A Planning Approach for Slum Sanitation
The Sanitation Planning Approach

The process described here has 5 stages:

• The situational analysis
• Feasibility
• Action Planning
• The implementation stage
• Participatory monitoring & evaluation
The situational analysis

- Preliminary assessment & initial situation analysis
- Inventory of stakeholders (characterisation & their relationships)
- Assessment of:
  - Sanitation practice & needs
  - Livelihoods strategies
  - Government support
  - Legal & regulatory frameworks
  - Existing organisational modes
  - City structure & Heterogeneity of sanitation practices
  - Agency perspectives
  - Shelter and tenure arrangements
  - Geological assessment
  - Municipal and other agency finance
Community mobilisation

Photo: Courtesy of Centre for Community Organisation & Development (CCOD) & Malawi Homeless People's Federation
Situational Analysis Methodology

- Secondary information about conditions in the city collected from a variety

- Semi-structured interviews with key informants including government (at various levels), donor agencies, key professionals and community leaders

- Sanitation survey (profiling of settlements, enumerations of households) across the city designed and implemented by community members

- Focus groups specifically structured to address the sanitation goals. This include both information gathering and the review of findings.

- Review of obstacles to city-scale sanitary improvement, based in part on assessments of the failures (and limited successes) of previous initiatives
The feasibility

- Characterisation & selection of sites
- Preselection of combination of technologies, organisational modes & financial mechanisms
- Detailed selected options, including:
  - Technology combinations, pros & cons, O&M
  - Organisational mode & institutional setup; roles & responsibilities; contractual arrangements
  - Capital & operational costs, financial mechanisms, budget est.
  - Skills required to run each system
- Preliminary presentation & final selection of system options by all
- Reassessment of key stakeholders according to validated options
Action Planning

• Detailed project development (Action Plan):
  – Detailed design of the treatment plant
  – Clarifications of roles & responsibilities
  – O&M management plan (costs, responsibilities, training needs)
  – Conventions between stakeholders, securing financial & institutional mechanisms
  – Strategy for control and enforcement
  – Definition of needs for capacity building and job creation
  – Definition of contracts and bidding processes
  – M&E strategy for the implementation phase
  – Timeline for implementation & itemised budget
• Workshop: Presentation of Action Plan
• Reassessment of key stakeholders according to action plan
The implementation stage

• Recruitment of contractors for building & O&M
• Organisation of the sector, transfer of roles & responsibilities
• Capacity building / information campaigns
• Monitoring of construction
• Start-up of the system
• Official inauguration ceremony
Members of the Zimbabwe Homeless People’s Federation building a community ecological sanitation toilet in an informal settlement of Harare

A new communal toilet built by community members and an NGO in Sekondi-Takoradi in Ghana
Monitoring and Evaluation

- Monitoring of the running system
  - Technical stability
  - Satisfaction of stakeholders
  - Cost recovery
Participatory Monitoring

- Participatory Monitoring is the systematic recording and periodic analysis of information that has been chosen and recorded by insiders with the help of outsiders.
- The main purpose of Participatory Monitoring is that it provides information during the life of the project, so that adjustments and/or modifications can be made if necessary.
- In many WASH projects monitoring and evaluation are undertaken by external consultants or agency staff.
- In participatory monitoring, in the early stages of projects capacity building is critical to ensure that the communities are in a position to monitor the project activities. External monitors are however, not excluded but their role is to promote and facilitate the processes.
A Participatory Evaluation is an opportunity for both outsiders and insiders to stop and reflect on the past in order to make decisions about the future.

Advantages include:
- Sense of ownership & confidence by the local communities
- Easier and efficient way of identifying the initial needs and the ultimate effects
- Provides a voice to those not usually heard
- Creates a platform for collaborative working
- Results in more sustainable projects
- Fits into the larger participatory processes

Participatory tools may include: community case studies, semi-structured interviews, focus group discussions, ranking, rating & sorting
Examples of Planning Methodologies

- Sanitation 21
- CLUES (Community-Led Urban Environmental Sanitation Planning)
- City-wide Sanitation Strategies by Federations of the Urban Poor
A tool to develop a city-wide sanitation strategic plan including recommendations for short-, medium- and long-term improvements (IWA, GIZ & EAWAG, 2013)

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<th>Context</th>
<th>Assessment</th>
<th>Step</th>
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<td>Institutional Mapping</td>
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<td>1 Identify the Key Actors in each Domain</td>
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<td>Interests/Objectives</td>
<td>Interests/Objectives</td>
<td>2 Identify the interests of the key groups</td>
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<td>External Factors</td>
<td>External Factors</td>
<td>3 Understand the external factors driving decisions on sanitation</td>
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<td>Capacity</td>
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<td>4 Identify the capacities which exist for implementation and long-term management of any system</td>
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| Sanitation System/Options| Sanitation Elements        | 5 Analysis of existing systems and potential new systems            |
| Management              | Management                 | 6 Identify in detail the management requirements for the systems    |

| Fit for Purpose?         | Does it meet Objectives?   | 7 Assess whether the proposed/existing system meets the objectives in each domain |
|                         | Do Management requirements match? | 8 Assess whether the system can be managed based on the capacities of each domain |
|                         | Will it work?              | 9 Taking into account all the previous steps and technical considerations, ask the question ‘will it work?’ |
A planning approach that presents comprehensive guidelines for the planning and implementation of sanitation in low-income urban settings.
City-wide Sanitation Strategies by Federations of the Urban Poor

Aims of the City-Wide Sanitation Strategies

1. Getting local residents to coordinate and combine their demand for sanitary improvements
2. Finding and implementing improvements that are affordable and acceptable to authorities and communities
3. Getting local authorities to work with residents and organisations to co-produce needed improvements
4. Ensuring that other poverty-related problems such as insecure tenure do not undermine improvement efforts

Process

• Situational Analysis (e.g. community profiling, enumeration, mapping etc)
• Precedent Setting (demonstration projects)
• Development of City-wide Sanitation Strategy
Design of sanitation planning strategies in slums is important because - 
• Sanitation is vital for public health
• Very little priority given to sanitation
• Potential to reuse sanitation waste
• Improved sanitation is cost effective
• Integrated planning which takes into consideration various players and aspects of the sanitation value chain is more sustainable
• Top-down market oriented master-planning focuses mostly on infrastructure
• [https://www.youtube.com/watch?v=olx7bZKfTGg](https://www.youtube.com/watch?v=olx7bZKfTGg) - This video is about Orangi in Karachi, Pakistan and is one of the largest slums in Asia. It shows how the Orangi Pilot Project, an NGO, had a huge constructive impact on that area in terms of sanitation. The documentary highlights how the people's collective will can improve the situation. People from Orangi stood up and took a stand. They decided to improve their living standards and took the initiative. They pooled in money, purchased the necessary tools, and did the work themselves without any external aid.
References
