

**EVALUATION OF THE WASH
SECTOR STRATEGY
“COMMUNITY APPROACHES TO
TOTAL SANITATION” (CATS)**

Final Evaluation Report

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Evaluation of the WASH Sector Strategy “Community Approaches to Total Sanitation” (CATS) Final Evaluation Report

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The report was prepared by independent consultants from Hydroconseil SA (France), ECOPSIS (Switzerland) and the Water, Engineering, and Development Center (WEDC) of Loughborough University (UK). It is based on country case study reports on India, Mauritania, Mozambique, Nepal and Sierra Leone and data gathered through additional sources. Samuel Bickel, Senior Advisor - Research and Evaluation, and Tina Tordjman-Nebe, Evaluation Specialist, managed and led the overall evaluation process in close collaboration with the WASH Section, Programme Division, and selected staff from the participating county offices.

The purpose of the report is to facilitate the exchange of knowledge among UNICEF personnel and its partners. The contents of the report do not necessarily reflect the policies or views of UNICEF.

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PREFACE

The purpose of this evaluation was to assess UNICEF's experience in understanding and implementing Community Approaches to Total Sanitation (CATS), with a particular emphasis on the period from 2008 to the present. The specific objectives were to evaluate the effectiveness, efficiency, sustainability and outcomes of the efforts in CATS supported by UNICEF – to take stock of CATS achievements globally and enable evidence-based decision making on further scaling up of CATS.

This evaluation takes place as UNICEF nears seven years of its corporate commitment to CATS. Since the emergence of the community-led total sanitation approach (CLTS) in the early 2000s, UNICEF has been an ardent supporter of community-based sanitation programming, leading to adopting CATS as the corporate sanitation strategy in 2008. UNICEF and partners have since gained critical experience in its implementation. The partners have included governments, other development agencies, national institutions, and, most importantly, the men, women and children of all communities seeking to develop and prosper. UNICEF feels that the CATS programming is at an inflection point. A strong evaluation can meet three global needs: to enable evidence based decision making for the managers of active CATS programmes and those considering whether to begin programmes; to contribute to global learning so all sanitation advocates can reflect on their programmes in light of the CATS evidence; and to meet accountability expectations to all stakeholders that UNICEF will critically examine the effectiveness and efficiency of its major programming strategies.

The UNICEF HQ Evaluation Office commissioned this independent global evaluation in December 2012. The evaluation was conducted by a partnership of Hydroconseil SA (France), ECOPSIS (Switzerland) and the Water, Engineering, and Development Center (WEDC) of Loughborough University (UK). The team leader was Mr. Bruno Valfrey of Hydroconseil. Other key team members were Rebecca Scott and Andy Cotton (WEDC), Julie Aubriot and Na'a kin Pintado (Hydroconseil), and Beatrice Keller, Derko Kopitopoulos, and Hans Spruijt (ECOPSIS). We appreciate their hard work to make sense of a WASH strategy that takes many forms in varied contexts yet is asked to respect a critical set of core principles.

The evaluation methodology included an extensive document review, five country visits, an on-line survey and webinars, four regional office visits, and 10 key informant interviews. All told over 200 persons contributed to the data-gathering phase, excluding the many dozens of community members and local authorities who also contributed during the country visits. An external expert reference group made major contributions at both ends of the process, notably in helping improve the inception report and the final report. They brought their individual and institutional expertise from the Bill and Melinda Gates Foundation, the UK Department for International Development (DFID), the World Bank and Plan USA, and their help is greatly appreciated.

Whole-hearted thanks go to UNICEF staff across the organization for their engagement in the evaluation, and even more for their support of CATS. Special thanks are offered to the team in the WASH Section of Program Division in UNICEF NY (notably Sanjay Wijesekera, Director, and Therese Dooley and Louise Maule, Technical Specialists), and to the regional WASH advisors and WASH staff in UNICEF country offices, in particular those regions and nations that hosted the evaluation team visits. The WASH staff at all levels spent untold hours in document searches, mobilization, networking, brainstorming and reviewing reports. We have rarely seen such a level of interest, support and appropriation of the results.

Readers of the report may wish to pose questions or learn more. If the questions or comments are about the evaluation contents, methods, findings, and recommendations, please write to the Evaluation Office at evalhelp@unicef.org. If the questions or comments are about UNICEF, WASH and how CATS will or should evolve in the future, please write to WASH@unicef.org. Readers are also invited to visit the UNICEF website (www.unicef.org) to investigate the full range of actions and outputs of the Evaluation Office and the WASH team.

Colin M. Kirk
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UNICEF New York Headquarters

ACKNOWLEDGEMENTS

This evaluation is the result of strong commitment, team work and contributions from a large number of individuals and institutions. The evaluation report was prepared by independent consultants Bruno Valfrey (team leader), Julie Aubriot, Cédric Estienne and Na'a kin Pintado from Hydroconseil SA (France), Beatrice Keller, Derko Kopitopoulos, and Hans Spruijt from ECOPSIS (Switzerland) and Rebecca Scott and Andy Cotton from the Water, Engineering, and Development Center (WEDC) of Loughborough University (UK).

The consortium of consultants worked under the guidance and supervision of Sam Bickel in the Evaluation Office. Therese Dooley and Louise Maule in the WASH Section, Programme Division, provided substantive technical support throughout the evaluation and Tina Tordjman-Nebe, Evaluation Office, made significant contributions at the inception, data collection and dissemination phases. In the Evaluation Office in New York, Dalma Rivero dealt with contracts and financial management issues, Geeta Dey from the Evaluation Office and Meera Mohan from the WASH Section provided logistics and communications support. UNICEF's Regional Sanitation Advisors - Jane Bevan (WCARO), Ann Thomas (ESARO), Henk van Norden (ROSA) and Chander Badloe (EAPRO) - provided substantive technical inputs through the various data collection phases of the evaluation.

