

A blue decorative graphic consisting of a series of overlapping, semi-transparent shapes that form a pointed, arrow-like shape pointing to the right.

Kenya Countywide Inclusive Sanitation Strategic Planning Guidance Note

May 24, 2019

Table of content

List of key terms	4
1. Background and context	6
2. Why sanitation?.....	6
Still insufficient coverage in Kenya	6
The shift from MDGs to SDGs	6
The Sanitation Service Chain	7
Fragmented responsibilities for sanitation services provision in Kenya: Policies and Institutions	8
3. What is Countywide Inclusive Sanitation?	10
4. Realizing Countywide Inclusive Sanitation through Strategic Planning.....	11
The strategic sanitation planning process and its implementation	12
5. Step 1: Who	14
Form your team and allocate sufficient resources	14
Integrate stakeholder engagement and communication.....	17
Identify and analyse stakeholders	18
Set overall goals for stakeholder engagement	19
Agree on guiding principles for stakeholder engagement.....	19
Plan your engagement with stakeholders.....	20
6. Step 2: Why?.....	20
Know your 'Why'	20
Understand the current situation.....	21
7. Step 3: What for?	22
Develop a shared Vision	22
Indicators of success	23
8. Step 4: How?.....	24
Agree on a set of guiding principles.....	25
9. Step 5: Then what?	26
Prepare an investment plan	26
Identify interventions	27
Prioritize interventions	27
Cost the interventions.....	28
Understand alternative solutions	29
Develop a Consolidated Strategic Sanitation Plan	31
10. Implementation.....	31
Define the process of implementation	31

Secure financing	31
Monitor, evaluate and review	32
11. Conclusions and recommendations	32
12. Other resources	33
Strategic sanitation planning	33
Sanitation in Kenya	33
Tools	34
13. References	35
Annex 1: Nakuru strategic planning process	36
Step 1: Who	36
Forming the Nakuru team.....	36
Integrating stakeholder engagement in Nakuru.....	37
Step 2: Why?	39
Understanding the current situation in Nakuru	39
Step 3: What for?	43
Developing a shared vision for Nakuru.....	43
Step 4: How?	43
Agreeing on guiding principles	43
Step 5: Then what?	45
Planning the interventions in Nakuru.....	45
Implementation, monitoring & evaluation and reviewing of the Strategic Plan	46
Annex 2: Rural Sanitation Assessment Checklist	47
Annex 3: Citywide Inclusive Sanitation: A Call to Action	51

List of key terms

Action Priority Matrix	A technique to plot the value of the task against the effort it will consume in order to prioritize actions.
Action Plan	An agreed set of actions being implemented at any given time
Countywide Inclusive Sanitation	Based on the principles of Citywide Inclusive Sanitation, Countywide Inclusive Sanitation addresses the entire spectrum of the sanitation service chain for the entire geographic area of the county: rural, peri-urban and urban. See further explanation in section 3.
Countywide Inclusive Sanitation Strategy	A strategic document developed during the strategic sanitation planning process that includes for example a why statement, a vision and the guiding principles. It is designed to be living document that cycles through the process to identify new courses of actions as planned actions are realized and circumstances change.
Guiding principles	A set of principles that help define the “how” of the sanitation strategy and dictate how the sanitation sector in the county will do things in the future. See further description in section 8.
Guiding policy	A document containing the formulated guiding principles. Can be integrated within the Countywide Inclusive Sanitation Strategy.
Intervention	A solution expressed as a series of actions to manage, mitigate or solve a problem.
Investment Plan	A set of policy, institutional and infrastructural interventions to be implemented in order to make progress towards moving from current to desired sanitation situation.
Stakeholder	A stakeholder is an individual, group or organization with varying interests in, or who may be impacted at various levels by, an intervention or a project.
Stakeholder Engagement Framework	A strategic document that guides stakeholder engagement activities. See further description in section 5.
Strategic Sanitation Plan	A plan with consolidated results from the strategic planning process, that includes identified and prioritized interventions and activities. See further description in section 9.
Strategic Sanitation Planning	A process to move from where we are now (current situation) to where we want to be (vision), by providing a framework to organize the specific activities that will be required, and guidance on

Strategic Sanitation Planning (SSP) Team

how to react when things don't go according to plan. See further description in section 4.

The multi-sectoral sanitation team that performs the strategic sanitation planning process. See further description in section 5.

1. Background and context

The Kenya Vision 2030, the country's long-term national development blueprint, provides the framework for transforming Kenya into a newly-industrialized, middle-income country providing a high quality of life to all its citizens in a clean and secure environment by 2030. Vision 2030 commits to ensuring that 'every Kenyan should have access to clean, safe water and improved sanitation by the year 2030'.

Additionally, the Constitution of Kenya 2010 guarantees the right of every person to the highest attainable standards of health; a clean and healthy environment; sanitation, water and other related rights. The country is, however, still struggling with low water and sanitation coverage. If the goals of universal access to water and sanitation are to be achieved, then the country must take radical steps in order to address the current gaps within the sectoral policies while strengthening the ability of institutions to respond to the challenges that exist.

Kenya's devolved structure makes counties responsible for water supply and sanitation service provision. This model calls for the incorporation of urban and rural areas into sanitation planning at the county level to truly reach universal access to sanitation services. To date, rural and urban service provision are often segregated, with different approaches and responsibilities, resulting in significant inefficiencies and sometimes mixed results. Conversely, there exist counties that have been able to progress in structuring their enabling environment for sanitation, including in sector coordination, sanitation financing, and legal environment. Yet others have been able to innovate in various areas, for instance the production of briquettes from faecal waste and the disability-inclusive sanitation products in Nakuru County. These good practices require documentation and dissemination, for potential scale-up.

The Kenya Countywide Inclusive Sanitation (COWIS) approach was initiated as part of a World Bank Technical Assistance to the Government of Kenya to address sanitation challenges. A methodology was developed in collaboration with Nakuru County and relevant national government representatives to address sanitation challenges in a county-wide manner in Nakuru. This note summarizes said methodology to encourage its application in other counties in Kenya.

2. Why sanitation?

Still insufficient coverage in Kenya

Though the UNICEF/WHO Joint Monitoring Programme (JMP) classifies Kenya as having made 'good progress' with regards to achieving the Millennium Development Goal (MDG) targets water, it considers that 'little to no progress' was made in regard to achieving the sanitation targets within the period 1990-2015 (WHO/UNICEF 2015). According to the JMP, in 2015, Kenya's access to improved sanitation facilities was at 30 percent (31 percent urban; and 30 percent rural), 21 percent relied on shared facilities, 36 percent on unimproved facilities, while 12 percent were practicing open defecation. Overall, coverage in rural areas lags behind that of urban areas.

The shift from MDGs to SDGs

On September 25th, 2015, countries around the world including Kenya, adopted a set of goals (the Sustainable Development Goals, SDGs) to end poverty, protect the planet and ensure prosperity for all as part of a new sustainable development agenda. Each goal has specific targets to be achieved over the

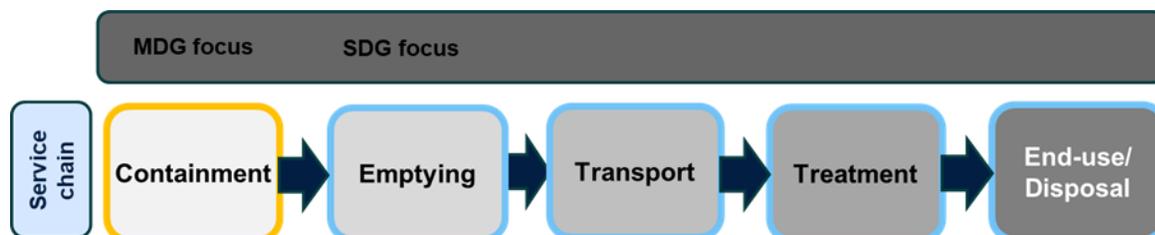
subsequent 15-year period, or until 2030. SDG 6 is set to ensure access to water and sanitation for all. Sanitation access will also contribute to several of the other sustainable development goals as it improves health and the environment, which in turn leads to improved economic growth, equality and more sustainable cities. The SDGs provide new impetus to ensure access to sustainable water and sanitation services, to keep cities safe and resilient, and to promote citizens' health and well-being.

The MDGs focused on access to improved sanitation facilities (containment of wastewater and faecal sludge) while the SDGs focus on *safely managed sanitation*, which requires addressing the whole *sanitation service chain*. This shift has implications on the status of the sanitation situation globally.

The Sanitation Service Chain

The sanitation service chain is designed to take into consideration both the health and the environmental dimensions of sustainable sanitation service delivery. User interface/containment and emptying/collection relate primarily to the sanitation issues of relevance at the immediate household level with regard to convenience, dignity, quality of life and health for the householders, while the subsequent steps in the chain are needed to ensure that public goods such as public health on a broader level and the protection of the environment are promoted. However, the sanitation service chain has to be viewed holistically if all of the benefits of safely managed sanitation along the chain are to be realized. Addressing any part of the service chain without considering the rest will not result in overall benefits, as household health will be negatively affected by poor treatment and disposal and environmental benefits will not be realized if proper containment and emptying is not in place.

Figure 1: Components of the sanitation service chain



An analysis undertaken in Kenya in April 2017¹ revealed that only about 20 percent of the population has access to safely managed sanitation, compared to 30 percent that had access to improved sanitation in 2015 (see Figure 2).

¹ Implementation of the Agenda 2030 for Sustainable Development Goal 6 in Kenya, 2017

Figure 2: Proportion of Kenyan population using safely managed sanitation services, including a hand-washing facility with soap and water



In addition to addressing the entire sanitation service chain, sanitation is very closely connected to other services, such as water supply, solid waste management and drainage, and as such these services have to be managed in an integrated way. Inadequate sanitation services can pollute water sources, while the amount of water supplied to a household affects the feasibility of the different sanitation solutions for that household. If solid waste is not managed properly, it can clog drains and sewers and lead to flooding and pollution; inadequate solid waste management can also interfere with faecal sludge and septage emptying, transportation and treatment.

Fragmented responsibilities for sanitation services provision in Kenya: Policies and Institutions

The Kenya Environmental Sanitation and Hygiene Policy (KESHP) 2016-2030 developed and launched by the Ministry of Health in May 2016 provides the overarching policy framework for achieving universal and sustainable access to improved sanitation, and a clean and healthy environment in Kenya by 2030. KESHP 2016-2030 envisions a clean, healthy and economically prosperous Kenya free from sanitation- and hygiene-related diseases by 2030. The Policy aims to make Kenya Open Defecation Free (ODF) and achieve and sustain 100 percent access to improved rural and urban sanitation by 2030; and to increase public investment in sanitation and hygiene from 0.2 to at least 0.5 percent of the GDP by 2020 and to 0.9 percent of the GDP by 2030. The KESHP 2016-2030 outlines the roles and responsibilities of different stakeholders from the national, county and community levels to the household and individual levels of the sanitation chain.

The National Environment Policy 2013 recognizes the need for special attention to the most pressing environmental health problems associated with air and water pollution, water supply and sanitation, waste management, and chemical and food safety which directly affect human health. The Ministry of Water and Sanitation is in the process of developing the National Water Policy which is expected to include sanitation.

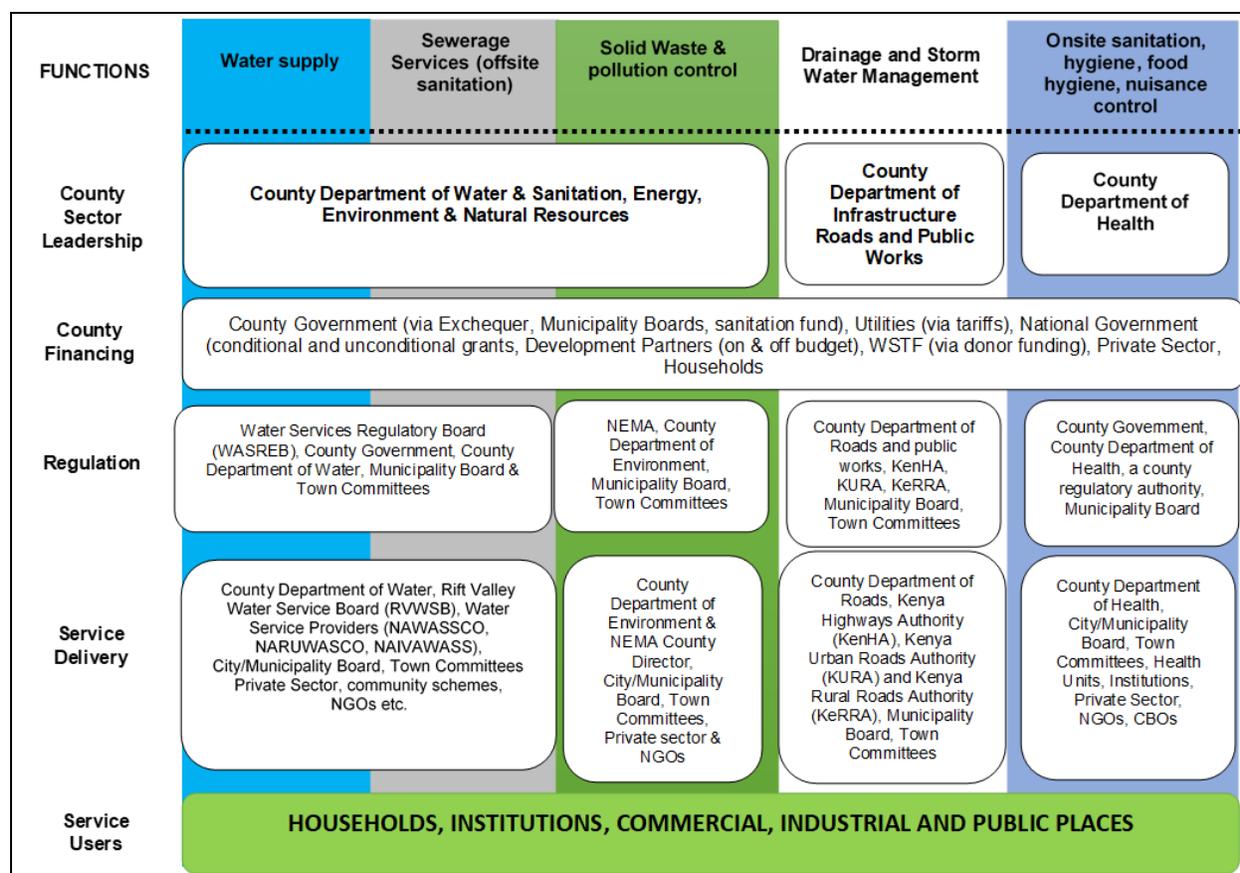
The Constitution of Kenya vests in the county governments a range of powers and responsibilities for sanitation service delivery. At the national level, the institutional arrangements for sanitation involve mainly ministries, departments and agencies including Ministry of Health, Ministry of Water and Sanitation and Ministry of Environment, the Water Service Boards (WSBs)/Water Works Development Agencies

(WWDAs), Water Services Regulatory Board (WASREB) and the National Environment Management Authority (NEMA), development partners and non-state actors including NGOs and private sector. At the county level, the planning and delivery of sanitation-services is mainly shared among the departments of Water and Health, with other departments including urban development and physical planning, housing, roads and public works, finance and economic planning, and gender providing sanitation-related or supportive services. youth and education.

