Although we had all the skills, this training has helped us to actually understand the importance of each component of toilet construction, and most importantly, of the setting of toilets. We used to build the toilet superstructure on top of the foundation of the pit. During the training we have learned the proper way to build the superstructure without putting more weight on the pit foundation." This way the participants of the training have learned crucial skills on how to make their toilets more sustainable.

Also, financially, the training gave relevant insights in using more economical techniques and locally available resources. Revocatus explains, *"For example, I now know how to cast slab without using a timber support at the bottom, by replacing this with empty cement bags."* By reducing the costs of toilet construction by using cost effective materials and techniques, the demand for their services from the community will increase and they will receive fewer complaints about the cost of toilet construction. This will ultimately lead to the WASH SDG programme aim to improve the quality of WASH service provision, a higher sanitation density and an increased health status in the Serengeti district.



"Although we had all the skills, this training has helped us to actually understand the importance of each component of toilet construction, and most importantly, of the setting of toilets."

Source: SNV (Tanzania)

3. WASH SDGs for inclusive and sustainable cities: explaining an advocacy process in Tasikmalaya

Indonesia: Sustainable and inclusive cities sub-programme (lead: SNV)

The presence of strong WASH governance and an enabling institutional framework is essential for reaching the water and sanitation goals of SDG 6. However, gaining political support for sanitation development from locally elected leaders in Indonesia's heavily decentralised context is no small task. Sanitation has to be perceived as a relevant matter by the constituents, aligned with national policies and frameworks, and stand out among competing priorities. Nonetheless, political support – mostly from city mayors – is absolutely critical for achieving meaningful progress in the WASH SDGs. Especially since the political agenda of elected leaders is highly influential for local government agencies and ultimately determines investment decisions.

Following preliminary meetings with the local agency Bappeda and with the agreement of the key national ministries, WASH SDG Consortium partner SNV initiated an advocacy process to persuade the mayor of Tasikmalaya to prioritise the WASH SDG targets.

The city had an open defecation rate above the national urban average and had been making efforts to eradicate it in line with the national target of 100% access to sanitation by 2019. However, the SDG concept of safely managed sanitation was to a great extent unknown – both by the technical agencies and the elected representatives. As were the unequal access for the city's vulnerable groups and the risks the city faces from climate change.

SNV used the results of the baseline and other relevant researches as evidence to persuade local line agencies for the need to invest in inclusive sanitation development, beyond stopping open defecation. At the same time, it requested its partner AKKOPSI to approach the city's mayor about the relevance of prioritising sanitation investment for the overall progress and well-being of the citizens of Tasikmalaya. All this, in line with the WASH SDG programme aims to strengthen WASH governance and institutional framework.

Also, a dialogue was initiated with the local media. Discussions were conducted with journalists and the editors in chief, with a number of articles published on the topic as a result. As awareness grew for safe sanitation amongst the general public, and with the backing of local government agencies, the mayor publicly committed to the achievement of the WASH SDGs for Tasikmalaya and signed the sustainability clause of the WASH SDGs programme in person.

The full extent of his political support will become evident during the next public planning exercise, which will take place in June 2019. SNV is continuing its advocacy efforts – keeping the connection with the media, supporting technical agencies and providing strategic information to the mayor – to guarantee that the momentum gained is adequately translated into the city's official plans and budgets.

Source: <https://news.koropak.co.id/5202/persen-rt-di-kota-tasikmalaya-bab-sembarangan>



"As awareness grew for safe sanitation amongst the general public, the mayor publicly committed to the achievement of the WASH SDGs for Tasikmalaya."

4. Coordination with the district local government for sustainable WASH services

Uganda: WASH Alliance Uganda sub-programme (lead: WAI/Simavi)

One of the three strategic objectives of the WASH SDG programme is realising strengthened WASH governance and an institutional framework in the sector: governments that enable efficient and effective delivery of inclusive and sustainable WASH services will contribute to sustainable and equitable access to WASH. As such, the Uganda WASH Alliance sub-programme, led by Simavi, is working closely with the Agago district local government to realise this. The district officials were involved in different activities during the inception phase of the sub-programme, and continued to be involved in the implementation phase.

To mark the start of the implementation phase of the programme in the Agago district, a launch event was attended by key district officials and the implementing partners of the sub-programme. This event was hosted at the district headquarters of the sub-programme in August 2018. During the event, the sub-programme partners explained the WASH programme, the three strategic objectives and the role of the different partners in this programme.

The district officials also had a chance to speak and ask questions about the programme. The event finished with the district chairperson, the resident district commissioner and the chief administrative officer officially launching the WASH SDG – Uganda WASH Alliance sub-programme. The function featured all the district departmental heads, councillors and the sub-county leadership. In their remarks, the district leadership enthusiastically welcomed all the WASH Alliance partners to the district and pledged their support towards improving WASH services for all people.

The project timing could not be any more appropriate. The Agago district is performing poorly in terms of WASH service levels. Open defecation is still widely practised, and among those with toilets, they are either shared facilities or not safely managed. On top of this, handwashing practices are still very low. Moreover, social and cultural barriers are still prevalent and mainly affect women and girls.

The sub-programme will work to address these WASH gaps through:

- Creating behavioural change and demand-creation at community level.
- Supporting a viable WASH market to increase the availability of WASH products.
- Improving sector governance through empowering citizens and local governments to demand better services.
- Improving WASH sector accountability and transparency.
- Ensuring that no one is left behind including people living with disabilities, girls and women.
- Making sure environmental sustainability will be a cross-cutting theme that will address climate vulnerability and resilience.



"When I listen to all your goals and ambitions, I see that you have put women at the heart of your programmes. This is the right thing to do.: In all programmes that involve women we get very high results. So I am confident that the WASH programme will be successful."

Source: Simavi (Uganda)

Source: SNV (Nepal)

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