

Stage 5 Prepare for implementation

The final stage focusses on ensuring that the planning process leads to implementation. After the preparation of the final draft of the city-wide sanitation plan, which should be easily to understand and not open to interpretation, there will be a need for a final consultation activity. There should be sufficient time available to complete this satisfactorily before moving forwards to the development of the plan for sanitation promotion and capacity building.

The main activities in Stage 5 of the planning process should entail:

- Ensure proposals meet expectations for improvement
- Sanitation promotion, advocacy and awareness-raising
- Capacity building

Outcome from Stage 5: The outcome from the final stage in the planning process should be the final plan itself and an agreed strategy for financing and implementation of the priority components. This should also include specific target actions to promote sanitation through advocacy and awareness raising combined with a well-developed capacity building strategy to support the implementation of specific components of the plan.

Ensure proposals meet expectations for improvement

This activity involves pulling together the various components of the plan into a structured document which documents the outcome from the planning process. The plan should identify priority areas, propose recommendations for sanitation development, details of service delivery and proposed service level improvements, specify targets and measurable goals (such as number of households served by desludging services or % wastewater treated) to address existing critical issues and future demands (e.g.) due to population expansion. The plan should provide the basis for design but does not need to include details for construction of any new infrastructure. These will be elaborated as funds are made available.

The plan should be used as the basis for final consultation with the various actors and institutional stakeholders to ensure that management and financing arrangements are in line with the objectives for all city residents. Although the previous activities of the planning process should minimise any concerns from

the various stakeholder groups, a formal consultation process is needed as there may be some who may not have been so actively engaged who have yet to respond to the proposals in the strategy.

The key to success in the planning process is therefore good interaction and communication with different stakeholders. To improve communications it may be beneficial to prepare some summary documents e.g. an executive summary for decision-makers and easy to digest brochures to enable non-technical people to access information in an appropriate manner. The following media may be used to disseminate information about the plan and subsequently its implementation (including any updates to the plan):

- Websites of the Local authority, municipal corporation and/or water utility
- Yearbook to document the progress in implementation for a longer period of time
- Local newspapers / Local government newsletters or gazettes
- Community meetings

The feedback from this consultation should also enable the municipality to prepare an appropriate action plan for implementing the selected solutions, including financing plan and capacity building needs. The outcome should be consensus on the preferred options in technical, financial and managerial terms and provide clear definition of the roles and responsibilities for implementation, operation and maintenance.

There needs to be collective agreement between the main stakeholders upon the institutional roles and responsibilities for furthering the plan, details of the management arrangements and regulatory requirements. The agreement needs to be supported by the commercially viable financing and cost-recovery mechanisms, and a transparent presentation of tariffs and any proposed cross-subsidies. The feedback from this consultation should identify any areas or weaknesses in the plan that need to be addressed prior to implementation. It should subsequently be used as the basis for discussing financing with the Ministry of Finance, development banks and other potential funders.

Sanitation promotion, advocacy and awareness-raising

There is no point in trying to sell, or even give, a sanitation facility to a household that does not want it. Therefore, there is a need to understand both existing consumer demands and requirements for sanitation, and to stimulate new or latent demand for sanitation. Sanitation services need promotion in the same way that hygiene improvements require promotion, but the “drivers” of demand may be different. Sanitation promotion frequently focuses on the attractiveness, usefulness and convenience of having and using household sanitation facilities.²

Peer pressure can be an important element of stimulate demand for improved sanitation services. This is evident with the Community Led Total Sanitation Approach which has been widely adopted for rural sanitation programmes to eliminate open defecation. Although the situation is different in urban areas, social mobilisation through awareness raising can result in communities collectively taking a more proactive role towards improving sanitation in their areas. This may involve individuals taking action to invest in improvements to household level facilities and increase willingness to pay for improved sanitation services or collective action to keep drains clear from solid waste.

Sanitation marketing uses commercial and social marketing techniques on the demand side and market development and facilitation on the supply side to promote uptake and sustained use of improved sanitation³. In the urban situation, often the constraint is more on the supply side rather than on the demand side, but there may nevertheless be benefits for a marketing component of a sanitation strategy focussing on promotion of well-defined behaviours and products⁴.

