



**Republic of Zambia**

Ministry of Water Development, Sanitation  
and Environmental Protection



# Guidelines for the Development of District Sanitation Plan

13th August, 2019





# Foreword

The Government of the Republic of Zambia has set an overall goal to improve the quality of life for all Zambians, **“LEAVING NO ONE BEHIND”** in line with the Vision 2030. The provision of adequate sanitation is one of the priority interventions of government in the overall goal of alleviating poverty and promoting sustainable economic development. According to the World Health Organization (WHO), the lack of adequate sanitation and proper hygiene practices may account for as much as 65% of the disease burden due to diarrhoea. Furthermore, the World Bank estimates that Zambia loses up to 1.3% of GDP annually due to inadequate sanitation.

There are a number of programmes, projects and initiatives that have been developed in support of achieving the National Vision 2030, thereby improving the overall health and prosperity of the Nation. Until recently, there has been more focus on provision of water, than on sanitation. However, the Ministry of Water Development, Sanitation and Environmental Protection (MWDSEP) and its partners recognized that a well-coordinated, integrated District Sanitation Plan (DSP) would be critical if targets were to be met.

The guidelines for the development of DSPs have been designed and developed to accelerate the achievement of Zambia’s Vision 2030 and SDGs. They are in alignment with the 7NDP and its multi- sector approach, as well as existing National Programmes, Strategies and Guidelines which are aligned to Vision 2030 and 7NDP

The Government’s Vision is to achieve universal access to water and sanitation by 2030. It is for this reason that the Ministry has made a commitment to implement the Open Defecation Free (ODF) Zambia Strategy and Urban and Peri-urban sanitation strategy as Zambia’s road map to end open defecation by the year 2030.

The guidelines are in line with the ODF Zambia Strategy and financing of sanitation in sector plans at District level, in order to strengthen sector planning, resource mobilization and allocation of resources for sanitation and hygiene in rural and low-income urban areas to eliminate open defecation.

The aim of the DSP is to describe how districts will be able to comply with the Rural Water Supply and Sanitation (RWSS) ,Urban Onsite Sanitation(OSS) and Fecal Sludge Management (FSM) Regulatory Frameworks, and reach their targets of increasing sanitation and Solid Waste coverage in the entire district and not just a section of the district. It will describe the multi approaches that will be adopted to meet the goals and provide the way forward to achieving the goals set for in the national vision 2030.

It is with great pleasure that I officially launch the guidelines for the Development of District Sanitation Plans.

*[Insert Signature]*

Hon. Dr. Dennis M. Wanchinga, MP

**Minister of Water Development, Sanitation and Environmental Protection**

# Acknowledgements

The Ministry of Water Development Sanitation and Environmental Protection (MWDSEP), under its mandate that includes development of national policies, programmes, strategies and guidelines, prepared the District Sanitation Planning (DSP) guidelines. These guidelines promote an integrated, coordinated and multi-stakeholder approach to sanitation, as part of national efforts to achieve universal coverage and eliminate Open Defecation while addressing the national agenda of leaving no one behind.

The integrated, coordinated and multi-stakeholder approach, not leaving anyone behind, entails covering sanitation in households, schools, health care facilities and public places in urban, peri-urban and rural areas and growth centre, and additionally incorporating solid waste management, gender and social inclusion. This scenario means working with key sectors such as education, health, traditional affairs, community development and social welfare, etc at national, provincial and district levels.

Being a process that required input from stakeholders, MWDSEP wishes to render its sincere gratitude to the line ministries and their provincial and district government offices consisting of MLG, MoGE, MoH, NWASCO etc, GIZ/RWS, GIZ/D4D, GFA Consulting Group, UNICEF, WaterAid, SNV, and World Vision for the support and contributions in the development of this guideline. The contributions received have made and validated the process of DSP guidelines.

MWDSEP wishes to also sincerely thank Provincial Water and Sanitation Offices (PWSOs), the Provincial Local Government Offices (PLGOs), Provincial Department of Housing and Infrastructure Development (PDHID), the Local Authorities (LAs), District Education Boards Secretaries (DEBS), District Health Offices (DHOs), Commercial Utilities, NGOs, Planning Authority Offices in Mansa (Luapula province), Choma (Southern province), Solwezi (North-western province) and Chipata (Eastern province) for the cooperation and hard work in the pilot of district sanitation planning from which many lessons were learnt.

Particular thanks are also given to the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ-GmbH; German Agency for Technical Cooperation) who, in collaboration with the Government of the Republic of Zambia through the Ministry of Water Development, Sanitation and Environmental Protection, co-financed and supported the development of these guidelines.

Last but not least, sincere thanks go to all the other participants not specifically mentioned here, for the invaluable contributions that they made to this process.

*[Insert Signature]*

Dr. Bishop Ed. Chomba

**Permanent Secretary**

**Ministry of Water Development, Sanitation and Environmental Protection**

# Contents

<b>LIST OF ACRONYMS AND ABBREVIATIONS</b>	<b>1-VIII</b>
<b>HOW TO USE THE GUIDELINES</b>	<b>1</b>
<b>EXECUTIVE SUMMARY</b>	<b>2</b>
<b>1 BACKGROUND FOR THE DEVELOPMENT OF THE DISTRICT SANITATION PLAN</b>	<b>4</b>
1.1 Context	4
1.1.1 Sanitation Service Provision	4
1.1.2 Institutional Framework	6
1.1.3 National sanitation efforts	7
1.2 Planning for District Sanitation	8
1.2.1 Definition	8
1.2.2 Improvements Needed	9
1.2.3 Objective	9
1.3 Methodology for the development of the District Sanitation Planning Guidelines	11
1.3.1 International and local sanitation planning references	11
1.3.2 Zambia's national policies, programmes and frameworks	12
1.4 Principles for District Sanitation Planning	13
1.4.1 Stakeholders Engagement	14
1.5 Process for District Sanitation Planning	16
1.6 Alignment of the District Sanitation Plan and Integrated Development Plan	17
<b>2 GUIDELINES FOR THE DEVELOPMENT OF THE DISTRICT SANITATION PLAN</b>	<b>19</b>
2.1 Introduction	19
2.1.1 Purpose of the Guideline	19
2.1.2 Target Audience of the Guideline	19
2.2 Phases and steps for the preparation of the District Sanitation Plan	20
2.2.1 Phase I: Preparation	21
2.2.2 Phase II: Planning	28
2.2.3 Phase III: Post Planning	35
<b>3 FINANCING MECHANISM</b>	<b>41</b>
3.1 Introduction	41
3.2 Infrastructure Investment	41
3.3 Recurrent expenditure	42
3.4 Budgeting Methods	42
<b>ANNEXES</b>	<b>43</b>
Annex 1: List of sanitation definitions	44
Annex 2: Rural Water Supply and Sanitation Service Model (NWASCO, 2019)	48
Annex 3: Urban Water Supply and Sanitation Service Model (NWASCO, 2019)	49
Annex 4: Roles and Responsibilities of Actors in Water and Sanitation Sector	50
Annex 5: District Sanitation Plan Development Structure	53
Annex 6: Stages of the Sanitation 21 planning process by IWA	54
Annex 7: Main policies, Legislations, National Programmes and Initiatives	55
Annex :8 DSP Toolbox	59

## List of Tables

<b>Table 1: National Household Sanitation and Hygiene Coverage (Source: JMP Report 2015/2017)</b>	4
<b>Table 2: National Health Care Facilities Sanitation and Hygiene Coverage (Source: JMP Report 2015/2017)</b>	5
Table 3: National School Sanitation and Hygiene Coverage (Source: JMP Report 2015/2017)	5
Table 4 International and local sanitation planning references	11
Table 5 Policies, laws and programmes for the water and sanitation sector	12
Table 6: Stakeholders and their interests in sanitation at different levels	15
Table 7 District Sanitation Planning Process and Outputs	39

## List of Figures

<i>Figure 1: District Level Institutional Roles and Responsibilities</i>	6
Figure 2: National Coverage Trends 2000-2030	7
Figure 3 Content of the District Sanitation Plan	11
Figure 4: Most Important services embedded in the IDP and the link to the DSP	17
Figure 5: Alignment of IDP and DSP Processes	18
Figure 6 Phases and steps in District Sanitation Planning	20
Figure 7 Provincial Key Stakeholders- DSP Entry Point	21
Figure 8 DSP Development District Teams	23

# LIST OF ACRONYMS AND ABBREVIATIONS

7NDP	Seventh National Development Plan
AR	Annual Review
ARM	Annual Review Meeting
AWPB	Annual Work Plan & Budget
CC	Community Champion
CD	Capacity Development
CLTS	Community Led Total Sanitation
CPs	Cooperation Partners
CS	Council Secretary
CS	Civil Society
CU	Commercial Utility
CWIS	City Wide Inclusive Sanitation
DATF	District AIDS Task Force
DDCC	District Development Coordinating Committees
DEBS	District Education Boards Secretary
DHID	Department of Housing Infrastructure Development
DHIS2	District Health Information System 2
DHO	District Health Officer
DP	District Planner
DSP	District Sanitation Plan
D-WASHE	District Water Sanitation and Hygiene Education
EHT	Environmental Health Technician
EMIS	Education Management Information System
FDC	Full District Council
FSM	Faecal Sludge Management
GDP	Gross Domestic Product
GIS	Geographic Information System
GRZ	Government of the Republic of Zambia
HMIS	Health Management Information System
IDP	Integrated Development Plan
IWA	International Water Association
JMP	Joint Monitoring Program
LA	Local Authority
LCMS	Living Conditions Monitoring Survey
MDGs	Millennium Development Goals
M&E	Monitoring and Evaluation
MLG	Ministry of Local Government
MoCTA	Ministry of Chiefs and Traditional Affairs
MoGE	Ministry of General Education
MoH	Ministry of Health
MWDSEP	Ministry of Water Development, Sanitation and Environmental Protection
MTR	Mid-Term Review



NDP	National Development Plan
NGOs	Non-Governmental Organisations
NIS	NWASCO Information System
NWASCO	National Water Supply and Sanitation Council
NRWSSP	National Rural Water Supply and Sanitation Programme
NUWSSP	National Urban Water Supply and Sanitation Programme
OBB	Output Based Budget
OD	Open Defaecation
ODF	Open defecation-free
PEO	Provincial Education Officer
PHO	Provincial Health Officer
P-WASHE	Provincial Water, Sanitation and Hygiene Education
PWSO	Provincial Water and Sanitation Officer
PDCC	Provincial Development Coordinating Committees
PDHID	Provincial Department of Housing Infrastructure Development
P-DWSS	Provincial Department of Water Supply and Sanitation
PLGO	Provincial Local Government Officer
PWSC	Provincial Water Sanitation Committee
RSNDP	Revised Sixth National Development Plan
RWSSU	Rural Water Supply and Sanitation Unit
SAG	Sanitation Action Group
SDGs	Sustainable Development Goals
SFD	Shit Flow Diagram
SLTS	School Led Total Sanitation
SNDP	Seventh National Development Plan
SPLASH	Schools Promoting Learning Achievement through Sanitation and Hygiene
SWOT	Strengths Weaknesses Opportunities Threats
WASH-MIS	Water, Sanitation and Health – Management Information System
WDC	Ward Development committee
WHO	World Health Organisation
WSS	Water Supply and Sanitation
TC	Town Clerk
UN	United Nation
UNICEF	United Nation International Children’s Emergency Fund
V-WASHE	Village Water Sanitation and Hygiene Education
ZSHP	Zambia Sanitation and Hygiene Programme

# HOW TO USE THE GUIDELINES

These Guidelines are divided into four sections:

1. Background for the development of the District Sanitation Plan: Serves as a supplement presenting a more in depth background on district sanitation planning for the Zambian context.
2. Guidelines for the development of the District Sanitation Plan: Presents easy to follow steps for the development of a district sanitation plan.
3. Annex: Serves as supplementary information.
4. Toolbox: Suggests tools, which can be used for each step of the Guidelines (soft copies are provided in a separate folder).



This document should be used together with the **Toolbox** for district sanitation planning. The Toolbox provides easy to follow soft copy templates needed to achieve all suggested steps outlined below for the phases of preparation, planning and post-planning in order to ultimately achieve implementation of the District Sanitation Plan.

It is imperative to note that this document is not necessarily a “stand-alone guide”; it should be used in conjunction with various other manuals that provide tools and information on specific stages and outputs of the district planning process (see Section 1.3).

# EXECUTIVE SUMMARY

Zambia made moderate progress towards reaching its drinking water supply targets under the Millennium Development Goals over the period 1990-2015, according to the WHO-UNICEF Joint Monitoring Programme (2015). But during the same period, the country reportedly made 'limited or no progress' towards achieving its sanitation targets.

The failure to meet the MDGs was attributed to many factors some of which hinged on the inadequate capacities of both Local Authorities (LAs) and the Commercial Utilities (CUs) to plan and implement projects and programs, inadequate investments, high targets to be met, lack of prioritization, high biasness towards water than sanitation and low tariffs for water.

The Government of the Republic of Zambia (GRZ) instituted reforms in the water and sanitation sector which aims to provide Local Authorities (LAs) with the means to improve its capacity for effective water and sanitation planning. Thus, this manual, the District Sanitation Plan (DSP) Guidelines, are provided to support a standardized approach to sanitation planning, which ultimately would be able to provide a roadmap to achieve the National Vision and Open Defecation Free Zambia 2030.

As per Water Supply and Sanitation Act No28 of 1997, the LAs are responsible for water supply and sanitation services within their districts; this includes urban, peri-urban and rural areas. The Commercial Utilities (CUs) have been designated to provide these services on behalf of the Local Authorities, while the responsibility for rural areas rests with the LAs directly. Nevertheless, the Local Authorities are ultimately responsible to the people in all those areas. The District Health Office (DHO) is responsible for WASH infrastructure and hygiene education in health care facilities including the allocation of adequate resources. The District Education Board Secretary (DEBS) is responsible for WASH in learning institutions including elementary, secondary schools and early learning centres including provision of an adequate budget for infrastructure implementation and O and M.

Until recently, there has been more focus on provision of water, than on sanitation. Regarding sanitation planning and provision, the CUs have concerned themselves primarily with urban areas and on sewerage, while the LAs supported the Community Led Total Sanitation Program (CLTS). Planning for sanitation provision was done separately – the CUs for urban/peri-urban (sewerage) - and the LAs, through the Rural Water Supply Units (RWSS), for rural (on-site – CLTS). However, the MWDSEP and its partners recognized that a well-coordinated, integrated district sanitation plan would be critical if targets were to be met. Such a plan could enhance the capacity of districts to allocate scarce development resources more effectively and responsively.

The process of developing a DSP would bring all relevant stakeholders together and build consensus through common planning processes and formats. It was agreed that this decentralized district planning process would facilitate targeting, identification, appraisal and approval of programmes and projects that would reduce disease burden. This approach emphasizes:

- Interdependency, rather than treating each action as independent.
- Long-range outcomes rather than short-term outputs and
- mutual collaboration between all players in the district.

In terms of developing a District Sanitation Plan, the key players are the LAs for rural households sanitation, solid waste management and public places; DEBs for school sanitation; DHO for health care facilities sanitation and the CU for urban, peri-urban and growth centres sanitation. The process is holistic, integrated and participatory. It requires stakeholder commitment and collaboration. Existing structures at different levels of the system would be able to provide input to support and inform the sanitation planning process. (i.e. Ward Development Committees (WDCs), and District and Provincial Development Coordinating Committees (D&PDCCs), District and Provincial Water Sanitation and Hygiene Education (D&P-WASHE committees as well the RWSSU and CU planning processes).

The DSP Process further endeavours to harmonize the indicators for the urban and rural sanitation at district level. The importance of the role of local government and the district sector agencies in data collection and reporting on the achievements and impacts as part of the monitoring of the implementation of sanitation plan cannot be over emphasized. The collection of data and formulation of the district sanitation plan will also provide a basis for setting realistic targets for sanitation which should be corresponding with the objectives of the Sanitation Strategies and the Sustainable Development Goals (SDGs).

Among the identified challenges districts face in planning include:

- inadequate access to and management of information and data,
- poor co-ordination between sector stakeholders,
- unclear roles among and within sector players, and
- weak regulatory environment and legal enforcement.

In order to harmonize and have a common approach to sanitation, each district should produce a DSP involving all stakeholders at district level. The DSP, will integrate the CU and LA sanitation plans. The compilation of all the district plans will inform Government, Cooperating Partners and Civil Society at national, provincial, district and ward level and enable stakeholders to harmonize their actions towards sanitation.

The aim of the DSP is to describe how districts will be able comply with the RWSS, Urban Onsite Sanitation (OSS) and Fecal Sludge Management (FSM) Regulatory Framework, and reach their targets of increasing sanitation and Solid Waste coverage in the entire district and not just a section of the district. It will describe the multi approaches that will be adopted to meet the goals and provide the way forward to achieving the goals set for in the national vision 2030.

# 1 BACKGROUND FOR THE DEVELOPMENT OF THE DISTRICT SANITATION PLAN

## 1.1 CONTEXT

### 1.1.1 Sanitation Service Provision

According to the World Health Organization (WHO), the lack of adequate sanitation and proper hygiene practices may account for as much as 65% of the disease burden due to diarrhoea. The absence of adequate sanitation can enormously affect human health and well-being, and has a serious impact on social development, especially for girls and women. Investments in improving sanitation will accelerate progress towards the Sustainable Development Goals (SDGs), particularly SDG 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”

According to the 2019 UN Joint Monitoring Program (JMP)<sup>1</sup>, the *Zambian National Household Coverage in 2017 was 26.4 % of the population had access to “at least basic sanitation” service (urban was 36.2% and rural was 18.9%). As of 2017, 19.3% of the population in Zambia still practiced Open Defecation (2.8% in urban areas and 31.8% in rural areas) as shown in the Table 1.*

**Table 1: National Household Sanitation and Hygiene Coverage (Source: JMP Report 2015/2017)**

	COVERAGE BY SANITATION SERVICE LEVEL								
	Rural Coverage (%)			Urban Coverage (%)			National Coverage (%)		
	2000	2015	2017	2000	2015	2017	2000	2015	2017
<b>Safely Managed</b>	No data	No data	No data	No data	No data	No data	No data	No data	No data
<b>At least basic</b>	11.8	18.1	18.9	45.9	36.8	36.2	23.7	26.0	26.4
<b>Limited service</b>	5.7	5.8	5.9	23.5	32.7	33.4	11.9	17.1	17.7
<b>Unimproved</b>	46.4	44.0	43.4	27.7	27.7	27.6	39.9	37.2	36.6
<b>Open defecation</b>	36.1	32	31.8	2.9	2.81	2.8	24.5	19.8	19.3
COVERAGE BY SANITATION FACILITY									
<b>Improved latrine &amp; other</b>	16.0	22.7	23.5	30.3	36.5	36.0	21.0	28.5	28.9
<b>Septic tank</b>	0.4	0.7	0.8	3.0	11.3	12.8	1.3	5.6	6.0
<b>Sewer</b>	1.1	0.5	0.5	36.2	21.7	20.8	13.3	9.4	9.2
COVERAGE BY HYGIENE SERVICE LEVEL									
<b>Basic service</b>	No data	5.2	5.2	No data	25.6	25.6	No data	13.7	13.9
<b>Limited service</b>	No data	24.1	24.1	No data	33.4	33.4	No data	28.0	28.1
<b>No handwashing facility</b>	No data	70.8	70.8	No data	41.0	41.0	No data	58.3	58.0

According to the 2017 UN Joint Monitoring Program (JMP), the *Zambian National Health Care Facilities Coverage in 2015 was 7 % of the population had no service (urban was 2.9% and rural was 9.3%). As of 2015, 93% of the facilities in Zambia had insufficient data as shown in the Table 2.*

<sup>1</sup> WHO/UNICEF JMP(2017) Progress on sanitation and drinking water-2017 update and SDG baselines: The latest WASH data available for Zambia is from 2015 via [www.washdata.org](http://www.washdata.org).