County governments also have the power to decentralize and delegate the execution of the sanitation functions to urban authorities (city and municipality boards and town committees), other lower-level units such as community/village units,² water services providers (WSPs), private sector and CSOs/NGOs. The WSPs, which are largely county-owned agencies are responsible for provision of water and sanitation services within a set jurisdiction specified in their licenses.

Figure 3 summarizes the roles of the different institutions active at each level of the Kenya water and sanitation sector.

Figure 3: Institutional roles and relationships in the water and sanitation sector



These multiple institutional players along the sanitation service chain most often result in fragmented service delivery responsibilities and unclear/overlapping service provision mandates and pose a huge coordination challenge.

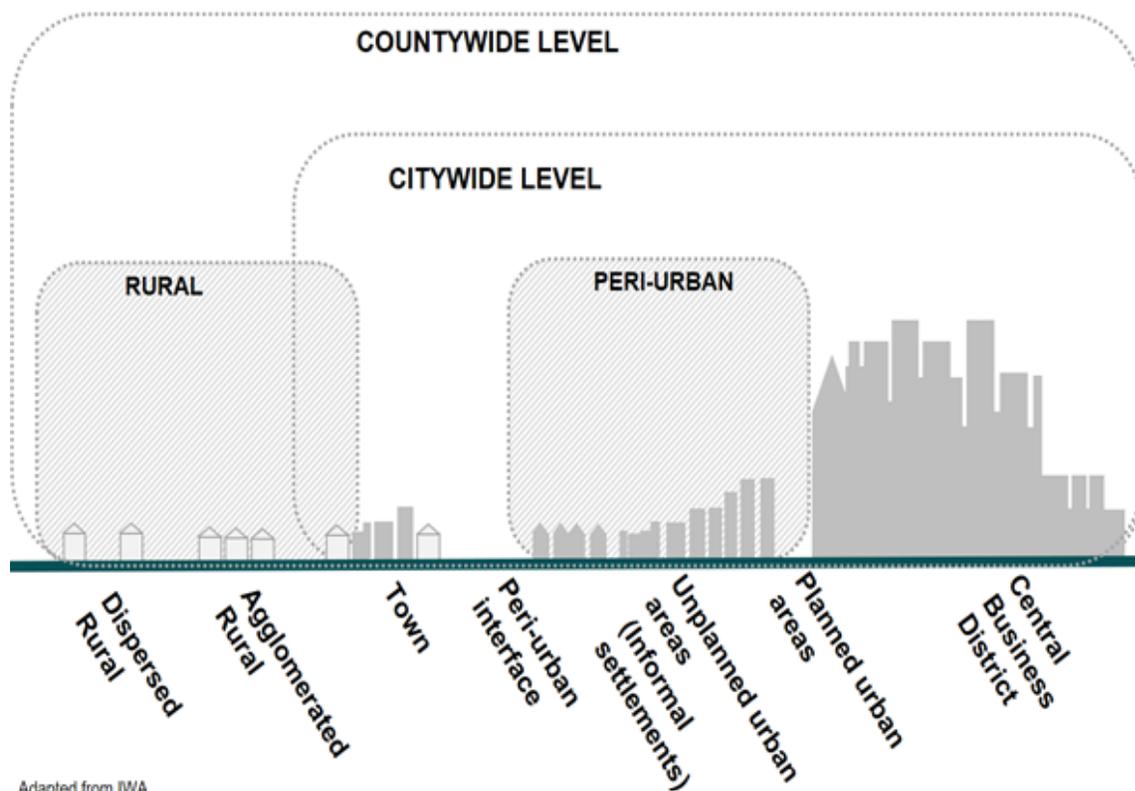
² WSUP (2017) Situation analysis of the urban sanitation sector in Kenya.

3. What is Countywide Inclusive Sanitation?

The concept of Countywide Inclusive Sanitation addresses the entire spectrum of the sanitation service chain with a portfolio of solutions, considering administrative mandates; capacities of implementers; service levels – water and sanitation access; access to markets; and social fabric. Figure 4 shows the different levels of implementation to consider in a “Countywide Approach” for Kenya.

The concept builds on the principles of Citywide Inclusive Sanitation as defined by the World Bank and partners in their Call to Action (see Annex 3), while taking into account the diversity of settings (on the urban to rural spectrum) found in Kenya’s counties.

Figure 4: A Countywide approach



A countywide approach to sanitation service provision is based on the following principles (Box 1):

Box 1. Principles of Countywide Inclusive Sanitation

1. **Everybody benefits** from adequate sanitation service delivery outcomes
2. Human waste is **safely managed** along the whole sanitation service chain
3. Allow for integrated planning, design and service provision
4. **Responsibilities** and service provision mandates are **clearly defined across** the rural-to-urban spectrum to address fragmentation and maximize economies of scale while providing customer-oriented services
5. **Comprehensive approaches** to sanitation improvements are needed, with long-term planning, technical innovation, institutional reforms and financial mobilization:
 - ✓ A **diversity of technical solutions** is embraced, being adaptive, mixed and incremental
 - ✓ Effective resource recovery and re-use is considered
 - ✓ Combines both onsite sanitation and sewerage solutions, in either centralized or decentralized systems, to better respond to realities faced in cities
 - ✓ Needs to consider *complementary services*: water supply, drainage, greywater, solid waste and integrate sanitation in other national programs
6. Counties will need to demonstrate **political will** and technical and managerial **leadership**, and to manage **new and creative ways of funding** sanitation
7. Emphasize **changing and sustaining behaviours** by empowering communities and engaging multiple stakeholders across different sectors affected by sanitation outcomes
8. Targeted measures to support the poor and vulnerable - financial and non-financial
9. Ensure all **gaps of the different market segments are filled** (e.g. rural sanitation and water supply for agglomerated rural communities and for dispersed rural communities)
10. Bolster the robustness of institutions through **capacity building** of staff

Achieving Countywide Inclusive Sanitation requires the joint and coordinated efforts of the whole sanitation sector within the county, which will need a framework for coherent action. Strategic planning is designed to help public organizations respond effectively to challenges and new situations and is a disciplined effort to produce fundamental decisions and actions shaping the nature and direction of an organization or sector. Strategic sanitation planning is therefore recommended as a means to realize countywide inclusive sanitation in Kenya.

4. Realizing Countywide Inclusive Sanitation through Strategic Planning

Strategic planning is a process to move from where we are now (current situation) to where we want to be (vision), by providing a framework to organize the specific activities that will be required, and guidance on how to react when things don't go according to plan. This means that strategic planning helps us deal with uncertainty and changing conditions much better than classic master plans, which tend to focus only on specific investments.

In the case of sanitation, strategic sanitation planning is a process to move from unsafe sanitation to safely managed sanitation along the sanitation service chain. Strategic planning helps us adapt our sanitation interventions to external factors such as urban development, technological interventions, climatic variability, stakeholder initiatives and available funding, making them easier to implement and more sustainable in the long term.

Strategic planning is based on a series of discussions and decisions among key decision makers, planners and stakeholders, about what is truly important for the purposes of an organization or, in this case, the sanitation sector. Strategic thought and action are increasingly important to the continued viability and effectiveness of governments and public agencies of all sorts, and most importantly in a sector heavily affected by climate change and pressing needs from the public. A clear countywide sanitation strategy is necessary to develop a coherent and justifiable basis for decision making amongst stakeholders.

Strategic planning is for decision makers because it tends to fuse planning and decision making. It is not only about planning, it is about **thinking and acting** to serve the stakeholders and the community as a whole in an **efficient, effective** and **responsible** manner.

The strategic sanitation planning process and its implementation

In strategic planning, the focus should be on the process and not merely on the end result. The strategic documents developed during the process serve as a platform for transparency in action and as living documents for the strategic planning process. They are however only valuable as part of a planning process performed by a multisectoral team.

The Kenya countywide strategic sanitation planning process is based on the following steps (see also Figure 5):

1. **Who:** Establish a multi-sectoral strategic sanitation planning team and integrate stakeholder engagement
2. **Why:** Know your 'why' and understand your current situation
3. **What for:** Develop a shared vision and select indicators of success
4. **How:** Agree on guiding principles
5. **Then what:** Plan your interventions

The results of the planning process are then used for implementation in order to solve the current problems and achieve the vision. The implementation process is monitored to evaluate progress, compare it to goals and targets and empower through transparency and accountability.

Figure 5: The five steps of the Countywide Inclusive Strategic Sanitation Planning



It is important to keep in mind that strategic planning is an ongoing continuous process without a finish line and the Strategic Sanitation Planning team, once formed, should be seen as an entity that will continue working towards achieving the vision. The resulting documents/outputs are updated as progress occurs and as the situation changes.

Methods for strategic planning typically include:

- Creative workshops, preferably facilitated by someone experienced in workshop facilitation, to develop for example the Why statement (step 2), the vision (step 3) and the guiding principles (step 4)
- Field trips, to get a common basis for understanding the current situation (step 2)
- Data collection, to produce a good diagnosis (step 2)
- Stakeholder engagement activities (described further in step 1)
- Meetings and on-going discussions within the Strategic Planning team during the whole process.

The different steps of the strategic planning process are described below. In many cases, the different steps will be integrated with each other, for example it may be practical to develop the 'Why statement' of step 2 in the same workshop as the 'Vision' in step 3. For clarity, however, they are described as separate and succeeding steps.

The process has been tested in Nakuru County, and examples from Nakuru are given in boxes for each step of the process. The outcomes for the different steps in the planning process for Nakuru are described in Table 1. A more detailed description of the process in Nakuru is given in Annex 1.

Table 1: Outputs of the Nakuru Countywide Strategic Sanitation Planning Process

Step in the strategic planning process	Outputs
Step 1: Who?	<ul style="list-style-type: none"> • A multi-sectoral strategic sanitation planning team from Nakuru County Government, NACOSTEC³, was formed and gazetted. A NACOSTEC secretariat was established. • A stakeholder analysis was made and included in the Nakuru Countywide Inclusive Sanitation Strategy. • A stakeholder engagement framework and communication strategy was produced. • Activities to include stakeholders were performed at every stage of the process.
Step 2: Why?	<ul style="list-style-type: none"> • A Why statement (see description below) was formulated and included in the Nakuru Countywide Inclusive Sanitation Strategy. • A SWOT-analysis (see description below) was made and also included in the strategy. • A situation analysis report was produced, which identified the constraints faced by the stakeholders and their perceived needs to achieve countywide inclusive sanitation.
Step 3: What for?	A vision for sanitation in Nakuru County in 2030 was formulated and included in the Nakuru Countywide Inclusive Sanitation Strategy.
Step 4: How?	A set of guiding principles were agreed upon and included in the Nakuru Countywide Inclusive Sanitation Strategy.
Step 5: Then what?	<ul style="list-style-type: none"> • A strategic sanitation investment plan, including identified and prioritized interventions was produced. • An implementation and monitoring framework was also included in the plan.
Final Output	Nakuru County Strategic Sanitation Plan consolidating all outputs in a summarized manner

5. Step 1: Who

The first step is to define *Who* will take part in the strategic planning process. You need to define the team that will perform the strategic planning process, the Strategic Sanitation Planning team (shortened SSP team in this document), and identify stakeholders to engage in the process.

Form your team and allocate sufficient resources

To achieve countywide inclusive sanitation, you need to include and utilize the knowledge and commitment of the entire water and sanitation sector within the county government. It is therefore crucial to form a strategic sanitation planning team that is as inclusive as possible bringing in the necessary technical expertise and interests from different departments, agencies and/or sectors as well as decision making considerations. The representatives could be from the departments working with rural as well as urban sanitation, public health, water, solid waste, environment, roads (responsible for drainage) and urban planning and housing. Water services providers, should also be part of the team. The SSP team should

³ Nakuru Countywide Sanitation Technical Steering Committee

however, have a window for co-opting such members with expertise or experiences as may be required at any given stage of the SSP process.

While the composition of the team could vary from county to county, it is recommended that it should ensure that the staff nominated to the team have requisite expertise, are experienced enough and can adequately dedicate their time to the strategic planning process. Ideally, the team should be chaired by senior staff e.g. at director level who are permanent employees of the County and are not likely to change with change of government from time to time. In the case of Nakuru, the Director of Water and Sanitation and Director of Public Health were identified as the best fit to lead the SSP team. An example of how the SSP team was composed in Nakuru County is given in Box 2. The different categories of members were selected and included in the team on the basis of their strategic roles and responsibilities, interest and influence in the strategic planning process.

The SSP team acts as a steering committee that provides more frequent, in-depth, and consistent advice and guidance throughout the planning process. The team is responsible for establishing planning process objectives, mobilization of stakeholders, facilitation of planning and briefing meetings and stakeholder forums, process documentation and review, and provision of feedback and dissemination of process outputs or deliverables to stakeholders.

For better management of the strategic planning process, the SSP team would need to be supported by a representative Secretariat and such technical working groups or task forces as may be deemed appropriate to enable it execute its functions effectively and efficiently. The SSP team should also be supported by a stakeholders' forum for purposes of ensuring wider sector and stakeholder engagement in the strategic planning process including the review and validation of the process outputs at different stages of the process (see Integrate stakeholder engagement and communication below). The strategic planning team performs best with a clear organizational structure which clearly defines roles, responsibilities, and functional requirements for each role or position on the planning team.