The evaluation was steered by an external reference group that also reviewed the inception report and several drafts of the evaluation report. The group included Jan Willem Rosenboom from the Bill and Melinda Gates Foundation, Guy Howard from the UK Department for International Development (DFID), Jae So from the World Bank, Darren Saywell from Plan International USA, and Barbara Evans from Leeds University

The global report draws heavily on five case study evaluations. National level consultants working under the evaluation consortium included: Anand Ghodke and Pramod Dabrase (India), Madyoury Tandia (Mauritania), Abilio Manuel Cuamba (Mozambique), Guna Raj Shrestha and Yubray Shrestha (Nepal), and Prince Nallo (Sierra Leone). In addition, the work at country level could not have been completed without the thoughts and energy of the following:

Through the UNICEF India Country Office, the entire WASH network of staff in the 14 states with a UNICEF presence, including Delhi, participated in the evaluation. The key counterparts were the Ministry of Drinking Water and Sanitation, and representatives of the state governments of Andhra Pradesh, Gujarat, Karnataka, Madhya Pradesh, Odisha, Rajasthan, and Tamil Nadu.

The WASH team from UNICEF Mauritania participated and supported the evaluation. Special recognition goes to Ahmed Weddady, National Director in charge of sanitation issues (Ministry of Water and Sanitation) for leading the National Steering Committee which played an instrumental role in providing guidance and support to the evaluation. The key counterparts were representatives of the Ministries of Water and Sanitation, Health, Education, Communication, Social Affairs, Children and Family and the entire WASH network.

The WASH team from UNICEF Mozambique Office provided technical inputs and logistical support. The key national counterparts were representatives of the National Water Directorate (DNA), Tete Province Water and Sanitation Department (DPOPH), Maravia District, as well as the Ministry of Health and the Ministry of Education. In addition, the evaluation was supported by key sector partners including: European Union, Swiss Development Cooperation (SDC), WASHCost, WaterAid, WSP, and World Vision.

The WASH team from UNICEF Nepal (Country and Field) Offices provided technical inputs and logistical support. The key national government counterparts were representatives of the Ministry of Urban Development, Department of Water Supply and Sewerage, Department of Education and Department of Health. In addition, the evaluation was supported by the National Sanitation and Hygiene Coordination Committee and regional, district including school level WASH Coordinating Committees.

In Sierra Leone, UNICEF staff from WASH, M&E and C4D supported the evaluation. The Ministry of Water Resources and the Ministry of Health and Sanitation were the lead counterparts.

Finally, our appreciation and thanks goes to the hundreds of people, including central and local government officials, staff from UNICEF and various other UN agencies, NGO workers and other professionals, and the parents, children and community members who participated in the interviews, meetings and focus group discussions conducted as part of the evaluation.

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ACRONYMS

BMGF	Bill and Melinda Gates Foundation
CATS	Community Approaches to Total Sanitation
CLTS	Community Led Total Sanitation
DNA	National Directorate of Sanitation (Mauritania)
DPOPH	Provincial Departments of Public Works and Housing (Mozambique)
GDP	Gross Domestic Product
GLAAS	Global Analysis and Assessment of Sanitation and drinking-water
EAPRO	East Asia and Pacific Regional Office
ESARO	East and South Africa Regional Office
FGD	Focus Group Discussion
HEP	Health Extension Program
JMP	Joint Monitoring Programme for Water Supply and Sanitation
KAP	Knowledge, Attitude and Practice
LACRO	Regional Office for Latin America and the Caribbean.
MDG	Millennium Development Goals
MDWS	Ministry of Drinking Water and Sanitation (India)
M&E	Monitoring and Evaluation
MENA	Regional Office for Middle East and North Africa
MOPH	Ministry of Water and Public Works (Mozambique)
NGO	Non-Governmental Organization
OD	Open Defecation
ODF	Open Defecation Free
PATS	Pakistan Approach to Total Sanitation
PCA	Programme Cooperation Agreement
PHAST	Participatory Hygiene and Sanitation Transformation
PRSP	Poverty Reduction Strategy Paper
ROSA	Regional Office South Asia
SanMark	Sanitation Marketing Approach
SLTS	School-Led Total Sanitation
ToC	Theory of Change
TSC	Total Sanitation Campaign
TSSM	Total Sanitation and Sanitation Marketing
WASH	Water, Sanitation and Hygiene
WCARO	West and Central Africa Regional Office
WEDC	Water, Engineering and Development Centre
VERC	Village Education Resource Centre
WSP	Water and Sanitation Program
WSS	Water Supply and Sanitation
UCLTS	Urban Community Led Total Sanitation
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development

EXECUTIVE SUMMARY

Background and rationale

UNICEF has been implementing water, sanitation and hygiene (WASH) activities since the 1960s, with special focus on rural areas, health institutions and schools. Traditionally, sanitation programmes were based on supply-driven approaches that put subsidies at the centre of the process and placed behaviour change and social norms in the background. A major shift occurred 10-15 years ago with an increased focus on demand, a trend from which emerged a growing interest in community-based approaches. Community Approaches to Total Sanitation (CATS), which was officially adopted by UNICEF in 2008, is an umbrella term used by sanitation practitioners to encompass a wide range of community-based sanitation programming. All CATS programmes share the goal of eliminating open defecation (OD); they are rooted in community demand and leadership, focused on behaviour and social change, and committed to local innovation.

CATS can be applied through a wide range of methods, such as Community-Led Total Sanitation (CLTS), School-Led Total Sanitation (SLTS) and Total Sanitation Campaigns (TSC). Nine key principles guide UNICEF's CATS programmes:

- CATS aims to achieve 100 per cent open defecation free (ODF) communities (Principle 1).
- CATS is a community-led change process that fosters participation and community engagement (Principles 2 and 3).
- CATS does not include direct household subsidies for building latrines (Principle 4).
- CATS encourages the construction of latrines with locally available materials, using the skills of local technicians (Principle 5).
- CATS includes capacity building for community facilitators and local artisans as well as hygiene promotion (Principles 6 and 8).
- CATS promotes the participation of local and national governments from the outset (Principle 7).
- CATS is an entry point for wider social change (Principle 9).