**Table 2: National Health Care Facilities Sanitation and Hygiene Coverage (Source: JMP Report 2015/2017)**

COVERAGE BY HEALTH CARE FACILITIES SANITATION SERVICE LEVEL						
	Rural Coverage (%)		Urban Coverage (%)		National Coverage (%)	
	2000	2015	2000	2015	2000	2015
<b>No Service</b>	-	9.3	-	2.9	8.9	7.0
<b>Limited Service</b>	-	90.3	-	-	-	-
<b>Basic service</b>	-	0.5	-	-	-	-
<b>Insufficient Data</b>	100	-	100	97.1	91.1	93.0
COVERAGE BY HEALTH CARE FACILITIES HYGIENE SERVICE LEVEL						
<b>No Service</b>	-	-	-	-	-	-
<b>Limited Service</b>	-	-	-	-	-	-
<b>Basic service</b>	-	-	-	-	-	-
<b>Insufficient Data</b>	100	100	100	100	100	100
COVERAGE BY WASTE MANAGEMENT-HEALTH CARE WASTE SERVICE LEVEL						
<b>No Service</b>	-	-	-	-	-	-
<b>Limited Service</b>	-	-	-	-	-	-
<b>Basic service</b>	-	40.1	-	61.4	-	40.3
<b>Insufficient Data</b>	100	59.9	100	38.6	100	59.7
COVERAGE BY WASTE MANAGEMENT- HEALTH CARE FACILITY SERVICE ELEMENTS						
<b>Safe Segregation of Waste</b>	-	88.9	-	89.8	-	83.7
<b>Safe Treatment and disposal of Waste</b>	-	63.3	-	75.6	13.8	67.2
<b>Safe Treatment and Disposal of Infectious Waste</b>	-	64.4	-	75.6	13.8	67.2
<b>Safe Treatment and Disposal of Sharps</b>	-	67.8	-	83.3	16.3	71.4

According to the 2017 UN Joint Monitoring Program (JMP), the Zambian National School Coverage in 2015 was 66.4 % of the population had basic service. As of 2015, 33.6% of the facilities in Zambia had insufficient data as shown in the Table 3.

**Table 3: National School Sanitation and Hygiene Coverage (Source: JMP Report 2015/2017)**

COVERAGE BY SCHOOL SANITATION SERVICE LEVEL						
	Rural Coverage (%)		Urban Coverage (%)		National Coverage (%)	
	2000	2015	2000	2015	2000	2015
<b>No Service</b>	-	-	-	-	-	-
<b>Limited Service</b>	-	-	-	-	-	-
<b>Basic service</b>	-	-	-	-	-	66.4
<b>Insufficient Data</b>	100	100	100	100	100	33.6
COVERAGE BY SCHOOL HYGIENE SERVICE LEVEL						
<b>None</b>	-	-	-	-	-	-
<b>Limited Service</b>	-	-	-	-	-	-
<b>Basic service</b>	-	-	-	-	-	53.6
<b>Insufficient Data</b>	100	100	100	100	100	46.4

Sanitation is a major concern in Zambia. It is observed that the country made limited or no progress towards achieving its sanitation targets i.e. did not meet the Millennium Development Goals (MDGs)<sup>2</sup>. This is most likely exacerbated by the fact that water and sanitation planning among Local Authorities (LAs) for Rural Households Sanitation and Public Places Sanitation, Commercial Utilities (CUs) for Urban Households Sanitation and Growth centres Sanitation, District Education Board Secretary (DEBS) for School Sanitation and District Health Office (DHO) for Health Care Facilities Sanitation is done in parallel, rather than coordinating, developing and implementing a comprehensive, holistic approach and plan for both urban and rural areas. Continued efforts to improve the water sector are therefore required. Urgent attention is required due to the re-occurrence of water borne diseases such as cholera, related directly to poor sanitation. Furthermore, the World Bank estimates that Zambia loses up to 1.3% of GDP annually due to inadequate sanitation.

<sup>2</sup> MDG Goal: 68 % of the Zambian population would have access to sanitation by 2015

### 1.1.2 Institutional Framework

Zambia has specific laws and regulations dealing with water resources management, water supply and sanitation, environmental protection, and public health. It is the mandate of the Ministry of Water Development, Sanitation and Environmental Protection (MWDSEP) to develop Sector Policies, National Programmes and Strategies, including facilitating mobilisation of resources and capacity development. Similarly the Ministry of Health (MoH) is responsible for Policies, National Programmes and Strategies related to Public Health. National Water Supply and Sanitation Council (NWASCO) is a regulator which ensures efficiency and improvement in the WSS Service Delivery that the implementation of national guidelines for water supply and sanitation is in harmony with national policies, legislation and standards. The Provincial MWDSEP Offices support and monitor implementation of WASH activities at Provincial and District Levels. LAs and CUs are the implementing agents for WSS at Local levels. The LAs are responsible for water supply and sanitation services within their districts; this includes urban, peri-urban and rural areas. The Commercial Utilities (CUs) have been designated to provide these services on behalf of the Local Authorities, while the responsibility for rural areas rests with the LAs directly. The District Health Office (DHO) is responsible for WASH infrastructure and hygiene education in health care facilities including the allocation of adequate resources. The District Education Board Secretary (DEBS) is responsible for WASH in learning institutions including elementary, secondary schools and early learning centres including provision of an adequate budget for infrastructure implementation and O and M.

#### DISTRICT LEVEL INSTITUTIONAL ROLES AND RESPONSIBILITIES

Theme: "Not Leaving Anyone Behind"

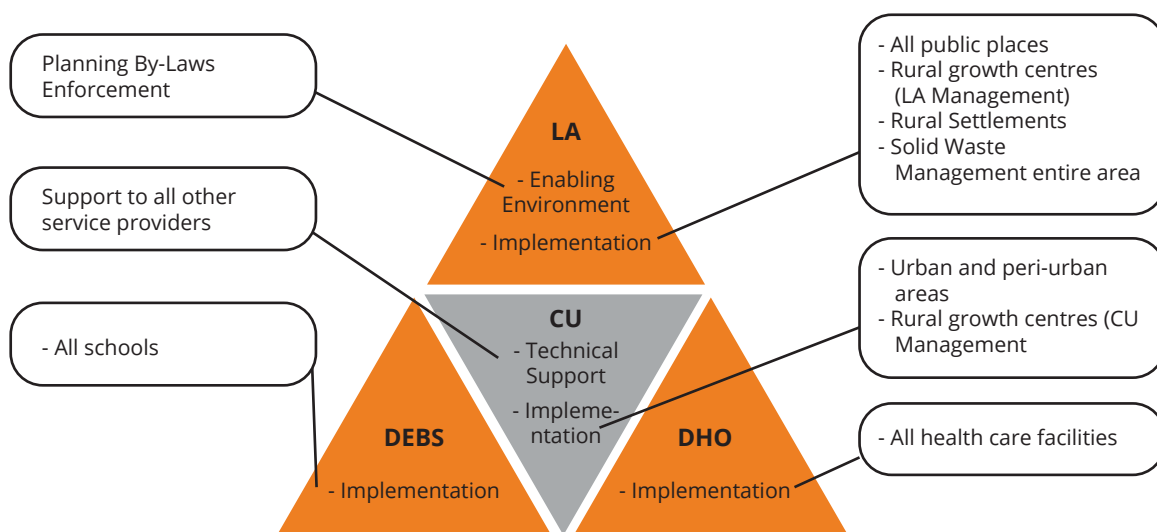


Figure 1: District Level Institutional Roles and Responsibilities

The service delivery models for rural and urban water supply and sanitation are provided in the Annex 2 and Annex 3. For a detailed presentation of the roles and responsibilities of all actors in the water and sanitation sector in Zambia, please refer to Annex 4.

### 1.1.3 National sanitation efforts

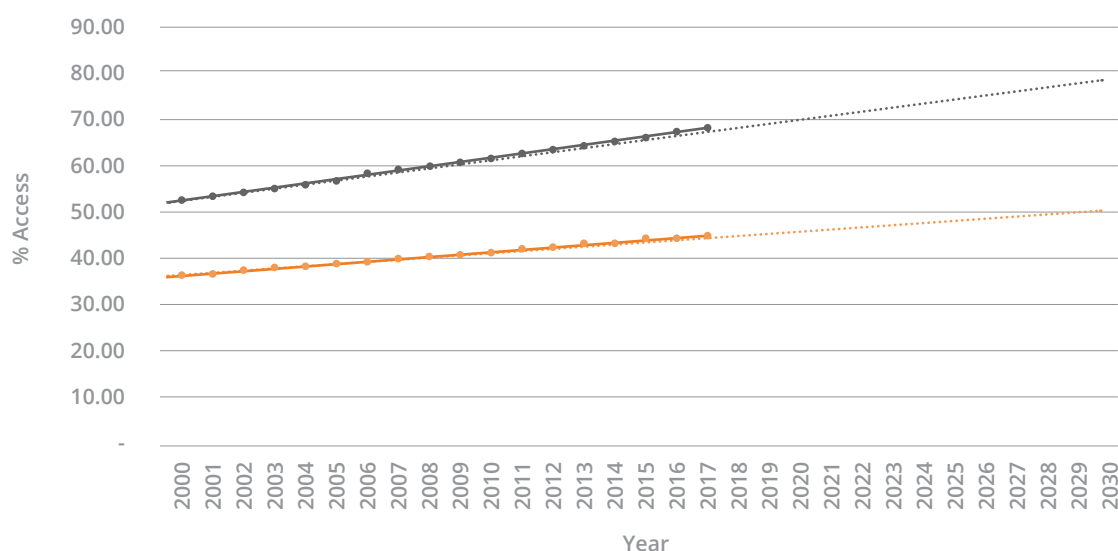
There are a number of programmes, projects and initiatives (See FSection 1.3) that have been developed in support of achieving the National Vision 2030<sup>3</sup>, there by improving the overall health and prosperity of the nation. These are in line with the SDGs and contribute to the National Development Plans (NDP), Integrated Development Plan (IDP) and the African Ngor commitments on Sanitation and Hygiene.

There is no doubt that these national programmes have contributed to the improvement in sanitation coverage in the districts, as evidenced by five districts and many chiefdoms, (Chiengwe, Vubwi, Choma, Chama and Lufwanyama), attaining the Open Defecation Free (ODF) status.

Trends from 2000 indicate that by 2021 national coverage for access to water might reach 70% against the 7NDP target of 85% while for sanitation it might reach 46% against the 7NPD target of 50.8%.

<sup>3</sup> "100 percent access to potable water and 90 percent access to improved sanitation for both urban and rural population by 2030"

## National Access to Improved Water and Sanitation



**Figure 2: National Coverage Trends 2000-2030**

if universal access to sanitation is to be achieved, and to successfully end open defecation by 2030 in Zambia, there needs to be a concerted effort by all to address sanitation coverage. This means **planning processes need to be improved** and implemented.

### 1.2 Planning for District Sanitation

Using proper toilets, hand washing with soap at all critical times and good management of both liquid and solid waste has a huge impact on preventing bacteria, viruses and parasites found in human excreta from contaminating water resources and food. This contamination, according to WHO, is a major cause of diarrhoea, which is the second biggest killer of children in developing countries, and leads to other major diseases.

Improving access to adequate sanitation is not only a critical step towards reducing the impact of these diseases, but also helps create physical environments that enhance safety, dignity and self-esteem. Improving sanitation facilities and promoting hygiene in

- **Schools** benefits both learning and the health of children. Child-friendly schools that offer private and separate toilets for boys and girls, as well as facilities for hand washing with soap and menstrual hygiene management, are better equipped to attract and retain students, especially girls. Where such facilities are not available, girls are often withdrawn from school when they reach puberty.
- **Health care facilities** need to be accessible to patients and staff (separated for patients and staff), separated for women with menstrual hygiene and handwashing facilities with soap, which meet the needs of people with limited mobility.
- **Public facilities** (health centres, markets, bus stations, etc.) also need to include safe disposal of solid waste. This intervention can contribute to the reduction of the transmission of diseases associated with sanitation.

As stated through the ODF Strategy 2030, the activity "**Facilitate formulation of District Level Sanitation and Hygiene Plans in each district**" is part the Priority Planning Activities of the 7<sup>th</sup> NDP between 2018 and 2021 under the overall responsibility of MWDSEP.



### 1.2.1 Definition

Planning is a process of facilitation, which assists a group of individuals, or a community to understand the situation in which they are, so that they are able to change it. Planning uses the experience of population to identify appropriate solutions to real problems. The outcome of planning should result in empowerment of the poor, improvement in the standards of living for the poor and poverty reduction.

The planning process for sanitation at district level will take a bottom-up participatory and integrated approach. The planning process will engage all the players at different levels of planning including those at community level. One cardinal point to note is that most districts are divided into two parts: the urban/peri-urban area and rural area. The urban areas are serviced by CUs, while LAs as per water supply and sanitation sector institutional responsibilities, service the rural areas.

The district sanitation planning system presented in these guidelines focuses on sanitation improvement in the district. The process of district sanitation planning must allow plans to evolve and change. Plans are dynamic and not static. As sanitation situations change, so do the plans. Planning is a learning process.

### 1.2.2 Improvements Needed

Until recently, there has been more focus on provision of water, and less on sanitation. The CUs have not concerned themselves with Onsite Sanitation but have focused on sewerage, which only impacts less than 10% of the entire population according to the JMP 2019 report. Most of the improvements and growth in Urban and Peri-Urban is due to property developers. While the LAs supported the Community Led Total Sanitation Program (CLTS) and other community approaches. Planning for sanitation provision was done separately – the CUs for urban/peri-urban (sewerage) - and the LAs, through the Rural Water Supply Units (RWSSUs), for rural (on-site – CLTS). However, with the new 2018 Regulatory Frameworks in place the CUs are mandated to take up the responsibility of Onsite Sanitation and Faecal Sludge Management.

In order to achieve the National Vision 2030, ODF Strategy, as well as the UN Sustainable Development Goals (SDGs), the planning, budgeting and implementation of these programmes needs to be stepped up, especially at the local levels. Among the identified needs for improvement in the districts, these include:

- **Data Management:** Data collection, access and management of information and data
- **Stakeholder Coordination:** Coordination between WSS sector stakeholders
- **Clear Roles & Responsibilities:** Clarity on roles and responsibilities among and within WSS sector players
- **Prioritization:** Definition of district priority key areas
- **Legal Enforcement:** Enforcement of the regulatory environment and legal enforcement

### 1.2.3 Objective

The aim of the District Sanitation Plan is to describe how districts will reach their targets of increasing sanitation coverage in the entire district, and not just a section of the district. It will describe the multi approaches that will be adopted to meet the goals and provide the way forward to achieve the National vision 2030.

The MWDSEP and its partners recognize that a well-coordinated, integrated District Sanitation Plan would be a **critical success factor** to the water and sanitation development programmes if targets were to be met. Such a plan could enhance the capacity of districts to allocate scarce development resources more effectively and responsively.

The **objective** of the District Sanitation Plan is to provide guidance to the sector on how to develop a coordinated, common approach to sanitation that will facilitate the implementation, and sustainability of sanitation service provision through the entire district. This ensures that duplication of planning requirements is reduced and that the conflicts and contradictions between different stakeholders is minimised.

The **specific objectives** of District Sanitation Plan are to:

- Put in place a **coordinated institutional framework** for the district, which can direct investment in sanitation activities that result in improved sanitation in the entire district;
- Enable an **integrated approach** between the LAs, CUs, DEBS and DHO towards sanitation. The process will integrate economic, social and environmental policies and express these requirements and implications in a spatial plan.
- Ensure identified sectoral issues are not operated in isolation but provide for cross sectoral approach to address them by linking to the Integrated Development Plan
- Ensure the most **efficient and effective use of scarce resources** available to the district, which are directed to sanitation as one of the priority areas



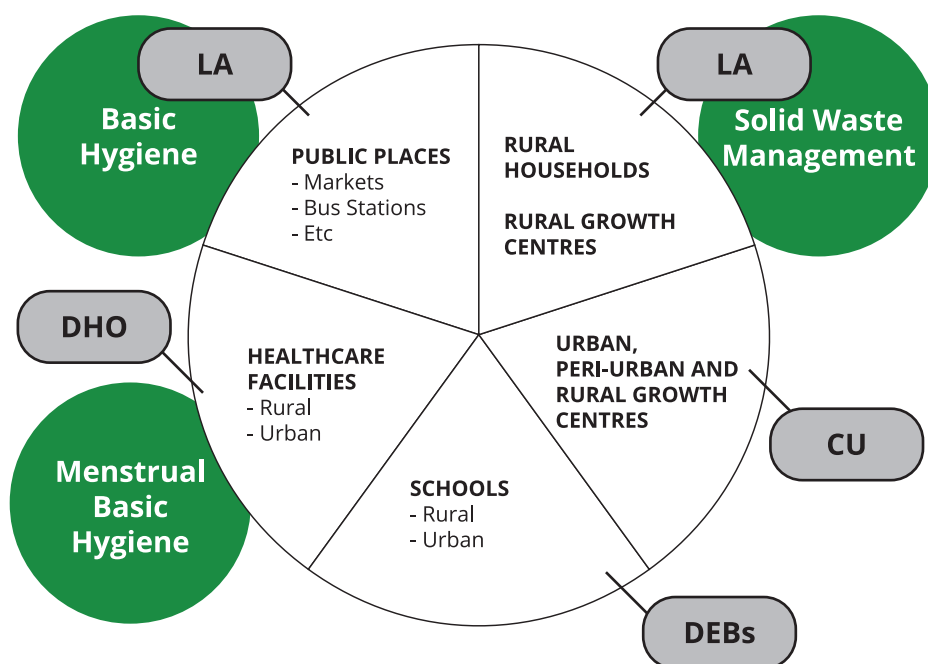
- **Attract investment** to the district including the mobilization of local resources;
- Improve the **participatory process** in sanitation planning in order to improve the co-ordination and provide a standard approach amongst all the stakeholders
- Provide a **collective framework** for monitoring and evaluation and reporting
- Achieve the **National Vision 2030** and Sustainable Development Goals (**SDGs**) and contribute to the National Development Plans (**NDP**), Open Defecation Free Zambia Strategy (**ODF**), **IDP** and the African **Ngor** commitments on Sanitation and Hygiene including cross cutting issues (gender, HIV/AIDs, elderly, differently abled etc)
- To ensure that overarching themes such as environmental protection, climate change resilience and mitigation, HIV/AIDS, social protection, poverty reduction and gender equality are incorporated.
- Focus on the poorest, most marginalised and unserved aimed at progressively eliminating inequalities in access while using and implementing national and local strategies with an emphasis on equity and sustainability.

The Government of the Republic of Zambia through the MWDSEP aims to provide LAs with the means to improve its capacity for effective water supply and sanitation service provision planning.

**LAs are ultimately responsible** for Water Supply and Sanitation (WSS) services and **overall planning** for the areas which falls under its jurisdiction<sup>4</sup>. The CUs have been designated to provide these services on behalf of the LAs in the urban, peri-urban areas and growth centres with piped systems taken up in their licenses, while the responsibility for rural settlements and piped systems not taken up by CUs rests with the LAs directly<sup>5</sup>.

In summary, the **LA 'owns' the District Sanitation Plan**. Nevertheless, the CU is responsible for carrying out citywide sanitation planning. The **CU's Citywide Sanitation Plan is then integrated into the District Sanitation Plan**, which is steered by the LA.

In terms of developing a District Sanitation Plan, the key players are the LAs for rural households sanitation, solid waste management and public places; DEBs for school sanitation; DHO for health care facilities sanitation and the CU for urban, peri-urban and growth centres sanitation . The process is holistic, integrated and participatory. It requires stakeholder commitment and collaboration. See figure 2 for the content of the District Sanitation Plan and for a detailed figure illustrating key players and the process for the development of the District Sanitation Plan, please refer to the District Sanitation Plan Development Structure (See Annex 5).



**Figure 3 Content of the District Sanitation Plan**

<sup>4</sup>Water Supply and Sanitation Act No.28 of 1997: Part III-Water and Sanitation Utilities No 10

<sup>5</sup>National Water and Sanitation Council.2018.Rural Water Supply and Sanitation & Urban Onsite Sanitation and Fecal Sludge Management: Framework for provision and regulation in Zambia. NWASCO

### 1.3 Methodology for the development of the District Sanitation Planning Guidelines

The methodology used to create the *Guidelines for the Development of District Sanitation Plan* was to review international and local planning references. These were then consolidated and adjusted to take into account Zambia's national policies, programmes and frameworks. Four pilots were done, the target districts were (Choma, Chipata, Solwezi and Mansa) testing a preliminary version to catalyse district sanitation planning. From these pilot tests, lessons learned were integrated into the guidelines.

Based on the aforementioned, the main principles for district sanitation planning were formulated and outlined in (See Section 1.4).

#### 1.3.1 International and local sanitation planning references

The DSP Guidelines were designed based on local and international references in district sanitation planning (See Table 4). Various available publications were reviewed and used which provided further background and information. It is imperative to note that the DSP Guidelines are "not a stand-alone guide" and may be used in conjunction with the following planning guideline documents. Furthermore, the planning framework stages of Sanitation 21 by IWA served as an important global reference for the DSP Guidelines and are summarized (See Annex 6).