It is important that the team is supported at all levels in the county government, including from the highest level of governance (the county governor). Since strategic planning is a continuous process, the team should be formed to be a permanent part of the county government organization.

Box 2. Example of Composition of Nakuru Countywide Strategic Sanitation Planning (SSP) Team

1. Chairs:

- a) Director, Water, Chairperson of the Technical Steering Committee
- b) Director, Public Health and Sanitation, Co-Chairperson of the Technical Steering Committee

2. Members:

- a) County Department of Water, Environment, Energy and Natural Resources--(4 representatives)
- b) County Department of Health—(4 representatives)
- c) County Department of Roads and Public Works—(1 representative)
- d) County Department of Urban Development, Physical Planning and Housing—(1 representative)
- e) County Department of Finance and Economic Planning—(1 Representative)
- f) County Department of Youth, Gender, Children, Sports and Culture—(1 representative)
- g) County Department of Education and ICT--(1 representatives)
- h) Nakuru Municipality Board-- (each Gazetted Municipality and Town Committee to be represented by 1 member each)
- i) Nakuru Water and Sanitation Company—(2 representatives)
- j) Nakuru Rural Water and Sanitation Company—(2 representatives)
- k) Naivasha Water and Sanitation Company —(2 representatives)

3. Ex-Officio members

- a) The Governor of County Government of Nakuru —County Sanitation Champion and *Ex-Officio* Member
- b) CEC Member, Department of Water, Environment, Energy and Natural Resources —Patron and *Ex-Officio* Member
- c) CEC Member, Health - Co-Patron and *Ex-Officio* Member
- d) Chief Officer, Water, *Ex-Officio* Member
- e) Chief Officer, Health, *Ex-Officio* Member

4. Co-opted Members

County Government

- a) County Department of Trade
- b) County Department of Tourism
- c) County Department of Agriculture and Veterinary Services

National Government

- d) National Environment Management Authority (NEMA) -
- e) Water Services Regulatory Board (WASREB)
- f) Water Resources Authority (WRA)
- g) Kenya Wildlife Service (KWS)
- h) County Commissioner

Civil society, Research institutions, private sector and development partners

- i) KEWASNET
- j) NGOs
- k) Special Groups (women, youth and persons with disability)Development Partners
- l) Water Resources Users Association (WRUA)
- m) Resident Associations
- n) Private Sector/business community
- o) Universities/Research Institutions
- p) Development partners (donors)

5. **Joint Secretariat** managed by two joint secretaries, each appointed by the Departments of Water and Health.

Kenya Gazette, Gazette Notice No. 13125, 21st December 2018
County Government of Nakuru

In order for the planning to be successful, sufficient resources in terms of human and financial resources, as well as time, need to be allocated to the team and the process. Essentially, once formed, the team will need to secure adequate financial resources to facilitate the entire strategic planning process. Although the resource requirements may vary from county to county, there is need for the team to develop its SSP process management work plan and budget. Broadly, the team will need to secure adequate financial resources to support the following process activities to ensure successful completion:

- a) Establishment of SSP support secretariat and its day to day activities including ICT support
- b) Formulation of CWIS strategy and roadmap formulation meetings
- c) Technical assistance that may be required for the process. This may include water and sanitation engineer, governance and institutional specialist, strategic/investment planning specialist, rural sanitation specialist, urban sanitation specialist and financing specialist)
- d) Situation analysis workshop
- e) Situation analysis report writing meetings
- f) Strategic plan review meetings
- g) Stakeholder consultation, feedback and validation meetings
- h) Publication of strategic sanitation plan
- i) Strategic plan launch event
- j) Dissemination of the strategic sanitation plan
- k) Quarterly and annual SSP review meetings
- l) Quarterly and annual SSP reporting
- m) Mid term and end term SSP evaluations

Integrate stakeholder engagement and communication

Throughout the planning process, the SSP team should engage and communicate with relevant stakeholders. Stakeholder engagement in sanitation planning is essential for several reasons. The long-term sustainability of sanitation projects and interventions is greatly improved by engaging stakeholders, since stakeholders can provide crucial information about the current situation, about their own needs, as well as about how services are performing over time. Sustainability is also achieved by creating a collective ownership and responsibility for sanitation interventions. Stakeholders can provide support, both financially and in terms of capacity building and human resources. It is very important to remember that stakeholder engagement should be a two-way flow of information, where the county government both conveys information to stakeholders and listens to and incorporates ideas from stakeholders

Engaging public stakeholders, such as relevant ministries of the national government or different departments of the county government, can also lead to more effective and harmonized regulations as information is shared. Stakeholder engagement can provide a platform to resolve conflicts and arrive at a common understanding on the issues at hand. Public participation and stakeholder engagement are requirements in the Constitution of Kenya. Creating awareness on sanitation issues within the community is fundamental for the success of sanitation projects.

In order to ensure a strategic approach to stakeholder engagement, and to align the engagement with the guiding principles of the sanitation strategy, it is useful to develop a stakeholder engagement and communication framework. The process to achieve this is outlined below.

Identify and analyse stakeholders

First, relevant stakeholders at different levels need to be identified. Stakeholders to be listed should include public stakeholders (such as government at all levels, service providers and regulating authorities) private stakeholders (such as businesses in sanitation and businesses affected by sanitation issues), non-profit organizations, social enterprises, development partners, research/academic institutions, media and the community. Stakeholders can operate on the international, national, county, sub-county and/or local levels.

Stakeholder analysis provides the team with views and measures that can help uncover and remove barriers. The difference between success and failure can be simply in knowing project advocates and opponents, understanding their respective needs and levels of influence, and aligning the strategic sanitation process accordingly⁴.

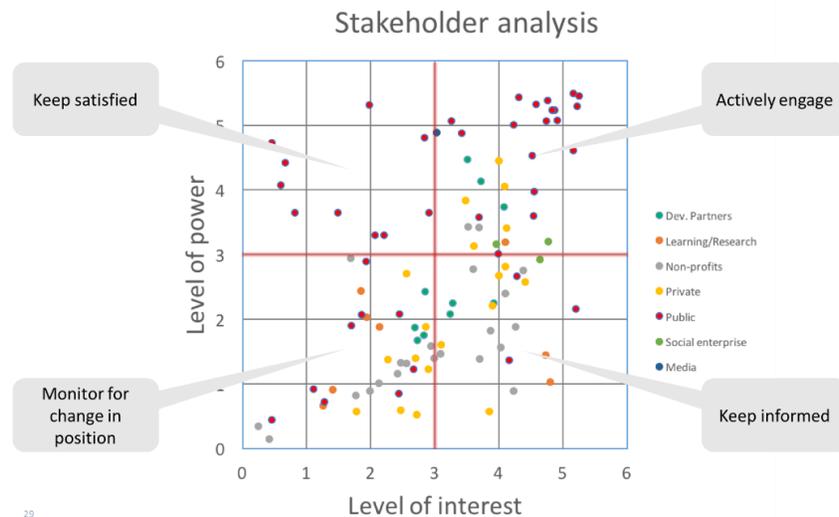
Box 3: Stakeholder analysis in Nakuru County

Over 100 stakeholders have been identified as involved in the sanitation subsector in Nakuru County, including: government at all levels (national/county/ sub-county/ward), service providers, development partners, non-profit organizations, research institutions, private companies and the community. A stakeholder analysis was performed and served as a basis for the development of engagement plans. A more detailed description is given in Annex 1.

One effective way to analyse and prioritize stakeholders is to organize them according to their level of interest in the strategic sanitation planning and their level of power over the outcome of the planning process (see also Figure 6):

1. Stakeholders with high level of interest and high level of power are stakeholders to actively engage/directly involve
2. Stakeholders with high level of interest and low level of power are stakeholders to keep informed
3. Stakeholders with low level of interest and high level of power are stakeholders to keep satisfied
4. Stakeholders with low level of interest and low level of power are stakeholders to monitor.

Figure 6: An example of a stakeholder analysis matrix, with levels of power and interest, Nakuru case⁵



⁴ <https://www.pmi.org/learning/library/stakeholder-analysis-pivotal-practice-projects-8905>

⁵ The position of stakeholders could change from county to county depending on circumstances.

Set overall goals for stakeholder engagement

It is useful to be very clear about the overall purpose of stakeholder engagement relating to the entire strategic planning process and the realization of countywide inclusive sanitation. Overall goals of stakeholder engagement can be formulated both for the short term relating to the succeeding steps of strategic planning (for example that all stakeholders should be given the opportunity to participate in the strategic planning process) and for the long-term related to the implementation of the strategic sanitation plan to achieve countywide inclusive sanitation (for example that stakeholders will help to advocate for the allocation for sufficient resources in sanitation within the county). The overall goals will also provide a basis for evaluating and monitoring stakeholder engagement as a whole, for example if some stakeholders or some crucial activities have been left out.

Box 4: Examples of goals for stakeholder engagement in Nakuru County

- Stakeholders know and support the Nakuru Countywide Inclusive Sanitation Strategy (*short-term goal*).
- Stakeholders will advocate for the allocation of adequate financial and human resources for sanitation projects and interventions (*long-term goal*).

All the short-term and long-term goals are listed in Annex 1.

Agree on guiding principles for stakeholder engagement

Although stakeholder engagement activities will differ depending on the type of stakeholder, defining general guiding principles for stakeholder engagement will make the tailoring of specific engagement plans and activities easier.

In Nakuru County, guiding principles for successful stakeholder engagement were defined and then organized under four headlines that came out of the discussion on success and failure of stakeholder engagement (see Box 5).

Box 5: Examples of guiding principles of stakeholder engagement in Nakuru County

Ensure enabling institutional framework:

- Adequate financial and human resources should be allocated for stakeholder engagement in the overall strategic planning process as well as in specific sanitation projects and interventions.

Show respect for the stakeholder:

- The purpose of each stakeholder engagement process should be clearly defined before start and the issues at hand should be relevant to the participants.

Build trust and integrity:

- A code of conduct that is based on integrity and builds trust should always be applied.

Ensure mutual benefits:

- All stakeholder engagement processes should be beneficial to the participating stakeholders as well as the County Government.

All the guiding principles are listed in Annex 1.

Plan your engagement with stakeholders

In order for stakeholder engagement to actually take place, stakeholder engagement activities need to be planned. The planning should take into account the result of the stakeholder analysis as well as the resources available for stakeholder engagement.

There are many different methods for engaging stakeholders, ranging from providing information on websites or social media to holding community meetings or focus group discussions. In most cases, several different methods should be used for engaging stakeholders during the strategic sanitation planning and implementation processes. When choosing method of engagement, the following should be considered:

- Will the method serve the purpose of engagement?
- Will the method ensure that stakeholders can engage regardless of age, gender or ethnicity?
- Will the method allow the giving of necessary feedback to stakeholders?
- What resources are needed? Are these resources available?

In order to ensure effective stakeholder engagement, specific engagement plans should be developed for different categories of stakeholders, tailored to the different phases of preparation and the implementation of the strategic sanitation plan. Based on the overarching goals of stakeholder engagement described above, specific goals for engaging different types of stakeholders should be formulated.

6. Step 2: Why?

The first task to be undertaken by the SSP team is to agree on why the strategic sanitation planning process is necessary. During this step of the process, the reasons for developing a strategic plan must become evident as well as the motivations for changing the current situation. This includes finding the purpose, the “Why” of strategic sanitation planning, and reaching a thorough understanding of the current situation by establishing a good diagnosis.

Know your ‘Why’

The ‘Why’ is the purpose that drives every one of us, and if we know why we do what we do, we become more motivated. To start with ‘Knowing your Why’ is thus a way to increase the motivation of the strategic sanitation planning team to be part of the strategic planning process.

Box 6: The Why statement of Nakuru County

To mobilize resources, engage the community and work together to deliver sustainable sanitation services for improved environment and quality of life in Nakuru County.

In sanitation, the focus is often (and rightly) on things that need to be improved, but in order to find the motivation it is equally important to remember the success stories. Based on success stories from working in sanitation within the county, the team can develop a ‘Why statement’ that describes the mission of the strategic sanitation planning team. It’s important to formulate the ‘Why statement’ in an aspirational way, for example by staying away from ‘ending open defecation’ and instead think about a ‘clean and safe county for all’.

Understand the current situation

It is important to have a deep understanding of the current situation, including current sanitation problems and challenges as well as opportunities and existing resources and capabilities. Sections to be included in the diagnosis include:

- Strategic policy, legal & institutional framework
- Financial resources and funding
- Existing water supply, sanitation, solid waste and drainage situation, including the situation along the entire sanitation service chain
- Sanitation service sector externalities, including housing and industrial development
- On-going interventions
- Needs for and constraints to achieving countywide inclusive sanitation.

Some of the tools that can be used to assess the situation, as well as to plan, implement and monitor are presented below:

- **Faecal Waste Flow Diagram⁶ (SFD⁷):** An SFD is a diagram that effectively illustrates the faecal waste flows in a city or a county (see example in Annex 1). It presents a clear picture of how wastewater and faecal sludge management services are delivered, and the resulting challenges. SFDs help us monitor the sanitation service chain, to identify its strengths and weaknesses, from containment, through emptying, transport, treatment to safe disposal or resource recovery
- **Rural Sanitation Assessment Checklist:** A useful tool for assessment of the various pillars of the enabling environment for sanitation, including policies and institutional framework, demand, supply and other factors. See example in Annex 2.
- **SWOT Analysis.** A SWOT analysis can be used as part of the diagnosis to assess Strengths, Weaknesses, Opportunities and Threats to the sector. SWOT-analysis is a tool that is used in all sectors and is thus not specifically developed for sanitation. It gives a quick overview of the most important strengths to build on, the most important weaknesses to mitigate, and the external factors that provide opportunities and threats that need to be addressed and managed (see example for Nakuru County in Annex 1).
- **Logical Framework Analyses⁸ (logframe)⁹** is a tool to help strengthen project design, implementation and evaluation. Used throughout the project cycle, it helps organize thinking, set performance indicators, allocate responsibilities, create consensus and measure results. A key attribute of the process is the concept of identifying fundamental problems at the outset so that meaningful solutions become obvious. The analysis can be implemented in various ways dependant on the circumstances. To understand the existing situation, stakeholders identify the constraints they face and discuss their needs with respect to the problems identified in “knowing your why”. See Annex 1 for a description of constraints and needs identified by NACOSTEC.
- **Strategic Municipal Asset Management¹⁰ (SMAM)** is an approach to ensure asset requirements and asset management strategies are driven by defined service levels and performance standards.

