



**IMPLEMENTATION OF RURAL SANITATION MODEL AND STRATEGY
THROUGH RESULTS BASED FINANCING**

Government of Ghana – UNICEF WASH Programme

Implementation Manual

Acronyms

CLTS	Community Led Total Sanitation
CRST	Children's Rapid Survey Team
DA	District Assembly
DCD	District Chief/Coordinating Director
DEHO	District Environmental Health Officer
DICCS	District Inter Agency Coordination Committee for Sanitation
HH	Household
EHSD	Environmental Health and Sanitation Department
EOI	Expression of Interest
GoG	Government of Ghana
HQ	Head Quarters
ICNLPV	Inter-Communities Natural Leader's Progress Verification
IT	Information Technology
MDA	Municipal District Assembly
MCD	Municipal Chief/coordinating Director
MEHO	Municipal Environmental Health Officer
MIS	Management Information System
NL	Natural Leaders
NGO	Non-governmental Organization
OD	Open Defecation
ODF	Open Defecation Free
PTD	Participatory technology Development
PTTD	Participatory Toilet Technology Development
RCD	Regional Chief/Coordinating Director
REHO	Regional Environmental health Office/Officer

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1. OVERVIEW

1.1 Background

UNICEF has been supporting the Government of Ghana (GoG) to implement the Rural Sanitation Model and Strategy (RSMS) through the GoG -UNICEF Water and Sanitation (WASH) programme since 2012. The programme is currently being implemented in 47 Districts in the following five (5) regions in Ghana:

- Central;
- Volta;
- Northern;
- Upper East; and
- Upper West.

In a bid to scale up implementation and improve delivery of results, UNICEF has been working in partnership with the Government of Ghana to introduce the Results Based Financing (RBF) concept where funding to implementing Districts will be based on the achievement of agreed programme targets. Under the RBF, the focus of implementation is outputs/results and not inputs. Disbursement of funds is linked to performance; that is, ability to meet agreed programme targets.

1.2 Scope of interventions

The programme covers all pillars of the Rural Sanitation Model and Strategy including the following specific areas:

- Community Led Total Sanitation;
- Social Norms Campaign Activities;
- Sanitation Marketing;
- Household Sanitation Financing;
- Monitoring and Evaluation; and
- Strengthening of the enabling environment.

Whilst the programme covers all the above areas, Districts will receive initial support for a package of activities based on their implementation status on the GoG-UNICEF WASH programme. They will however have the opportunity to implement other activities as they progress through the various RBF stages as outlined below.

RBF Stages	Qualification Criteria	Activities to be implemented
Stage 1 (New Districts)	Districts in the five selected regions who have not previously implemented the RSMS with UNICEF support	• Baseline Assessments; • Planning and Consensus Building; • Establishment of implementation structures; • Training and Capacity Building; and • Community Led Total Sanitation (CLTS).
Stage 2 (Access Districts)	Districts in the five selected regions who have previously implemented the RSMS with UNICEF support and attained more than 50% but less than 80% Open Defecation Free (ODF) conversion rate for communities funded in 2017	• CLTS; • Implementation of incremental strategy with the establishment of Natural Leader Networks; • Sanitation Technology Support and Establishment of Sanitation Business Model 1 (working with artisans); • Establishment of Community Based Financing Schemes; and • Adaptation of Results Based Performance Framework including RBF for Field Facilitators.
Stage 3 (Full Programme Districts)	Districts in the five selected regions who have previously implemented the RSMS with UNICEF support and attained 80% ODF conversion rate for communities funded in 2017	• Complete RSMS package ○ CLTS ○ SanMark (District entrepreneurial model, sales promotion, sanitation expo) ○ Social Norms Campaign Activities • Establishment of District Sanitation Fund.

1.3 Objective of the Operational Manual

The main objective of this manual is to provide participating Districts with a tool to assist with the implementation of the Government of Ghana and UNICEF (GoG – UNICEF) Community Led Total Sanitation (CLTS). This guide does not replace or supersede other working documents or implementation guidelines instituted for the implementation of CLTS but it is only meant to serve as a guide for implementation.