As described below in Box 11, local authorities are important actors to take a lead role in the planning process. Advocacy and awareness-raising is therefore also equally relevant towards city leaders to prompt local authorities to take the necessary action to develop the enabling environment for the various actors to work together to provide better services. In Indonesia, one of the main drivers for encouraging the mayors to see the importance of sanitation in their cities has been the economic benefit.

² World Bank Sanitation, Hygiene and Wastewater Resource Guide - <http://water.worldbank.org/shw-resource-guide>

³ Water and Sanitation Program Sanitation Marketing Toolkit. <http://www.wsp.org/toolkit/what-is-sanitation-marketing>

⁴ http://www.sharerresearch.org/NewsAndEvents/Detail/Gordon_McGranahan_sanitation_marketing

Box 11: Experiences from the ACCESSanitation project in India and the Philippines

In the planning activities supported by ICLEI in India and the Philippines as part of the ACCESSanitation project the focus of the planning was to build the capacity of local authorities to develop strategic sanitation action plans in selected cities and implement a demonstration project providing the basis for scaling up after the project. The project produced a tool comprised of 15 modules specifically designed for local governments to be used to support planning and implementation of sustainable water and sanitation interventions at the local level. The tool includes modules for city sanitation planning, implementation and management, financing and participatory monitoring and evaluation. Each of the participating local governments developed an action plan to improve the sanitation situation in a selected area in their cities. The action plans include the city's priority issues as identified through a stakeholder process, the objectives and targets developed for improving sanitation, the activities foreseen to achieve the planned improvements and a financial and management plan for a pilot activity in the city. The project also encouraged South-South interactions between city authorities to promote learning and experience sharing.

See www.accessanitation.org for further information

Capacity building

Problems of sanitation service delivery frequently stem from management deficiencies and poor cost recovery as well as a lack of sufficient staff with adequate technical capacity. Lack of institutional capacity related to managerial and technical competences to develop and implement strategic plans is a key constraint. It is therefore important to strengthen organizations and institutional capacity to identify, understand and evaluate complex urban environmental problems related to sanitation and to building financial and managerial capabilities for service provision and regulation of non-governmental service providers.

Capacity development is one of the prerequisites for effective planning, and subsequently implementation, which involves various activities for organisational strengthening at all levels and development of human resources within these organisations. Figure 10 illustrates the concept of capacity building in which a local capacity building strategy focuses upon training and skill development, and development of effective

organizations for planning and management. New skills are often required, but for these organisations to be effective, they need to be embedded in/linked to a supportive institutional and legal framework.

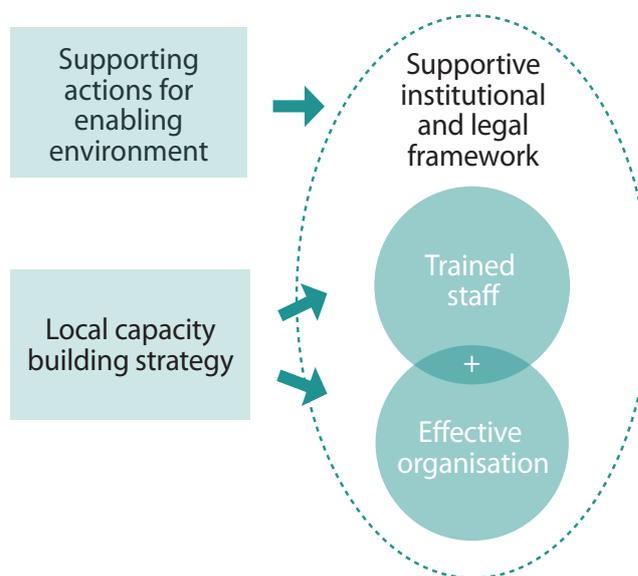


Figure 10: Components of capacity building (Peltenburg et al, 1996)

Sanitation planning and human resource development are intrinsically linked and an iterative process in which the human resource development requirements are identified based on the findings of the sanitation plan is recommended. It starts with the recognition of the skills and capacities that already exist amongst the organisations involved in the planning process and builds upon them. It is important to develop capacities of a larger tier of technicians because they are often transferred to other departments, taking away with them a depth of knowledge acquired and a good institutional memory. As well as the focus on governmental and NGO staff, capacity development is also necessary for local private sector entrepreneurs, engineers and sanitation professionals who may not have knowledge on new innovations on technologies and business models.