⁶ <https://sfd.susana.org/about/the-sfd>

⁷ aka ‘Shit Flow Diagram’ (SFD)

⁸ Sansom et al. - 2011 - An introduction to the logical framework.

⁹ aka “Logical Frameworks” or “logframes”

¹⁰ Urquhart, Tony*Busch. “Strategic Municipal Asset Management.” The World Bank, April 30, 2000.
<http://documents.worldbank.org/curated/en/444051468779698444/Strategic-municipal-asset-management>.

It tracks financial resources to allocate them to optimize infrastructure investment across the municipal services chain and takes a life-cycle approach to determine asset operations, maintenance, renewal and development strategies. Taking this approach provides valuable insight to cross-cutting measures in alignment with the SDGs. It highlights and justifies cross-cutting investments such as the link between storm water management and sanitation or the link between job creation, gender inclusivity and sanitation. A situation analyses conducted at the outset is an essential task in understanding the existing situation. It should be performed within a SMAM framework to capture cross cutting issues¹¹.

Box 7: Current situation in Nakuru County

The current situation in Nakuru was analyzed and described in a consolidated situation analysis report. The following aspects were reviewed: legal and regulatory framework, institutional framework, financial resources and funding, availability of safe water, access to improved sanitation, rural sanitation, urban sanitation, analysis of the sanitation service chains, drainage, the performance of existing water and waste water assets, existing solid waste situation, climate change, gender and vulnerable groups, sanitation sector service externalities, on-going interventions, constraints to and needs for achieving countywide inclusive sanitation. A more detailed description is given in Annex 1.

7. Step 3: What for?

As previously explained, strategic planning is a way to go from where we are to where we want to be. In order for strategic planning to be successful, it is essential to have a clear picture of what the desired future looks like.

Develop a shared Vision

Once the current situation has been diagnosed and the team have a clear idea of existing services, roles and capacities, a vision for the sanitation sector must be agreed upon. A vision is a description of a desired future situation. In this case, it depicts the benefits and better living conditions for all stakeholders that is hoped to be achieved through improved sanitation services.

To promote this conversation, the members of the SSP team should be invited to imagine themselves in a specific time in future (in the case of Nakuru, the year 2030 was chosen) and describe what they see around themselves, and if what they hope to see will have been realized by then. The main questions to be answered are: what does success look like? What will be different in the future? What are the benefits that the future will bring to all? What are the big results we want to achieve in the long run?

The vision should have the scope of countrywide inclusive sanitation and thus cover the entire geographic area of the county. What will the desired future look like in rural areas, in urban areas and in peri-urban areas? It should also cover institutional, social, environmental and technical aspects.

¹¹ The SMAM-methodology was not included in the initial situation analyses for Nakuru county, but the approach has been followed in subsequent interaction with the Nakuru SSP (NACOSTEC) and the consolidated situation analysis for the county.

The exercise can be carried out in a brainstorming “idea dump” format, and then refined through discussion to yield an integrated vision. In order to free the team into being more visionary, new and creative ways of formulating the vision can be used. In the case of Nakuru, the SSP team was asked to draw their vision of the future before formulating it into words.

Through informed dialog leveraging diversity and external resources, a consensus on a clear visual image of the future has to be developed amongst the stakeholders. The shared vision is then formalized and celebrated to serve as a guiding anchor throughout the rest of the planning and implementation process.

Box 8: Sanitation Vision elaborated for Nakuru County

“In the year 2030, we envision a County in which water catchments and water courses are protected by full compliance with sanitation standards and policies.

Urban centres, informal settlements and villages alike are served with a combination of sanitation technologies (sewered and on-site) that include wastewater and sludge management, resource recovery and integrated solid waste management.

Through sanitation marketing, capacity building and political goodwill universal access to sanitation has been achieved, open defecation eliminated, and waterborne diseases minimized.”

Following the Gazettement of the NACOSTEC, the Committee and its Vision were launched at a public ceremony officiated by the Nakuru County Governor and the Cabinet Secretaries for Water and Health on March 13, 2019. The launch was televised and a centre page spread published in a national daily newspaper with wide circulation.

Indicators of success

In order to track progress when the strategic sanitation plan is implemented, indicators of success based on the vision should be developed. The selection of an appropriate set of indicators is a cornerstone for an effective Monitoring and Evaluation (M&E) regimen. The key indicators are also necessary to extrapolate and understand the possible outcomes of alternate courses of action (see step 5). Once agreed upon, they inform decisions in selecting relevant interventions, in establishing priorities, monitoring efficacy and in formulating mitigating measures.

As a practical starting point, the key indicators defined in SDG 6¹² can be adopted in the context of Countywide Inclusive Sanitation (see Table 2) and to kick things off the nominal baseline values can be estimated (see example for Nakuru County in Annex 1). More county-specific indicators can be formulated as part of the M&E efforts during implementation.

Table 2: Sustainable Development Goal 6 targets and indicators

Targets	Indicators
6.1 By 2030, achieve universal and equitable access to safe and affordable drinking water for all	6.1.1 Proportion of population using safely managed drinking water services

¹² “Goal 6.: Sustainable Development Knowledge Platform.” Accessed March 16, 2019. <https://sustainabledevelopment.un.org/sdg6>.

6.2 By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations	6.2.1 Proportion of population using safely managed sanitation services, including a hand-washing facility with soap and water
6.3 By 2030, improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials, halving the proportion of untreated wastewater and substantially increasing recycling and safe reuse globally	6.3.1 Proportion of wastewater safely treated 6.3.2 Proportion of bodies of water with good ambient water quality
6.4 By 2030, substantially increase water-use efficiency across all sectors and ensure sustainable withdrawals and supply of freshwater to address water scarcity and substantially reduce the number of people suffering from water scarcity	6.4.1 Change in water-use efficiency over time 6.4.2 Level of water stress: freshwater withdrawal as a proportion of available freshwater resources
6.5 By 2030, implement integrated water resources management at all levels, including through transboundary cooperation as appropriate	6.5.1 Degree of integrated water resources management implementation (0-100) 6.5.2 Proportion of transboundary basin area with an operational arrangement for water cooperation
6.6 By 2020, protect and restore water-related ecosystems, including mountains, forests, wetlands, rivers, aquifers and lakes	6.6.1 Change in the extent of water-related ecosystems over time
6.A By 2030, expand international cooperation and capacity-building support to developing countries in water- and sanitation-related activities and programmes, including water harvesting, desalination, water efficiency, wastewater treatment, recycling and reuse technologies	6.A.1 Amount of water- and sanitation-related official development assistance that is part of a government-coordinated spending plan
6.B Support and strengthen the participation of local communities in improving water and sanitation management	6.B.1 Proportion of local administrative units with established and operational policies and procedures for participation of local communities in water and sanitation management

8. Step 4: How?

With a good diagnosis of the current situation (established in step 2) and a clearly formulated vision of the future (formulated in step 3), it is time to define how the gap between now and the future should be bridged. This step includes agreeing on a set of guiding principles for coherent action.

Agree on a set of guiding principles

Guiding principles are like guardrails on a highway: they direct and constrain action, but they are NOT a set of actions. Guiding principles help define the “how” of the sanitation strategy. In this case, the guiding principles will dictate how the sanitation sector in the county will do things in the future.

Guiding principles will ensure future actions are coherent with the strategy and will help reach the agreed vision. Once elaborated, they are summarized in a guiding policy that outlines an overall approach for overcoming the obstacles highlighted in the diagnosis of the current situation.

The guiding principles should cover the following (additional aspects could be added depending on the particular case):

- Governance and institutional aspects: Roles and responsibilities for service delivery. Financial arrangements, how to cover costs, who should pay for what
- Social aspects: Social expectations, minimum service levels
- Technical aspects: selection of technologies,
- Environmental aspects: Health and environmental protection and regulations, minimum standards for health and environmental protection

To formulate the guiding principles, the SWOT-analysis for the sanitation sector performed in step 2 could be used. How should the sanitation sector in the county act in order to build on the strengths and take advantage of the opportunities while overcoming the weaknesses and addressing the threats? This could be done by a brainstorming activity followed by a discussion which consolidates the results of the brainstorming into guiding principles. To make the guiding policy easy to implement, the number of guiding principles should not exceed 10 to 12.

Box 9: Examples of guiding principles for Nakuru County

Under Governance, institutional and financial aspects:

G1. Transparency and accountability

Spending on sanitation shall be earmarked and ring-fenced in a unified, agreed-upon countywide sanitation budget. An evaluation framework shall be in place to ensure regular monitoring of sanitation investments. All service charges and levies must be redirected back to the line departments.

Under Social aspects:

S2. Public participation

The opinions of the users shall be taken into account in making decisions concerning the provision of sanitation services. [Refer to article 174[c][d] of the constitution of Kenya]

Under environmental aspects:

E1. Water source protection

Water sources shall be properly mapped, inventoried and protected in strict adherence to the environmental laws and by applying the principles of subsidiarity and “polluter pays”. International conventions regarding environmental protection shall inform county level guidelines.

Under Technical aspects:

T2. Knowledge management

A proportion of the sanitation budget for the county shall be allocated towards research and development for validation, innovation and continuous improvement of sanitation solutions. Technical as well as social staff shall be constantly trained and professionalized.

All the guiding principles of the Nakuru Countywide Inclusive Sanitation Strategy are given in Annex 1.

9. Step 5: Then what?

In order to achieve the vision, there are specific interventions and actions that need to take place. Based on the “How” of the guiding principles (see step 4), these should be structured in an investment plan which then serves as a basis for action. After the investment plan has been prepared, the outputs of all the steps in the planning process (including the investment plan) should be consolidated into a strategic sanitation plan.

Prepare an investment plan

An investment plan is a set of policy, institutional and infrastructural interventions¹³ to be implemented in order to make progress towards moving from current to desired sanitation situation. The investment plan consists of identified, prioritized interventions and include who is responsible for the implementation of the each of the intervention, the timeframe for implementation, required resources and financing for each intervention, and specific indicators for monitoring implementation.

¹³ A solution expressed as a series of actions to manage, mitigate or solve a problem.

Identify interventions

Following the concepts embodied in the logframe approach (see step 2), the problem-driven diagnostics give rise to an understanding of the constraints that require to be released and the needs that are to be fulfilled in order to achieve the vision. The needs can be translated into actions that have to be taken in order to solve the problem.

These interventions should not to be limited to investments in technology and other hardware or infrastructure, but to include so called 'soft' interventions that address needs regarding the policies, regulatory and institutional framework, as well as behaviour issues and research and knowledge development and sharing.

Since countywide inclusive sanitation includes many different types of interventions, it can be useful to cluster interventions thematically. Examples of intervention themes include (see also Box 10 below):

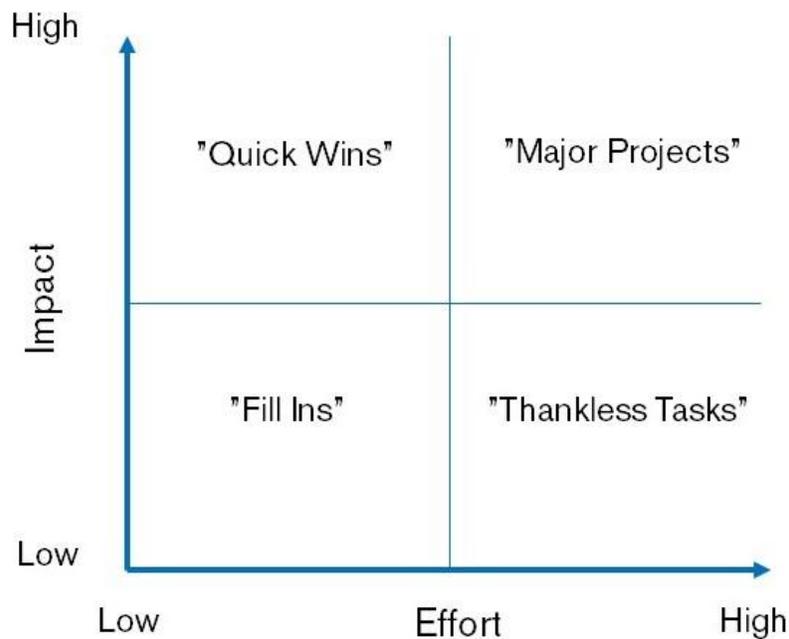
- Access to safe and sustainable rural water, sanitation and hygiene services
- Access to safe and sustainable urban water, sanitation and hygiene services
- Enabling environment - governance, institutional, policy and regulatory environment
- Planning and sustainable financing

Prioritize interventions

Since resources are limited, the potential interventions previously identified need to be prioritized. This could be done by identifying the level of impact and the level of effort for each potential intervention (see Figure 8):

- The "quick-wins" are the interventions with high level of impact and low level of effort. They are important to achieve momentum for the strategic planning process and should be prioritized.
- The "major projects" are the interventions with high level of impact and high level of effort. These should be prioritized, and preferably phased to facilitate implementation.
- The "fill-ins" are the interventions with low level of impact and low level of effort. They should be less prioritized but can be considered if resources are available.
- The "thankless tasks" are the interventions with low level of impact and high level of effort. They should be left out of the plan.

Figure 8. Prioritization of interventions based on impact and effort.



The interventions should be divided according to the timeframe of implementation: short-term, medium-term and long-term. In addition to the prioritization above, the links between activities should be analysed to see which ones are required before others can take place. Short-term interventions typically include the quick-wins, the preparation of, or the first phases of major projects/programs, and the interventions that are a necessary base for other prioritized interventions.

Cost the interventions

To carry out the prioritized interventions, resources are required. In order to negotiate for and carry out the actions in an efficient and effective manner, it is necessary to know how much of these resources are required and when. Having a well-documented list of interventions with clear outcomes and justifiable resource requirements will help to secure funding in the implementation phase (see below).

Costing of the interventions can be based on previous experiences of the resources required for different types of interventions within the county or in neighbouring counties. Cost estimates can also be based on calculations of the resources required for improving sanitation at a national level, broken down to the level of the specific county.