Since the initial development of CATS, a growing understanding of social norms theory has developed, reinforcing the importance of programmes that support community (and even society) level behaviour change and that leverage the crucial role that social pressure and social expectations can play in sustaining new sanitation behaviours. At the time of evaluation (2013), the development and roll out of CATS was at a crucial point. In South Asia, where CATS programmes are most mature, some CATS-like initiatives had been operating for more than ten years. While scale up is more recent in sub-Saharan Africa, programmes there have been spreading quickly. Over the last five years, many stakeholders have been engaging with, or are aware of, the 'total sanitation' approach and some countries have adopted CATS as a key component of their sanitation strategy.

This evaluation was commissioned by UNICEF in order to take stock of CATS achievements globally and to enable evidence-based decision making on further scaling up of CATS. The evaluation reviewed the efforts undertaken from 2008 to 2012 and assessed the results around four areas:

- Outcome objective: What are the results achieved by CATS (output and outcome levels) and what is the quality of evidence validating these results?
- Effectiveness objective: What are the key social and technical factors that can explain the success or failure of CATS in a given country/community context?
- Efficiency objective: What are the key financial and managerial factors that maximize the efficiency/value-for-money of CATS? How can they be optimized?
- Sustainability objective: What are the key factors required at country/community levels to improve the adherence to new ODF behaviours created by CATS?

The primary audiences for the evaluation are UNICEF staff and CATS programme partners, donors and the wider sanitation sector.

Methodology

The evaluation followed a mixed methods approach combining qualitative and quantitative methods. During a thorough inception phase, existing literature was reviewed, a theory of change developed and evaluation instruments designed. The data collection phase focused on three complementary tools:

First, an online survey was developed for UNICEF staff and others directly involved in CATS implementation. More than 200 respondents completed the survey, representing 45 countries across all six of UNICEF's main intervention regions.

Second, two webinars were conducted with participation from UNICEF staff involved in CATS implementation. The webinars enabled time-bound and structured virtual meetings on selected topics. Semi-structured interviews were conducted with ten non-UNICEF sanitation specialists (see Annex 3).

Third, five countries (India, Mauritania, Mozambique, Nepal and Sierra Leone) were selected as broadly representative of global CATS roll out and served as case studies for a more in-depth assessment of CATS implementation at country level. Each country was visited for two weeks by two members of the evaluation team and involved key informant interviews at national and sub-national level, community field visits, workshops/focus groups and a document review.

The methodological limitations of the evaluation include lack of baseline and monitoring data in some settings, data gaps within the secondary literature, including on programme costs, unbalanced geographic participation in the survey and difficulties attributing observed changes to the UNICEF-supported CATS efforts as many actors are active in the sanitation arena. These issues were discussed and mitigation measures were taken where possible. However, some findings are more certain than others.

In terms of data analysis, the evaluation team applied a theory of change (ToC) lens to CATS programme results, tracking progress from programme inputs through to the achievement of a new social norm (no open defecation). According to this logic, if the nine core principles of CATS are correctly applied, risks are managed sufficiently and a sound enabling environment is established, the new social norm will result. Evaluative conclusions were drawn based on triangulation of findings derived from different settings, different data collection methods and different sources.

Findings & Conclusions

Outcomes

CATS contributed to the rapid reduction of open defecation

In the more than 50 countries where CATS is currently being implemented, CATS contributed to the rapid reduction of open defecation and encouraged the large-scale construction of latrines. As of June 2013, some 37,000 communities, almost exclusively in rural areas, had reached ODF status through CATS, representing an estimated population of 24 million (most of which are in Africa and South Asia).

The rapidity of CATS in achieving a reduction in open defecation and the construction of latrines was confirmed by key stakeholders during the evaluation and constitutes a major achievement, providing an important source of motivation for UNICEF and its partners.

CATS contributed to the re-orientation of the sanitation sector towards demand-led approaches

One of the main features of the pre-CATS situation in most countries was the predominance of supply-oriented, largely centralized and heavily subsidized approaches. Behaviour change was largely ignored and open defecation was not a priority. Most sanitation programmes focused on providing free (or highly subsidized) latrines which ultimately reached a limited number of households.

The introduction of CATS has led to a significant policy shift towards demand-led approaches, including prioritizing the reduction of open defecation. The CATS principles are now shared by most of the countries where CATS has been deployed, with a relatively high degree of ownership at all levels of government.

To a large extent, UNICEF has been a major contributor in aligning development partners towards programmes that adhere to most of the CATS principles, including the focus on reduction of open defecation. This alignment typically involved both a policy/strategy dimension (partners supporting and adopting CLTS or CATS policies) and an operational dimension (partners adapting sanitation interventions accordingly).

CATS impacts are constrained in certain circumstances

While CATS have been able to deliver rapid results, the evaluation identified a number of constraints that can affect CATS programmes, including:

- CATS is an approach best suited to rural contexts: Feedback suggest that social cohesion and local strong engagement of local leaders are critical factors for success, and these are generally more challenging in urban and peri-urban contexts. There are very few cases of CATS interventions implemented in urban and peri-urban areas.
- The limits of the policy on subsidies: The implementation of CATS in the presence of other subsidized sanitation programmes (either in neighbouring communities or within the same community) has proven to be a major challenge for UNICEF and its partners. This is especially true in countries where UNICEF's policy/advocacy work has not led to a clear alignment of partners behind CATS and where direct subsidies remain available.
- Availability and affordability of materials: In order to meet the ODF certification criteria, it is necessary for targeted communities to build latrines. The availability and affordability of materials required to construct durable latrines can sometimes be a major constraint. Despite the use of solidarity mechanisms, in many communities there are some households who simply cannot afford to build a latrine.
- Lack of capacity and resources: CATS represents a new approach in many countries, requiring a substantial amount of trained human capacity and other resources. In general, national and local governments in target countries do not have the resources or capacity necessary for implementation.

The evaluation found that UNICEF and its partners have been ad hoc but largely successful in overcoming these challenges. For instance, where other subsidy-based programmes exist, UNICEF's strategy is to be as flexible as possible, and to intensify work on the enabling environment and/or to target areas where communities have not been recently exposed to subsidized approaches.