**Table 4 International and local sanitation planning references**

No	Document	Contribution
1	Revised Guidelines for Developing a Total Sanitation Plan (2013 -2015)	Provides the roadmap for development of a district sanitation plan for the rural parts of the districts using the CLTS Approach. This was used in most districts in Zambia, but few were finalised. (Still in draft form)
2	Programme for Sanitation and Protection of the Environment (PrAPE), Benin	Shows how Benin addressed the planning process for the city and district sanitation in their areas
3	Sanitation 21: A Planning Framework for Improving City-wide Sanitation Services (IWA -2014)	Provides the sanitation planning process for cities and easy to follow steps.
4	Effective Strategic Planning for Urban Sanitation Services - Fundamentals of Good Practice – GHK - 2002	Provides the strategic planning process for sanitation for cities with the Indian experience
5	School WASH Facilities - Operations and Maintenance Guidelines - August 2015	Is a guide for school management in Zambia which must be followed to provide sanitation at schools and required maintenance activities
6	UNICEF Strategy for WASH 2016-2030	Provides a guide and direction on how the SDG will be achieved by different stakeholders and UNICEF's commitment to the same
7	GEMI – Integrated Monitoring of Water and Sanitation Related SDG Targets Step-by-step monitoring methodology for indicator 6.2.1 V1 21 October 2016	Provides a step by step means of monitoring and how planning, Implementation and Impacts will/can be monitored
8	Report of the Inter-Agency and Expert Group on Sustainable Development Goal Indicators(E/ CN.3/2017/2)	Provides the JMP normative interpretation of SDG target for sanitation and hygiene and the global monitoring ladder for sanitation

#### 1.3.2 Zambia's National policies, programmes and frameworks

The Government through the MWDSEP has formulated and developed a number of policies, legislations, programmes and initiatives (See Table 5) to support water supply and sanitation sector programmes in Zambia. Details of respective mandates are presented in Annex 7. The National WSS Strategies have been developed based on *National Programmes* by GRZ in consultation with key WSS stakeholders as part of creating an enabling environment for implementing agents and service providers such as LAs, CUs, civil society, private sector, associations, and NGOs. The outcomes/outputs of these strategies formed a basis on which the guideline for district sanitation planning was developed.

**Table 5 Policies, laws and programmes for the water and sanitation sector**

Item No	Description
Policies	
1	Revised Water Policy 2010
2	Decentralisation Policy (2002)
3	National Water Supply and Sanitation Policy
4	National Gender Policy 2014
5	UN Sustainable Development Goals (Agenda 2030)
6	National Planning and Budgeting Policy 2014
7	National Health Policy
8	School Health and Nutrition Policy (2006,draft)
9	National Education Policy (1996,2017draft)
Laws	
1	Zambian Constitution
2	Public Health Act Chapter 295
3	Environmental and Pollution Control Act
4	Water Supply and Sanitation Act No. 28 of 1997
5	Local Government Act CAP 281
6	SI No.12 of the Local Government Act
7	Urban and Regional Planning Act 2015
8	Statutory Instruments (SI) (various as created) e.g. No 555
9	SI No 63 of 2000 (Licensing of Utilities and Service Providers) Regulations under the WSS Act No. 28 of 1997
10	By-laws (various as created)
11	The Environmental Management Act No 12 of 2011
12	The SI No. 112 of 2013, of EM Act No. 12 of 2011, the EM (Licensing) Regulations of 2013
13	SI No. 100 of 2011
14	Gazette Notice No. 836 of 2016
15	Local Government (Criteria for upgrading the status of Councils) Regulation SI of 2017
16	Occupational Health and Safety Act of 2010
17	Rural Water Supply and Sanitation Framework for provision and regulation in Zambia
18	Urban Onsite Sanitation and Faecal Sludge Management Framework for provision and regulation in Zambia
19	Solid Waste Management Act 2019
Programmes and initiatives	
1	Zambian National Vision 2030
2	National Urban Water Supply and Sanitation Programme (NUWSSP) (2011 -2030)
3	National Rural Water Supply and Sanitation Programmes (NRWSSP) 2006 - 2015, (NRWSSP II 2016-2030 under review)
4	Sanitation and Hygiene Component of the NRWSSP (2006-2015)
5	National Urban and Peri-Urban Sanitation Strategy (2015-2030)
6	National Water Supply and Sanitation Capacity Development Strategy (2015 - 2020),
7	ODF Strategy Zambia (2018 - 2030)
8	MLG Gender Strategy
9	The Community Led Total Sanitation (CLTS) (2010 - to date)
10	Guidelines and Procedures for RWSS Programme Funds (2012)
11	School Led Total Sanitation Guidelines and Certification Procedure (2015)
12	The Seventh National Development Plan (2017 - 2021)
13	Urban Onsite Sanitation and Faecal Sludge Management Framework for provision and regulation in Zambia 2018
14	Rural Water Supply and Sanitation Framework for provision and regulation in Zambia 2018
15	NWASCO Strategic Plan (2016 to 2030)
16	Guidelines for Integrated Development plan
17	2017 Ministerial Budget Speech
18	MWDSEP Strategic Plan 2018-2021
19	WARMA Strategic Plan 2017-2022

## 1.4 Principles for District Sanitation Planning

The **main principles** and basis of good sanitation planning which can result in effective service delivery were consolidated from various international and national references (See Section 1.3). These are therefore the **guiding principles for the development of these district sanitation planning guidelines**. These principles are:

- **Universal Access:** Access to adequate and equitable sanitation, hygiene and water for all is a basic human need.
- **Alignment:** The process will ensure that the policies and strategies of the Plan are aligned with national plans, policies and strategies.
- **End Open Defecation:** End Open Defecation by ALL paying special attention to the needs of women and girls and those in vulnerable situations by creating a sustained Social Norm of Open Defecation FREE environment at household level, in learning institutions, Health Care Facilities and public spaces fostering public health and nutrition.
- **Stakeholder Engagement:** Engagement of all relevant local stakeholders, groups and individuals in the district is one of the **crucial parts in the planning process** and vital for a successful development of sustainable sanitation service delivery and promotion on behaviour changes. The active involvement of stakeholders in the planning process will ensure active support in the implementation of the plan (See [Section 1.4.1](#)).
- **Respond to Expectations for Sanitation Service Improvement:** The DSP should respond to users' expectations by providing improved services that are appropriate to their ability and willingness to pay for service improvements.
- **District Sanitation Situation Analysis:** A good and realistic DSP can only emerge based on district sanitation situation analysis data from both urban and rural areas.
- **Implementation:** The DSP should be implemented within realistic financial limits and be expressed in a detailed action programme.
- **Locally Available Resources:** The use of locally available district resources should be maximized, while external resources can complement and meet short falls.
- **Bottom-up Approach:** The plan should be demand-driven, community-led, sector supported and gender-sensitive. This will promote ownership and sustainability.
- **Integrated Approach:** A good sanitation plans recognise the links between sanitation, water supply, solid waste management and public health as they are interrelated and implemented in an integrated manner. Consideration of the integration between these different services is important to ensure effective sanitation service delivery.
- **Comprehensive:** The DSP should incorporate rural, peri-urban and urban sanitation, institutional WASH public place sanitation and Solid Waste Management. Urban sanitation to include, but not limited to, the following; onsite sanitation and faecal sludge management. Institution sanitation includes School WASH, training institutes and Health Centre Sanitation.
- **Inclusiveness and Equity:** The DSP needs to cover the entire society, including low-income, informal and illegal settlements and remote areas of the district. Issues of safety and privacy need to be considered as well as age, gender, and differently abled people. The plan will focus on identifying those communities and individuals who are most disadvantaged.
- **Affordability:** In urban settings, all sanitation systems should aim for sustainable cost recovery to cover operational, regular maintenance and capital maintenance costs, for it to be sustainable. It is the households' responsibility to have sanitation and handwashing facilities.
- **Behavioural Change:** Behavioural change plays a key role in public health outcomes. As such, DSP should include activities that will promote awareness and behavioural change campaigns in addition to appropriate facilities if full benefits of sanitation are to be achieved.
- **Sanitation Marketing and Advocacy:** Sanitation marketing and advocacy plays a key role in creating demand and awareness
- **Replicating Successful Approaches Knowledge Transfer:** Several approaches may be used in planning and implementation of sanitation activities in the district and these should/can be replicated or up scaled to other areas and should produce similar results.
- **Phased Approach (ODF):** Applying a phased approach takes note of the specific socio- geographic context in Zambia and will allow households and institutions to progressively move up the sanitation ladder.
- **Systems Approach:** Stresses the interactive nature and interdependence of external and internal factors related to changing of social norms towards an ODF environment within governance systems as a coordinated and systematic effort beyond CLTS emphasizing the need for a resilient overall WASH system.
- **Cross-cutting:** There are intrinsic linkages between Sanitation and various cross-cutting issues like HIV/AIDS, Differently abled, environment, Gender, Climate Change, nutrition and Disaster Management which shall be mainstreamed

### 1.4.1 Stakeholders Engagement

The Government of the Republic of Zambia promotes a decentralized and democratic type of planning system, which responds to people's expressed needs and aspirations. For planning to be successful and sustainable, it is crucial that various stakeholders get involved in ways that are appropriate to their interests and needs. Based on IWA's Sanitation 21's four main levels of planning, the Table 5 below presents the levels of stakeholder engagement adopted and part of these guidelines.

It is of utmost importance that these stakeholders are engaged before and during the planning process as well as during implementation. It is therefore critical that the LA identifies specific stakeholders and their area of operation or influence rather than just generalizing.

The process of district sanitation planning must allow for participation of all stakeholders in the district, especially at the **community level**. Communities and households are some of the stakeholders who must take part in the planning and implementation processes. The involvement of lower organs of the government structure, and other government and local cadres, who play a role in the water supply and sanitation sector at community level, as well as the local leadership, will have a great impact in the planning, as well as in the implementation processes. Furthermore, V-WASHE, as well as D-WASHE and P-WASHE committees, need to be exposed to planning skills, leadership, good governance, simple records and bookkeeping, participation approaches, and gender sensitization for them to become effective.

The importance of involving both **women** and men in the management of water supply and sanitation has been recognized not only at national level but also at district and community levels. It is therefore imperative that women are fully involved from the start of the planning process to the implementation stage. Women's presence is critical in the sustainability of sanitation programmes.

**Table 6: Stakeholders and their interests in sanitation at different levels**

Level	Stakeholders	Primary interest
Household	<ul style="list-style-type: none"> <li>Local residents (household owners and tenants)</li> <li>Schools</li> <li>Health Care Facilities</li> <li>Sanitation Action Groups</li> <li>Landlords</li> <li>Artisans</li> <li>Pit emptiers and desludging companies</li> <li>Environmental Health Technicians (EHTs)</li> </ul>	<ul style="list-style-type: none"> <li>Access /convenience</li> <li>Health and wellbeing</li> <li>Affordability</li> <li>Rent</li> <li>Business opportunities</li> </ul>
Community	<ul style="list-style-type: none"> <li>Ward Development Committee</li> <li>Community based organizations</li> <li>Community Champions</li> <li>Masons</li> <li>Neighbourhood Health Committees</li> <li>Non-Governmental Organizations</li> <li>Faith Based Organisations</li> <li>Village Development Committee</li> <li>Health Neighbourhood Committee</li> <li>Village Wash Committee</li> <li>Staff from schools, health centres and others</li> <li>Market association/committee</li> <li>Local level municipal administration</li> <li>Private sector organisations</li> <li>Traditional leaders</li> <li>Councillors</li> </ul>	<ul style="list-style-type: none"> <li>A clean and liveable environment</li> <li>Employment</li> <li>Social development</li> <li>Improved living standards</li> <li>Business opportunities</li> </ul>
District	<ul style="list-style-type: none"> <li>Local Authority</li> <li>District Administration</li> <li>Commercial Utility</li> <li>Environmental health department</li> <li>D-WASHE Committee</li> <li>District Health Office</li> <li>District Education Board</li> <li>NGOs</li> <li>DDCC</li> <li>Association of pit emptiers/desludgers</li> <li>Masons</li> <li>Farmers union</li> <li>Chamber of Commerce</li> <li>Department of Physical Planning</li> </ul>	<ul style="list-style-type: none"> <li>Good governance</li> <li>Socio-economic development</li> <li>Fiscal strength and civic pride</li> <li>Improved sanitation</li> <li>Participation</li> <li>Business opportunities</li> </ul>

Provincial	<ul style="list-style-type: none"> <li>• PWSO</li> <li>• PWRD</li> <li>• P-DHID</li> <li>• PLGO</li> <li>• PDCC</li> <li>• CU</li> <li>• P-WASHE Committee</li> <li>• PHO</li> <li>• PEO</li> <li>• Provincial Administration</li> <li>• Other Government ministries(MoCTA, Com Dev, Agric, ZANIS etc.)</li> <li>• CPs</li> <li>• NGOs</li> <li>• Civil Societies</li> </ul>	<ul style="list-style-type: none"> <li>• Water security and food security</li> <li>• Environmental protection</li> <li>• Ground and Surface Water Quality</li> <li>• National and international development objectives</li> <li>• Policy guidance</li> <li>• Financial Assistance</li> <li>• Various (Implementation/ funding/Implementing)</li> <li>• Awareness creation</li> </ul>
National	<ul style="list-style-type: none"> <li>• Ministry of Local Gov.</li> <li>• MWDSEP</li> <li>• NWASCO</li> <li>• ZEMA</li> <li>• WARMA</li> <li>• Ministry of Health</li> <li>• Ministry of General Education</li> <li>• Other Government ministries(MoCTA, Com Dev, Agric, ZANIS)</li> <li>• Ministry of Finance</li> <li>• CPs</li> <li>• NGOs</li> <li>• Civil Societies</li> </ul>	<ul style="list-style-type: none"> <li>• Policy Development</li> <li>• National and international development objectives</li> <li>• Monitoring and Evaluation</li> <li>• Provision of financial resources</li> </ul>

### 1.5 Process for District Sanitation Planning

The process of developing a DSP takes up a multi-sectoral approach i.e. brings all relevant stakeholders together to build consensus through common planning processes and formats. A decentralized district planning process will facilitate targeting, identification, appraisal and approval of programmes and projects that would reduce the disease burden caused by poor sanitation and hygiene. This approach emphasizes:

- **Interdependency**, rather than treating each action as independent
- **Long-term outcomes**, rather than short-term outputs
- **Mutual collaboration** between all players in the district

Existing structures at different levels of the system should be able to provide inputs to support and inform the sanitation planning process such as:

- Village Development Committees
- Sanitation Action Groups
- Ward Development Committees (WDCs)
- District and Provincial Development Coordinating Committees (D & PDCCs)
- Village, District and Provincial Water Sanitation and Hygiene Education committees (V, D & P-WASHE)
- Rural Water Supply and Sanitation Unit (RWSSU)
- District Education Boards Secretary (DEBS) Planning Unit of the Ministry of General Education
- District Health Office (DHO) planning processes of the Ministry of Health
- CU planning processes.

The district sanitation planning process further endeavours to harmonize the 7<sup>th</sup> NDP indicators for the urban and rural sanitation at district level. The importance of the role of local government and the district sector agencies in data collection and reporting on the achievements and impacts as part of the monitoring of the implementation of the sanitation plan cannot be over emphasized. The collection of data and formulation of the district sanitation plan will also provide a basis for setting realistic targets for sanitation, which should be corresponding with the objectives of the Sanitation Strategy at national level, and the SDGs.

In order to harmonize and have a common approach to sanitation, each district should produce a District Sanitation Plan

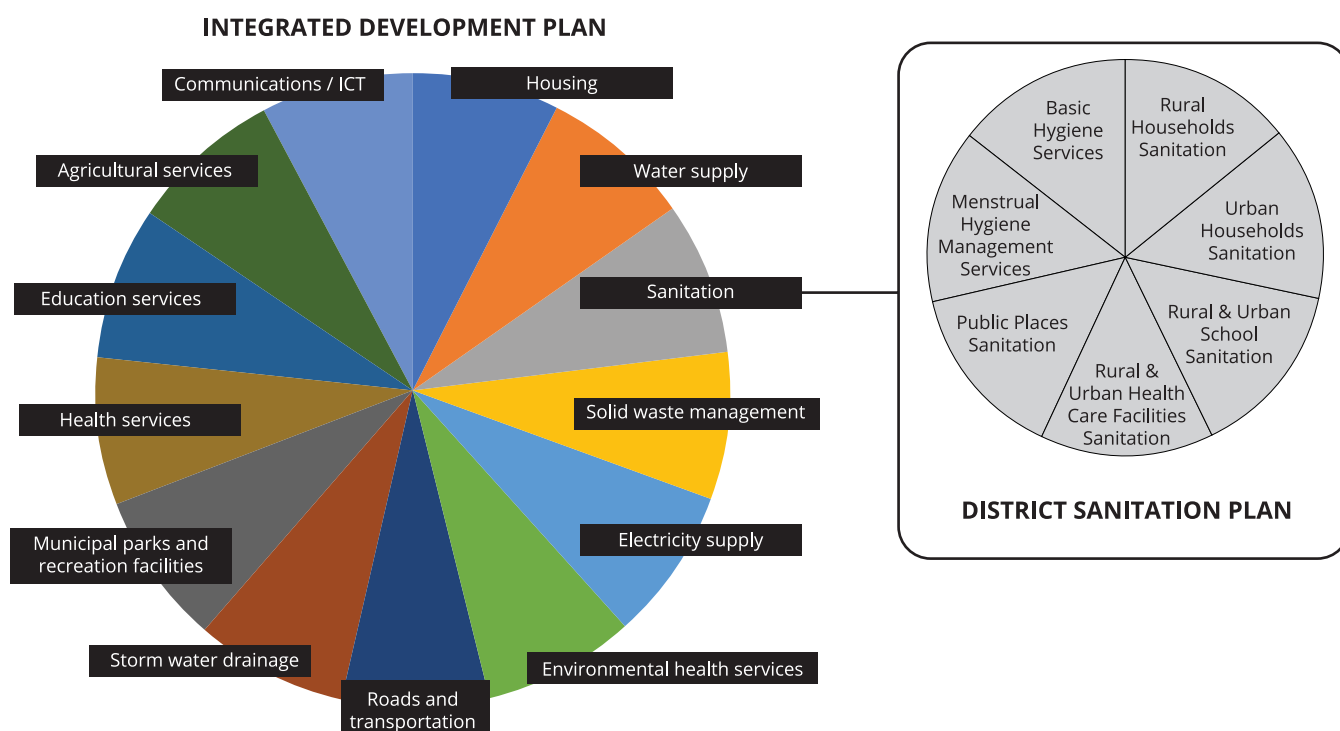


involving all stakeholders at district level under the coordination of a Steering Committee, such as D-WASHE . The district sanitation plan, will integrate the CU, LA, DEBS and DHO sanitation plans and then feed into the IDP. The compilation of all the district plans will inform the government, cooperating partners (CPs) and civil society (CS) at national, provincial, district, ward level, and enable stakeholders to harmonize their actions towards sanitation.

## 1.6 Alignment of the District Sanitation Plan and Integrated Development Plan

The Integrated Development Plan (IDP) is a framework or strategy for the development of the District which seeks to integrate the activities of the local authority with government and other stakeholders. By law, all districts are required to prepare an IDP for the provision of municipal services which includes sanitation. However, the IDP does not provide much information on the sanitation of the district and therefore it is necessary to have a separate District Sanitation Plan (DSP). The DSP is a coordinated institutional framework for the district, which can direct investment in sanitation activities that result in improved sanitation in the entire District. The IDP and DSP shall be aligned, and the DSP treated like other sector plans.

Local authorities must make sure that people in their areas have at least the basic services they need. **See Figure 3 for the most important services embedded in the IDP and the Link to the DSP**



**Figure 4: Most Important services embedded in the IDP and the link to the DSP**

The issues facing districts in relation to sanitation are serious and can have a detrimental impact on the health of those living in the district and therefore addressing these issues should be prioritised. Not all districts are at the same stage in preparing an IDP. It is recommended that districts should not delay preparing a DSP in favour of an IDP – especially where donor funds are available for the preparation of a DSP.

When the IDP is subsequently prepared, then the DSP can be incorporated into the IDP. The content of the DSP should be reviewed and updated to ensure that it is aligned with the objectives and targets of the IDP.

In districts where an IDP is being prepared and there is no DSP, then issues relating to the provision of sanitation must be incorporated within the IDP. This will ensure that sanitation is also considered in relation to wider cross cutting issues, such as environment and climate change. The sanitation component of the IDP will be supplemented with a DSP, which will provide guidance to the sector on how to develop a coordinated, common approach to sanitation, facilitate the implementation and sustainability of sanitation service provision through the entire district.

Where there is an existing IDP in a district, the content of the IDP should be reviewed and updated as necessary in relation to the recommendations in the Guidelines for Development of DSP.