The subsequent sections of this manual will provide a summary of step-by-step guide to be followed in the implementation of the programme.

2. SELECTION

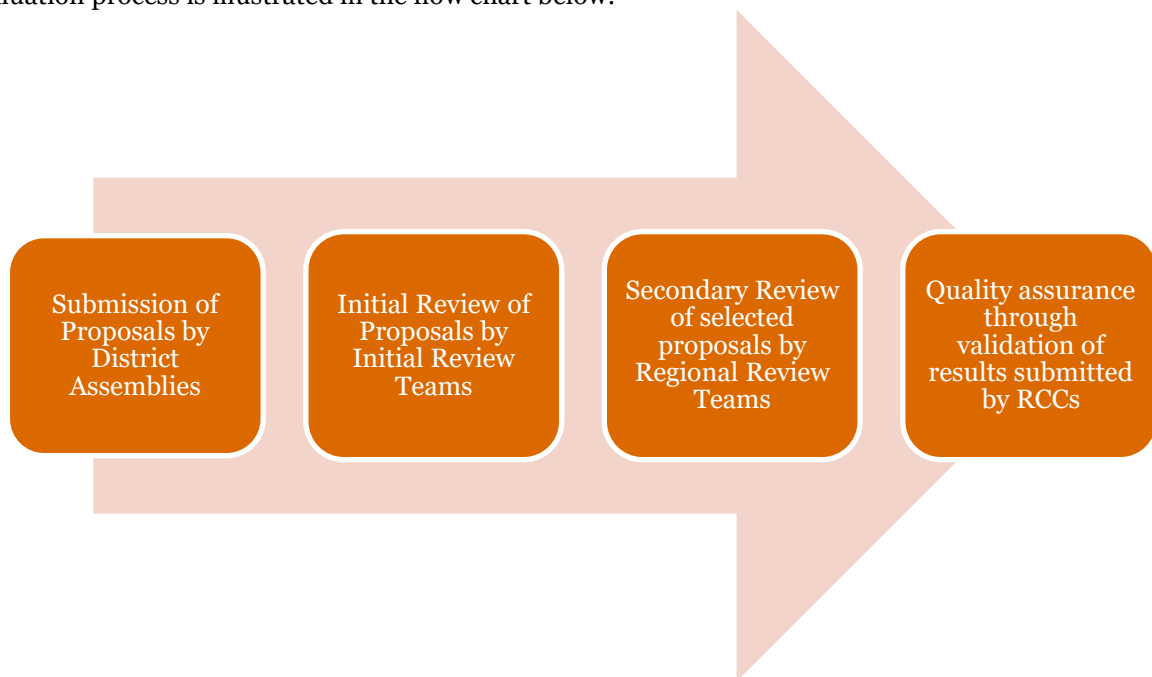
The first phase of the implementation of the GoG-UNICEF CLTS programme Districts having prioritized sanitation and hygiene, will focus on strategies that will achieve district wide Open Defecation Free status using the developed Incremental CLTS strategy and tools. Districts that are willing to implement the programme and committed to achieving results are eligible for selection. New Districts will be selected on an annual basis based on the submission of an Expression of Interest (EoI) to the respective Regional Coordinating Council (RCC) and UNICEF.

2.1. Request for expression of interest

The first step within the selection process will be the float of EoI for prospective DAs/MDAs to show interest in implementation. The process will be advertised with a one day workshop organised for prospective Districts. Districts will be required to respond to the EoI's within a period of 15 working days. The timelines for final submission will be duly communicated to the prospective DAs/MDAs. Interested Districts should prepare and submit the EoI in both electronic and paper printed copies to their respective RCCs within stipulated deadline using the formats provided to the Districts.

2.2 Evaluation process

The evaluation process is illustrated in the flow chart below:



2.2.1 Initial Evaluation

Following the submission of the proposals by the District Assemblies, initial review teams will be constituted by the respective Regional Coordinating Councils (RCCs) to conduct a first level of evaluation of the EoI proposals submitted. Evaluation of the EoIs will be based on an assessment scoring matrix which

will provide a rating of 1 – 100. Where clarifications are required, a possible visit to the District and interaction with the management and staff at the District level to validate information provided in the EoI will be undertaken.