Efficiency

UNICEF has been successful in creating an enabling environment for CATS scale up

The evaluation team found that UNICEF has been remarkably successful in almost all countries at creating an enabling environment for potential scale up. Key areas of success in this regard include:

- Policy, strategy and direction: The substantial advocacy work conducted by UNICEF has led to the re-orientation of policies and strategies at local and national levels. CATS principles (mostly in the form of CLTS) have been included in a majority of the sanitation policies and programmes that have been developed and adopted since 2008.
- Institutional arrangements and partnerships: Institutional arrangements and partnerships have been crucial in the developmental of an enabling environment for CATS. An important feature in this regard is the focus on local authorities and partnerships at the level closest to the target communities. This focus has profoundly changed the status quo in the sanitation sector. UNICEF has also emphasized partnerships with non-state entities such as NGOs and religious associations.
- Implementation capacity: With regard to implementation capacity, the evaluation team found that UNICEF has significantly contributed to capacity building activities (such as the training of facilitators and trainers), beyond what was needed to implement the specific UNICEF-financed CATS programmes. This reflects an approach to national capacity development rather than just project delivery. The rapid development of critical capacity in the sector and facilitated the adoption of CATS principles by governments and other partners.

While UNICEF has taken steps towards addressing policy, institutional arrangements and implementation capacity in most countries, other enabling environment dimensions have been given less consideration in contrast. This is especially the case with regard to private sector participation, financing mechanisms and supply-related issues.

CATS programmes are relatively cost effective

While the full cost of CATS interventions are difficult to measure, the evaluation found that cost effectiveness is relatively strong. Compared to previous approaches, CATS shifts the cost of implementing sanitation programmes from latrine construction towards a variety of other costs, including training, capacity building and monitoring. As the cost of constructing latrines under CATS are borne by households, one of the most important outcomes of the approach is to mobilize local resources for sanitation. Ultimately, far more latrines are built and used for much less government and external investment.

Financial incentives are an important dimension, without which programmes would not work

In all countries where CATS is being implemented, UNICEF follows the principle of not directly subsidizing the construction of latrines. Financial incentives, however, are used in many countries. For instance, CATS programmes usually cover all costs related to capacity building, creating an incentive for government officials, local leaders and other partners to participate. In most countries, UNICEF covers a substantial portion of the costs borne by the government agencies involved in implementation or follow-up, especially at the local and regional level. In this regard, CATS is typical of UNICEF's collaborative partnership with governments, as without the financial support the programmes would not work.

Planned and spontaneous 'diffusion' can increase the efficiency of CATS

CATS can often spread (or 'diffuse') outside the geographic area initially targeted via a number of diffusion mechanisms. Many UNICEF staff and partners mentioned the key role played by certification ceremonies in the spontaneous diffusion of CATS, along with the key role played by schools and children. While diffusion can strongly contribute to the efficiency of CATS programmes, it is not always formally integrated in programme strategies.

Effectiveness

The use of social norms theory is variable

While a change in social norms is implicit to the CATS approach, not all of UNICEF's CATS country programmes explicitly refer to a social norms approach. Integration of social norms theory in CATS is an ongoing process. While UNICEF staff recognize the importance of addressing behaviours within CATS, the language of 'social norms' is not widely used. The most commonly used vocabulary is still 'behaviour change', which refers to individual behaviour change, as opposed to collective behaviour change, which is inherent in the 'social norms' theory.

Few UNICEF staff have been trained in social norms theory, which may lead to misconceptions or misunderstandings about what influence it has, or can have, on programmes. There is a sense that changing social norms is still not at the forefront of thinking among most of UNICEF's WASH staff (and as a result it is also not reflected in the thinking of UNICEF's government partners).

Evidence of social norms change after CATS interventions

Evidence of behaviour change around open defecation can often be observed as soon as triggering activities have taken place, even before the first latrines have been built. In many countries, the strongest evidence of a change in social norms is the genuine adoption and enforcement of community-level rules that are accepted by all community members and cannot be transgressed without consequences. Other indications of the adoption of social norms found by the evaluation include:

- Support to women's groups to ensure a permanent supply of hygiene products;
- Establishment of other community-based hygiene initiatives (e.g. sweeping of streets, garbage collection, cooking-related hygiene); and
- Organization of community monitoring of latrines and other hygiene facilities.

The CATS triggering process is generally effective

The effectiveness of the triggering process and the capability of CATS to quickly bring most communities to (or close to) ODF status is widely recognized. However, while the triggering process is seen as very efficient by most stakeholders, there are limitations to its overall effectiveness. For example, while CATS addresses open defecation within and around villages, it generally does not consider practices in surrounding fields or in family farms, where people spend significant amounts of time during the planting and harvesting seasons.

Key drivers of change include disgust and shock as well as active and interested leaders

In the triggering phase, the drivers of change are consistent across countries and rely mainly on disgust and shock as communities came to understand the oral-faecal transmission route of infection and the fact that people are basically 'eating each other's faeces'. Disgust is most important during the early stages of the process; the community 'energy' released by the original shock is quickly converted into the pride of having taken action to solve the problem, and this pride fuels the continuing process of change after triggering. The strength of community leaders (including, in some countries, religious leaders) in mobilizing, supporting and enforcing action by all members of the community is the second main driver of change.

Sustainability

The long-term sustainability of CATS is a key concern

The long-term sustainability of the results catalysed by CATS emerged as an important concern during the evaluation. However, evaluating to what extent communities and households adhere to ODF status and long-lasting hygiene behaviours presents a number of methodological challenges. There is currently a gap between the monitoring systems in place in most countries (which focus on outputs and rely on proxy indicators such as hand washing) and the effective measurement of social norms evolution and long-term sustainability.

Households are not progressing up the sanitation ladder

According to CATS implementers and key informants, the main challenge that CATS is facing in terms of sustainability is its exclusive focus on the 'bottom' of the sanitation ladder. The evaluation found very little evidence that households targeted by CATS programmes are progressing up the 'sanitation ladder' by adopting more sophisticated sanitation facilities after the certification process. As CATS programmes are not prescriptive in terms of the technologies used, facilities constructed by households reflect their investment capacity at the time of the triggering. The effect of CATS programmes is therefore to shorten the process of adopting sanitation at the household level, a development which has previously been considered as a long, multi-step and complex process. Communities rarely if ever make a collective decision to ask households to move further up the sanitation ladder (in terms of latrine facilities). Having met the new norm with a basic latrine, households often find that their ability to invest in better sanitation facilities remains constrained by a number of issues.