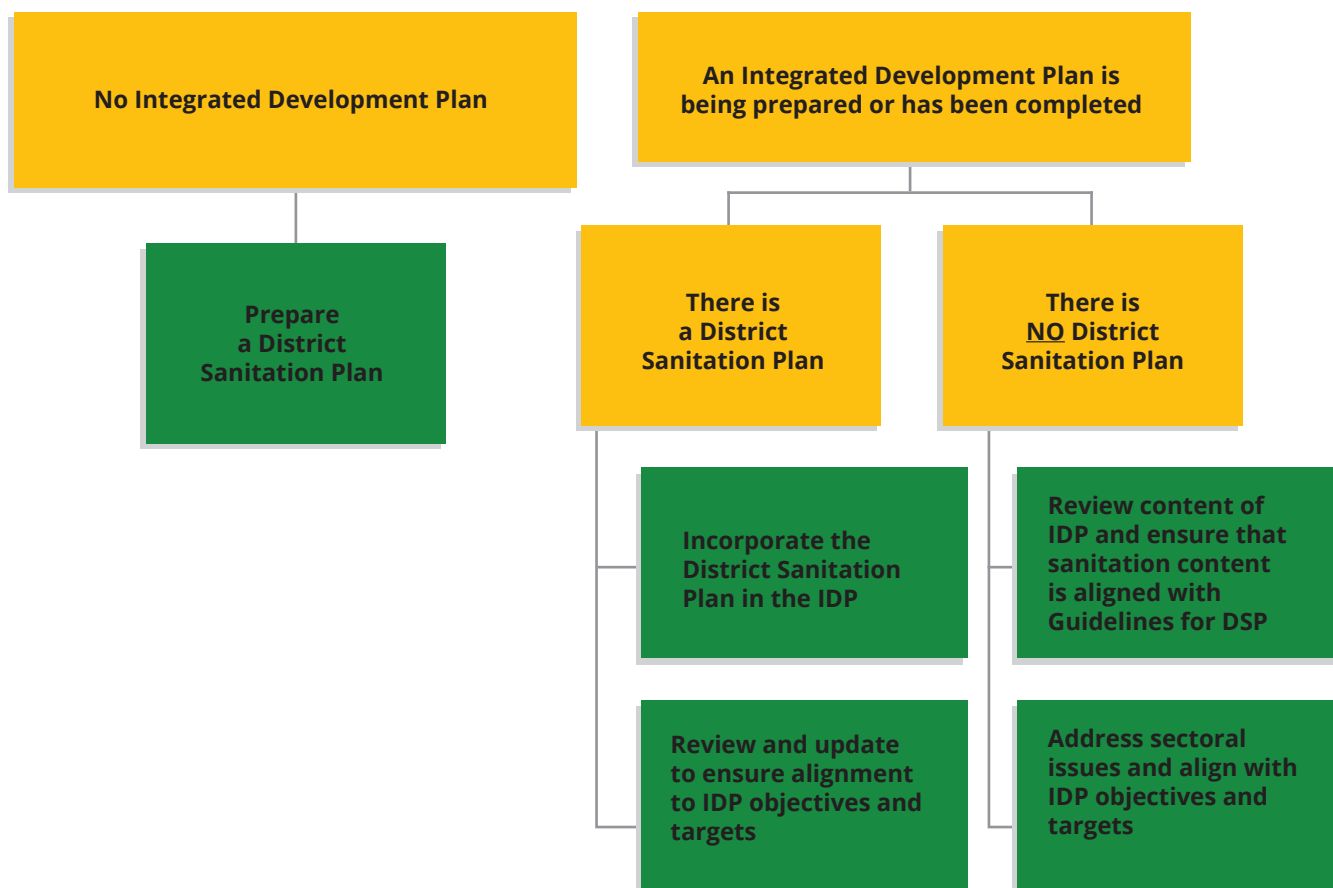


Figure 5: Alignment of IDP and DSP Processes



## 2 GUIDELINES FOR THE DEVELOPMENT OF THE DISTRICT SANITATION PLAN

### 2.1 INTRODUCTION

#### 2.1.1 Purpose of the Guideline

The *Guidelines for the Development of District Sanitation Plan (DSP)* have been developed to support a standardized approach to sanitation planning, which ultimately would be able to provide a roadmap to achieve universal sanitation coverage (National Vision 2030) and successfully eradicate open defecation nationwide (ODF Strategy Zambia 2018-2030) by 2030. These guidelines have also been developed taking into consideration the *Guidelines for the Introduction of Strategic Planning and Management in Councils (2012)* and *Integrated Development Planning (IDP 2019)* by the Ministry of Local Government (MLG). The DSP Guidelines orients itself as an input to the IDP Guidelines.

The **primary purpose** of this document is to provide standardized guidelines for the Local Authorities (LAs), Commercial Utilities (CUs) and other stakeholders to follow in order to develop a coordinated, common approach to sanitation that will facilitate the implementation and sustainability of sanitation service provision through out the entire district – urban, peri-urban and rural. The guidelines serve as a base, which can be adapted to the local district context.

These guidelines provide specific steps and activities to be undertaken in the District Sanitation Plan development process in order to come up with a comprehensive integrated District Sanitation Plan; expected outputs and outcomes at various stages of the planning process are included. Related government initiatives, legislation and policies, including national programmes and strategies, in support of the sector are taken into consideration (see Section 1.3).

The guidelines are divided into various parts and sections according to the institutional framework and district planning process. It is anticipated that by utilising this document, districts will be able to come up with an effective and coordinated multi-sectoral planning process that will cover all the categories of Sanitation areas (Households, Schools, Health Centres and Public Places for both rural and urban/peri-urban areas) ultimately **resulting in an integrated district sanitation plan**.

#### 2.1.2 Target Audience of the Guideline

These guidelines outline key concepts that should guide local authorities and institutions when developing the District Sanitation Plan. These guidelines may be useful to anyone taking part in the development of the District Sanitation Plan such as National and Provincial Government and Local Authorities (Policy Makers, Planners and Implementers), WASH officers, CUs, P-WASHE, D-WASHE, Consultants and Trainers, among others; and to some extent those who are involved in the implementation, monitoring and evaluation of the DSP. These guidelines will be of interest to Provincial Officers, such as the Provincial Water and Sanitation Officer (P-WSO)<sup>6</sup>, and among others, who support WASH activities as these shall be involved in the planning process as required.

Nevertheless, two leading agencies will spearhead the planning process for the rural and urban and these are the LAs and CUs respectively. **The overall responsibility will be with the LA**, nevertheless.

The tools suggested by these guidelines can also be used at the community level, providing the district planning process with information related to sanitation from the communities. In reality, the planning process should take a bottom-up and integrated approach to make it a demand driven plan. In order to facilitate the dynamic and participatory nature of DSP, and to allow for differences in district capacities.

### 2.2 Phases and steps for the preparation of the District Sanitation Plan

The whole process for district sanitation planning may follow the three suggested phases shown below, which will be described throughout these guidelines (see Figure 4):

The guidelines are further divided into steps for each phase providing further detail on actions needed to prepare a District Sanitation Plan. These steps of course may vary and be adjusted according to local district contexts. The guidelines serve as a basis to initiate and implement this planning process.

At the end of the guidelines (see Table 6), a summary table lists the steps for the district sanitation planning process, along with corresponding outputs. An estimated budget is presented for each step in order to understand what is needed in terms of resources for planning.

<sup>6</sup> Provincial Officers are critical in steering, supporting and upscaling processes of WASH interventions. For example, the PWSO under the MWDSEP provides technical assistance and material support to LAs and CUs in the Province in order to enhance institutional capacity in the provision of WSS services



**Figure 6 Phases and steps in District Sanitation Planning**

### 2.1.2 Phase I: Preparation

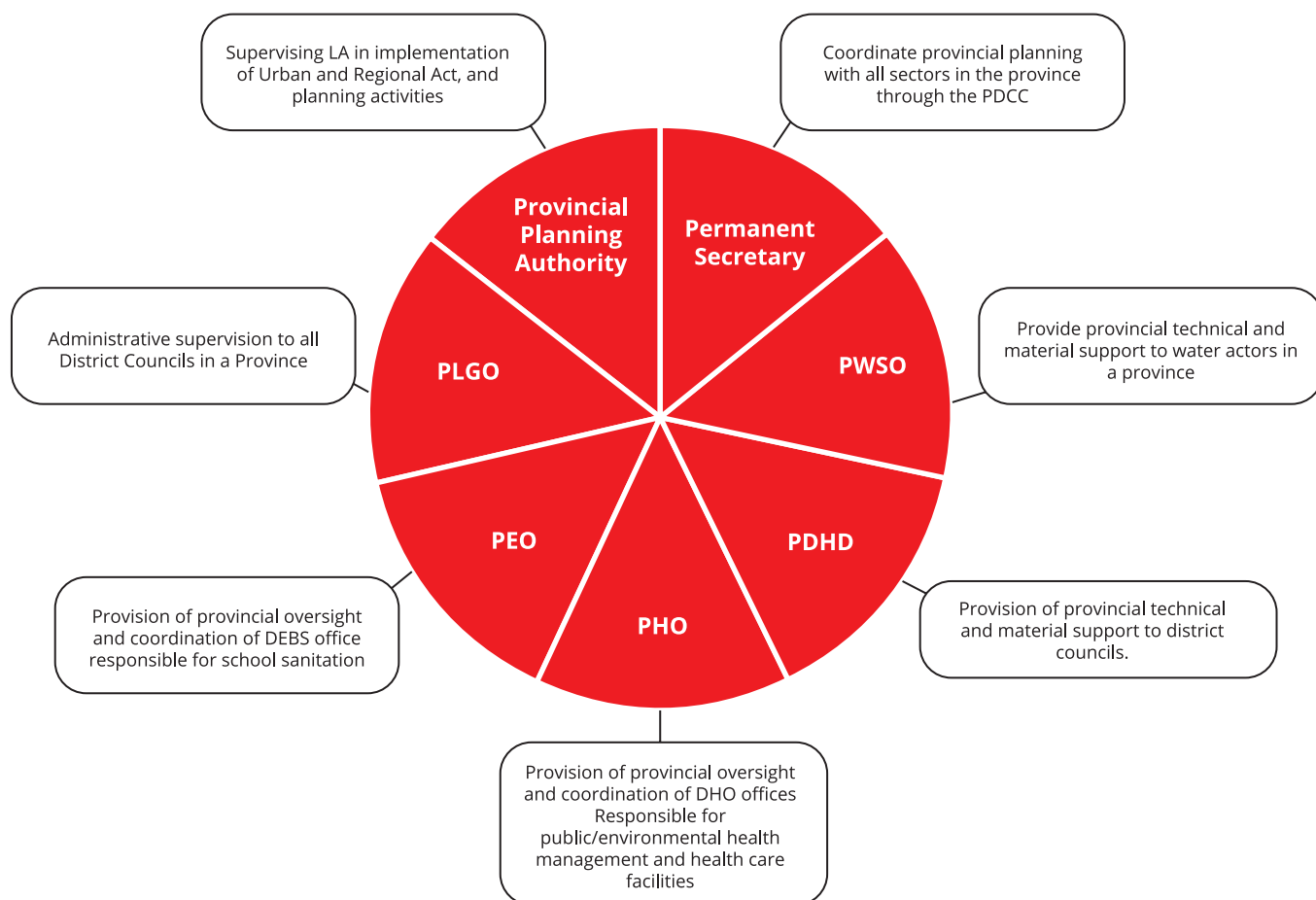
This phase of preparation will serve to build institutional commitment and partnerships for district sanitation planning, as well as a common understanding of the existing district sanitation context in order to define priorities.

**Step 1:** District Sanitation Planning Process Provincial Entry Point

**Objective:** To build institutional commitment, partnerships and consensus on the district integrated sanitation plan structure and agree on the planning process roadmap with the Provincial Officers .

Commitments and relationships from key Stakeholders at Provincial level is a Critical Success Factor to the Planning Process. Therefore, the PWSO will initiate and sensitize the Key Provincial Officers on the process of Development of the District Sanitation Planning Process and the benefits of an integrated sanitation plan. At the minimum, the key stakeholders are:

- Provincial Permanent Secretary
- Provincial Water and Sanitation Officer (PWSO)
- Provincial Local Government Officer (PLGO)
- Provincial- Department of Housing and Infrastructure Development (P-DHID)
- Provincial Education Officer (PEO)
- Provincial Health Officer (PHO)
- Ministry of Community Development and Social Services
- Ministry of Chiefs and Traditional Authority (MoCTA)
- Etc



**Figure 7 Provincial Key Stakeholders- DSP Entry Point**

The **specific tasks** for this step will be to:

- Organize the meeting (see Tool 1)
- Sensitise the Officers regarding the need for a District Sanitation Plan by presenting a compelling reason for doing this.
- Discuss and bring out challenges and potential resistance, as well as support
- Assess enabling environments (see Tool 9).
- Agree on the planning processes (see Tool 3).
- Identify/clarify roles and responsibilities (i.e. data collection) (see Tool 5).
- Determine if enabling environments have been achieved (see Tool 9).
- Develop an action plan and set deadlines (see Tool 10).

#### **Outputs:**

- Planning process and outputs table validated
- Roles and responsibilities agreed upon
- Key Priorities and incentives agreed upon
- Collective vision for sanitation improvement defined
- Action Plan (Deadlines & deliverables) agreed upon

### **Toolbox**

Tool 1: Agenda for D-WASHE consultative pre-planning meeting  
 Tool 2: Table of Contents of the DSP  
 Tool 3 Road Map of the District Sanitation Planning Process  
 Tool 5: Coordination mechanism  
 Tool 9: Enabling Environment Assessment Tool  
 Tool 10: Action Plan Template

## Step 2: D-WASHE consultative pre-planning meeting

**Objective:** To build institutional commitment, partnerships and consensus on the district integrated sanitation plan structure and agree on the planning process roadmap in the District.

One of the inherent challenges with sanitation planning and subsequent implementation of district sanitation plans is that they require a range of key institutions and organisations to work together. Therefore, the level of commitment, capacity and the relationships between these institutions has a significant bearing on the planning process. Consequently, the **success of the sanitation planning activity** will be strongly influenced by the **extent of collaboration** between the local authorities, utilities and the other stakeholders.

Therefore, the Local Authority shall establish a Core Team comprising key staff from departments/section of:

- Planning and Information Management System
- Health Services
- Community Development/Housing and Social Services
- Engineering and Infrastructure Development
- Finance and Administration
- Etc.

The core team shall be established by the Town Clerk (TC) or Council Secretary (CS) together with Senior Management. The head of the Planning department supported by the public health shall lead the core team and DSP planning processes. This is necessary because the head of the planning department is the secretariat to the District Development Coordinating Committees (DDCC). The department, under which the RWSS Unit falls (Engineering or Planning), should provide technical and operational support to the DSP. The LA Core Team shall conduct an initial stakeholder analysis to identify all stakeholders in a district and characterise them. The core team shall be responsible for facilitating a consultative and input process from other key stakeholders such as CU, DEBS and DHO.

A DSP Steering Committee will need to be established in order to provide leadership and steer the development process of the DSP ensuring multisector participation and engagement. Based on the current context of Zambia, the D-WASHE would be the suggested group to act as the DSP Steering Committee. Therefore, a D-WASHE meeting will initiate this process and will be chaired by the Town Clerk or Council Secretary. At the minimum, the key stakeholders from key WASH institutions comprise:

- Provincial Offices (PLGO and PWSO)
- Local Authority (LA)
- Commercial Utility (CU)
- District Education Boards Secretary (DEBS)
- District Health Officer (DHO)
- Civil Society in WASH (if in the district)
- Ministry of Community Development and Social Services
- Ministry of Chiefs and Traditional Authority (MoCTA)
- Major Private Institutions

During this meeting, a Task Force will be formed to develop work plans and budgets for DSP formulation and implementation. They will ensure multisector participation, engagement and financing. **The head of the planning department shall be the coordinator of the Task Force.**



Figure 8 DSP Development District Teams

A highly recommended exercise during this meeting will be to assess whether there is indeed an **enabling environment** in order to carry out and implement sanitation planning. Using the recommended tool at this initial step for the assessment of the enabling environment, will allow troubleshooting gaps in terms of enabling environments that might need to be created.

Involving the P-WASHE at this stage is also highly recommended. Therefore, the meeting minutes from this meeting will be shared with the P-WASHE. This will involve the P-WASHE with all the activities related to planning. It is important for the P-WASHE to be aware in order to provide overall guidance to the D-WASHE who will lead this process.

The **specific tasks** for this step will be to:

- Define the committee members (see Tool 6 & 8).
- Organize the meeting (see Tool 1)
- Sensitise the Committee regarding the need for a District Sanitation Plan by presenting a compelling reason for doing this.
- Discuss and bring out challenges and potential resistance, as well as support
- Assess enabling environments (see Tool 9).
- Review Initial Stakeholder Analysis done by the LA Core Team ensuring all necessary participants are included in the planning process (see Tool 4)
- Agree on the planning processes (see Tool 3).
- Identify necessary activities and methodology (data collection etc.) (see Tool 2 & 5).
- Form a Task Force (working) group (see Tool 7).
- Identify/clarify roles and responsibilities (i.e. data collection) (see Tool 5).
- Determine if enabling environments have been achieved see Tool 9).
- Develop an action plan and set deadlines (see Tool 10).
- Schedule the next meeting; send out minutes and action plan
- Document proceedings of the meeting and share meeting minutes with P-WASHE and other key stakeholders.

It is imperative that heads of departments from representative institutions attend this *Step 1: D-WASHE consultative pre-planning meeting* so that decisions can be made. Delegating to officers who may need a lot of consultations, may affect the outcome of the meeting.

#### Outputs:

- Stakeholder Analysis and mapping validated.
- Planning process and outputs table validated
- Task force & Steering committee roles and responsibilities agreed upon
- Key Priorities and incentives agreed upon
- Collective vision for sanitation improvement defined
- Action Plan (Deadlines & deliverables) agreed upon

#### Toolbox

Tool 1: Agenda for D-WASHE consultative pre-planning meeting  
 Tool 2: Table of Contents of the DSP  
 Tool 3 Road Map of the District Sanitation Planning Process  
 Tool 4: Stakeholder analysis  
 Tool 5: Coordination mechanism (needed)  
 Tool 6: Terms of References of the District Sanitation Planning Steering Committee  
 Tool 7: Terms of References of the District Sanitation Planning Task Force  
 Tool 8: Terms of Reference for the LA core team and the responsibilities of the Task Force Coordinator.  
 Tool 9: Enabling Environment Assessment Tool  
 Tool 10: Action Plan Template

#### Step 3: Appreciation of **Planning boundary**

**Objective:** To appreciate and adopt the district boundary as the district sanitation planning boundary.

Understanding the district boundary is a crucial step during this early phase of planning preparation. The Task Force will meet to appreciate the district boundary as defined by the Planning Authority under the MLG, which defines the area under the responsibility of the particular LA for the district sanitation plan. A GIS expert should therefore be part of the Task Force.

The **specific tasks** for this step will be to:

- Collect mapping information available for the district and CU
- Generate updated maps if needed
- Appreciate the district sanitation planning boundary with guidance from an LA/Planning Authority
- Identify extent of planning boundary of district under the LA for which urban and peri-urban WSS is to be considered.
- Identify growth and potential growth centres within a district
- Identify categories for collection of data elements such as households, schools, health care facilities and public places.

#### Outputs:

- District map: district boundary, planning boundary, wards, major rivers and roads, growth centres, at the minimum. If possible, the maps may also show chiefdoms, major health care facilities and laboratory facilities for testing water samples.
- CU service area definition

### Step 4: Sanitation data collection

**Objective:** To collect updated data and information on sanitation for the district, while engaging stakeholders in doing so.

Sanitation plans need to be based upon a good understanding of the existing physical and socio-economic context in different areas of the city that influence the viability of different types of sanitation services. In most settlements, some level of investment in sanitation infrastructure will already have been made, whether by government agencies, households or others. The condition and functionality of these existing facilities will have a strong influence on the options for improvement. As well as assessing the types of facility / infrastructure that already exist, it is important to learn from the successes and failures of previous projects designed to improve sanitation in the district.

The Task Force will identify existing data sources and review existing data as a precursor for data collection. The existing Data Sources include HMIS, WASHMIS, EMIS, NIS, LCMS and Census. The Task force will then proceed to collect sanitation data for the defined district planning boundary using the provided templates. Each Key Institution shall avail and participate in the analysis of sanitation associated with their service segments. Thus, for instance, the DEBS will work on school sanitation, DHO will deal with health care facility sanitation, the CU will provide sanitation data for urban and peri-urban areas, and the LA will provide sanitation data for public places and rural areas.

The purpose of data collection will also be to engage the district stakeholders and assess data and information availability. All participants should have access to the pre-planning data and the summary of the pre-planning information.

The **specific tasks** for this step will be to:

- Collect sanitation data and information from all district stakeholders for all categories (see Tool 11-16).
- Carry out the “Shit Flow Diagram” SFD Data Collection<sup>7</sup> methodology (see Tool 12).

#### Outputs:

- Collected sanitation data and information for rural households WASH-MIS (DHIS2) (LAs – i.e. Community Champions (CCs) and Environmental Health Technicians (EHTs)) (see Tool 11).
- Collected sanitation data and information for urban-peri-urban households (CUs) (see Tool 12).
- Collected sanitation data and information for schools segregated for boys and girls (MoGE/DEBs) (see Tool 13).
- Collected sanitation data and information for health care facilities (MoH/DHO – Environmental Health Technicians (EHTs)) (see Tool 14).
- Collected sanitation data and information for Public Places Sanitation (LA) (see Tool 15).
- Collected data and information on Faecal Sludge Management (CU) on containment, collection, transportation and treatment based on the SFD methodology (CU) (see Tool 12).
- Collected data and information on Solid Waste Management (LA) (see Tool 16).