2.2.2 Secondary Evaluation

Following the review of the proposals by the initial evaluation teams, a second level of evaluation will be conducted by regional review teams. The regional review teams which will be constituted by the RCCs. The review teams are not expected to review all the EoIs that have been reviewed by the initial evaluation teams in arriving at the scores submitted. However, they are expected to perform some quality assurance procedures to confirm that work done by the initial evaluation teams met required standards. The following quality assurance procedures are to be performed:

Sampling from initial evaluation scores submitted by Evaluation Teams

In the first phase, the secondary review teams will select at random, one EoI each that has been evaluated by each of the initial review teams and re-perform the evaluation for the randomly selected EoI. The outcome of the review will then be compared with the results obtained by the initial review team.

Reviewing evaluations that had extreme scores

The second phase will require the regional review teams to review EoIs that obtained extreme scores for the entire evaluation submitted. Extreme score in this case is defined as EoIs with scores that constitute the top five percent (5%) and lowest five percent of all EoIs to be evaluated. If this is chosen from the previous sample, then it qualifies for the secondary phase to the extent that it meets the regional review team's requirement.

It is not expected that the regional review teams will arrive at the same scores as the scores given by the initial evaluation teams. To this end, all scores that are within +/- 10% of the initial scores obtained will be accepted as the final scores. In instances where the scores obtained by the regional review teams fall outside +/- 10%, the scores of the regional review teams will be accepted as the final scores.

The evaluation process at the regional level will be coordinated by the UNICEF Regional Consultants.

Regional teams will submit their evaluation reports to the RBF Consultants and UNICEF after completion of the evaluation process.

2.2.3 Quality Assurance

Following the submission of reports of the evaluation process to UNICEF and the RBF Consultants, quality assurance procedures will be performed by the Consultants to validate the results submitted by the RCCs. Procedures to be performed include arithmetical accuracy checks of all the results that will be reported by the regions. The Consultants will also review the evaluation procedures to ensure they are in line with the

evaluation guidance issued to the evaluation teams. Furthermore, the outcome of the review will go through additional quality assurance processes to ensure it is in accordance with the required quality standards.

2.3 Selection of District and notification of results

Based on recommendation by the consultants, Districts will be selected by GoG – UNICEF on the basis of availability of funding for implementation. Districts will be duly notified of results of selection once the process has been completed.

2.4 Signing of Memorandum of Understanding

Once the Districts have been selected from the application process, an agreement will be signed between the Regional Coordinating Councils and the Districts for the implementation of the WASH programme towards the achievement of district-wide open defecation free status in the Districts. The signing of the Memorandum of Understanding (MoU) will be subject to the donor partner's approval of budget for the District, as well as targets and work plans for the period of the agreement and these documents shall form an integral part of the MoU.

3 PRELIMINARY ACTIVITIES

Selected Districts are required to undertake some preliminary activities with technical and financial support from donor partners to put them in a position for programme implementation. These activities include the determination of staff that will undertake the CLTS activities, train and orient core staff and form implementation structures especially for new Districts.

3.1 Formation of CLTS Core Team for the Districts

The first step is to identify human resources available for sanitation and hygiene activities in the District (CLTS team) and assign roles and responsibilities. In consideration of complementing each other it is suggested that a core team known as District Inter Agency Coordination Committee for Sanitation (DICCS) should be formed in participation of the relevant stakeholders at the District level which may include the District Environmental Health Officer/Municipal Environmental Health Officer (DEHO/MEHO), District Planning Officer (DPO), DBO, D-SHEP and DCDO, plus some senior key staff of the District. Note that, this list is not exhaustive and dependent on the particular situation of the District, the members may change. While the role of DICCS is to play strategic role in ensuring interagency coordination then the role of this core team is to manage CLTS programme operation. In case there is prominent presence and engagement of NGOs in CLTS, senior staff of those NGOs also should be included in the core team. The DICCS should meet preferably quarterly, to discuss activities concerning CLTS implementation within the Districts and once institutionalized, a startup meeting must be held with the RICCs. Field staff that will perform day-to-day activities within the districts must also be determined.