For infrastructural interventions, the Citywide Inclusive Sanitation Costing and Planning tool¹⁴ can be used. The tool is designed to analyse and compare financial capital and operational costs of different technical solutions. The tool helps to determine costs at three levels: I) at the component level, II) at the system level (combining a series of components to contain, collect, transport, treat and dispose of faecal waste), and III) at the city level (applying different sanitation systems or a combination of them to a city to create and

¹⁴ A Beta-version of the Citywide Inclusive Sanitation Costing and Planning Tool, developed by World Bank Water, is available at: http://200.58.79.50/fmi/webd/CWIS%20Planning%20Tool%201_4

compare citywide scenarios). However, it is important to use the tool cautiously, since costing is region and time specific, and sensitive to the scale of project.

Understand alternative solutions

An alternatives analysis is a thorough assessment of alternative investments to evaluate various economic, social, and sustainability criteria based on the goals and objectives of the county within the context of the Strategic Plan. The analysis includes the procurement, construction, and operational costs of each alternative, creating a system for comparing the range and types of benefits against the cost, and confirming that the alternatives will meet relevant compliance goals. Alternative technical and implementation solutions to inform the evaluation on the selection of preferred solutions are developed at the preliminary design stages of the design process. They capture technical advantages or disadvantages as well as alternative mitigation measures to offset environmental or social challenges the implementation of the interventions may encounter.

Using the action priority approach, the interventions that will have meaningful impact and their comparative costs can be discussed in open forum. Detailed understanding of alternative solutions can be relegated to intervention specific choices at preliminary design stage for infrastructure or at the time of inviting bids for service contracts

Box 10: Intervention areas and examples of interventions in Nakuru County

Interventions for sanitation in Nakuru County were identified in the following areas:

- Scaling rural and urban ODF 2020 Campaign
 - Finalize and adopt urban ULTS protocol
 - Form CLTS and ODF committees from sub county, ward and village levels
- Access to safe sanitation and hygiene rural facilities and services
 - Disseminate guidelines, regulations and standards for selection of appropriate and sustainable sanitation technologies for dispersed rural areas
 - Train artisans on selected sanitation/toilet technologies and designs
- Sanitation marketing and private sector participation
 - Develop a sanitation marketing strategy
 - Promote models of micro-enterprises, through CHVs or other small retailers
- Social mobilization, participation, education and behaviour change communication
 - Develop a County Social and Behavior Change Communication strategy
 - Sensitize all public/community on their WASH rights and responsibilities
- Water supply and catchment/source and environment protection
 - Mapping and protecting of community water sources e.g. springs and shallow wells.
 - Integrate urban sanitation strategies with water supply, drainage and solid waste management
- Integrated waste management (waste to energy)
 - Develop policy guidelines and regulations on the 4Rs (Reduce, Reject, recycle and reuse)
 - Promote waste to energy activities including production of briquettes and biogas
- Gender and social inclusion
 - Review and develop targeting systems and regulations/guidelines for the poor/vulnerable groups and unserved communities/areas
 - Document and disseminate successful experiences of socially inclusive urban sanitation services across the value chain
- Institutional WASH
 - Develop and implement institutional WASH plan for schools, health care facilities and public places
 - Design appropriate WASH facilities persons with disabilities and children
- Expansion of sewerage networks and services
 - Expansion of sewer networks in Nakuru town and connections
 - Construct a new WWTP in East Nakuru (Lanet and Mwariki)
- Access to safe onsite sanitation services
 - Conduct GIS mapping and baseline survey of onsite sanitation facilities in all urban settlements
 - Develop urban sanitation safety plans
- Faecal sludge management
 - Develop and implement a business model for pit/septic tank emptying and transportation
 - Construct Faecal Sludge Treatment Plants (FSTP)
- Policy, legal and regulatory environment
 - Strengthen county and municipal sanitary inspection and enforcement systems and capacity
 - Develop model inclusive sanitation regulations/bylaws for urban areas
- Capacity building and training (Human Resources for Sanitation)
 - Institutionalize and strengthen NACOSTEC and establish technical working groups to drive, oversee, coordinate and monitor the Nakuru countywide inclusive sanitation strategy
 - Hold quarterly and annual CWIS stakeholder forums
- Research and knowledge management
 - Establish and maintain CWIS web-based system for tracking, monitoring and reporting
 - Provide training in applied research and evidence-based decision making
- Integrated CWIS Planning
 - Strengthen integrated planning capacity
 - Develop criteria for per-capita allocation of available resources to ensure access to services by all
- Sustainable financing
 - Develop county subsidy and tariff policy for sanitation services
 - Develop public-private partnership policy and legislation

Develop a Consolidated Strategic Sanitation Plan

After all the steps, the outputs are consolidated into a summarized Strategic Sanitation Plan. It is very important to keep in mind that the plan should be flexible and easily adapted to changing conditions both within the county government and externally. The plan should be a living document, that is reviewed and revised regularly and a mechanism for revising the plan regularly should be developed.

10. Implementation

Implementing the strategic sanitation plan includes aligning the way things are done within the sanitation sector to the guiding principles and implementing the prioritized interventions. For implementation to function well, the process of implementation needs to be defined, financing secured and progress evaluated and monitored. As progress is made, the plan may need to be reviewed and revised.

Define the process of implementation

In order for implementation to be successful, it is important to define the process of implementation, for example who is responsible for the overall implementation of the strategic sanitation plan and how the implementation should be aligned with relevant existing processes within the county.

Ideally, the SSP team that has performed the strategic planning process should also be involved in the implementation of the strategic sanitation plan. However, if the team has not been formalized, another formalized entity (for example a panel or steering committee) has to be granted responsibility to act and be accountable so that action can be taken efficiently and monitored. The responsible party can be a new entity, as in the Nakuru case, or it can be an existing agency with the appropriate authority to act and be accountable for the implementation of the strategic sanitation plan.

Stakeholder engagement and communication should be an integral part of implementation and can help to secure additional resources and to scale up existing and planned interventions. A process for stakeholder engagement during implementation should be defined, based on the stakeholder engagement framework developed in step 1 of the planning process.

In order to achieve momentum for the implementation of the strategic sanitation plan, it can be useful to start with interventions that are easy to implement, easy to communicate and that show clear results.

Secure financing

Adequate financial and human resources, as well as knowledge, are essential for implementation. Hopefully, parts of the financing have been addressed during the planning phase in Step 5, but additional financing will need to be secured during the implementation phase including financial and human resources required for monitoring. Interventions to secure financial and human resources can also be part of the investment plan (see step 5 above).

A common problem facing local authorities is in finding the most appropriate source of financing for a project. With government policies in place for private sector financing and with a growing ecosystem of donor funds each with their own criteria for giving, there are many alternatives to direct government allocation of funds. Having a well-documented list of interventions with clear outcomes and justifiable

resource requirements, opens the door for dialog with and amongst these agencies. Interventions that provide direct financial value to the stakeholders can be realized through public private partnerships that leverage private capital, while those that bring multi sectoral economic value without a tangible financial return can be delivered through government funding and support accepted from donor agencies where there is a shared vision.

In this manner, appropriate funding sources can be matched with funding requirements helping to minimize the cost of funds for the planned interventions.

Monitor, evaluate and review

Successful implementation of the strategic plan requires regular monitoring of the progress in delivering on the strategic objectives.

Monitoring is a process of continuous assessment that uses regular measurements of the indicators of success as agreed upon. It involves collecting data on the current situation and on changes caused by implementing the selected interventions. Evaluation helps stakeholders reflect on monitoring data, compare it to goals and targets, and use the information to learn from experience, adjust implementation, and improve future planning. The purpose of monitoring and evaluation is to improve decision-making and performance to achieve tangible results. It also empowers and builds the capacity of all actors by increasing transparency and accountability.

As part of the strategic planning process, it is essential to define how progress will be measured. General indicators to measure progress should be based on the vision, goals and indicators defined in step 3 while specific indicators should be developed for each prioritized intervention. General indicators could include improvements in sanitation coverage and sustainable service delivery, resources spent on sanitation, the state of lakes and water courses, public health improvements, etc.

The planning and implementation process in itself should be regularly evaluated, so that problems can be identified and addressed at an early stage, and so that learning experiences can be integrated into the process. Methods used for stakeholder engagement should also be evaluated on a regular basis, to ensure that desired results are achieved and in order to improve and develop the methods. A grievance redress/stakeholder feedback system also needs to be established.

Since the strategic sanitation plan is a living document, it should be reviewed and revised regularly according to the progress made and the lessons learned during implementation. The prioritization of interventions should be reviewed yearly, in alignment with the budget process so that resources can be allocated accordingly.

11. Conclusions and recommendations

Inclusive strategic sanitation planning on a countywide level is an effective way to make sure that sanitation interventions are (i) addressing the needs of both the rural, peri-urban and urban population; (ii) addressing the entire sanitation service chain; and (iii) integrated with water supply, solid waste management, drainage and environmental protection. A successful strategic planning process ensures that the whole sanitation sector within the county works together towards a common goal, and that the commitment and knowledge of different parts of the county government, as well as of the wider group of stakeholders, are recognised

and utilised to achieve an improved sanitation situation. However, this requires a long-term commitment from the county government, since strategic planning is a continuous process.

In order to make the countywide inclusive strategic planning process effective, several aspects are required:

- The team that will perform the strategic planning is the most fundamental part of the planning process. A team with committed representatives from all relevant parts of the county government, service providers and other relevant stakeholders is needed to ensure that the strategic planning process addresses all relevant issues and that implementation will be successful.
- Accountability is a necessary prerequisite for success. The team should be incentivised for a multi-year engagement so that it can track and observe the progress and be accountable for the outcomes.
- The team needs high-level support within the county government, together with political will, to allocate sufficient resources to the planning process and to the implementation of the sanitation interventions.
- Stakeholders are a resource that should be used wisely, and stakeholder engagement should be seen as an integral part of the entire process.
- Implementation of the strategic plan is critical. The progress in implementation of specific interventions as well as in achieving the overall strategic objectives should be monitored and lessons learnt should be integrated in the strategic planning process.
- For the plan to be sustainably implemented, it needs to be vested in an agency that has authority to direct policy, to channel funds, to provide technical and procedural oversight, and to be subject to audit.
- The strategic plan is a living document and should be reviewed on a regular basis.

12. Other resources

Strategic sanitation planning

- **Citywide Inclusive Sanitation. A call to action.** Here you can find resources on citywide inclusive sanitation: <https://citywideinclusivesanitation.com/>
- **Urban Sanitation. A Guide to Strategic Planning:** A book that covers all stages of the planning process (Tayler et al, 2003).

Sanitation in Kenya

- **Kenya Environmental Sanitation and Hygiene Policy 2016 – 2030** provides broad guidelines to both state and non-state actors at all levels to work towards universal access to improved sanitation. Available at: http://sanitationandwaterforall.org/wp-content/uploads/download-manager-files/KESH%20POLICY_1.pdf

- **National Open Defecation Free Kenya 2020 Campaign Framework**
<http://www.health.go.ke/wp-content/uploads/2018/04/NATIONAL-ODF-KENYA-2020-CAMPAIGN-FRAMEWORK.pdf>
- **Ministry of Health: Real-Time Monitoring System for Community-Led Total Sanitation**
<http://wash.health.go.ke/clts/index.jsp>
- **Water Supply and Sanitation in Kenya Turning Finance into Services for 2015 and Beyond.** Available at: <https://www.wsp.org/sites/wsp/files/publications/CSO-Kenya.pdf>
- **Real Time Monitoring – Community Led Total Sanitation.** Ministry of Health. Available at <http://wash.health.go.ke/clts/index.jsp>
- **Situation analysis of the urban sanitation sector in Kenya** by Goufrane Mansour, Charles Oyaya & Michael Owor (Published in July 2017 by WSUP) gives a national overview of the urban sanitation situation. Available at: <https://www.wsup.com/content/uploads/2017/09/Situation-analysis-of-the-urban-sanitation-sector-in-Kenya.pdf>

Tools

- **Faecal Sludge Management: Diagnostics for Service Delivery in Urban Areas** (Published by World Bank Water in April 2016) gives an overview of tools for diagnostics and decision making for urban sanitation. Available at: https://www.wsp.org/sites/wsp.org/files/publications/02_FSM-Diagnostics-Urban_Tools-and-guidelines.pdf
- **Faecal Waste Flow Diagram (aka ‘Shit Flow Diagram, SFD):** The SFD promotion initiative has a lot of information on how to create and use an SFD. It has an online tool to help you generate an SFD for your city or county. Available at: <https://sfd.susana.org/about/the-sfd>
- **Faecal waste flow calculator:** A tool developed to determine faecal waste volumes along the entire sanitation service chain. Available at: <https://www.ircwash.org/tools/faecal-waste-flow-calculator>
- **Compendium of Sanitation Systems and Technologies:** Part 1 describes different system configurations for a variety of contexts. Part 2 consists of 57 different technology information sheets, which describe the main advantages, disadvantages, applications and the appropriateness of the technologies required to build a comprehensive sanitation system. Each technology information sheet is complemented by a descriptive illustration. Developed by Eawag. Available at: <https://www.eawag.ch/en/departement/sandec/publikationen/compendium/>
- **Faecal sludge management: systems approach for implementation and operation:** This book presents an approach for the comprehensive and integrated management of faecal sludge in urban and peri-urban areas of low- and middle-income countries (Strande et al, 2014).
- **Rural Sanitation Assessment Checklist.** An assessment tool for the various pillars of the Enabling Environment for Rural Sanitation. The checklist is provided in Annex 2.

13. References

Bryson, J. M. (1988) A strategic Planning Process for Public and Non-profit Organizations.

Nakuru County (2019) Nakuru Countywide Strategic Sanitation Plan. *Countywide Inclusive Sanitation Strategy*. March 2019

Rumet Richard, Good Strategy, Bad Strategy (2012) The difference and Why it Matters

Strande, L., Ronteltap, M., Brdjanovic, D. (2014) **Faecal sludge management: systems approach for implementation and operation**. London, UK: IWA Publishing

Taylor, K. Parkinson, J., Colin, J. (2003) Urban Sanitation. A Guide to Strategic Planning. iTDG Publishing.

The Ministry of Health, World Bank, and UNICEF (2017). Sanitation Profile for Nakuru County 2017.

The Ministry of Water and Sanitation (2017). Implementation of the Agenda 2030 for Sustainable Development Goal 6 in Kenya.

WHO/UNICEF (2017) Progress on Drinking Water, Sanitation and Hygiene.