### Toolbox

Tool 11: Rural Household data collection tool for district sanitation plan development

Tool 12: Urban and Peri urban Household data collection tool for district sanitation plan development

Tool 12: Shit Flow Diagram (SFD) Data collection tool

Tool 13: School sanitation facilities data collection tool

Tool 14: Health care facilities data collection tool

Tool 15: Public places data collection tool

Tool 16: Solid Waste Management Data Collection Tool

<sup>7</sup> For more information please refer to the guidelines available on <https://sfd.susana.org/>

### Step 5: District sanitation situation analysis meeting

**Objective:** To gather all key stakeholders together in order to analyse collected data and information. These will be interpreted to develop in a participative manner a Sanitation Status Report.

The Task Force coordinator will call and facilitate a meeting with all Task Force members in the district in order to brainstorm and develop a sanitation situation analysis. During this meeting, all key stakeholders (LA, CU, Schools, Commercial Centres, and Health Centres) will carry out their respective Sanitation Status Report and hand it in to the Task Force Coordinator.

It is recommended that LA Core Team analyses all data in consultation with key stakeholder institutions and draft a District Sanitation Status Report (see Step 5).

The **specific tasks** for this step will be to:

- Organize the meeting (see Tool 17).
- Brainstorm and develop a district sanitation situation analysis (see Tool 18).
- Develop individual key stakeholder sanitation status reports (see Tool 18).

#### Outputs:

- Draft Sanitation Status Report for each key stakeholder

#### Toolbox

Tool 17: Proposed meeting agenda

Tool 18: Template for District Sanitation Status Report

Tool 12: SFD Data Collection Tool

### Step 6: Compilation of District Sanitation Status Report

**Objective:** To compile through deskwork the results from the previous Step 4 stakeholder meeting and draft a District Sanitation Status Report.

The Task Force Coordinator collects information from all sector stakeholders in the sector and drafts the consolidated District Sanitation Status Report in order to present it to the D-WASHE committee.

The **specific tasks** for this step will be to:

- Compile results from the individual Sanitation Situation Analysis (see Tool 18).
- Elaborate the District Sanitation Status Report (see Tool 18).
- Elaborate a district SFD Graph. (see Tool 12).

#### Outputs:

- Consolidated draft Sanitation Status Report (incl. SFD Graph)

#### Toolbox

Tool 18: Template of District Sanitation Status Report

Tool 12: SFD Tool



**Step 7: Presentation of the District Sanitation Status Report to the D-WASHE (Steering) committee**

**Objective:** To have consensus and approval on the District Sanitation Status Report and identify key priorities.

The Task Force will present the District Sanitation Status Report to the D-WASHE (Steering) committee. The District Sanitation Report should include key elements such as a sanitation market assessment, behaviour change and communication, gender and social inclusion. Based on the results presented, a SWOT analysis is done to identify strengths, weaknesses, opportunities and threats in the sector. Priority actions will then be identified for the development of the District Sanitation Plan.

The **specific tasks** for this step will be to:

- Present the District Sanitation Status Report to the D-WASHE (Steering) Committee
- Carry out a Sanitation Market Assessment (see Tool 20).
- Carry out a SWOT Analysis (see Tool 19).
- Identify areas of greatest need as the base for deciding priorities
- Share the District Sanitation Status Report with the P-WASHE.

**Outputs:**

- Validated District Sanitation Status Report
- Sanitation Market Assessment
- SWOT Analysis
- Areas of priority identified
- Road map for finalisation of DSP and its coordination agreed.

**Toolbox**

Tool 18: Template of District Sanitation Status Report

Tool 19: SWOT Analysis

Tool 20: Sanitation Market Assessment

**2.1.2 Phase II: Planning**

The planning phase serves to essentially develop in a participative and consolidated manner systems for sanitation improvement, models for service delivery and prepare for the implementation of the district sanitation plan. This phase also outlines in detail all the steps needed in order to validate the DSP ultimately by the Full Council, which has the mandate to authenticate the document for implementation.

**Step 1: District sanitation planning workshop**

**Objective:** To develop the organisational capacities of the LAs and CUs as implementing agents and facilitate the preparation of the District Sanitation Plan, including the prioritisation of investments.

This is the **most crucial stage of the planning process** where a 3-4 days District Sanitation Planning Workshop with key multi-sector stakeholders is held, coordinated and facilitated by LA Core Team or D-WASHE, in order to come up with a comprehensive District Sanitation Plan. During the planning workshop, the District Sanitation Status Report is further scrutinised; vision, mission, goals, objectives, strategies and outputs are developed; targets set; inputs, activities and indicators are also identified.

The aim of the District Sanitation Plan is to describe how districts will reach their targets of increasing adequate sanitation coverage for the whole district population and not just for urban, peri-urban or rural areas. It will describe the multi approaches that will be adopted to meet the goals.

In order to operationalize this programme, each district will produce a District Sanitation Plan involving all stakeholders at district level. The DSP will integrate the CU, LAs and other stakeholder sanitation plans (i.e. Debs, MoH etc). The compilation of all the district plans will inform Government, cooperating partners and civil society at national, provincial, district, ward level, and enable stakeholders to harmonize their actions.

The **specific tasks** for this step will be to:

- Organize the planning workshop (see Tool 21).
- Scrutinise further the District Sanitation Status Report
- Map and analyse stakeholders (see Tool 23).



- Develop a vision, mission, goals, objectives, strategies and outputs (see Tool 24, 25 & 26).
- Identify targets, inputs, activities and indicators (see Tool 24, 25 & 26).

#### Outputs:

- Vision, Mission, Objectives, Outputs, Strategies developed
- Targets Set
- Inputs, activities and indicators identified
- Implementation period of plan set

#### Toolbox

Tool 21: Proposed Agenda for the planning workshop  
 Tool 22: Proposed list of participants for the planning workshop  
 Tool 23: Stakeholder Map of Actors  
 Tool 24: Logical Framework Matrix  
 Tool 25: Standard Template of the District Sanitation Plan  
 Tool 26: Setting Objectives using guiding components and measures

### Step 2: Key Stakeholder sanitation plan development

**Overall Objective:** To have stakeholders finalize their respective draft sanitation plan based on the information from the district sanitation planning workshop.

Following the workshop (Step 7), all key stakeholders will finalize their respective draft sanitation plans. The LA, through the D-WASHE, will use the information from the workshop to finalise the draft sanitation plan for the rural households, solid waste and public sanitation parts, the CU will equally draft the urban and peri-urban citywide sanitation plan, equally Schools and Health centres will draft their own plans from the output of the workshop.

All stakeholders may fill out their learning logs during this process in order to give feedback on the planning process, challenges and lessons learnt to the Task Force in order to improve the planning process and tools provided (see Tool 29).

The **specific tasks** for this step will be to:

- Finalize draft sanitation plan for rural areas, solid waste and public sanitation (LA) (see Tool 24-32).
- Finalize draft (Citywide) sanitation plan for urban and peri-urban (CU) (see Tool 24-32).
- Finalize draft sanitation plan for schools (schools) (see Tool 24-32).
- Finalize draft sanitation plan for health centres (health centres) (see Tool 24-32).
- Fill out learning log by all stakeholders (see Tool 29).

#### Outputs:

- Draft Sanitation Plans incl.:
- Implementation Plans
- Risks management
- Measures and interventions
- Activities
- M & E
- Financing Mechanism and projected financial statements
- Institutional and Governance systems

#### Toolbox

Tool 24: Logical Framework Matrix  
 Tool 25: Standard Template of the District Sanitation Plan  
 Tool 26: Setting Objectives using guiding components and measures  
 Tool 27: Technology option Tool / TAF  
 Tool 28: Risk Management Tool  
 Tool 29: Learning Log  
 Tool 30: Monitoring and Evaluation Tool  
 Tool 31: Implementation Plan  
 Tool 32: DSP Financial Template

**Step 3: Drafting of the Integrated District Sanitation Plan**

**Objective:** To integrate the stakeholder draft sanitation plans into one consolidated draft version.

The Task Force Coordinator and District Planner, with the help of D-WASHE and CU staff, draft the integrated District Sanitation Plan using the layout and format presented in Tool 25.

The **specific tasks** for this step will be to:

- Integrate and consolidate the stakeholder sanitation plans into one (see Tool 25).

**Outputs:**

- Draft integrated district sanitation plan

**Toolbox**

Tool 24: Logical Framework Matrix

Tool 25: Standard Template of the District Sanitation Plan

**Step 4: Review of the Draft DSP by D-WASHE Committee**

**Objective:** To finalize and validate the DSP within the D-WASHE.

The Task Force Coordinator presents the integrated DSP to the D-WASHE for review and consensus building in order to finalise the draft DSP. After the DSP is accepted by the D-WASHE it can be subjected to other stakeholders such as the Ministry and provincial administration offices.

The **specific tasks** for this step will be to:

- Organize a D-WASHE committee meeting
- Moderate the review process
- Review the Draft DSP (see F Tool 33).
- Finalize and validate the DSP draft

**Outputs:**

- Final Draft DSP

**Toolbox**

Tool 33: DSP Review Checklist

**Step 5: Review of the Draft DSP by PWSO**

**Objective:** To review, ensure alignment to National Plans, Programs and Strategies; then integrate the DSP into the Provincial WSS Development after approval by the Full Council.

The CEO of the Institution submits the DSP to the PWSO for review and integration into the Provincial WSS Development Plans.

The **specific tasks** for this step will be to:

- Review the Draft DSP and provide feedback to the Development Team (see F Tool 33).
- Integrate the DSP into the Provincial WSS Development Plan
- Report to the P-WASHE or Cluster

**Outputs:**

- Final Draft DSP

**Toolbox**

Tool 33: DSP Review Checklist

## Step 6: Presentation of the final draft DSP to Council Sub Committee

**Objective:** To finalize and validate the draft DSP with the Council Planning, Works and Development (PWD) Sub Committee.

After input from provincial administration and other provincial WASH stakeholders, the DSP is finalised by the LA Core Team and ready for presentation to the Council as outlined.

It is suggested that a LA Senior Management representative carry out the presentation of the DSP draft to the Council PWD Sub Committee.

The **specific tasks** for this step will be to:

- Present DSP draft to the Council Sub Committee (see F Tool 34).
- Obtain validation of the DSP draft

### Outputs:

- Approval of draft by Council sub Committee

## Toolbox

Tool 34: Standard Template for Power Point Presentation

## Step 7: Presentation of the DSP draft to Full Council

**Overall Objective:** To approve the DSP.

It is suggested that a representative of the Council Sub-Committee presents the DSP to the Full District Council (FDC).

Local Authorities, as mandated by the Local Government Act and other laws, are responsible for the provision of water supply and sanitation services in the district; therefore the LA 'owns' the District Sanitation Plan.

Once the final draft has been completed, it must be presented and approved by the Full District Council prior to its implementation. The Principal Officer of the city/municipal/district council, through the office of the Director of Planning/ District Planner will present the sanitation plan to the Council. Once the plan has been approved by the Full Council, it becomes an **authenticated document for implementation**.

The **specific tasks** for this step will be to:

- Present the DSP to the Full District Council (see F Tool 34).
- Obtain validation of the DSP

### Outputs:

- Approved DSP

## Toolbox

Tool 34: Standard Template for Power Point Presentation

## Step 8: Presentation of DSP to District Development Coordinating Committee (DDCC)

**Objective:** To raise awareness on the approved DSP to the DDCC

Following the No.1 Cabinet Circular of 1995, which established District Development Coordinating Committee (DDCC) meetings. The main responsibility of the DDCC is to ensure the monitoring of how much progress will be made to achieve the overall goals of the 7<sup>th</sup> NDP.

The **specific tasks** for this step will be to:

- Participate in a DDCC meeting
- Present the approved DSP

### Outputs:

- DSP Monitored and Evaluated by DDCC
- IDP linkage

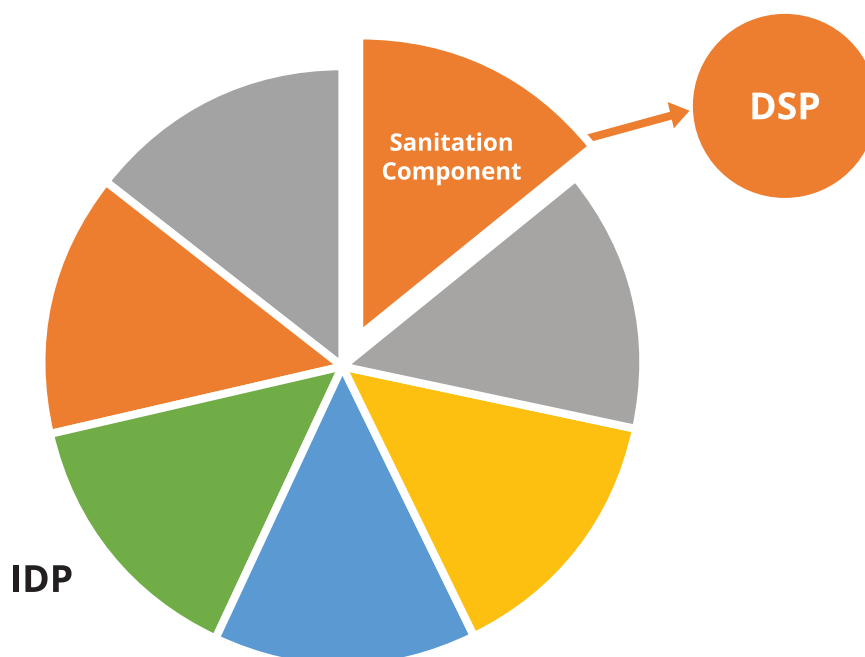
## Toolbox

Tool 34: Standard Template for Power Point Presentation

**Step 9: Inclusion of District Sanitation Plan into the Integrated Development Plan (If IDP)**

**Objective:** Integrate the DSP into the Integrated Development Plan as a Sanitation Component

The IDP is the principal strategic planning instrument which gives an overall framework for development within the administrative area of the Local Authority. The plan will guide and inform planning, budgeting, management and decision-making in the administrative area by all levels of government and by all actors. Therefore the DSP is prepared as part of the IDP.



The **specific tasks** for this step will be to:

- Integrate DSP into the IDP

**Outputs:**

- Integrated Development Plan

**Step 10: Development of the Annual Work Plan & Budget**

**Objective:** To prepare and align the Annual Work Plan & Budget

Once the DSP is approved, the team will need to develop an Annual Work Plan and Budget for the DSP and determine financial or other source requirements. The preparation of Annual Work Plans and Budgets should be done yearly based on Government Guidelines. The DSP sets investment priorities which should be linked to the Annual Work Plans.

Each key stakeholder will align their institutional Annual Work Plan & Budget (AWPB)<sup>8</sup> (i.e. LA, DEBS, MoH etc) to that of the DSP and aim to maximise use of available resources in the District. There will be need for ongoing coordination and collaboration in the implementation of the Annual Work Plan and Budget.

It is important for budgets to be linked to work plans to ensure that key objectives and priorities are budgeted for and achieved. While budgets tend to focus on the short-term perspective (the next financial year), planning generally takes a longer view (three, five or even ten years). Given Zambia's development challenges, a strategic, long-term approach needs to inform the allocation of resources so that historical inequities can be progressively addressed. However, operational plans have to be developed within the context of limited resources, informed by longer-term plans and priorities. **See Chapter 3 on Financing Mechanism**

The stakeholders should agree at the start of the DSP preparation that their Annual Work Plans and Budget may need realigning to the DSP. The DSP is aligned to IDP and 7NDP processes.

<sup>8</sup>The AWPB will be designed with the Output Based Budget (OBB) format.

The **specific tasks** for this step will be to:

- Organize a Task Force and Key Stakeholder meeting
- Prepare and align Annual Work Plan & Budget (see Tool 35).

**Outputs:**

- Annual Work Plan & Budget (AWPB) report

### Toolbox

Tool 35: Proposed annual plan format

Tool 36: Template of annual plan report

## Step 11: Presentation of Annual Work Plan & Budget to D-WASHE (Steering) Committee

**Objective:** To present a consolidated Annual Work Plan & Budget (AWPB) by D-WASHE

The consolidated AWPB report will be presented to D-WASHE for approval. Stakeholders are provided with an opportunity to see the overall picture of their annual actions. This may be used to encourage more efforts in multi-stakeholder planning.

The **specific tasks** for this step will be to:

- Organize a D-WASHE Committee meeting
- Present consolidated annual work plan & Budget (see Tool 36).
- Share AWPB with the P-WASHE

**Outputs:**

- Annual Work Plan & Budget (AWPB) presented

### Toolbox

Tool 35: Proposed annual plan format

Tool 36: Template of annual plan report

Tool 37: Proposed Agenda to the AWPB Development Meeting

## 2.1.2 Phase III: Post Planning

After the District Sanitation Plan has been validated, the plan is ready to be implemented. This means, it is time to go from paper to action. Proper monitoring and evaluation will need to be carried out in order to follow, evaluate and implement the District Sanitation Plan for the year in question defined in the Annual Work Plan and Budget.

The process of district sanitation planning must also allow plans to evolve and change. Plans are dynamic and not static. As sanitation situations change, so do the plans. Planning is a learning process.

The DSP will be implemented in phases through annual work plans and budgets. This phase also outlines in detail all the steps needed in order to validate Annual Work Plan and Budget ultimately by the DDCC. Linkages to the IDP are also recommended.

### Step 1: Implementation of the Annual Work Plan and Budget

**Objective:** To implement all the activities listed in the Annual Work Plan and Budget

Implementation of the Annual Work Plan will constitute parts of the DSP.

Emphasis must be on outputs in line with the National Budgeting and Planning Policy and the output based budgeting introduced by government.

The **specific tasks** for this step will be to:

- To carry out activities listed in the AWPB assigned
- To review compiled learning log using (see F Tool 28).

**Outputs:**

- Ongoing activities in various sections of the sector

## Toolbox

### Tool 29: Learning Log

## Step 2: Monitoring and Evaluation of the District Sanitation Plan

**Objective:** To ensure the proper implementation of activities listed in the Annual Work Plan and Budget.

In order to successfully carry out the DSP through the AWPB, the D-WASHE (Steering Committee) will need to monitor and evaluate the implementation. The D-WASHE/ RWSS Unit, together with the PWSO/ P-WASHE (PWSO, PLGO PWRD, PDHID), monitors progress of the multi sector strategies against objectives and targets.

WSS is under pillar four of the 7NDP – Human Development Pillar that includes General and Higher Education and the Ministry of Health. This is reported through the DDCC Committee Meeting.

The **specific tasks** for this step will be to:

- Design an M&E system (see Tool 38).
- Report on Monitoring and Evaluation (see Tool 38).

### Outputs:

- Monitor and Evaluation Reports
- Recommendations on next step

## Toolbox

### Tool 38: Review and Progress Report Template

## Step 3: Annual Mid-term review meeting

**Overall Objective:** To review progress on the DSP implementation

D-WASHE (Steering) Committee will organize a mid-term review (MTR) meeting every year in order to monitor and evaluate the results of the implementation of the DSP AWPB. From the MTR Meeting, if necessary, the objectives, strategies, activities and priorities are revised and redefined and new ones formulated based on experience.

The **specific tasks** for this step will be to:

- Organize a D-WASHE mid-term review meeting
- Review and evaluate the implementation of the DSP
- Elaborate a Mid-Term Review Report (see Tool 38).
- Share report to DDCC Sub-Committee
- Share report with P-WASHE

### Outputs:

- Mid-Term Review report
- Report shared to DDCC Sub-Committee
- Report shared to P-WASHE Committee

## Toolbox

### Tool 38: Template Mid-Term review report

### Tool 38: DDCC Sub-Committee Reporting Standard Template

### Tool 39 Proposed Agenda for the Mid-Term Review Meeting

#### Step 4: P-WASHE Committee Meeting

**Objective:** To ensure the inclusion of the DSP Mid-Term Review into the Provincial WASH Report.

P-WASHE committee organizes a meeting in order to monitor and evaluate WASH programmes and projects in the province quarterly. The D-WASHE will present the Mid-Term Review Report during this meeting. From this meeting, a consolidated Provincial WASH Report will be shared with National Water Supply and Sanitation Technical Working Group. This will ensure monitoring and evaluation at a national level.

The **specific tasks** for this step will be to:

- Participate in P-WASHE review meeting
- Present Mid-Term Review Report with P-WASHE

#### Outputs:

- DSP Mid-Term Review included in the Provincial WASH Report

#### Toolbox

Tool 38: Template Mid-Term review report

Tool 38: P-WASHE Standard Reporting Template

#### Step 5: DDCC Sub-Committee Meeting

**Objective:** To analyse, consolidate and submit to DDCC Secretariat a copy of consolidated status report on district projects/programmes outputs, targets and Key Result Indicators.