Follow-up activities are currently scarce

The evaluation confirmed that there is a 'natural erosion' of ODF status within a community in the period after certification (the status being measured, for instance, by the per cent of households having latrines and consistently using them). This natural erosion is not due to a general lack of adherence to the new social norm created by CATS, but is caused by other circumstances such as newcomers in the community or a deterioration of latrines. This natural erosion can be considered acceptable if the effort necessary to maintain ODF status over time originates within the community itself (or with very light external support).

The monitoring and evaluation of CATS programmes remains a 'work in progress' for UNICEF

The monitoring of CATS implementation and the integration of CATS into national M&E frameworks is strong and adds support to the development of the enabling environment. However national M&E systems lack additional indicators that are needed to develop more global lessons and make adjustments (including information on costs and human resources). There is also concern related to data capture in the post-certification phase. For instance, in a majority of countries it was not possible to assess the extent of slippage due to the lack of systematic monitoring of continued adherence to ODF.

Recommendations and Management Response

Recommendation 1: Continue What Works

As a general recommendation, UNICEF is urged to maintain and scale up the aspects of CATS programming that are working well. Worth special mention are the aspects where CATS has innovated and advanced the practice of rural sanitation programming. Examples include implementing CATS through government channels where it is feasible, engaging at policy level to build a sound enabling environment, integrating social norms concepts into CATS design and implementation and using non-monetary, pride-based community awards as positive motivation.

Recommendation 2: Refine and Expand the Strategic Model

UNICEF and CATS stakeholders need to review their strategic model to address some of the identified weaknesses. As practiced at present, CATS programmes have demonstrated good progress on establishing a supportive enabling environment and to achieving rapid adoption of new sanitation behaviours where conditions for the approach are favourable. Subsequent attention to sustainability has been incomplete in many cases. In a modified approach, the strategic model would therefore continue the strong emphasis on the enabling environment, but would broaden the efforts to more diverse and challenging contexts, and would place significant new emphasis on ensuring that the changed behaviours are sustained.

Recommendation 3: Fill Technical Gaps

UNICEF and CATS stakeholders need to revisit certain approaches that have resulted in technical gaps, especially where there are equity concerns. The major technical concerns are (a) developing community-based approaches suited for peri-urban and urban environments and (b) addressing the set of issues hindering sustainability of sanitation facilities and the move up the sanitation ladder, especially in the poorer rural zones that have been the main CATS setting.

Recommendation 4: Deepen Understanding of the Underlying Social Dynamics

UNICEF and CATS stakeholders need to further refine understanding of applying a social norms approach to sanitation and hygiene behaviours. Topics needing further investigation include how to capitalize on spontaneous diffusion opportunities; how to reinforce new social norms with broad communications campaigns; and how to monitor the stability of social norms. It may be necessary to make changes in operational aspects of CATS programmes and ensure that staff are more thoroughly trained on the social norms approach once the additional understanding has been gained.

Recommendation 5: Improve Monitoring, Research and Evaluation

UNICEF and CATS stakeholders need to thoroughly review the monitoring and evaluation approach across the entire cycle of CATS programming. Areas requiring special attention include further developing M&E systems to capture and demonstrate sustainability of results (especially in the post-certification period) and developing a learning initiative to document and highlight good practices.

The management response to the evaluation recommendations will be publicly available as of January 2015 (see Annex 2 for details).

RESUMEN EJECUTIVO

Contexto y fundamentación

UNICEF comenzó a desplegar actividades WASH (agua, saneamiento e higiene) en la década de 1960, con un énfasis especial en las zonas rurales, los centros sanitarios y las escuelas. Tradicionalmente, los programas de saneamiento consistían en procesos basados en la oferta, en los que las subvenciones ocupaban un puesto central y el cambio de los comportamientos y las normas sociales quedaban en segundo plano. Hace entre 10 y 15 años se produjo un viraje importante cuando la atención comenzó a centrarse cada vez más en la demanda, una tendencia que ha abocado en un interés creciente por los métodos comunitarios. La expresión 'enfoques comunitarios para saneamiento total' (CATS, por sus siglas en inglés), que UNICEF adoptó de forma oficial en 2008, es la denominación genérica que los profesionales del saneamiento emplean para referirse a una amplia gama de programas de saneamiento comunitarios. Todos los programas CATS comparten el objetivo común de erradicar la defecación al aire libre, tienen su raíz en la demanda y el liderazgo de la comunidad, se centran en el cambio social y de los comportamientos, y están comprometidos con la innovación a escala local.

Las medidas CATS pueden aplicarse mediante una gran variedad de iniciativas, como el saneamiento total liderado por la comunidad, el saneamiento total liderado por las escuelas y las campañas de saneamiento total. Nueve principios básicos orientan los programas CATS de UNICEF:

- La finalidad del método CATS es crear comunidades libres al 100% de la defecación a campo abierto (Principio 1º).
- Las medidas CATS son un proceso de cambio liderado por la comunidad que promueve la participación y la implicación de la comunidad (Principios 2º y 3º).
- Las medidas CATS no implican subvenciones directas a los hogares para la construcción de letrinas (Principio 4º).
- Las medidas CATS estimulan la construcción de las letrinas empleando materiales disponibles en el ámbito local y aprovechando las destrezas de personal técnico del lugar (Principio 5º).
- Las medidas CATS incluyen la formación de mediadores y artesanos locales, además de la promoción de la higiene (Principios 6º y 8º).
- Las medidas CATS promueven la participación de los gobiernos locales y nacionales desde el inicio (Principio 7º).
- Las medidas CATS son un punto de acceso a un cambio social más amplio (Principio 9º).