Identification and creation of natural leader networks must be institutionalized during the formation of the CLTS core team.

3.2 Capacity assessment and training

Once the CLTS implementation team has been determined at the District level, an assessment will have to be performed on the capacity of the team to implement CLTS activities. This process will involve undertaking a capacity assessment of assigned staff and developing a capacity building plan with training being provided on an “as and when basis”. Once the Districts are selected, an initial training and orientation will be provided to the districts on programme implementation and financial management by UNICEF.

3.3 Sensitisation of key stakeholders

Following the readiness of the District for implementation of the CLTS programme, there is the need for sensitization of the key stakeholders at the district level of the ODF plan.

3.4 Developing implementation plan and budget

The district must develop a District wide ODF plan using the ODF planning guidelines. It is likely that the Districts would have included their plan to convert the whole District from OD to ODF. Once selected for CLTS programme, the District would have prepared and submitted budget. However, a budget is the financial plan of programme delivery, thus it is not possible to prepare an effective and efficient budget without development of programme plan. Efficient budget preparation not only depends on what tasks a programme will deliver but also how those tasks will be delivered, starting from the formation of a CLTS core team to the approval of budget. At this stage the plan will be fine-tuned and the specific details will be agreed with the donor.

The selected Districts are expected to complete all preliminary activities within a two-month period. Similarly, existing Districts are expected to complete all preliminary activities within a month.

4 DISBURSEMENT OF FUNDS AND IMPLEMENTATION

Once a District has completed most of its preliminary activities, it must put in place measures to receive funds for implementation. The processes to be undertaken at this stage do not follow a specific sequence and may be undertaken concurrently given the number of field facilitators available within the District. Different communities fall within different categories in the District's attempt to achieve ODF.

4.1 Disbursement of Funds

Within 5 working days after the receipt of budget and disbursement request, respective staff of UNICEF will review and notify the District on approval of the budget if it meets the requirements for funds transfer. If not, UNICEF will provide clarification for necessary adjustment and in that case the District has to revise and submit an updated budget within 7 working days after the feedback provided by UNICEF.

UNICEF shall disburse funds to the Districts using the Direct Cash Transfer (DCT) mechanism where funds are disbursed directly into a designated District bank account. For disbursements made to Districts, UNICEF shall send a transfer advice to the Districts to notify them of funds transferred. Districts shall also acknowledge receipt of funds from UNICEF. Once a MoU has been signed with selected Districts (together with approved targets, budgets and work plans), UNICEF shall make an initial disbursement to the Districts within 7 days of receipt of fund disbursement request from the Districts.

4.2 Conversion of a Potential-ODF community into ODF Certified

Although the GoG protocol does not include any category of 'potential to ODF', in reality there are communities which have made significant progress and are close to being ODF. A potential ODF community does not require much input. Four to five fortnightly follow-up meetings and exercise can turn a potential ODF community into ODF certified.

The following sequential follow-up activities are suggested:

- **1st follow-up:** CRST and Monitoring Map (situation where children's team do the survey with the adult community members executing the monitoring map);
- **2nd follow-up:** CRST and Inter Community Natural Leaders progress verification (ICNLPV);
- **3rd follow-up:** CRST + Inter Community Natural Leaders progress verification (ICNLPV);
- One additional follow-up visit by the field staff;
- One further follow-up visit by the assigned Natural Leaders of neighboring ODF communities;
- DICCS verification;
- Regional verification; and
- Community ODF celebration.

4.3 Conversion of an ODF-Basic community into ODF Certified

The following sequential follow-up activities are suggested for converting an ODF – Basic community into ODF certified.

- **1st follow-up:** showing various types of toilets built by the communities and explaining the need for converting the communities from ODF-Basic to ODF;
- **2nd follow-up:** ODF Natural Leaders tell story (this activity can be targeted and budgeted);
- **3rd follow-up:** CRST, Community Monitoring Mapping and children's drama/role play;
- **4th follow-up:** CRST and Inter Community Natural Leaders Progress Verification (ICNLPV);
- Two additional follow-up visit meeting by the field staff;
- Two additional follow-up visit/meeting by the assigned Natural Leaders of neighboring ODF communities (this activity can be targeted and budgeted) only of is ODF community and NLs;
- DICCS verification;
- Regional verification; and
- Community ODF celebration.