The DDCC have varying DDCC sub-committees bundled according to the Strategic Areas (Pillars) of the 7NDP. The main objective of the Sub-Committee, as of the revised DDCC Sub-Committee terms of reference, is to Coordinate and Supervise (On behalf of DDCC) the implementation of the any projects and programmes related to Strategic Areas (Pillars) of the 7NDP in the District.

The **specific tasks** for this step will be to:

- Analyse the status of the Outputs, Targets and Key Result Indicators with respect to the 7NDP
- Provide up to date information on the status of the projects/programmes in the District and feed the same details into the District Development Information Systems for further actions.
- Compile a consolidated status (Cluster) report to be submitted to the DDCC Secretariat

#### Outputs:

- Consolidated Status Report (Cluster Report)

#### Toolbox

Tool 38: DDCC Sub-Committee Reporting Template

#### Step 6: DDCC Meeting

**Objective:** To monitor progress made towards achieving overall goals of the 7NDP

Following the No.1 Cabinet Circular of 1995, which established District Development Coordinating Committee (DDCC) meetings. The main responsibility of the DDCC is to ensure the monitoring of how much progress will be made to achieve the overall goals of the 7NDP.

The **specific tasks** for this step will be to:

- Analyse the status of the Outputs, Targets and Key Result Indicators with respect to the 7NDP
- Raise technical issues on projects and programmes in the District
- Share DDCC Report with PDCC

#### Outputs:

- DDCC Report shared with PDCC

#### Toolbox

Tool 38: PDCC Reporting Template

**Step 7: Annual review meeting**

**Objective:** To review the progress and results on the implementation of the annual work plan and prepare for the next year.

D-WASHE Committee Annual Review Meeting (ARM) is held. From the ARM, the WSS Coordinator prepares the annual report, which is presented to the Water and Sanitation subcommittee of the FDC. The preparation of the annual plan for the following year will incorporate much of the contents of the DSP.

The **specific tasks** for this step will be to:

- Organize the annual review meeting
- Prepare for the annual work plan for the next year
- Prepare an annual review meeting report
- Share report with P-WASHE

**Outputs:**

- Annual review meeting report shared with P-WASHE

**Toolbox**

Tool 39: Proposed Agenda for Annual Review Meeting

Tool 40: Template for the Annual review and progress meeting report



**Table 7 District Sanitation Planning Process and Outputs**

Activity	Output	Tool	Actor	Forum	Duration	Resources	Budget (KZ)
<b>Phase I: Preparation</b>							
<b>Step 1: District Sanitation Planning Process Provincial Entry Point</b>	<ul style="list-style-type: none"> <li>Planning Process and output table validated</li> <li>Key Priorities and incentives assessed</li> <li>Collective vision for sanitation improvement defined</li> <li>Action Plan agreed</li> </ul>	<ul style="list-style-type: none"> <li>Tool 1</li> <li>Tool 2</li> <li>Tool 3</li> <li>Tool 5</li> <li>Tool 9</li> <li>Tool 10</li> </ul>	PS, PWSO, PLGO, PDHID, PEO, PHO, MoCTA, MCDSS	P-WASHE Meeting	1/2	<ul style="list-style-type: none"> <li>Conference room</li> <li>Health breaks</li> <li>Transportation</li> </ul>	15,000
<b>Step 2: D-WASHE consultative pre-planning meeting</b>	<ul style="list-style-type: none"> <li>Stakeholder Analysis</li> <li>Planning process and output table validated</li> <li>Task Force and Steering Committee roles and responsibilities defined</li> <li>Key Priorities and incentives assessed</li> <li>Collective vision for sanitation improvement defined</li> <li>Action plan agreed (Deadline and Deliverables)</li> </ul>	<ul style="list-style-type: none"> <li>Tool 1</li> <li>Tool 2</li> <li>Tool 3</li> <li>Tool 4</li> <li>Tool 5</li> <li>Tool 6</li> <li>Tool 7</li> <li>Tool 8</li> <li>Tool 9</li> <li>Tool 10</li> </ul>	Town clerk, D-WASHE, P-WASHE, P-DHID, Line ministries, NGOs, LA, CU	D-WASHE Stakeholders Meeting	1 Day	<ul style="list-style-type: none"> <li>Conference room</li> <li>Health breaks</li> <li>Transportation</li> </ul>	15,000
<b>Step 3: Planning boundary definition</b>	<ul style="list-style-type: none"> <li>District map</li> <li>CU service area definition</li> </ul>		LA, CU, Planner and GIS Expert	Task Force Meeting	1 Day	<ul style="list-style-type: none"> <li>Meeting room</li> <li>Transportation</li> </ul>	5,000
<b>Step 4: Sanitation data collection</b>	Sanitation data and information from all stakeholders	<ul style="list-style-type: none"> <li>Tool 11</li> <li>Tool 12</li> <li>Tool 13</li> <li>Tool 14</li> <li>Tool 15</li> <li>Tool 16</li> </ul>	LA, CU, MoGE, MoH, CC	Individual Sector stakeholders	5 Days	<ul style="list-style-type: none"> <li>Transportation (SFD methodology training)</li> </ul>	5,000 (does not include training)
<b>Step 5: District sanitation situation analysis meeting</b>	Draft Sanitation Status Reports for each key stakeholder	<ul style="list-style-type: none"> <li>Tool 12</li> <li>Tool 17</li> <li>Tool 18</li> </ul>	Task Force Members	Task Force Meeting	½ Day	<ul style="list-style-type: none"> <li>Meeting room</li> <li>Health breaks</li> <li>Transportation</li> </ul>	15,000
<b>Step 6: Compilation of the District Sanitation Status Report</b>	Consolidate draft district sanitation status report (Incl. SFD Graph)	<ul style="list-style-type: none"> <li>Tool 12</li> <li>Tool 18</li> </ul>	Task Force Coordinator	Desk work	5 Days	Desk work	Covered by coordinator institution
<b>Step 7: Presentation of the District Sanitation Status Report to D-WASHE Committee</b>	<ul style="list-style-type: none"> <li>D-WASHE Committee approval</li> <li>Sanitation Market Assessment</li> <li>SWOT Analysis</li> <li>Areas of priority identified</li> </ul>	<ul style="list-style-type: none"> <li>Tool 18</li> <li>Tool 19</li> <li>Tool 20</li> </ul>	Task Force	D-WASHE Committee meeting	1 Day	<ul style="list-style-type: none"> <li>Meeting room</li> <li>Health breaks</li> <li>Transportation</li> </ul>	5,000

Table 7 District Sanitation Planning Process and Outputs

Activity	Output	Tool	Actor	Forum	Duration	Resources	Budget (KZ)
<b>Phase II: Planning</b>							
<b>Step 1: District Sanitation Planning Workshop</b>	<ul style="list-style-type: none"> <li>Vision, Mission, Objectives, Outputs and strategies developed</li> <li>Targets set</li> <li>Inputs, activities and Indicators set</li> <li>Implementation period of plan set</li> </ul>	<ul style="list-style-type: none"> <li>Tool 21</li> <li>Tool 22</li> <li>Tool 23</li> <li>Tool 24</li> <li>Tool 25</li> <li>Tool 26</li> </ul>	D-WASHE, P-DHID, PWSO, PLGO Line ministries, NGOs, LA, CU, Local leaders (Chiefs), CPs (when necessary)	District Sanitation Planning Workshop	3 Days	<ul style="list-style-type: none"> <li>Conference room</li> <li>Health breaks</li> <li>Transportation</li> </ul>	45,000
<b>Step 2: Key stakeholder sanitation plan development</b>	Drafts of Key stakeholder sanitation plans incl.: <ul style="list-style-type: none"> <li>Implementation Plans</li> <li>Risk Management</li> <li>Measures and Interventions</li> <li>Activities</li> <li>Monitoring and Evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Tool 24</li> <li>Tool 25</li> <li>Tool 26</li> <li>Tool 27</li> <li>Tool 28</li> <li>Tool 29</li> <li>Tool 30</li> <li>Tool 31</li> <li>Tool 32</li> </ul>	Task Force Members (Stakeholder)	Desk work	10 Days	<ul style="list-style-type: none"> <li>Desk work</li> </ul>	Covered by each institution
<b>Step 3: Drafting of the Integrated District Sanitation Plan</b>	Draft Integrated DSP	<ul style="list-style-type: none"> <li>Tool 24</li> <li>Tool 25</li> </ul>	WSS Coordinator, District Planner/Director Planning	Desk work	2 weeks	<ul style="list-style-type: none"> <li>Desk work</li> </ul>	Covered by coordinator institution
<b>Step 4: Review of the draft DSP by D-WASHE Committee</b>	Final draft DSP	<ul style="list-style-type: none"> <li>Tool 33</li> </ul>	D-WASHE Committee	D-WASHE Committee Meeting	1 Day	<ul style="list-style-type: none"> <li>Meeting room</li> <li>Transportation</li> </ul>	5,000
<b>Step 5: Review of the Draft DSP by P-WSO</b>	Final draft DSP	<ul style="list-style-type: none"> <li>Tool 33</li> </ul>	PWSO	Desk Work	7 Day	<ul style="list-style-type: none"> <li>Desk Work</li> </ul>	N/A
<b>Step 6: Presentation of the final draft DSP to Council Sub Committee</b>	Approved DSP by Council sub committee	<ul style="list-style-type: none"> <li>Tool 34</li> </ul>	Council Sub Committee, D-WASHE	Council Sub committee	1 Day	<ul style="list-style-type: none"> <li>Meeting room</li> <li>Transportation</li> </ul>	5,000
<b>Step 7: Presentation of DSP to the Full District Council</b>	Approved DSP	<ul style="list-style-type: none"> <li>Tool 34</li> </ul>	Water and sanitation subcommittee of FDC, D-WASHE	Full District Council Meeting	1 Day	<ul style="list-style-type: none"> <li>Meeting room</li> <li>Transportation</li> </ul>	5,000
<b>Step 8: Presentation of DSP for the District Development Coordinating Committee (DDCC)</b>	Awareness of DSP by DDCC ( IDP Linkage)	<ul style="list-style-type: none"> <li>Tool 34</li> </ul>	District Development Coordinating Committee, D-WASHE	District Development Coordinating Committee meeting	1 Day	<ul style="list-style-type: none"> <li>Meeting room</li> <li>Transportation</li> </ul>	5,000
<b>Step 9: Inclusion of District Sanitation Plan into the Integrated Development Plan</b>	Integrated Development Plan		IDP Team, IDP Support Team	IDP Team Meeting	8 weeks	<ul style="list-style-type: none"> <li>Meeting room</li> <li>Transportation</li> </ul>	5,000
<b>Step 10: Development of the Annual Work Plan &amp; Budget</b>	Annual Work Plan & Budget Report	<ul style="list-style-type: none"> <li>Tool 35</li> <li>Tool 36</li> </ul>	Task Force Key Stakeholders	Task Force meeting	1 Day	<ul style="list-style-type: none"> <li>Meeting room</li> <li>Transportation</li> </ul>	5,000
<b>Step 11: Presentation of the Annual Work Plan &amp; Budget to D-WASHE</b>	Annual Work Plan & Budget presented	<ul style="list-style-type: none"> <li>Tool 35</li> <li>Tool 36</li> <li>Tool 37</li> </ul>	D-WASHE Committee, CPs, P-DHID	D-WASHE Committee	1 Day	<ul style="list-style-type: none"> <li>Meeting room</li> <li>Transportation</li> </ul>	5,000

Phase III: Post Planning								
<b>Step 1: Implementation of the Annual Work Plan &amp; Budget</b>	Ongoing activities in various sections of the sector	• Tool 28	LA, CU, MoGE, MoH, NGOs, CBOs, etc.	N/A	Work Plan	Work Plan	Set Budget	
<b>Step 2: Monitoring and Evaluation of the DSP</b>	Monitoring and evaluation reports	• Tool 38	D-WASHE Committee, LA, CU	N/A	Work Plan	Work Plan	Set Budget	
<b>Step 3: Mid-Term Review Meeting</b>	Mid-Term Review Meeting Report (presented to DDCC Sub-Committee)	• Tool 38 • Tool 39	All Stakeholders	Review Meeting	1 Day	• Meeting room • Transportation	15,000	
<b>Step 4: P-WASHE Committee Meeting</b>	Mid-Term Review Meeting Report (included in the Provincial WASH Report)	• Tool 38 • Tool 39	D-WASHE, P-WASHE	P-WASHE Committee Meeting	1 Day	• Meeting room • Transportation	5,000	
<b>Step 5: DDCC Sub-Committee Meeting</b>	Compiled Cluster Report Consolidated Status Report (Cluster Report)	• Tool 38	DDCC Sub-Committee, D-WASHE	DDCC Sub-Committee Meeting	1 Day	N/A	N/A	
<b>Step 6: DDCC Meeting</b>	DDCC Report	• Tool 38	DDCC, D-WASHE	DDCC Meeting	1 Day	N/A	N/A	
<b>Step 7: Annual Review Meeting</b>	Annual Review Meeting Report (Incl. Learning Logs)	• Tool 39 • Tool 40	All Stakeholders	Review Meeting	1 Day	• Meeting room • Transportation	15,000	
Total							<b>145,000</b>	

## 3 FINANCING MECHANISM

### 3.1 INTRODUCTION

In order to implement the DSP financial resources should be in place; hence the implementing agency must have a financing mechanism in place. The Government of the Republic of Zambia (GRZ) is currently working on a financing mechanism for the water sector. In the draft financing mechanism, the definition of a financing mechanism is clearly stated as quoted herebelow. *'A financing or funding mechanism refers to the way in which a business, organization, or program receives the funding necessary for it to remain operational. The term can be used in various different contexts. However, they all typically refer to the same basic concept, the strategies put in place for sourcing the funding that an organization or business receives for undertaking its operations or carrying out its mandates. Depending on the mandates to be carried out, the exact funding mechanism can be complex and therefore the use of a simple term makes it easier to describe and consider overall.'*

*The diversity of mechanisms available to an institution is determined by its organisational purpose and structure. To use these mechanisms for raising resources requires the development and deployment of strategies and practices aimed at tapping into those sources of funding that might be available to an organisation and the rules that govern how that organisation is funded. Underlying these strategies is an organisations advocacy strategy aimed at bringing its case to possible funders in the best light. This requires an understanding of each funders' needs and interests'.*

For the CUs and LAs who are the primary implementors of the DSP the mandate is clear as provided for in statutes and various guidelines; and these must be followed in mobilising the required finances.

### 3.2 Infrastructure Investment

The government has developed various documents ie NRWSSP , NUWSSP, guiding on how water and sanitation infrastructure will be financed and all have the same underlying concepts primarily suggesting capital expenditure to be financed by government, through grants, concessionary loans and commercial loans from external parties (primarily CPs and NGOs) as well as community contributions.

It is therefore important to look at the following traditional sources of finance for WSS (the DSP):

- GRZ;
- Cooperating partners (CPs),
- Non Governmental Organisations
- Local Authorities
- Commercial Utilities;
- Loans; and
- The Community/consumers

Furthermore, while the policy for WSS is still in draft form, WSS still operates under the WSS Act No 28 of 1997 which provides for the participation of the private sector, in the WSS subsector. The Public Private Partnership (PPP) Policy and The Public-Private Partnership Act No 14 of 2009 also provides for participation of the private sector in the WSS subsector. Therefore in developing the financing for the DSP all possible sources must be considered.

### 3.3 Recurrent expenditure

The recurrent or operational expenses for DSP implementation should be through annual allocations in the government and Local Authority budgets, for rural water supply and sanitation services. For urban water supply and sewerage services, recurrent expenditure is financed primarily tariffs charged by the Commercial utility.

In planning for the DSP implementation, the DSP must include a 'balanced' capital expenditure plan and an operational expenditure plan, that's the expenditures must be equal or less than the finances to be provided by the identified financiers. Both the projected statements of income and expenditure, and statement of cash flows must be provided in the DSP.

In developing the financing plan, a multidisciplinary team should be in place comprising but not limited to the following: finance, procurement, engineering, quantity surveyors, planners, human resources, etc.

### 3.4 Budgeting Methods

A budget is a financial plan for a defined period, it is a sum of money allocated for a particular purpose and a summary of intended expenditures along with proposals for how to meet them. There are two main types of Budgeting methods used in the implementation of projects or programmes namely; Activity Based Budgeting (ABB) and Output Based Budgeting.

ABB is the term used to describe budgeting based on agreed activities to be undertaken. The activities are to be identified, agreed, and costed. While OBB is the practice of developing budgets based on the relationship between funding and expected results. OBB is considered to be a better way of budgeting than ABB because it increases visibility into how government policies translate into spending and focuses on the outcomes of a funded activity i.e. the quality or effectiveness of services provided.

In March 2014, Cabinet approved Planning & Budget Policy with the following Objectives:

- Enhance the performance/results orientation of the annual budget;
- Integrate development planning with the budget process;
- Improve budget transparency;
- Facilitate more effective National Assembly oversight on public finances;
- Raise the accountability of the Executive; and
- Facilitate fiscal decentralization.
- Budget Managers (Executive) to more markedly and effectively attain policy objectives through budget outlays.
- Budget Overseers (Legislature) to evidently and meritoriously assess effectiveness of appropriated public funds.
- Public to immediately & clearly see what Government intends to attain.

The government aims at improving development outcomes and the delivery of responsive public services through enhancing the linkages between results oriented plans and the output based budgets.

## ANNEXES

## ANNEX 1: LIST OF SANITATION DEFINITIONS

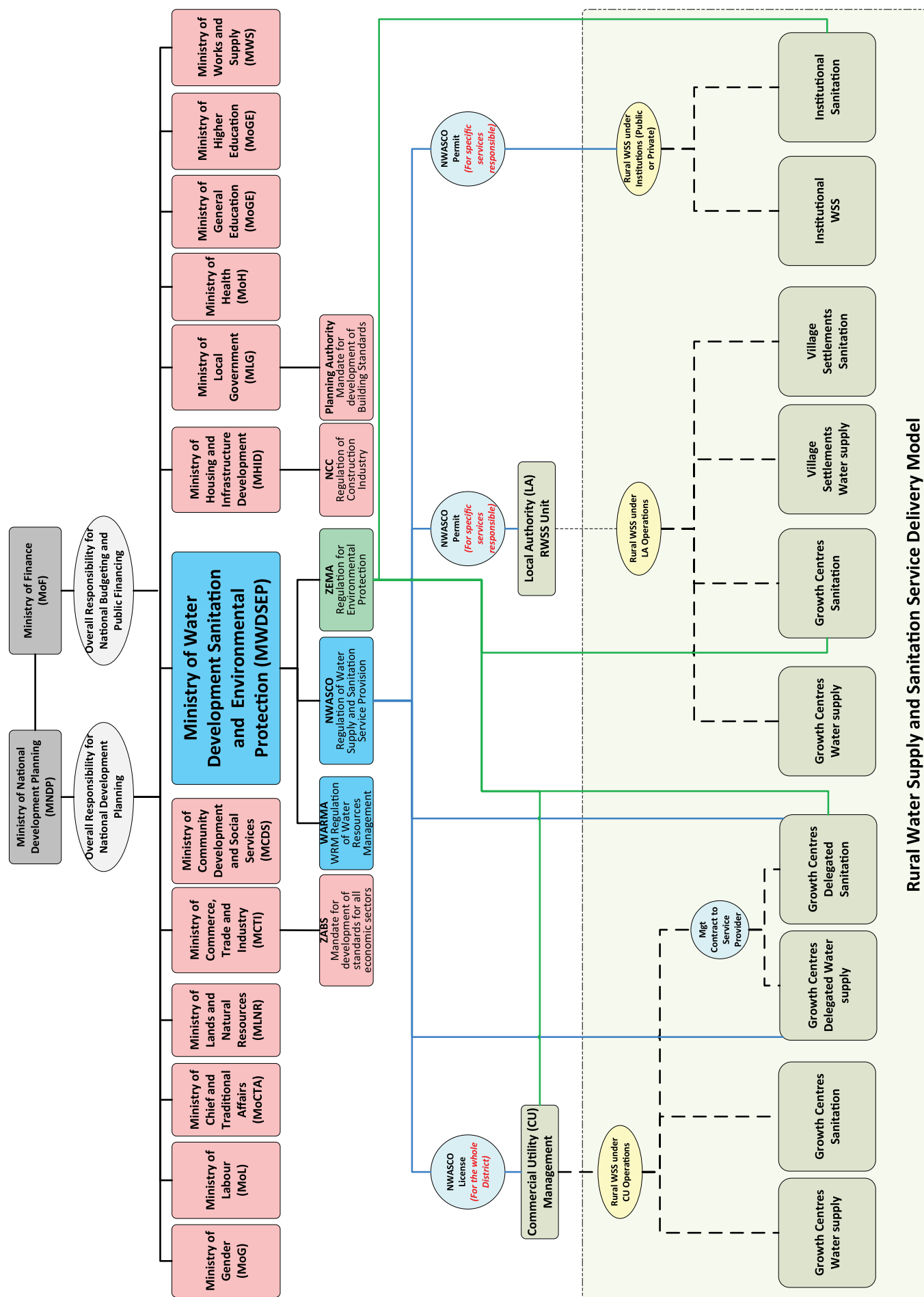
Word/Description	Definition	Source
<b>Adequate sanitation</b>	As per JMP 2017, is equivalent to safely Managed Sanitation Service. It is a sanitation system that is accessible and available (located not more than 100 metres away from home and is easy to access for children, elderly and handicapped at all times during the day); it is acceptable for the user and provides a safe, convenient, private, secure and dignified place and complies with the socio-cultural norms of society (e.g. smell and reuse aspects); it is affordable and can realistically be paid for by the households and provides a handwashing facility.	JMP (2017), MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030)
<b>Appropriate</b>	Provides a function that is considered suitable from the perspective of the user, or for those that benefit from its operation	
<b>Basic</b>	Drinking water from an improved source, provided collection time is not more than 30 minutes for a round trip, including queuing	ODF Zambia Strategy 2018 to 2030
<b>Champions</b>	Trained artisans to spearhead Community Led Total Sanitation (CLTS) programme in communities or villages	CLTS Guidelines
<b>Concessional (or 'soft') loan</b>	A loan provided under lending terms which in general includes low interest rates, longer repayment periods and an initial grace period, than those practised by commercial lending institutions.	
<b>District Sanitation Plan</b>	District Sanitation Plan is the process of assessing the current sanitation situation of the District, identifying the gaps and looking ahead to meet the International and National set Sanitation Goals.	
<b>Faecal sludge</b>	Comes from on-site sanitation technologies and has not been transported through a sewer. It is raw or partially digested, a slurry or semi-solid and results from the collection, storage or treatment of combinations of excreta and wastewater with or without greywater.	MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030)
<b>Faecal sludge management</b>	A system for safe collection, transport, treatment, disposal and/or reuse of faecal sludge.	MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030)
<b>Improved sanitation</b>	Improved sanitation refers to the use of an improved sanitation facility.  An improved sanitation facility is one that hygienically separates human excreta from human contact", thus creating barriers to prevent the transmission of diseases. To be effective the facility must be correctly constructed and properly maintained in a way that confers maximum health benefits to the user.  Improved sanitation facilities are: <ul style="list-style-type: none"> <li>• Flush or pour flush toilet connected to (a) piped sewer system, (b) septic tank or (c) pit latrine</li> <li>• Ventilated improved latrine (VIP)</li> <li>• Pit latrine with a slab</li> <li>• Composting toilet</li> </ul>	WHO/UNICEF JMP  MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030)
<b>Integrated Development Plan</b>	The IDP is the principal strategic planning instrument which gives an overall framework for development within the IDP area and will guide and inform planning, budgeting, management and decision-making in the IDP area by all levels of government and by all actors.	
<b>Latrine</b>	Toilet facility (public or private) comprising a superstructure around it	MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030)