World Bank. (2018) National Countywide Inclusive Sanitation Workshop

February 12- 13 2018, Safari Park Hotel, Nairobi, Kenya Workshop Report. April 5, 2018. Rapporteur: Dr. Charles Oyaya

Annex 1: Nakuru strategic planning process

This section presents a practical example of the application of the methodology in Nakuru County Kenya. It is necessary to customize process described above to suit each case, while producing the intended results.

Step 1: Who

Forming the Nakuru team

The Nakuru County Government formed a team chaired by Director of Water and the Director of Public Health and Sanitation with representatives from different county departments and service providers that work daily with sanitation issues (see Box 11 below). The team was named the Nakuru Countywide Sanitation Technical Steering Committee, NACOSTEC. Since it is important for the team and its work on strategic sanitation planning to get high-level support, the Chief Officers of Water and Health were appointed advisors, the CECs of Water and Health patrons and the Governor the sanitation champion. NACOSTEC was gazetted on December 21, 2018.

Figure 5: Structure of NACOSTEC



NACOSTEC may co-opt members from the County Department of Trade, the County Department of Tourism, the County Department of Agriculture and Veterinary Services, KEWASNET, Water Resources Users Association (WRUA), National Environment Management Authority (NEMA), Water Services Regulatory Board (WASREB), Water

Box 11. The gazetted composition of the steering committee (NACOSTEC)

Chairs:

- Director, Water, Chairperson of the Technical Steering Committee
- Director, Public Health and Sanitation, Co-Chairperson of the Technical Steering Committee

Members:

- County Department of Water, Environment, Energy and Natural Resources (4 representatives)
- County Department of Health (4 representatives)
- County Department of Roads and Public Works (1 representative)
- County Department of Urban Development, Physical Planning and Housing (1 representative)
- Country Department of Finance and Economic Planning (1 Representative)
- County Department of Youth, Gender, Children, Sports and Culture (1 representative)
- County Department of Education and ICT (1 representative)
- Nakuru Municipality Board (each Gazetted Municipality and Town Committee to be represented by 1 member each)
- Nakuru Water and Sanitation Company (2 representatives)
- Nakuru Rural Water and Sanitation Company (2 representatives)
- Naivasha Water and Sanitation Company (2 representatives)

Resources Authority (WRA), Kenya Wildlife Service (KWS), the County Commissioner, Resident Associations and Universities/Research Institutions.

Integrating stakeholder engagement in Nakuru

The NACOSTEC-team developed a stakeholder engagement framework and communication strategy in a two-day workshop. The framework includes reasons for stakeholder engagement, an analysis of the current situation for stakeholder engagement, identification and analysis of the stakeholders, short-term and long-term goals of stakeholder engagement (see Box 12), main messages, guiding principles of stakeholder engagement (see Box 13), description of different levels of engagement, methods of engagement, process of engagement and strategies for engaging different types of stakeholders.

Box 12: Goals of stakeholder engagement in sanitation in Nakuru County

Short-term goals of stakeholder engagement

1. Stakeholders have full knowledge of the role of NACOSTEC in county sanitation.
2. Stakeholders know and support the Nakuru Countywide Inclusive Sanitation Strategy.
3. There is a consensus among stakeholders on the strategic investment plan.
4. Stakeholders know their role in strategic sanitation planning.
5. Resources, both financial and human, are leveraged from the stakeholders to support the NACOSTEC plans.
6. Engagement with the stakeholders is formalized.

Long-term goals of stakeholder engagement

1. Stakeholder engagement will contribute to the achievement of Sustainable Development Goal 6: *Ensure availability and sustainable management of water and sanitation for all.*
2. Sanitation services are demanded by the community.
3. Stakeholders implement sanitation plans in line with the Countywide Inclusive Sanitation Strategy and Investment Plan.
4. Stakeholders will advocate for the allocation of adequate financial and human resources for sanitation projects and interventions.
5. Stakeholders will advocate for harmonization of county regulations.
6. The community is continuously educated and mobilized on sanitation.
7. Sanitation projects developed by different stakeholders are checked for sustainability, monitored and evaluated.
8. There is stable political support for sanitation and the Countywide Inclusive Sanitation Strategy within the county.

Over 100 stakeholders were identified as involved in the sanitation subsector in Nakuru County, including: government at all levels (national/county/sub-county/ward), service providers, development partners, non-profit organisations, private companies and the community. The stakeholders were analysed according to their level of interest and level of power, as a basis for designing proper strategies and plans for engagement.

Guiding principles for stakeholder engagement were developed in order to ensure successful stakeholder engagement and communication, see Box 13.

Box 13: Guiding principles for stakeholder engagement in Nakuru County

Ensure enabling institutional framework:

1. Adequate financial and human resources should be allocated for stakeholder engagement in the overall strategic planning process as well as in specific sanitation projects and interventions.
2. Awareness creation and civic education should be an integral part of sanitation planning.
3. Stakeholder engagement should take both formal and informal structures of leadership into consideration to ensure the goodwill of gatekeepers and opinion leaders.
4. Proven methods and processes of engagement should be applied. Stakeholder engagement should be regularly evaluated in order to learn from previous experiences.

Show respect for the stakeholder:

1. The purpose of each stakeholder engagement process should be clearly defined before start and the issues at hand should be relevant to the participants.
2. The interests, roles, mandates and responsibilities of the stakeholders should be known and respected.
3. Appropriate communication channels should be used and cultural norms of participants respected to ensure that stakeholder engagement is all inclusive and equitable.

Build trust and integrity:

1. A code of conduct that is based on integrity and builds trust should always be applied.
2. Stakeholder engagement should be based on a bottom-up approach in order to create a common understanding of the sanitation issues at hand.
3. Engagement of the stakeholders should be continuous, with involvement and participation in all stages from planning and implementation to monitoring and evaluation. The stakeholders should receive feedback on how their views are considered in sanitation projects and interventions.

Ensure mutual benefits:

1. All stakeholder engagement processes should be beneficial to the participating stakeholders as well as the County Government.
2. An entrepreneurial approach in sanitation should be applied.
3. Stakeholder engagement should be used to enhance service delivery and project sustainability.

Step 2: Why?

As part of a four-day workshop to develop a Countywide Inclusive Sanitation Strategy for Nakuru County (Nakuru County, 2019) a Why Statement for Nakuru County was developed. The workshop started with the sharing of success stories which resulted in the Why statement seen in Box 13. NACOSTEC also developed a Nakuru County Sanitation Slogan: **MAZINGIRA SAFI, MAISHA BORA - Good sanitation, quality life.**

Box 14: Why Statement of the Nakuru County Sanitation Sector

To mobilize resources, engage the community and work together to deliver sustainable sanitation services for improved environment and quality of life in Nakuru County

Understanding the current situation in Nakuru

Information of the current sanitation situation in Nakuru county was compiled by NACOSTEC in a situation analysis report. The information in the report covered the following:

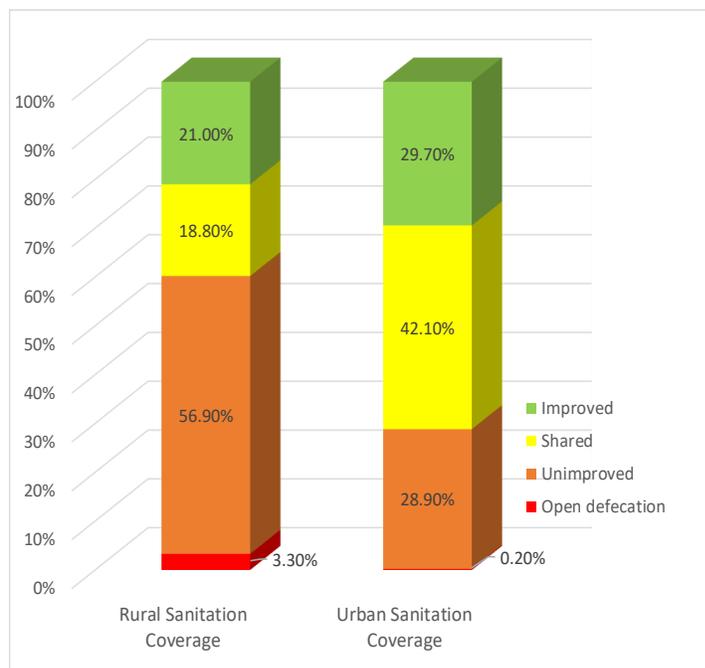
- Strategic policy, legal & institutional framework
- Financial resources and funding
- Existing water supply, including availability of safe water
- Existing sanitation, including access to improved sanitation, rural sanitation, urban sanitation, analysis of the sanitation services chain in Nakuru County
- Existing drainage situation
- Existing solid waste situation
- The effects of climate change on sanitation
- Gender and vulnerable groups
- Sanitation sector service externalities, including urban planning
- On-going interventions
- Constraints to achieving countywide inclusive sanitation
- Needs for achieving countywide inclusive sanitation

Box 15. Nakuru County is losing about KES 978 million each year due to poor sanitation.

This includes losses due to access time, premature death, health care costs and productivity. This estimate does not include some costs that could be significant (such as water pollution and tourism) and is therefore likely to under-estimate the true cost of poor sanitation (The Ministry of Health, World Bank, and UNICEF, 2017).

Nakuru County is ranked number 3 out of the 47 counties in the national sanitation benchmarking system (2017).

Figure 6: Sanitation coverage in Nakuru County (The Ministry of Health, World Bank, and UNICEF (2017)).



equitable access to services and social inclusion”.

Different tools and methods were used to understand the current sanitation situation in Nakuru, including a graph of sanitation coverage (see Figure 6) shit flow diagrams for Nakuru town (see Figure 7 below) and Naivasha and a SWOT-analysis (see Table 3).

Constraints to and needs for achieving countywide inclusive sanitation in Nakuru County were identified along the whole sanitation service chain and included policy aspects, governance and institutional aspects, financial aspects, social aspects, environmental aspects and technical aspects. One example of a financial constraint is: “Lack of comprehensive and integrated countywide investment and financing strategy and sustainable financial model for the sanitation sector and services” and one example of a social need is: “Adopt cross-subsidy principles to ensure

Baseline indicators were also developed for Nakuru, see Table 4.

Figure 7: Shit Flow Diagram (SFD) for Nakuru town.

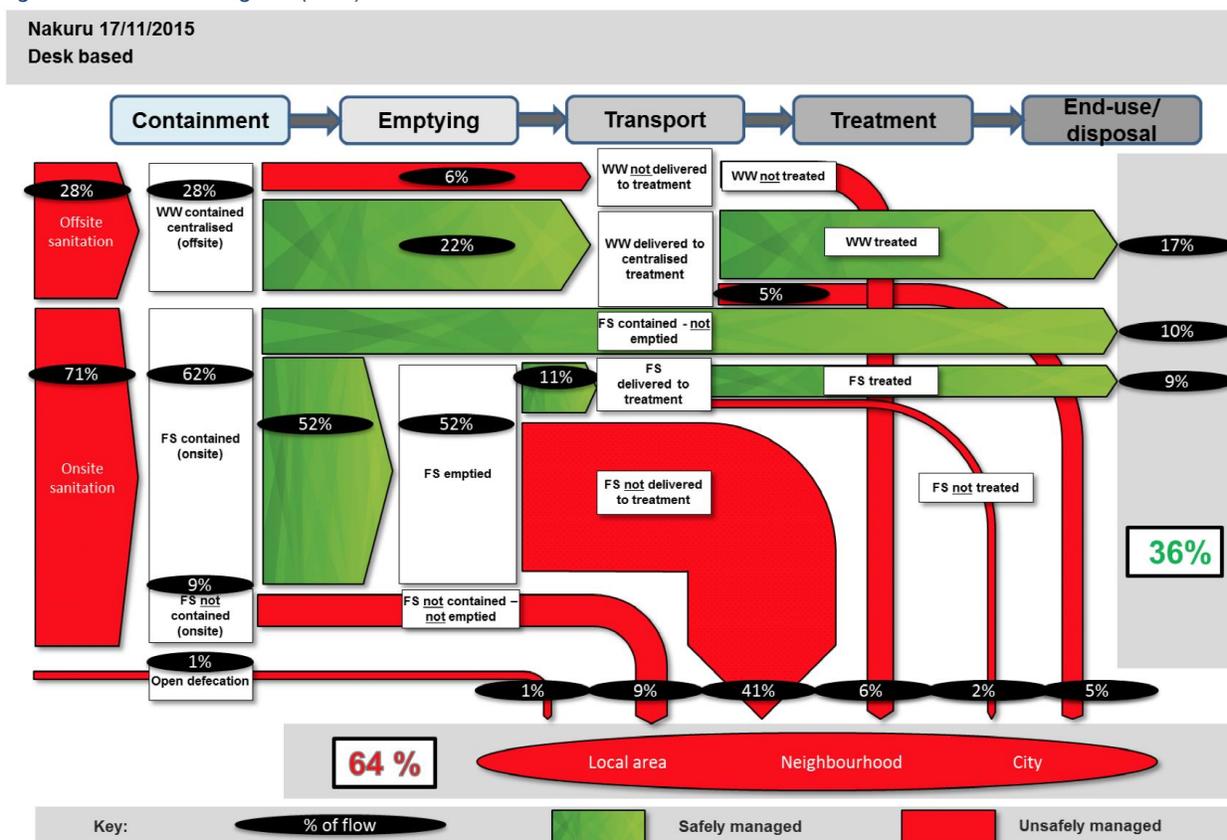


Table 3: SWOT-analysis for the sanitation sector in Nakuru County.