Desde la formulación inicial del programa CATS se ha alcanzado una comprensión cada vez mayor de la teoría de las normas sociales, y con ello se ha reafirmado la importancia de los programas que facilitan el cambio de conductas en el seno de la comunidad (e incluso en la sociedad) y que aprovechan el peso decisivo que la presión social y las expectativas sociales pueden tener en el mantenimiento de los nuevos comportamientos en materia de saneamiento. En el momento de practicarse la evaluación (2013), la formulación y puesta en marcha del programa CATS se hallaban en un punto crucial. En Asia meridional, región en la que los programas CATS están más arraigados, hacía ya más de 10 años que operaban algunas iniciativas similares al método CATS. En África subsahariana, pese a que los programas son más recientes, se han propagado con rapidez. A lo largo de los últimos cinco años, numerosas partes interesadas se han implicado, o al menos han llegado a conocer el enfoque del 'saneamiento total' y algunos países han adoptado las medidas CATS como eje central de su estrategia de saneamiento.

Esta evaluación se ha realizado por encargo de UNICEF con el fin de examinar los logros alcanzados en todo el mundo gracias a las medidas CATS y de facilitar la toma de decisiones con base empírica en la ulterior expansión de las medidas CATS. La evaluación ha examinado los esfuerzos realizados desde 2008 a 2012 y ha analizado los resultados desde cuatro puntos de vista:

- Los efectos: ¿Qué resultados se han logrado con el programa CATS (en términos de productos y efectos) y qué calidad tienen las pruebas que validan estos resultados?
- La eficacia: ¿Cuáles son los factores de índole social y técnica que pueden explicar el éxito o fracaso del programa CATS en un contexto nacional o comunitario concreto?

- La eficiencia: ¿Qué factores económicos y relativos a la gobernanza maximizan la eficiencia/rentabilidad del programa CATS? ¿Cómo pueden mejorarse?
- La sostenibilidad: ¿Qué factores clave se precisan a escala nacional y comunitaria para afianzar la adhesión a las nuevas conductas que introduce el programa CATS?

La evaluación va dirigida principalmente a empleados de UNICEF y aliados del programa CATS, a donantes y al sector de saneamiento en general.

Metodología

En la evaluación se siguió un criterio de métodos cualitativos y cuantitativos combinados. Durante una exhaustiva fase inicial se examinó la literatura existente, se formuló una teoría de cambio y se diseñaron instrumentos de evaluación. Para la fase de recolección de datos se emplearon tres instrumentos complementarios:

En primer lugar se creó una encuesta online dirigida a los trabajadores de UNICEF y a otras partes directamente implicadas en la ejecución de las medidas CATS. Completaron la encuesta más de 200 personas, que representaban 45 países de las seis principales regiones en las que interviene UNICEF.

A continuación se celebraron dos seminarios web en los que participaron empleados de UNICEF implicados en la puesta en marcha de las iniciativas CATS. En el contexto de estos seminarios web se mantuvieron reuniones virtuales estructuradas y de duración limitada referidas a determinadas cuestiones. Se realizaron entrevistas semi-estructuradas a diez especialistas en saneamiento ajenos a UNICEF (véase Anexo 2).

Por último, se seleccionaron cinco países (India, Mauritania, Mozambique, Nepal y Sierra Leona) ampliamente representativos del despliegue de programas CATS, que servirían como estudios de caso en el marco de una valoración más profunda de la ejecución de las medidas CATS a escala nacional. Dos miembros del equipo de evaluación visitaron cada uno de estos países durante dos semanas, en las cuales se entrevistó a informantes clave, tanto en el ámbito nacional como subnacional, se realizaron visitas sobre el terreno a las comunidades, se celebraron talleres y grupos de discusión, y se analizó la documentación pertinente.

Entre las limitaciones metodológicas que afectan a la evaluación se cuentan la carencia de datos de referencia y de seguimiento en determinados escenarios, las lagunas de datos en la literatura secundaria, en especial en lo que concierne al coste de los programas, el desequilibrio geográfico en la participación en la encuesta y las dificultades para atribuir los cambios observados a los esfuerzos CATS respaldados por UNICEF, debido a la intervención de numerosos actores en la esfera del saneamiento. Se examinaron estas dificultades y se adoptaron, cuando era posible, medidas para atenuarlas. Así todo, algunas de las conclusiones son más certeras que otras.

En lo que concierne al análisis de los datos, el equipo de evaluación examinó los resultados del programa CATS a la luz de la teoría del cambio, siguiendo el progreso desde los insumos del programa hasta la consecución de una nueva norma social (la ausencia de defecación al aire libre). Con arreglo a esta lógica, si se aplican correctamente los nueve principios fundamentales de CATS, se gestionan adecuadamente los riesgos y se establece un entorno favorecedor riguroso, la consecuencia será la nueva norma social. Las conclusiones evaluativas se alcanzaron basándose en la triangulación de las constataciones derivadas de distintos entornos, de distintos métodos de recolección de datos distintos y de fuentes diversas

Constataciones y conclusiones

Efectos directos

Las medidas CATS han contribuido a un rápido descenso de la defecación al aire libre

En los más de 50 países en que actualmente se aplica el método CATS, las medidas CATS han contribuido a un rápido descenso de la defecación al aire libre e impulsado la construcción a gran escala de letrinas. En junio de 2013, gracias al método CATS habían logrado la certificación de comunidad libre

de defecación a campo abierto (ODF, por sus siglas en inglés) 37.000 localidades, casi todas ellas situadas en zonas rurales, lo que representa una población aproximada de 24 millones de personas (la mayoría de las cuales se encuentran en África y en Asia meridional).

La rapidez con que el programa CATS ha permitido reducir la defecación al aire libre e impulsar la construcción de letrinas fue ratificada durante la evaluación por los principales grupos interesados, y constituye un logro notable que ha sido fuente de motivación para UNICEF y sus aliados.

Las medidas CATS han contribuido a reorientar el sector del saneamiento hacia enfoques basados en la demanda

Una de las principales características de la situación anterior la introducción de las medidas CATS en la mayoría de los países era la predominancia de enfoques basados en la oferta, ampliamente centralizados y fuertemente subvencionados en los que apenas se prestaba atención al cambio de comportamientos ni la defecación al aire libre constituía una prioridad. La mayoría de los programas de saneamiento consistían, sobre todo, en la provisión gratuita (o muy subvencionada) de letrinas que en último término llegaban a un reducido número de hogares.