<b>Offsite sanitation</b>	Components of the sanitation chain that are located away from the immediate vicinity of the toilet.	MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030)
<b>Offsite sanitation</b>	Offsite sanitation refers to the sanitation systems in which excreta are collected from individual houses, commerce, institutions, industry and public toilet facilities and carried away for disposal and treatment through pipes. Two main types are used: <ul style="list-style-type: none"> <li>• Sewer networks with a treatment plant</li> <li>• Sewer networks with a communal septic tank, which has to be emptied when full</li> </ul>	NUWSSP
<b>Peri-urban area</b>	Informal or formal settlements within the area of jurisdiction of a local authority, with high population density and high-density low-cost housing having inadequate or lacking basic services such as water supply, sewerage, roads, storm water drainage and solid waste disposal./	MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030)
<b>Rural area</b>	Are large and isolated areas of open country under the Chief's jurisdiction with very low population density lacking basic services such as water and sanitation and human basic needs.	
<b>Safe (Sanitation System)</b>	The function of a system creating barriers between humans and excreta to reduce the incidence of water and vector-borne diseases and parasitic infestations. A safe sanitation system i) effectively prevents human, animal and insect contact with human excreta and wastewater, and ensures a long term clean and healthy environment (not polluting ground and surface water bodies, soil and air) both at home and in the neighbourhood of users; the concept of safe sanitation comprises treatment/discharge points that are part of the sanitation chain. To be considered "safe" the sanitation facility must provide a handwashing facility.	MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030)
<b>Sanitation</b>	Safe collection, containment, transportation, treatment and disposal or reuse of human excreta, domestic liquid waste and industrial effluents	MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030)
<b>Sanitation chain</b>	Incorporates the various steps required to sanitise excreta and waste water, between the user interface (household or public, industrial and commercial excreta and waste water production sites) and final sites for disposal or reuse of sanitized material.	MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030)
<b>Sanitation services</b>	Sanitation services means: <ul style="list-style-type: none"> <li>• The disposal, of on-site or off-site human excreta;</li> <li>• The collection of sewerage, excluding untreated toxic waste and storm water from residential, commercial or industrial sources; or</li> <li>• The treatment and disposal of waste water in accordance with this Act and the standards established under the Standards Act, the Public Health Act, the Environmental Protection and Pollution Control Act or any other written law.</li> </ul> <p>The commercial utilities have the overall responsibility to provide sanitation services and (public) asset management, but may adopt alternative arrangements by delegating sanitation service delivery.</p>	<i>Water Supply and Sanitation Act No. 28 of 1997</i>  MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030)
<b>Sanitation service area</b>	The area defined in the CUs operator's licence approved by NWASCO.	MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030) adopts the JMP definition

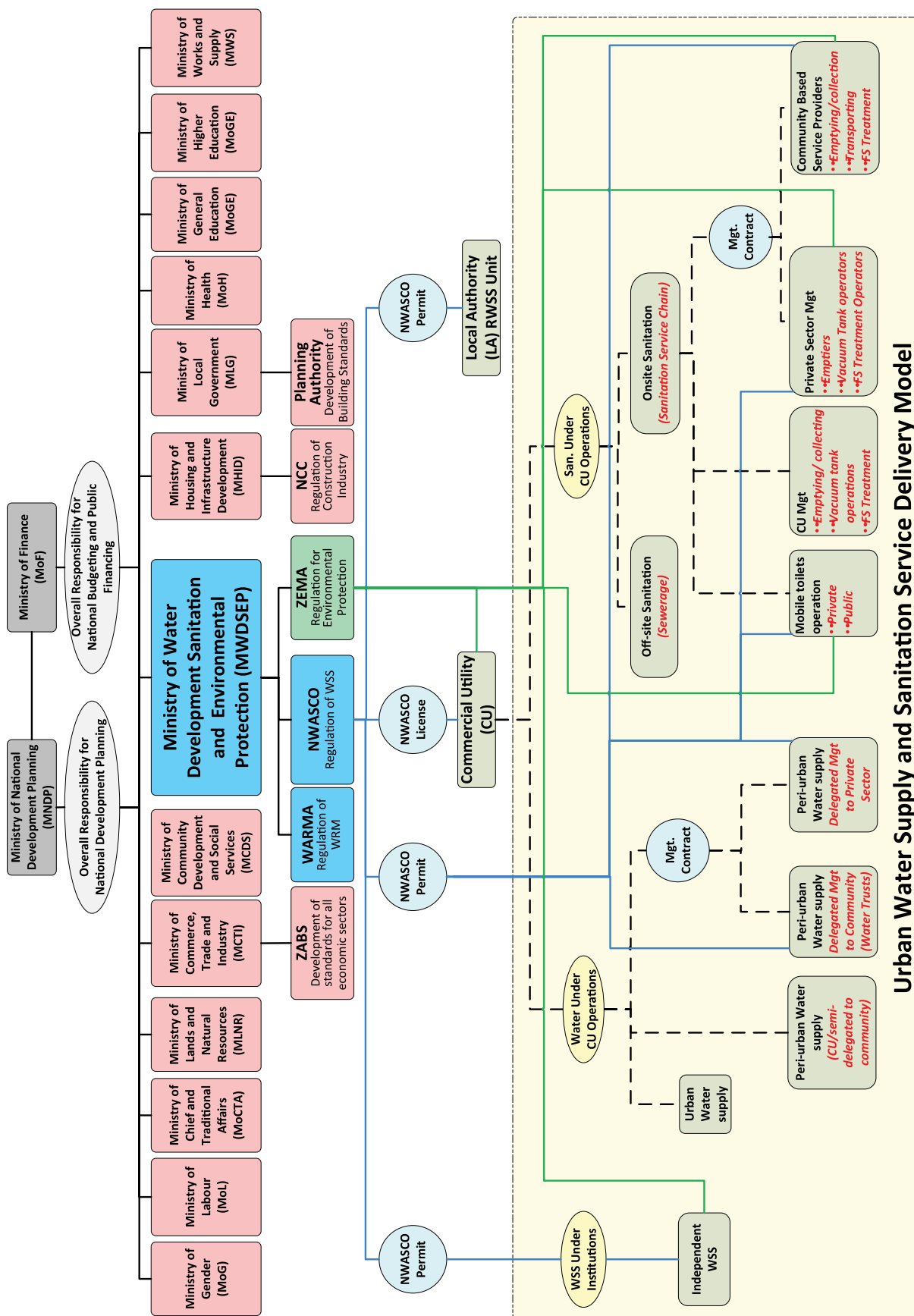


<b>Sanitation surcharge</b>	Surcharge on the monthly water bill collected from each water consumer (apart from those served by public water points) to finance sanitation projects.	MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030) adopts the JMP definition
<b>Sanitation tax</b>	Additional tax imposed by national/local government to support provision of services to the poor.	MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030) adopts the JMP definition
<b>Simplified sewerage</b>	A reticulated sewerage system that adopts less stringent design and construction standards that are appropriate for areas where water consumption is lower and residents are low-income. Types of simplified sewerage include <i>small-bore</i> and <i>settled</i> sewerage.	MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030) adopts the JMP definition
<b>Small-scale finance</b>	Financing below approximately USD 100,000 for small and medium enterprises (SMEs) and micro enterprises (meso finance) and micro-finance services (including small loans below a few thousand USD).	MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030) adopts the JMP definition
<b>Stakeholder</b>	<p>"Individuals, groups or institutions that are affected by (positively or negatively), or can affect (positively or negatively) an area, system, issue, process etc."</p> <ul style="list-style-type: none"> <li>• "affected by" implies that the stakeholder has an "interest"</li> <li>• "can affect" implies that the stakeholder has "influence"</li> <li>• Stakeholders are best defined in relation to a specific project.</li> </ul>	GIZ Capacity WORKS 2015
<b>Key Stakeholders</b>	Actors without whose support and participation the targeted results cannot be achieved and are able to use their skills, knowledge or position of power to significantly influence a project	GIZ Capacity WORKS 2015
<b>Primary Stakeholders</b>	Actors directly affected by the project (as designated beneficiaries or because they stand or gain – or lose – power and privilege)	GIZ Capacity WORKS 2015
<b>Secondary Stakeholders</b>	Actors whose involvement in the project is only indirect or temporary	GIZ Capacity WORKS 2015
<b>Stakeholders with Veto powers:</b>	Actors without whose support and participation the targeted results of a project cannot be achieved, or who may even be able to veto the project	GIZ Capacity WORKS 2015
<b>Toilet</b>	(often referred to as a "user interface") – consists of Water Closet (WC), pour flush or latrine	MLGH (2015), National Urban and Peri-Urban Sanitation Strategy (2015-2030) adopts the JMP definition
<b>Urban area</b>	An Urban area is a location characterized by high human population density and many built environment features in comparison to the areas surrounding it. Urban areas may be cities, towns or conurbations	

## ANNEX 2: RURAL WATER SUPPLY AND SANITATION SERVICE MODEL (Nwasco, 2019)



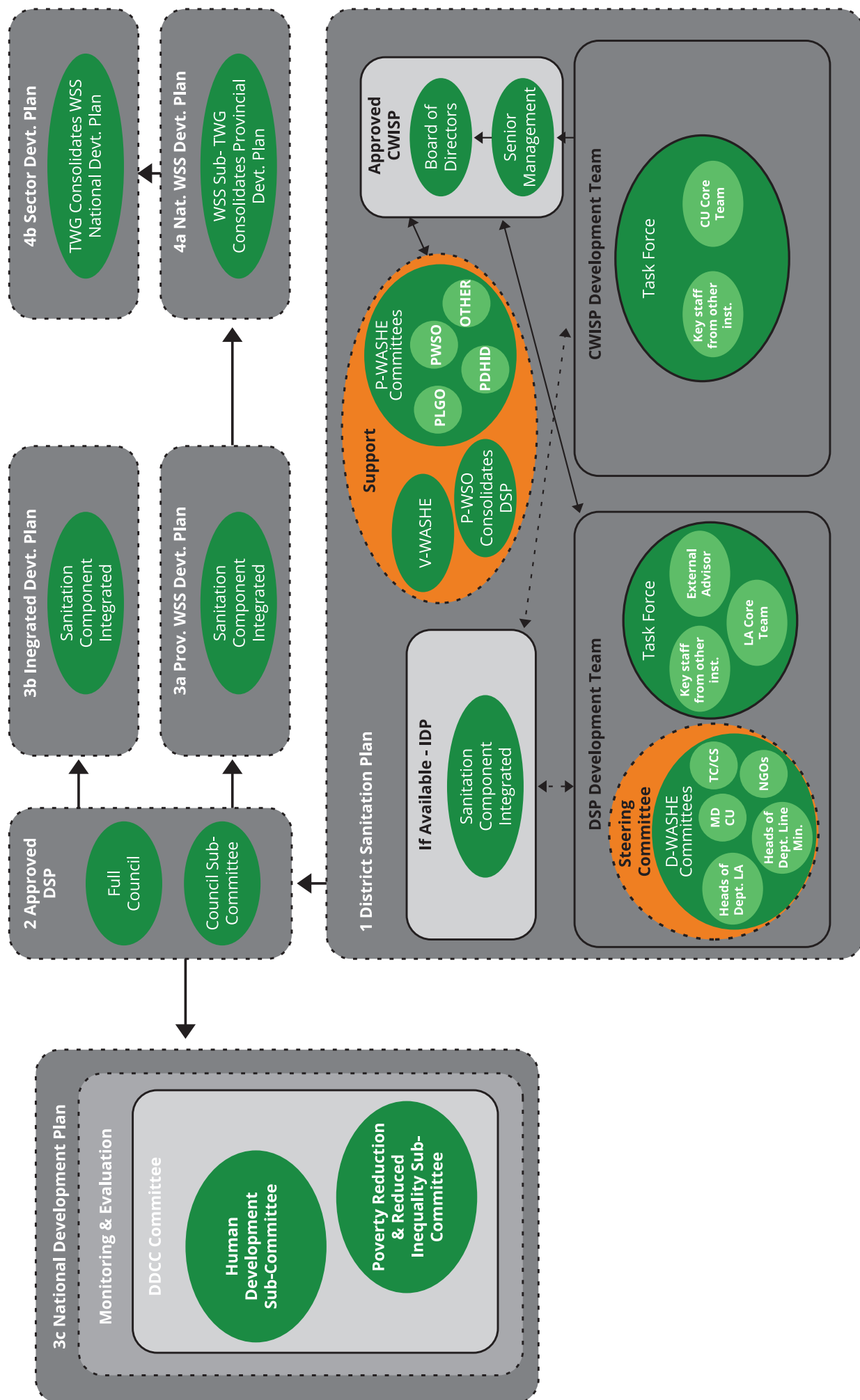
### ANNEX 3: URBAN WATER SUPPLY AND SANITATION SERVICE MODEL (NWASCO, 2019)



## ANNEX 4: ROLES AND RESPONSIBILITIES OF ACTORS IN WATER AND SANITATION SECTOR

Level	Organisation	Mandate	Coverage to Water and sanitation Sector
<b>National and Provincial Level</b>			
GRZ	Ministry of Finance (MOF)	<ul style="list-style-type: none"> <li>Manages GRZ's budget and overall implementation monitoring</li> <li>Supports infrastructure development and other WSS activities.</li> </ul>	All GRZ Sectors, including the Water Sector
	Ministry of Water Development, Sanitation and Environmental Protection	<ul style="list-style-type: none"> <li>Overall Water Sector lead</li> <li>Responsible for Water Resources Management and Development. lead for WSS sub-sector</li> <li>Policy and strategy development</li> <li>WSS resource mobilization</li> <li>Coordination of implementation of GRZ strategies related to WSS</li> </ul>	All Water Sector (WRM, WSS and EM)
	Ministry of Local Government	<ul style="list-style-type: none"> <li>Responsible for Solid Waste Management</li> <li>Responsible for LAs</li> </ul>	WSS sub sector
	Ministry of Health (MoH)	<ul style="list-style-type: none"> <li>Supervise and monitor implementation of Public Health Act. Cap 295</li> <li>Collaborate closely with MLG regarding public health aspects for WASH</li> <li>Strengthens role of EHTs at sub-district level in supporting &amp; monitoring work of community champions &amp; in ensuring regular and accurate reporting to RWSSU / D-WASHE</li> </ul>	Public Health preservation
	Ministry of Community Development	<ul style="list-style-type: none"> <li>Focuses on needs of women and children, and other vulnerable or marginalized groups and promotes improved hygiene behaviours through community health workers and WASHE Committees.</li> </ul>	Community development
	Ministry of General Education	<ul style="list-style-type: none"> <li>Responsible for School WASHE</li> <li>Collaborates with MLG on school WASHE and SLTS, including hand washing campaigns.</li> </ul>	School WASH
	Ministry of Higher Education	<ul style="list-style-type: none"> <li>Collaborates with MLG on College/University WASHE</li> </ul>	Learning Institutional WASH
	Ministry of Chiefs and Traditional Affairs (MOCTA)	<ul style="list-style-type: none"> <li>Advocacy for the scaling up sanitation promotion in rural areas (CLTS)</li> <li>Coordinates involvement of traditional leaders.</li> </ul>	Chiefs and traditional affairs contribution
	Ministry of Lands and Natural Resources (MLNR)	<ul style="list-style-type: none"> <li>Responsible for management and protection of land and natural resources.</li> </ul>	Environment and natural resources sector

Level	Organisation	Mandate	Coverage to Water and sanitation Sector
<b>District Level</b>			
Implementing Agencies	Local Authorities (LAs)	<ul style="list-style-type: none"> <li>Under direction of MLG</li> <li>Primary focus is enforcement of MoH's Hygiene regulations (Public Health Act) through Public Health Departments</li> <li>Overall responsibility for WSS service provision in the District               <ul style="list-style-type: none"> <li>Shareholders of CUs and mandate WSS service provision to them for urban and peri-urban areas as per the WSS act No. 28 of 1997</li> <li>Responsible for rural WSS service provision</li> <li>Responsible for other services that relate to quality of urban environment, including SWM and storm-water drainage.</li> </ul> </li> </ul>	WSS sub sector
	Other Government Ministries (DHO, DEBs)	<ul style="list-style-type: none"> <li>Related to their Ministry responsibilities at District level</li> </ul>	WSS sub sector
Service Providers	Commercial Utilities (CUs)	<ul style="list-style-type: none"> <li>The WSS Act (1997) empowers LAs to form CU, Companies under the Companies Act (1994 as amended) and its Amendment Cap 388</li> <li>Operate on commercial principles for the provision of WSS services</li> </ul>	Urban and Peri-urban area WSS sub sector
	Private Operators	Provide WSS goods and services, limited to, such as <ul style="list-style-type: none"> <li>Supplier of spares, chemicals</li> <li>Transportation of Faecal Sludge</li> <li>Emptying of septic tanks and latrines</li> <li>Sanitation marketing services</li> <li>Supplying affordable sanitation goods and services to rural communities</li> <li>Large-scale organizations can help chiefdoms maintain ODF status.</li> </ul>	WSS sub sector
	Community Based Organizations (CBOs)	<ul style="list-style-type: none"> <li>are both actors and beneficiaries' of facilities for improved sanitation:</li> <li>key role in identification of activities to be undertaken and implemented</li> <li>participate in household financing of sanitation facilities</li> <li>managing of public latrines (bus stations and markets)</li> </ul>	WSS sub sector
	Media Organizations	<ul style="list-style-type: none"> <li>Advocacy and promotion of WASHE activities, via say national and local campaigns involving TV and press coverage (hygiene adverts and news items including publicity for ODF celebrations) and the production of hygiene promotion programmes for broadcast on community radio.</li> </ul>	WSS sub sector
Support Agencies	Development Partners	<ul style="list-style-type: none"> <li>Provision of Technical and Financial Support in accordance with GRZ procedures and through MLG and LAs/CUs</li> </ul>	WSS sub sector
	Non-Governmental Organizations (NGOs)	<ul style="list-style-type: none"> <li>Technical support mainly related to capacity building and advocacy in development and implementation of WSS projects</li> </ul>	WSS sub sector