4.4 Conversion of a Triggered but OD community into ODF Certified

The following sequential activities are suggested:

- **1st activity:** Exchange visit between OD communities and ODF Certified communities (if there is any ODF community in the area council);
- **2nd activity:** ODF NLs tell story (this activity can be targeted and budgeted) plus communities action plan and bye-laws meeting;
- **3rd activity: 1st follow-up:** CRST, Community Monitoring Mapping and children's drama/role play;
- **4th activity: 2nd follow-up:** Perform a second follow up of activities;
- **5th activity: 3rd follow-up:** CRST and Inter Community Natural Leaders Progress Verification (ICNLPV);
- Two additional follow-up visits -meeting by the staff;
- Two additional follow-up visits-meeting by the assigned Natural Leaders of neighboring ODF communities only applicable where there are ODF community and NLs;
- DICCS verification;
- Regional verification; and
- Community ODF celebration.

4.5 Conversion of a non-triggered OD community into ODF Certified

The following sequential activities are suggested:

- **Activity 1:** 1st community visit for primary understanding and rapport building with the communities and observation and understanding of sanitation situation + formation of a Children's Survey Team within week one.
- **Activity 2:** 2nd community visit + CRST for baseline
- **Activity 3:** Communities key leaders visit to ODF – Certified communities and joint planning of triggering exercise.

The process from activity 1 to activity 3 constitutes the pre-triggering stage.

- **Activity 4:** Triggering appraisal (including Flip Chart of HH toilet construction deal line flip charting)
- **Activity 5** (*next day of triggering appraisal*): Meeting with natural leaders group for action plan and introduction of monitoring (monitoring map) and review system

Activity 3 to 9 represents the post triggering Follow-up.

- **Activity 6: 1st follow-up (within 7 days of activity 5 conducted):** Meeting with NLs and showing various kinds of toilets built by the people and HH toilet site selection campaign.
- **Activity 7: 2nd follow-up (after 15 days of activity 6 conducted):** CRST and Community Monitoring Mapping including children's drama/role play;
- **Activity 8 : 3rd follow-up(after 21 days of activity 7 conducted):** Conduct follow up of districts;
- **Activity 9 : 4th follow-up(after 30 days of activity 8 conducted):** CRST and Inter Community Natural Leaders Progress Verification (ICNLPV)
- Three additional follow-up visit -meeting by the field staff;
- Three additional follow-up visit-meeting by the assigned Natural Leaders of neighboring ODF communities (this activity can be targeted and budgeted) only of is ODF community and NLs);
- **Activity 10:** DICCS verification;
- **Activity 11:** Regional verification; and
- **Activity 12:** Community ODF celebration.

4.6 Follow-up for a community that has already become ODF

A community which has already become ODF requires Post ODF follow-up for the retention of its status as ODF. It is important to plan and budget for post ODF follow-up to ODF communities. Usually for the sustainability of behavior change among all members of the community it is necessary to continue the post ODF follow-up for a year after a community has become ODF. Although there may be exception for special circumstances, usually monthly follow-up is suggested. The follow up is not only about visiting and talking with people individually. However it includes combined visits, community meetings accompanied by use of some tools that can inform status of the community and help them to plan retention of the status. The following tools can be applied to a follow-up:

- ODF tree (for the first follow up);
- Household toilet monitoring map update for the 2nd meeting;
- Children's Rapid Survey Team (CRST) for the third follow up; and
- Children's drama/ role play for both 2nd and 3rd follow-up visit meetings.

4.7 Cross-cutting supportive activities

The following crosscutting activities may also be implemented on the basis of status within the Districts.

- Area council session with religious leaders/teachers/county chiefs;
- Electoral area level institutional triggering;
- Observation of days (world toilet day, hand washing day etc.);

- Display board at public places;
- Varying school activities aimed at creating awareness;
- Area council wide natural leaders' appreciative session;
- Staff writing story workshop;
- Monthly Staff meeting;
- Monthly Database update; and
- Report preparation.