La introducción de las medidas CATS ha traído consigo una importante reorientación de las políticas hacia métodos basados en la demanda y que dan prioridad, en especial, a disminuir la defecación al aire libre. Los principios CATS en la actualidad son compartidos por la mayoría de los países en los que se han desplegado medidas CATS, apreciándose un grado de apropiación relativamente elevado a todos los niveles gubernamentales.

En gran medida, UNICEF ha contribuido de forma notable a la alineación de los aliados de desarrollo en pro de iniciativas que adhieran a la mayoría de los principios CATS y, de manera especial, al objetivo de reducir la defecación al aire libre. Por lo general, esta alineación comporta a la vez una dimensión política/estratégica (que los aliados apoyen y adopten políticas que fomenten la aplicación de medidas CATS o de iniciativas de saneamiento total liderado por la comunidad) y otra operativa (que los aliados adapten las intervenciones de saneamiento en función del contexto).

La repercusión del programa CATS queda limitada en determinadas circunstancias

Pese a que las iniciativas CATS han permitido lograr resultados rápidos, en la evaluación se detectaron una serie de limitaciones que pueden afectar a los programas CATS. Entre ellas figuran las siguientes:

- El planteamiento de CATS se adapta mejor a los entornos rurales: la retroalimentación sugiere que la cohesión social y la implicación firme de los dirigentes locales constituyen factores fundamentales del éxito y que generalmente es más difícil hallarlos en contextos urbanos y periurbanos. Son muy pocos los casos de aplicación de medidas CATS en zonas urbanas y periurbanas.
- Limitaciones relativas a la política de subsidios: la institución de medidas CATS en presencia de otros programas de saneamiento subvencionados (ya sea en comunidades vecinas o en el seno de la misma comunidad) se ha revelado como una dificultad importante para UNICEF y sus aliados. Es especialmente el caso en los países en que la labor política/promocional de UNICEF no ha fructificado en una alineación clara de los aliados en pro de iniciativas CATS y en los que continúan existiendo subvenciones directas.
- La disponibilidad y asequibilidad de materiales: para satisfacer los criterios de obtención de la certificación ODF es necesario que las localidades en las que opera el programa construyan letrinas. La disponibilidad y asequibilidad de los materiales necesarios para construir letrinas duraderas en ocasiones pueden ser un obstáculo importante. A pesar de disponer de mecanismos de solidaridad, en muchas comunidades existen hogares que simplemente no pueden costear la construcción de una letrina.
- La falta de capacidad y de recursos: en numerosos países, las medidas CATS representan un nuevo enfoque que requiere una considerable cantidad de recursos humanos especializados y otros recursos. En general, los gobiernos nacionales y locales de los países que reciben el programa no cuentan con esos recursos ni con la capacidad necesaria para poner en práctica las medidas.

La conclusión de la evaluación es que UNICEF y sus aliados intervinieron puntualmente, pero con bastante éxito, en la superación de estos obstáculos. Por ejemplo, allí donde existen otros programas basados en subvenciones, la estrategia de UNICEF es ser lo más flexible que se pueda, redoblar los esfuerzos encaminados a lograr el entorno favorable y dirigir las iniciativas a zonas en las que las comunidades no hayan sido expuestas recientemente a métodos subvencionados.

Eficiencia

UNICEF ha logrado crear un entorno favorable a la expansión del programa CATS

En opinión del equipo de evaluación, UNICEF ha actuado con notable eficacia en casi todos los países en lo que concierne a crear un entorno favorable a la posible expansión de las medidas CATS. Este éxito se ha cosechado principalmente en las esferas siguientes:

- **Políticas, estrategias y dirección:** La importante labor promocional realizada por UNICEF ha llevado a reorientar políticas y estrategias a escala local y nacional. Los principios CATS se han incorporado a una gran parte de las políticas y los programas de saneamiento formulados y adoptados desde 2008, fundamentalmente en forma de iniciativas de saneamiento total liderado por la comunidad.
- **Acuerdos y alianzas institucionales:** Los acuerdos institucionales y las alianzas han sido fundamentales para generar un entorno favorable a las medidas CATS. Una característica importante en este sentido es el énfasis en las autoridades locales y en el establecimiento de alianzas al nivel más cercano a las comunidades que reciben los programas, lo que ha permitido obrar un cambio profundo en la situación del sector del saneamiento. Asimismo, UNICEF ha puesto el acento en la creación de alianzas con entidades no estatales, entre ellas ONG y asociaciones religiosas.
- **Capacidad de ejecución:** En lo que respecta a la capacidad de ejecución, el equipo de evaluación concluyó que UNICEF ha contribuido de forma notable a actividades de fomento de la capacidad (como la formación de mediadores e instructores), más allá de lo que era necesario para la ejecución de los programas CATS financiados por UNICEF. Esto refleja un criterio orientado al fomento de la capacidad nacional más que un mero despliegue de un proyecto. El rápido desarrollo de la capacidad crítica en el sector hizo posible que los gobiernos y otros aliados adoptaran los principios CATS.

Así pues, mientras que UNICEF ha adoptado medidas referidas a las políticas, a los acuerdos institucionales y a la capacidad de ejecución en la mayoría de los países, otras dimensiones relacionadas con la creación de un entorno favorable han recibido menos atención. Es el caso en especial de la participación del sector privado, los mecanismos de financiación y cuestiones relativas a la oferta.

Los programas CATS son relativamente rentables

Pese a que es difícil medir el coste total de las intervenciones CATS, la evaluación revela que la rentabilidad es relativamente elevada. En comparación con otros métodos anteriores, en el enfoque CATS, el coste de ejecución de los programas se traslada desde la construcción de letrinas a otros costes diversos, entre ellos la formación, el fomento de la capacidad y el seguimiento. Dado que en el programa CATS el coste de la construcción de las letrinas recae sobre los hogares, uno de los efectos directos más importantes de este método consiste en movilizar recursos locales para el saneamiento. En definitiva, se construyen y se utilizan muchas más letrinas con menos inversiones por parte del gobierno y del exterior.