<p>Strengths</p> <ol style="list-style-type: none"> 1. Existence of public private partnerships 2. Human resources 3. Recognition of sanitation options 4. Existing sanitation infrastructure 5. Law and policy framework 6. Existence of other infrastructure and land 7. Budget allocated for sanitation 8. Political goodwill for water projects 	<p>Weaknesses</p> <ol style="list-style-type: none"> 1. Low budgetary allocation and limited resources 2. Old infrastructure 3. Low coverage of water, sanitation and solid waste management 4. Low levels of awareness, education and research 5. Lack of strategic plan 6. Inadequate skilled technical staff 7. No county environmental law/policy/guidelines 8. Poor coordination and an overlap of responsibilities among departments 9. Weak enforcement structure 10. Inequality and exclusion 11. Poor implementation of procedures
<p>Opportunities</p> <ol style="list-style-type: none"> 1. Willingness of stakeholders to support sanitation activities 2. Availability of donor funding 3. Diverse technologies 4. Availability of technical expertise 5. Existing policies/guidelines/strategies/bills awaiting approval 6. Availability of land for expansion 7. Research institutions - support 8. Political alignment 9. Topographical alignment 	<p>Threats</p> <ol style="list-style-type: none"> 1. Rapid population growth 2. Disease outbreaks 3. Weak political goodwill at sub-county ward level 4. Pollution of water courses 5. Vandalism and theft of infrastructure 6. Climate change – floods, droughts 7. Delayed funding by partners 8. Underground aquifer with high fluoride levels

Table 4: Baseline indicators to identify and monitor interventions

Indicator	Indicator description	Countywide baseline (2019) for Nakuru County	Comments
6.1.1	Proportion of population using safely managed drinking water services	60%	Combined value for rural, peri urban and urban areas
6.2.1.	Proportion of population using safely managed sanitation services, including a hand-washing facility with soap and water	25%	Combined value for rural, peri urban and urban areas
6.3.1	Proportion of wastewater safely treated	25%	Estimate based on FSD published for Nakuru and Naivasha
6.3.2	Proportion of bodies of water with good ambient water quality	25%	Nominal estimate based on treatment provided at the central waste water treatment works in Nakuru and Naivasha
6.4.1	Change of water use efficiency over time	N/A	Current (2019) estimate of the use of existing capacity is 30% which can be used as the baseline to measure change
6.4.2	Level of water stress: freshwater withdrawal as a proportion of available freshwater resources	75%	Needs to be further refined based on the installed capacity of ground water abstraction facilities compared with sustainable yield
6.5.1	Degree of integrated water resources management implementation (0-100)	25%	Storm water management, aquifer recharge, re-use and demand management interventions are low priority at this stage
6.5.2	Proportion of transboundary basin area with an operational arrangement for water cooperation	15%	Working agreements for Malewa-Turahsa supply system and the upcoming Itare dam are in not in yet place
6.6.1	Change in the extent of water-related ecosystems over time	N/A	Baseline information not available. Hydrological resources are under the jurisdiction of RVWSB. Results of monitoring to be shared.
6.A.1	Amount of water and sanitation related official development assistance that is part of a government coordinated spending plan	85%	Non-governmental funding not coordinated through the treasury has been quite active during the and private sector funding is not consistent
6.B.1	Proportion of local administrative units with established and operational policies and procedures for participation of local communities in water and sanitation management	50%	Percentage of sub-county and wards with policies enforced and executed.

Step 3: What for?

Developing a shared vision for Nakuru

In the course of a four-day workshop to develop the Nakuru Countywide Inclusive Sanitation Strategy, a vision for sanitation in Nakuru County for the year 2030 was developed, first by drawing the desired future and then defining keywords to describe the drawings. The resulting vision is what the strategic planning should aim to achieve.

Box 16. Vision for sanitation in Nakuru County

By the year 2030, we envision a County in which water resources are protected by full compliance with sanitation standards and policies. sanitation technologies (sewered and on-site) that include wastewater and sludge management, resource recovery and integrated solid waste management.

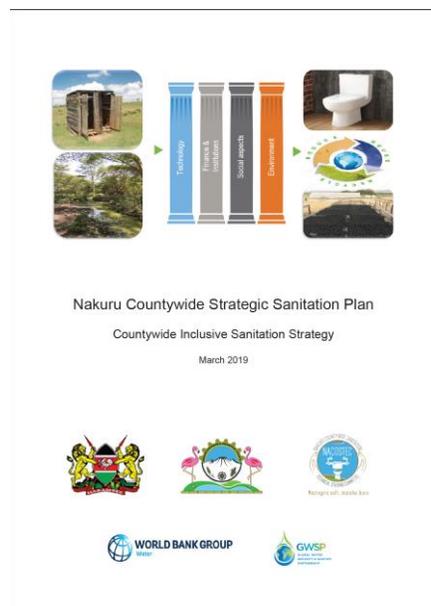
Through sanitation marketing, capacity building and political goodwill universal access to sanitation has been achieved, open defecation eliminated and waterborne diseases minimized.

Step 4: How?

Agreeing on guiding principles

A central part of the strategy are the guiding principles, that guide the sanitation sector on how to do things in order to achieve the vision and are the pillars of the strategic sanitation planning in Nakuru County. Guiding principles were developed for governance, institutional and financial aspects, social aspects, environmental aspects and technical aspects (see Box 17 below).

Figure 8: The Nakuru Countywide Sanitation Strategy



Since the strategy is a document that should have a long life and that should be read and used by the whole sanitation sector in Nakuru County, both within the county government and among stakeholders, an effort was made to make the texts very short and to the point and the layout easy to read.

Figure 9: Workshop to develop the Nakuru Countywide Sanitation Strategy.



Box 17. Guiding principles of Countywide Inclusive Sanitation in Nakuru County

GOVERNANCE, INSTITUTIONAL AND FINANCIAL ASPECTS

G1. Transparency and accountability

Spending on sanitation shall be earmarked and ring-fenced in a unified agreed upon countywide sanitation budget. An evaluation framework shall be in place to ensure regular monitoring of sanitation investments. All service charges and levies must be redirected back to the line departments.

G2. Institutional strengthening

Resources shall be allocated to capacity building, training and continual professional development and institutional strengthening. Responsibilities of different departments for sanitation shall be clearly defined.

G3. Public private partnerships

Existing capacities shall be taken advantage of through public-private partnerships and Corporate Social Responsibility principles applied.

SOCIAL ASPECTS

S1. Social inclusion and human rights

Available resources for sanitation shall be allocated on a per-capita basis to serve all, including vulnerable and marginalized groups. No person shall be excluded from services on the basis of tenure security. Cross-subsidy principles shall be adopted to ensure equitable access to services and social inclusion. [*Refer to articles 10 and 56 of the Constitution of Kenya*]

S2. Public participation

The opinions of the users shall be taken into account in making decisions concerning the provision of sanitation services. [*Refer to article 174[c][d] of the constitution of Kenya*]

S3. Service approach

Instead of the classic project-oriented approach that limits itself to the implementation of sanitation structures, a service-oriented approach sensitive to the needs of the low-income segments of the population shall be adopted. This approach is long term, focuses on the user and takes life cycle costs of sanitation solutions into account.

S4. Community awareness, social marketing and behavioural change

Health promotion services and good household hygiene practices are essential components of sanitation services. Awareness campaigns and behavioural change strategies that are sensitive to cultural aspects shall be adopted and implemented in urban and rural contexts alike.

ENVIRONMENTAL ASPECTS

E1. Water source protection

Water sources shall be properly mapped, inventoried and protected in strict adherence to the environmental laws and by applying the principles of subsidiarity and "polluter pays". International conventions regarding environmental protection shall inform county level guidelines.

E2. Reduce, re-use, recycle

Water saving alternatives shall be prioritized and resource recovery shall be promoted in the form of reclaimed water, nutrient recovery and energy generation. Any sanitation solution shall take into account the whole sanitation chain from user-interface to final disposal or re-use.

TECHNICAL ASPECTS

T1. Choice of technologies

Technology choices shall include a variety of alternatives including sewerage and on-site, centralized and decentralized. When evaluating sanitation technologies, preference shall be given to those alternatives which:

- Are appropriate to local conditions, i.e. materials available and available capacity for operation and maintenance
- Are demanded or accepted by the users
- Minimize the environmental impact
- Have the lowest total costs. The total cost for a sanitation alternative includes investment costs, capital maintenance costs and operations and management costs along the whole sanitation chain: user interface, collection and transport, treatment and final disposal/re-use.

T2. Knowledge management

A proportion of the sanitation budget for the county shall be allocated towards research and development for validation, innovation and continuous improvement of sanitation solutions. Technical as well as social staff shall be constantly trained and professionalized.

Step 5: Then what?

Planning the interventions in Nakuru

Based on the needs and constraints developed in step 2 and the guiding principles developed in step 3, potential sanitation interventions for Nakuru County were listed. The interventions were then divided into themes and intervention areas:

THEME 1: Access to Safe and Sustainable Rural Water, Sanitation and Hygiene Services

- Scaling rural ODF 2020 Campaign
- Access to safe sanitation and hygiene facilities and services
- Sanitation marketing and private sector participation
- Social mobilization, participation, education and behaviour change communication
- Water supply and catchment/source and environment protection
- Integrated Waste management (waste to energy)
- Gender and social inclusion
- Institutional WASH

THEME 2: Access to Safe and Sustainable Urban Water, Sanitation and Hygiene Services

- Scaling urban ODF 2020 Campaign
- Expansion of sewerage network and services
- Access to safe onsite sanitation services
- Faecal sludge management
- Sanitation marketing and private sector participation
- Social mobilization, participation, education and social and behaviour change communication
- Water supply and catchment/source and environment protection
- Integrated Waste management (waste to energy)
- Gender and social inclusion
- Institutional WASH

THEME 3: Enabling Environment - Governance, Institutional, Policy and Regulatory Environment

- Policy, legal and regulatory environment
- Governance, institutional development and sector coordination
- Capacity building and training (Human Resources for Sanitation)
- Research and knowledge management

THEME 4: Planning and Sustainable Financing

- Integrated CWIS Planning
- Sustainable financing

A first prioritization of the listed potential interventions has been made and the prioritized interventions have been divided into short-term interventions (to be implemented within 3 years), medium-term interventions (to be implemented in 3-5 years) and long-term interventions (to be implemented in 5 years or longer).

As a basis for prioritization in Nakuru, impact and effort of potential interventions were estimated as follows, according to the scale presented in Table 5:

- Impact (I) = change in tracking indicator (Δ), based on the SDG 6 indicators
- Effort (E) = the average scale of cost (c) and time (t), $(c + t)/2$

Table 5: Parameters for estimating impact and effort of potential interventions

Scale	1	5	10
IMPACT On a scale of 1 to 10			
Change in tracking indicator, Δ	$\leq 10\%$	30%	$\geq 60\%$
EFFORT On a scale of 1 to 10			
Cost per Year Cost, c	\leq KSh 10M	KSh 50M	\geq KSh 100M
Time for completion, t	<1 year	3 years	>5 years

This step is not yet completed for Nakuru County and the process of prioritization, understanding alternative solutions and making an investment plan will continue.

Implementation, monitoring & evaluation and reviewing of the Strategic Plan

At the time of writing this guidance note, the Nakuru Countywide Inclusive Sanitation Strategy is new and therefore the process of acting, monitoring, evaluating and reviewing is in the process of development. In Nakuru, NACOSTEC is the entity that will be responsible for the implementation. As stated in their terms of reference, NACOSTEC shall:

- advise and contribute to formulation of enabling countywide inclusive sanitation policies, regulations, norms and standards;
- oversee and coordinate the implementation, monitoring and evaluation of countywide sanitation strategies and plans including annual work plans, strategic and investment plans and master plans;
- mobilize resources for implementation of countywide sanitation strategies and plans and achievement of the objects of the committee;
- facilitate collaboration and partnerships among the main county government departments, agencies, stakeholders and partners in setting sector strategic direction and priorities, the use of available resources and implementation of county sanitation strategies and plans;
- make representations and presentations on matters relating to countywide sanitation to the county economic forum, county intergovernmental coordination forum, relevant county assembly committees, county budget forums and to any other relevant national and county forums from time to time;
- establish countywide inclusive sanitation M&E and reporting framework; and
- exercise and perform such other powers and functions as may be delegated by the County Executive Committee.

Annex 2: Rural Sanitation Assessment Checklist

Background Information

Relevant background information for the Situational Assessment:

- Population
- Administrative divisions
- What are the current coverage numbers?
- What does the SFD look like?

For each of these numbers, and for the subsequent responses, sources should be closely documented and referenced.

1. Enabling Environment

Section 1 Output: Map out the relevant stakeholders at national, state/province/department, and local levels, outlining their responsibilities and the mechanisms through which they interact; identification of areas to strengthen / improve the enabling environment for rural sanitation service provision.

1.1 Assessment of political will and institutional framework

- How are rural areas defined legally?
- Who is responsible for development and service provision in rural areas?
- Who are the relevant stakeholders at national, state/province/department, and local levels?
- How is political support garnered from these stakeholders? Is an advocacy plan in place?
- Do all stakeholders share a vision for policy, strategy, and direction in the sub-sector?
 - If so, what is it and is there a strategic plan or set of policies to implement this shared vision?
 - If not, what are the barriers?
- Which lead institution/ministry is the established national home for rural sanitation? What are its roles and responsibilities? Are they clearly defined?
- What is the legislative framework for rural sanitation?
- How is planning for rural sanitation carried out at the sub-national level?

1.2. Implementation mechanisms

- What are the coordination mechanisms between stakeholders for rural sanitation interventions?
- What are the mechanisms, if they exist, to coordinate with other sectors?
- Are there institutional incentives in place to promote approaches that include creation of demand, strengthening of supply, enabling environment, and learning/knowledge aspects? If so, what are they?
- What is the government's operational structure for rural sanitation services?
- How are rural sanitation services provided along the whole sanitation service chain? If necessary, identify the mechanisms, responsibilities, strengths and gaps for each stage of the service chain.
- How is sanitation access in multiple locations, beyond the home, addressed through existing service provision?

1.3 Funding

- What kind of funding is available at each level of government (national, sub-national)?
- How is the funding structure of the rural sanitation sub-sector organized? For example, is there a dedicated budget line in place for rural sanitation? How are funds approved and how do they flow between government levels?
- Is funding being used for service provision rather than just to build infrastructure? Are all elements of the sanitation service chain given adequate attention?
- Are the following activities adequately resourced and funded?
 - Scaling up rural sanitation (service expansion)
 - Hygiene and demand creation, including behavior change
 - Strengthening supply
 - Enabling environment
 - Capacity building
 - Continuous M&E

1.4 Monitoring and Evaluation

- What is the leading institution for M&E in the rural sanitation sub-sector?
- How does the country monitor rural sanitation services and performance?
 - Does an effective M&E framework exist for rural sanitation for the related Sustainable Development Goal indicators?
 - Is M&E harmonized between the national and sub-national levels?
 - Does an effective M&E framework exist for hygiene?
 - Are there indicators in place to account for sanitation use and behavior change?
 - Does the M&E framework reflect local practices and preferences?
 - Are the needs of vulnerable groups considered?
- How are M&E results used to inform and improve program implementation?
- What kind of citizen feedback mechanisms in place?
- Are there incentives for data collection?