## ANNEX 7: MAIN POLICIES, LEGISLATIONS, NATIONAL PROGRAMMES AND INITIATIVES

No	Policy	Mandate
1	Draft Water Supply and Sanitation Policy	<ul style="list-style-type: none"> <li>Revised National Water Supply and Sanitation Policy (2013, MLGH) was further revised in 2015/16 to include issues of solid waste.</li> <li>Provides GRZ direction on how to meet Vision 2030 and SDGs.</li> <li>This document <b>has not been approved yet</b>.</li> </ul>
2	Decentralisation Policy (2002)	<ul style="list-style-type: none"> <li>Revised in 2012 aimed at decentralizing GRZ responsibilities and functions incl. rural water supply and sanitation, to lower level government institutions through devolution.</li> <li>GRZ has recently revitalized the decentralization agenda and the 2015 budget has started implementing measures for fiscal decentralization with the completion of the review of the Intergovernmental Fiscal Architecture and introduction of the Local Government Equalisation Fund (LGEF).</li> <li>Full decentralization is yet to be implemented, while there are <b>major capacity gaps at local government level</b>, especially in the thirty-plus new districts recently created.</li> </ul>
3	National Water Supply and Sanitation Policy	<ul style="list-style-type: none"> <li>Currently in draft form.</li> <li>Main water supply and sanitation elements are finalized</li> <li>Component on solid waste management is being added.</li> <li>Establish an enabling environment for the new NRWSSP II.</li> </ul>
4	<i>National Gender Policy 2014</i>	<ul style="list-style-type: none"> <li>Sets priority areas of action at the National, Provincial, District and Community levels in terms of planning, resource allocation and implementation of development programmes to promote gender equity and equality</li> </ul>
5	UN Sustainable Development Goals (Agenda 2030)	<ul style="list-style-type: none"> <li>Further commits member states to “leave no one behind, the human rights to water and sanitation</li> <li>Places obligations on States to ensure that services are affordable.</li> <li>SDG 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”</li> </ul>

No	Law	Mandate
1	Zambian Constitution	<ul style="list-style-type: none"> <li>Charges responsibility on every Zambian Citizen to protect and conserve the environment, utilise natural resources in a sustainable manner, maintain a clean and healthy environment.</li> </ul>
2	Public Health Act Chapter 295	<ul style="list-style-type: none"> <li>LAs to enforce provision of sanitation facilities (toilets) at every premises /plots as per approved standard</li> </ul>
3	Environmental and Pollution Control Act	<ul style="list-style-type: none"> <li>ZEMA to regulate developers for environment protection</li> </ul>
4	Water Supply and Sanitation Act No. 28 of 1997	<ul style="list-style-type: none"> <li>NWASCO to set standards and regulate WSS service provision</li> <li>LAs to form CU to provide WSS in urban and peri-urban areas</li> <li>LAs to make by-laws to ensure that the provision of WSS services in its area</li> <li>CUs to enforce by-laws relating to the provision of WSS services as may be issued by the Local Authority.</li> </ul>
5	Local Government Act CAP 281	<ul style="list-style-type: none"> <li>Gives local authorities prime responsibility for the provision of water supply and sanitation services</li> <li>LAs to be in charge of all municipal services that include WSS services</li> </ul>
6	SI No.12 of the Local Government Act	<ul style="list-style-type: none"> <li>Provides legally enforceable violations ranging from indiscriminate disposal of solid waste, urinating and open defecation etc.; addresses enforcement mechanisms on nuisance creation and abatement.</li> </ul>



No	Programmes and Initiatives	Mandate
1	<i>Zambian National Vision 2030</i>	<ul style="list-style-type: none"> <li>• Sets the goal for water supply as “Attainment of 80 % access to clean water supply to all by 2015 and 100 % by 2030” ,</li> <li>• Sets the goal for sanitation as “Attainment of 68 % access to sanitation to all by 2015 and 90 % by 2030.</li> </ul>
2	<i>National Urban Water Supply and Sanitation Programme (NUWSSP) (2011 -2030)</i>	<ul style="list-style-type: none"> <li>• To provide adequate, safe and cost-effective sanitation services to 77 percent by 2015 and 90 percent of the urban population by 2030 with due regard to environmental protection.</li> <li>• Sanitation is a municipal mandate, which incorporates solid waste and drainage as well as excreta management.</li> <li>• Clearly spells out roles and responsibilities of all key stakeholders in urban sanitation such as the GRZ Local Authorities, CUs and NWASCO.</li> <li>• <b>Role of local government as lead role in the preparation of Urban Sanitation Plans</b> with participation from civil society and private sector.</li> </ul>
3	<i>National Rural Water Supply and Sanitation Programmes (NRWSSP) 2006 to 2015</i> <i>(The NRWSSP II 2016-2030 is currently under review)</i>	<ul style="list-style-type: none"> <li>• To provide sustainable access to water supply and sanitation in rural areas so as to facilitate the achievement of the MDGs for water and sanitation and to contribute towards poverty alleviation of Zambia's rural population.</li> <li>• Focus on sanitation with a Sanitation and Hygiene Component developed (Exclusion of hand washing facility)</li> <li>• Spells out the institutional framework of the RWSS sector, roles and mandate.</li> <li>• New National Rural Water Supply and Sanitation Programme 2016 – 2030 is under elaboration.</li> </ul>
4	Sanitation and Hygiene Component of the NRWSSP (2006-2015)	<ul style="list-style-type: none"> <li>• Ended in 2015 but still providing guidance until the approval of the NRWSSP II</li> <li>• Aimed at 60% of rural population have access to adequate sanitation.</li> <li>• Emphasis on a holistic approach to sanitation in which a household or school should have all the WASHE basic needs in place</li> <li>• Key guiding principles: WASHE approach, a multi-pronged bottom up approach, households financing their own toilets, advocacy, schools given high priority and mainstreaming HIV/AIDS in sanitation activities.</li> </ul>
5	National Urban and Peri-Urban Sanitation Strategy (2015-2030)	<ul style="list-style-type: none"> <li>• The National Urban and Peri-Urban Sanitation Strategy (NUSS) is in line with the NUWSSP and its implementation aims to provide adequate, safe and cost-effective sanitation services to 90 percent of the urban population by 2030.</li> <li>• Identifies key players (GRZ, LAs and CUs) in sanitation and other line ministries and stakeholders and spells out their individual roles in the sector about sanitation.</li> </ul>
6	National Water Supply and Sanitation Capacity Development Strategy (2015 - 2020),	<ul style="list-style-type: none"> <li>• Aims at operationalising CD components of the two national programmes (NRWSSP and NUWSSP) by building and strengthening the capacity of institutions and individuals at all levels of the programme creating enabling environment to effectively and efficiently pursue their goals.</li> <li>• Developing the capacity of Local Authorities and P-DHIDs to provide technical assistance to local authorities; and strengthening the lower organs of the sector structure and community volunteers.</li> <li>• Districts will be able to achieve their sanitation objectives and goals.</li> <li>• Guiding all sector players; MLG, MWDSEP, LAs, CUs, NGOs, Cooperating Partners (CPs), private and public sector institutions, community based organisation and artisans among others in undertaking their roles in service delivery.</li> </ul>
7	<i>ODF Strategy Zambia (2018 – 2030)</i>	<ul style="list-style-type: none"> <li>• Clear direction regarding how to scale-up sanitation in both rural and urban areas.</li> <li>• Eradicate open defecation nationwide by 2030, in both rural and urban area.</li> <li>• Suggests the use of an integrated approach, systems approach and phased approach to have access to safely managed sanitation in line with SDG targets.</li> <li>• Pays specific attention to the needs of women and girls and those in vulnerable situations by creating a sustained Social Norm of Open Defecation Free environment at Household level, learning institutions, Health Care facilities and public spaces fostering public health and nutrition.</li> </ul>



**ANNEX :8 DSP TOOLBOX****Table of Contents of the DSP Toolbox**

Agenda for D-WASHE consultative pre-planning meeting	Tool 1
Table of Contents of the DSP	Tool 2
Road Map of the District Sanitation Planning Process	Tool 3
Stakeholder analysis	Tool 4
Coordination mechanism	Tool 5
Terms of References of the District Sanitation Planning Steering Committee	Tool 6
Terms of References of the District Sanitation Planning Task Force.	Tool 7
Terms of Reference for the LA core team and the responsibilities of the Task Force Coordinator.	Tool 8
FSM Enabling Environment Assessment Tool	Tool 9
Action Plan Template	Tool 10
Rural Household data collection tool for district sanitation plan development	Tool 11
Urban and Peri urban Household data collection tool for district sanitation plan development	Tool 12
Shit Flow Diagram (SFD) Data collection tool	Tool 12
School sanitation facilities data collection tool	Tool 13
Health care facilities data collection tool	Tool 14
Public places data collection tool	Tool 15
Solid Waste Management Data Collection Tool	Tool 16
Proposed meeting agenda	Tool 17
Template for District Sanitation Status Report	Tool 18
SWOT Analysis	Tool 19
Sanitation Market Assessment	Tool 20
Proposed Agenda for the planning workshop	Tool 21
Proposed list of participants for the planning workshop	Tool 22
Stakeholder Map of Actors	Tool 23
Logical Framework Matrix	Tool 24
Standard Template of the District Sanitation Plan	Tool 25
Setting Objectives using guiding components and measures	Tool 26
Technology option Tool	Tool 27
Risk Management Tool	Tool 28
DSP Learning Log	Tool 29
Monitoring and Evaluation Tool	Tool 30
Implementation Plan	Tool 31
DSP Financial Template	Tool 32
DSP Review Checklist	Tool 33
Standard Template for Power Point Presentation	Tool 34
Proposed annual plan format	Tool 35
Template of annual plan report	Tool 36
Proposed Agenda to the AWBP Development Meeting	Tool 37
Review and Progress Report Template	Tool 38
Template Mid-Term review report	Tool 38
DDCC Sub-Committee Reporting Standard Template	Tool 38
Proposed Agenda for the Mid-Term Review Meeting	Tool 39
Template for the Annual review and progress meeting report	Tool 40
Additional Literature	Tool 41

*Please refer to Toolbox folder*

Level	Organisation	Mandate	Coverage to Water and sanitation Sector
National Regulation Agencies	National Water Supply and Sanitation Council (NWASCO)	<ul style="list-style-type: none"> <li>Regulates service provision in the water supply and sanitation sector</li> </ul>	WSS sub sector
	Zambia Environmental Management Agency (ZEMA)	<ul style="list-style-type: none"> <li>Regulates for protection of the environment</li> </ul>	WSS sub sector focused on protection of environment
	Water Resources Management Authority (WARMA)	<ul style="list-style-type: none"> <li>Regulations utilization of water resources</li> </ul>	WRM
	Zambian Bureau of Standards (ZABS)	<ul style="list-style-type: none"> <li>Defines technical standards that must be utilized in the sector for installation of WSS systems</li> <li>NWASCO uses these standards to compile guidelines, e.g. Required Minimum Service Level (NWS/G001/12-2000)</li> </ul>	All GRZ Sectors, including the Water Sector
Support Agencies	Development Partners (KfW, GIZ, JICA, World Bank, AfDB, UNICEF, etc.)	<ul style="list-style-type: none"> <li>Provision of Technical and Financial Support to the Sector through agreements with GRZ</li> </ul>	All Water Sector
	The Devolution Trust Fund	<ul style="list-style-type: none"> <li>Financing support to CU to extend WSS to the urban poor living in low cost and peri-urban areas &amp; also performance enhancement for CUs</li> </ul>	Urban and peri-urban areas WSS Sub sector
	The Private Sector (Consultants, Contractors, Suppliers, etc.)	<ul style="list-style-type: none"> <li>Provision of services and goods to the WSS sector, e.g. Consultancy, construction, supply of spares, etc.</li> </ul>	All Water Sector
	Non-Governmental Organizations (NGOs)	<ul style="list-style-type: none"> <li>Technical support mainly related to capacity building and advocacy in development and implementation of WSS programmes/projects</li> </ul>	All Water Sector

Level	Organisation	Mandate	Coverage to Water and sanitation Sector
<b>At Ward/Chieftdom and Community Level</b>			
	MoGE	<ul style="list-style-type: none"> <li>Implementation of school WASHE and contributing to D-WASHE</li> </ul>	Rural WSS sub sector
	EHTs / CDOs under MoH or MCD or MA	<ul style="list-style-type: none"> <li>CLTS triggering and follow-up</li> <li>Monitoring and reporting</li> <li>Post-ODF monitoring and support</li> </ul>	Rural WSS sub sector
	Traditional leaders	<ul style="list-style-type: none"> <li>Chieftdom triggering. Chiefs whose own chieftdoms have become ODF can become strong sanitation advocates, sensitizing other chiefs and their village headmen to do the same. This also helps to promote competition between chieftdoms (see guidelines in Annex X).</li> <li>Participation in mass verification exercises. This process is explained under 'Monitoring and Verification' below. The participation of chiefs not only helps to gives ODF verification greater local visibility; it also sends a message that becoming ODF is an important development that warrants the involvement of senior figures from the community and local government.</li> </ul>	Rural WSS sub sector
	Community Champions (CHAs)	Under supervision of EHTs: <ul style="list-style-type: none"> <li>CLTS triggering and follow-up</li> <li>Monitoring and reporting</li> <li>Post-ODF monitoring and support</li> </ul>	Rural WSS sub sector
	External Support Agencies	Technical support in form of capacity building in: <ul style="list-style-type: none"> <li>Chief to Chief triggering</li> <li>School WASH (implementation)</li> </ul>	Rural WSS sub sector

### **Stage 1 Build institutional commitment and partnership for planning**

- Establish planning process leader and city sanitation task force
- Consultation and facilitation of the process
- Assess key priorities and incentives
- Define collective vision and priorities for sanitation improvement
- Agree upon the planning process.

### **Stage 2 Understand the existing context and define priorities**

- Collect and review information about existing services
- Identify constraints to service provision
- Undertake a sanitation market assessment
- Identify priority areas for improvement

### **Stage 3 Develop systems for sanitation improvement**

- Delineate zones for system development
- Consider appropriate toilet technologies
- Develop strategy for treatment, disposal or reuse
- Collection and transportation of wastewater and faecal sludge
- Consider operational and maintenance requirements
- Assess costs of proposed improvement options

### **Stage 4 Develop models for service delivery**

- Develop appropriate management arrangements
- Derive cost-recovery mechanisms
- Strengthen financing mechanisms
- Develop arrangements for monitoring and regulation

### **Stage 5 Prepare for implementation**

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

7	Urban and Regional Planning Act 2015	<ul style="list-style-type: none"> <li>• <b>Local authority to be designated as a local planning authority for its area</b></li> <li>• <b>Local Planning Authority to Prepare and implement integrated development plans, local area plans and sectoral plans.</b></li> </ul>
8	Statutory Instruments (SI) (various as created) e.g. No 555	<ul style="list-style-type: none"> <li>• Through GRZ to support operationalisation of policies and strategies. E.g. formation of Copper belt Solid Waste Management Company, transfer of assets from LAs to CUs during formation of CUs, etc.</li> </ul>
9	SI No 63 of 2000 (Licensing of Utilities and Service Providers) Regulations under the WSS Act No. 28 of 1997	<ul style="list-style-type: none"> <li>• Facilitates the licensing of CUs for provision of WSS in the specific areas of CU operations</li> </ul>
10	By-laws (various as created)	<ul style="list-style-type: none"> <li>• Created by laws to enforce their mandate in their district.</li> </ul>
11	The Environmental Management Act No 12 of 2011	<ul style="list-style-type: none"> <li>• Provide for integrated environmental management and the protection and conservation of the environment and the sustainable management and use of natural resources;</li> </ul>
12	The SI No. 112 of 2013, of EM Act No. 12 of 2011, the EM (Licensing) Regulations of 2013	<ul style="list-style-type: none"> <li>• Sets limits and standards for environmental protection</li> </ul>
13	SI No. 100 of 2011	<ul style="list-style-type: none"> <li>• Provides for LAs to undertake activities related to solid waste management (SWM)</li> </ul>
14	Gazette Notice No. 836 of 2016	<ul style="list-style-type: none"> <li>• Outlines and Allocates the Statutory Functions, Portfolio and Composition of Government</li> </ul>
15	Local Government (Criteria for upgrading the status of Councils) Regulation SI of 2017	<ul style="list-style-type: none"> <li>• Confers the Higher Council status and stipulates the minimum population, functional urban infrastructure to be provided; such as Markets, Bus stations, Public Toilets and Solid Waste management system etc.</li> </ul>
16	Occupational Health and Safety Act of 2010	<ul style="list-style-type: none"> <li>• Emphasizes protection of people exposed to various forms or types of hazards including sanitary cleaners, especially those involved in emptying toilets and septic tanks, including need for PPEs, medical tests and examination during conveyance treatment and product end use</li> </ul>
17	Rural Water Supply and Sanitation Framework for provision and regulation in Zambia	<ul style="list-style-type: none"> <li>• RWSS schemes taken over by CUs would continue to be regulated using existing regulatory tools for service provision</li> <li>• Growth centres within CU-licensed areas managed by private sectors shall have a NWASCO permit and a management contract signed between responsible CU and operator</li> <li>• Piped water/ offsite sanitation schemes still under LAs, an MoU shall be signed between the CU and LA, CU and Community</li> <li>• NWASCO shall regulate LAs for piped water schemes not yet taken up by CUs</li> </ul>
18	Urban Onsite Sanitation and Faecal Sludge Management Framework for provision and regulation in Zambia	<ul style="list-style-type: none"> <li>• NWASCO shall regulate onsite sanitation through existing licences with CUs covering their respective areas of service as licenced.</li> <li>• Any private operator operating within the service areas of a CU shall have a management contract with the CU stipulating adherence to the requirements of the regulator.</li> </ul>

8	<i>Gender Strategy (yet to be launched)</i>	<ul style="list-style-type: none"> <li>• Ensure that women in all the sectors of development occupy at least 30% of decision-making positions.</li> <li>• Involving both women and men in the management of water supply and sanitation has been recognized at not just National level but also at district and community levels.</li> <li>• Women's presence is critical in the sustainability of sanitation programmes.</li> </ul>
9	<i>The Community Led Total Sanitation (CLTS) (2010 – to date)</i>	<ul style="list-style-type: none"> <li>• Elimination of Open Defecation in Communities</li> <li>• CLTS depends almost entirely on local leadership, with traditional and civic leaders working side by side to spread and promote total sanitation</li> <li>• CLTS increases awareness of sanitation's importance from the household to the district level and motivates a desire to improve living conditions for all.</li> <li>• Empowers local stakeholders and serving as a catalyst for sustainable development that extends beyond the sanitation sector</li> </ul>
10	<i>School Led Total Sanitation Guidelines and Certification Procedure (2015)</i>	<ul style="list-style-type: none"> <li>• Elimination of open defecation from the catchments of the schools as a pre requisite for improving hygiene and sanitation</li> <li>• Ensure communities' self-realization of hygiene and sanitation through sensitization, developing school and students role model in sanitation and promoting the use of toilet and proper hygiene behaviour</li> </ul>
11	<i>The Seventh National Development Plan (2017 – 2021)</i>	<ul style="list-style-type: none"> <li>• Integrated Development approach is premised on the principle of leaving no one behind</li> <li>• The Nation's development interventions will have to harmonised with regional and global development agendas, such as the SDGs</li> <li>• Creates an environment to environment to transition from the MiDGs to SDGs, given that the SDG domestication requires an integrated multi-sectoral engagement, with interlinking goals.</li> </ul>
12	<i>Urban Onsite Sanitation and Faecal Sludge Management Framework for provision and regulation in Zambia 2018</i>	<ul style="list-style-type: none"> <li>• Maps out the process in which regulation of Urban On-site Sanitation Service provision can be improved to support the proper functioning of an integrated management system covering the whole sanitation chain.</li> <li>• Aligned to National Urban and Peri-Urban Sanitation Strategy, the regulation of service provision will ensure that faecal matter generated in on-site facilities is effectively contained, collected, transported, treated and disposed of in a safe manner to protect public health and the environment.</li> </ul>
13	<i>Rural Water Supply and Sanitation Framework for provision and regulation in Zambia 2018</i>	<ul style="list-style-type: none"> <li>• Maps out the process in which Rural Water Supply and Sanitation service provision can be regulated to enforce standards and monitor accurately reports on RWSS services.</li> </ul>
14	<i>NWASCO Strategic Plan (2016 to 2030)</i>	<ul style="list-style-type: none"> <li>• Clear objectives and activities to enhance the regulatory framework</li> <li>• Develop new regulatory tools, improve regulation of sanitation service provision, enhance stakeholder engagement for enforcement and ensure efficiency and financial viability of CUs that are clearly linked to on-site sanitation and rural WSS.</li> </ul>
15	<i>Guidelines for Integrated Development plan</i>	<ul style="list-style-type: none"> <li>• Aimed at providing guidance to all <b>local authorities in the preparation of integrated development plans.</b></li> <li>• Preparation of IDPs is in line with the provisions of the Urban and Regional Planning Act No.3 of 2015 and the 7th National Development Plan, which recognises the Integrated Development Plan as the primary tool for the implementation of the Plan at local level.</li> </ul>