4.8 Special situation

For a selected District and area council that has special circumstances or challenges such as due to soil structure or flooding causing collapse of toilets; requires innovations of low cost but sustainable toilets for those district area council the quarterly budget also can include Participatory Toilet Technology Development (PTTD) though supporting natural leaders and community engineers. There is however a limit for the PTTD and this should be communicated with the donor and agreed to prior to implementation.

In addition, if the toilets and other sanitation facilities are jeopardized by disasters and force majeure, the Districts can include strategies, activities and budget provision for integrating Disaster Risk Reduction in CLTS. For this UNICEF Ghana encourages selected Districts to solicit technical support from UNICEF Ghana.

4.9 Social norm campaigns and sanitation marketing interventions

Requirements for social norm campaigns and sanitation marketing interventions are same as for new Districts. Upon a progressive achievement of agreed targets for Open Defecation Free for all communities within a District, the District becomes eligible to undertake Social Norm (SN) campaigns and sanitation marketing interventions. This will commence with a Social Norm and Training of Trainers (ToT) workshops in the respective region followed by the training of the respective Districts. A launch will be performed and activities will have to be implemented in accordance with the SN campaign activities template.

4.10 District Sanitation Fund

Each District is expected to set up a District Sanitation Fund aimed at providing funding for improving sanitation within the various Districts. Percentage contributions from the relevant stakeholders must be agreed during the contract negotiation and signing stage. The District Sanitation Fund must be established within a year of implementation.

5 LIQUIDATION AND FINANCIAL REPORTING

5.1 Systematic vouching of expenditure and liquidation

The basis of proper documentation and vouching for financial management is the approved budget and contract agreement between the District and the RCC. The approved budget center and head should be considered as chart of accounts for transaction reference and coding for vouching. Each of the vouchers should be accompanied by the supporting documents.

5.2 Financial report

The District Coordinating Director is the responsible person for submitting one financial report as per approved reporting form at the end of every quarter. Within 15 days of the end of the quarter, the financial report should be submitted to UNICEF with a copy to RCD, REHO and designated responsible staff at EHSD HQ. The financial report should be accompanied by:

- **Progress report:** Which describes achievement of results against intended plan;
- **Bank statement:** Which indicates the date of expenditure and withdrawals; and
- **Plan and budget for next quarter:** With specific results target.

5.3 Eligibility to access financial supports for the next quarter

The central criteria for Districts to be eligible to continue and access to the finance of next quarter are the achievement of agreed results within the MoU and proper application of CLTS principles and processes. Other criteria to be included in the assessment are:

- Prompt receipt of fund by CLTS facilitators for field work;
- Involvement and participation of the District's top management in CLTS and other sanitation improvement activities;
- Level of funding (counterpart) provided by the District for CLTS;
- Finalized District wide ODF strategic plan and road map with resource mobilization strategy;
- DESSAPs updated with CLTS;
- Evidence of functioning DICCS;
- Evidence of gender mainstreaming into sanitation programme; and
- Systematic Monitoring of CLTS programme including updated BaSIS.

The achievement of results is critical for the receipt of continual funding by a District. Subsequent funding decision will be made by UNICEF after an assessment within twenty (21) days of financial and progress reports submitted and decision for continuation or discontinuation will be communicated. Liquidation of funds must also be submitted for previous quarter and Districts cleared prior to the submission of subsequent requests.

6 VERIFICATION AND CERTIFICATION OF RESULTS

Quarterly results reported by Districts shall be verified by verification teams at the district and regional levels and other independent verification agents. There are four (4) levels of ODF status to be attained by Districts that are subject to verification and certification. These are:

- (a) The ODF Basic Status (Usually attained within 2 months);
- (b) ODF Status (Usually attained within 3 - 6 months);
- (c) Sanitised Community (Usually attained within 12 months); and
- (d) Sustainable Sanitised Community (Usually attained within 3 successive years).

6.1 Upload of results on to BaSiS

Underpinning the entire RBF process is the upload of certified and verified results into a database known as BaSiS for reporting of results. This upload must be performed by a focal person within the implementing Districts and should take place once the communities have been verified.