2. Demand

Section 2 Output: A short summary of previous research on behavioral determinants and existing practices; overview of existing strategy, methodology, responsibilities and tools for behavior change; identification of areas for strengthening demand for rural sanitation and hygiene behaviors.

2.1 Understanding behavioral factors

- What has been learned from previous behavioral assessment(s) (such as formative research)? What are the factors that influence behaviors (behavioral determinants) and what existing practices have been identified (use, preferences, hygiene)?
- Are there existing reuse behaviors? If so, what type?
- What information is available on the household and community ability and willingness to improve sanitation and hygiene behaviors?
- How are assessment findings shared and reviewed with stakeholders? Are there feedback mechanisms in place?

2.2 Behavior change methodologies

- What is the strategy for sanitation and hygiene behavior change?
 - If applicable, how is it being implemented?
 - How has the methodology established in this strategy been adapted to the challenges and customs of the national context?
 - Could this strategy be further complemented or strengthened?
- Identify any specific tools that have been designed for sanitation and hygiene behavior change. These could include media, house visits, education program, printed material. Are these tools being used?

2.3 Coordination and Implementation

Briefly assess the level of ownership of this methodology at the national and sub-national levels among relevant stakeholders.

- How does this strategy fit in the sector-wide strategy or policy? For example, does it apply to all rural sanitation programming, or is it linked to specific programs? Does it require coordination with other sectors (e.g. health)?
- Is there a behavior change communication campaign in place? If so, briefly assess its components and performance.
- What mechanisms are in place for the adaptation and refining of tools and methodologies based on implementation results?

3. Supply

Section 3 Output: A short summary of previous efforts around supply strengthening or sanitation marketing; overview of the existing supply chain for goods and services, affordability, quality and innovations of note; identification of areas for strengthening supply for rural sanitation goods and services.

3.1 Previous experiences

Document any supply strengthening or sanitation marketing efforts that have been carried out in the past, including any lessons learned that may have been documented and shared.

If a supply chain assessment for rural goods and services has been carried out, what supply chain bottlenecks for key goods and services have been identified? Have those been addressed?

3.2 Market assessment

- What is the availability of sanitation goods in rural and remote areas?
 - Do they respond to consumer preferences?
 - Are goods affordable for consumers in the poorest 40%?
 - Are goods made available with appropriate marketing and quality assurance controls?
- What is the availability of rural sanitation services?
 - Does service delivery respond to consumer preference?
 - Are services available and affordable for all economic categories of consumer?
 - Are services made available with appropriate marketing and quality assurance controls?

- Is there a FSM service(s) in place? Are there FSM service providers operating in the area or nearby? Note that depending on the density this may not be needed.
- How are other services (water, solid waste) being provided, if available?
- How have sanitation and hygiene programs stimulated innovations in goods and service?
- How has the private sector been engaged around rural sanitation?

4. Financing

Section 4 Output: An overview of the sub-sector financing mechanisms and any innovative / alternative interventions worth expanding on; recommendations for improvements to sub-sector financing and areas for further investigation.

- What are the financing mechanisms described in the rural sanitation strategy?
- Have subsidies been designed for past rural sanitation interventions? If so, what has been the experience with subsidies?
- What other financing mechanisms have been used to promote sanitation uptake? For each, describe the mechanism, scale, any lessons learned from its application, and indicate if it could feature more prominently in the sub-sector strategy.
- What information is available on household willingness to pay?
- How are loans to consumers or to the private sector being used for rural sanitation service expansion and/or provision?
- How are other sectors/services financed, and can lessons learned be extrapolated for rural sanitation?

5. Knowledge and Learning

Section 5 Output: A short summary of the current capacity of relevant stakeholders to carry out their mandate and existing capacity building efforts; identification of areas for further development.

5.1 Capacity assessment

Indicate if a capacity assessment has been carried out at the national and/or sub-national level, and any findings from this assessment.

If not, a brief assessment should be carried out to evaluate and qualify the capacity of the national and sub-national level in government, supplies/service providers, and among the private sector, development partners and NGOs to carry out their responsibilities with regards to rural sanitation. This can also be included as one of the first activities of rural sanitation engagement.

5.2 Capacity building

- Indicate and review any capacity building plan(s) developed at the national or sub-national level.
- Have previous initiatives been assessed (e.g. application of specific methodologies like CLTS)? If so, what are the outputs?
- Describe any previous knowledge exchange activities of note around rural sanitation.
- Is there active knowledge sharing among stakeholders? Is there a platform for this type of exchanges?

Annex 3: Citywide Inclusive Sanitation: A Call to Action

CITYWIDE INCLUSIVE SANITATION

A CALL TO ACTION

A silent urban sanitation crisis is underway. It's time to clean up our acts!

A successful city is one where all citizens live productive, healthy and dignified lives in an environment free from fecal contamination. Human waste must be managed in ways that safeguard the urban environment, including water and food supplies. Far from being a reality, this vision is under increasing threat. With limited financial and human resources, a changing climate and rapid, unplanned urbanization, cities are struggling to cope. 'Business as usual' is not working. However, the Sustainable Development Goals provide new impetus to ensure access to sustainable water and sanitation services, to keep cities safe and resilient, and to ensure citizens' health and well-being.

Citywide inclusive sanitation means that: everybody benefits from adequate sanitation service delivery outcomes; human waste is safely managed along the whole sanitation service chain; effective resource recovery and re-use are considered; a diversity of technical solutions is embraced for adaptive, mixed and incremental approaches; and onsite

and sewerage solutions are combined, in either centralized or decentralized systems, to better respond to the realities found in developing country cities. Cities need to develop comprehensive approaches to sanitation improvement that encompass long-term planning, technical innovation, institutional reforms and financial mobilization. They will need to demonstrate political will, technical and managerial leadership, to focus on durable drivers for innovation, and to manage funding for sanitation in new and creative ways.

To achieve citywide inclusive sanitation, a radical shift in mindsets and practices is needed in sanitation and urban development.

Initiated by a growing group of institutions,¹ this Call to Action seeks to mobilize all stakeholders to embrace a radical shift in urban sanitation practices deemed necessary to achieve citywide inclusive sanitation.

¹ The Bill & Melinda Gates Foundation, Emory University, Plan International, The University of Leeds, WaterAid, the World Bank.



*Moving from inadequate sanitation to citywide inclusive sanitation – an example from São Paulo, Brazil
(Credit: Secretariat of Housing, Municipal Government of São Paulo)*

This briefing note sets the scene and defines guiding principles for citywide inclusive sanitation. Its objective is to bring all actors – including you! – to the table to start the conversation. The principles are not set in stone and a number of specific aspects need to be further developed to help define paths to 2030. We hope to benefit from your inputs as we define a global strategy for implementing this Call to Action. For more information, follow our progress at bit.ly/CWISblog1.

Join us as we commit to this challenging and critical goal of moving to citywide inclusive sanitation by signing up at bit.ly/CWISsignup.

 Join the conversation using #InclusiveSanitation

CITYWIDE INCLUSIVE SANITATION: A CALL TO ACTION

A Call to Action: Key Principles to Deliver Citywide Inclusive Sanitation

Citywide inclusive sanitation requires collaboration between many actors, including: national, sub-national and city/municipal governments; utilities and municipal service providers; business and the private sector; civil society, local and international NGOs; donors, bilateral and multilateral agencies and private foundations; as well as academia and, importantly, households themselves. Each city is organized

in a unique way. Local actors need to acknowledge shared responsibilities and work collaboratively to chart their own path to providing urban sanitation to all.

We specifically call on all actors to work on the basis of four inter-locking principles:



 Join the conversation using #InclusiveSanitation

CITYWIDE INCLUSIVE SANITATION: A CALL TO ACTION

Poor sanitation is stifling economic growth

With neighborhoods and public spaces turning into open sewers, many cities struggle to manage human waste. Currently, some 60 million new residents move to urban areas every year. One in four lives in slums, amounting to 1 billion people with inadequate housing, limited access to basic services and usually lacking land tenure security.² As a result, urban population growth dramatically outpaces gains in access to safe sanitation. Only 37% of urban excreta is safely managed globally.³ Evidence shows that even where piped water networks exist, sewerage and septic tank connections lag far behind.⁴

The resulting environmental degradation and public health impacts lead to high child mortality and morbidity, poor school attendance and performance, especially for girls, and low productivity. They also contribute to the vicious cycle affecting the delivery of other key urban services such as housing, potable water, solid waste and drainage. All these factors ultimately limit economic growth, urban development and city competitiveness. *A silent urban sanitation crisis is stifling the realization of the urban transformation called for in the Sustainable Development Goals.*

In 2007, readers of the British Medical Journal chose the “sanitary revolution” as the greatest medical advance since 1840. This 19th Century revolution must become a 21st Century reality for everyone. Acknowledging the importance of urban sanitation and its intrinsic link to appropriate land use planning and the need for affordable housing is fundamental in the transformation of cities becoming clean, livable and productive.

Why ‘business as usual’ is not working

‘Business as usual’ in urban sanitation primarily focuses on centralized/conventional infrastructure, which only benefits a small percentage of the population. It fails to shift political priorities, funding allocations, institutional coordination, as well as the planning, design and management practices needed to achieve services for all. It fails to consider the tradeoffs between sanitation investments and doesn’t consider incrementalism. Only a radical shift in mindsets

and practices, with sustained behavior change, will make a difference. Common myths surrounding sanitation need to be debunked.

This radical shift requires the engagement of all stakeholders – formal and informal – and political accountability of all citizens, rich and poor alike. City leaders need to use their political capital and power to drive a coherent citywide strategy that delivers on sanitation as a human right. The consequences of inadequate sanitation affect everyone, as human waste and its pathogens recognize no boundaries and spread freely across urban areas.

Professionals working in urban development must better coordinate their respective mandates (e.g. sanitation, land use planning, housing). To achieve sustainable, universal and safe management of human waste, sanitation sector professionals must blend both conventional and new solutions in innovative ways that consider the needs and resources of their clients and links to urban development.

The path to 2030 – watch this space!

In this Call to Action we urge stakeholders to assess, as a first step, the status of sanitation in their cities⁵ and to map the areas that are worst affected. This can provide a basis for citywide inclusive sanitation approaches to be integrated into urban development planning and implementation, with the goal to provide tangible results for urban residents by 2030. In the coming months, and with your support, we will continue to jointly develop our thinking through a global strategy and additional papers, guidance documents, tools, and knowledge-sharing initiatives. Follow our progress at: bit.ly/CWISblog1.

² UN, 2014.

³ SFD data 2016.

⁴ See for example Ghosh Banerjee, S., and Morella, E. 2011. Africa’s Water and Sanitation Infrastructure. Access, Affordability, and Alternatives. The World Bank.

⁵ SFDs or ‘excreta flow diagrams,’ found at <http://sfd.susans.org/>, can be a useful tool in this process.



Transitioning to citywide inclusive sanitation in Mozambique (Credit: WB/WSUP)

CITYWIDE INCLUSIVE SANITATION: A CALL TO ACTION

Debunking Urban Sanitation Myths

Sector experts and city managers all over the world have worked hard to support effective urban sanitation, often with limited success. This is often due to a set of enduring myths.

1 Myth #1:

There is no demand for improvements where sanitation is poor or absent

In fact: There is latent demand for sanitation services even in the poorest areas. Poor residents often feel unable to affect change, especially when facing uninterested politicians, land tenure limitations, and technical challenges, and they are reluctant to openly express their demands.⁶

2 Myth #2:

Poor people are not willing to pay for sanitation services

In fact: Poor people are willing to pay for sanitation services and they do, even when they receive services of substandard nature. Often, their only option is to resort to an unregulated private service to periodically empty their latrine/septic tank, whereas richer areas are connected to sewer systems with subsidized or free services.

3 Myth #3:

There isn't enough money to solve the urban sanitation problem

In fact: Investments needs are indeed huge. Urban sanitation represents 40% of estimated amounts to reach the SDG targets 6.1 and 6.2.⁷ Increasing public budgets will be necessary but not sufficient. Available resources also need to be better allocated and used more effectively. Service providers and households need to be supported to make efficient investment decisions. Private financing can be leveraged for investment opportunities, especially if public funds are used more strategically.

4 Myth #4:

Investing in urban sanitation is not productive

In fact: Sanitation investments provide demonstrated health, economic, social and environmental benefits that are essential to turn cities into vibrant economic centers. Globally,

inadequate sanitation costs poor countries on average 5% of their GDP.⁸ The economic return on sanitation spending is estimated at US\$5.5 for every dollar invested.⁷

5 Myth #5:

Centralized conventional sewers and wastewater treatment are the only way to solve the urban sanitation crisis

In fact: Experience of citywide inclusive sanitation in numerous cities (such as Brasilia, Dakar, Durban, Manila, Kuala Lumpur or Seattle) using a mix of solutions show important progress. Adaptive, expandable, decentralized and cost-effective approaches, mixing onsite and sewerage solutions, can be resilient to external economic, demographic and environmental shocks. Local innovation allows developing sanitation solutions that reflect local conditions and meet the needs of customers.

6 Myth #6:

Solving urban sanitation is all about toilets

In fact: Providing access to a toilet, a latrine or a sewer connection is only part of the solution. The SDGs now require that human waste is conveyed, treated and reused/disposed of safely and sustainably. The full sanitation service chain needs to be sustainably managed.

7 Myth #7:

Sanitation produces waste that is a nuisance to be eliminated

In fact: Human waste contains valuable nutrients and soil conditioner. These can be recovered and reused for urban and rural agricultural use. Energy can be produced from both heat recovery and biogas combustion. Water can be recycled for industrial, agricultural and even potable use. Such underutilized value, when monetized, can generate revenue to offset service costs.

In summary: There is no simple, single solution to urban sanitation challenges. We must develop locally relevant innovative solutions along the sanitation service chain that put customers first and focus as much on service management as on technology. City planners should consider the tradeoffs between providing basic access to all versus advanced treatment to the few.

⁶WaterAid. 2016. Overflowing cities: The State of the World's Toilets 2016. Media Briefing.

⁷Hutton, G. 2012. Global costs and benefits of drinking-water supply and sanitation interventions to reach the MDG target and universal coverage. World Health Organization.

⁸Water and Sanitation Program. 2016. Economics of Sanitation Initiative.



Join the conversation using #InclusiveSanitation