Los incentivos económicos constituyen una dimensión importante, sin la cual los programas no surtirían efecto

En todos los países en los que se aplican las medidas CATS, UNICEF sigue el principio de no subvencionar directamente la construcción de letrinas. No obstante, los incentivos económicos se emplean en muchos países. Por ejemplo, los programas CATS suelen cubrir todos los costes relacionados con el fomento de la capacidad, lo que supone un incentivo a la participación de funcionarios del gobierno, dirigentes locales y otros aliados. En la mayoría de los países, UNICEF asume

una parte importante de los costes que soportan las entidades gubernamentales que participan en la ejecución o el seguimiento, sobre todo a escala regional y local. En este sentido, el programa CATS es un caso típico de alianza colaborativa de UNICEF con los gobiernos, ya que sin apoyo financiero los programas no fructificarían.

La difusión planificada y espontánea puede aumentar la eficiencia de las medidas CATS

A menudo puede ocurrir que las medidas CATS se propaguen o se ‘difundan’ mediante diversos mecanismos de difusión fuera de la zona geográfica inicialmente escogida. Muchos empleados de UNICEF y aliados aludieron a la función esencial de las ceremonias de certificación en la difusión espontánea del método CATS, así como al papel clave que desempeñan la infancia y las escuelas. Aunque la difusión puede contribuir enormemente a la eficiencia de los programas CATS, no siempre se integra de manera formal en las estrategias de los programas.

Eficacia

El uso variable de la teoría de las normas sociales

Pese a que el cambio en las normas sociales es inherente al método CATS, no todos los programas de país CATS de UNICEF hacen mención expresa a un enfoque centrado en las normas sociales. La integración de la teoría de las normas sociales en el programa CATS aún no se ha completado. Aunque los empleados de UNICEF reconocen la importancia de modificar los comportamientos mediante las intervenciones CATS, el lenguaje de las ‘normas sociales’ no se emplea asiduamente. El vocabulario más utilizado sigue siendo el del ‘cambio de comportamientos’, que alude más bien al cambio en las conductas individuales, y no a la modificación del comportamiento colectivo, que es inherente a la teoría de las ‘normas sociales’.

Pocos empleados de UNICEF han recibido instrucción acerca de la teoría de las normas sociales, lo cual puede llevar a concepciones erróneas y a malentendidos acerca de la influencia que ésta tiene, o puede tener, en los programas. La sensación es que la idea del cambio en las normas sociales no ocupa aún un lugar preponderante en el pensamiento del personal WASH de UNICEF (y por tanto tampoco se refleja en el pensamiento de los aliados gubernamentales de UNICEF).

Las evidencias de cambio en las normas sociales después de las intervenciones CATS

Las evidencias del cambio de comportamientos en relación a la defecación al aire libre pueden observarse ya desde la fase desencadenante, incluso antes de construirse las primeras letrinas. En muchos países, la prueba más contundente de que se ha producido un cambio en las normas sociales es la adopción y aplicación genuinas de unas normas de ámbito comunitario que todos los miembros de la comunidad aceptan y que no pueden infringirse sin consecuencias. Otras señales de la adopción de normas sociales que se han detectado en la evaluación son, por ejemplo:

- El apoyo a grupos de mujeres para asegurar el suministro permanente de productos de higiene;
- La puesta en práctica de otras iniciativas de higiene en el seno de la comunidad (por ejemplo, el barrido de las calles, la recogida de basuras, la higiene relacionada con la cocina); y
- La organización de un seguimiento de las letrinas y otras instalaciones de higiene por parte de la comunidad.

El proceso de puesta en marcha de las medidas CATS es generalmente eficaz

En general se reconoce ampliamente la eficacia de la fase desencadenante y la capacidad de las medidas CATS para llevar (o aproximar) rápidamente a las comunidades al estatus ODF. Sin embargo, pese a que la mayoría de los grupos interesados consideran esta fase desencadenante como muy eficaz, existen limitaciones que afectan a su eficiencia general. Por ejemplo, las medidas CATS combaten la defecación al aire libre en las aldeas y sus alrededores, sin tener en cuenta que el problema también existe en los campos circundantes y en granjas familiares, donde las personas pasan muchas horas durante las temporadas de siembra y recolección.

Entre los principales motores del cambio figuran la sensación de repugnancia y el interés y la implicación de las personas influyentes de la comunidad

En la fase desencadenante, los motores del cambio se mantienen constantes de un país a otro y se basan principalmente en la sensación de repugnancia y de shock que las comunidades experimentan cuando descubren la vía de transmisión oro-fecal y cuando comprenden que, básicamente, están ‘comiendo heces’. Esta sensación de repugnancia es de suma importancia durante las primeras etapas del proceso; la ‘energía’ que emana de este shock inicial rápidamente deviene en orgullo por haber actuado para solucionar el problema, y este orgullo a su vez alimenta el proceso continuo de cambio que sigue a la fase desencadenante. El segundo principal motor del cambio es la capacidad de los dignatarios de la comunidad – en determinados países, de manera especial los dirigentes religiosos-- para movilizar a todos los miembros de la comunidad, prestar su apoyo a las iniciativas y velar por la observancia.

Sostenibilidad

La sostenibilidad a largo plazo de las medidas CATS constituye una preocupación importante

Durante la evaluación se reveló como un importante motivo de inquietud la sostenibilidad a largo plazo de los resultados generados por los programas CATS. Sin embargo, valorar hasta qué punto las comunidades y las familias adhieren al estatus ODF y a unos comportamientos de higiene permanentes entraña una serie de dificultades metodológicas. Actualmente existe un desfase entre los sistemas de seguimiento instaurados en la mayoría de los países (que se centran en los productos y emplean indicadores indirectos como el lavado de las manos) y la medida real de la evolución de las normas sociales y de la sostenibilidad a largo plazo.

Los hogares no progresan en la escala del saneamiento

En opinión de los responsables de la aplicación de las medidas CATS y de informantes clave, la principal dificultad que afecta al programa CATS en lo que respecta a la sostenibilidad, es que la atención se centra en exclusiva en el peldaño más ‘bajo’ de la escala del saneamiento. En la evaluación se hallaron muy pocas evidencias de que los hogares que reciben los programas CATS progresen en la ‘escala del saneamiento’ adoptando el uso de instalaciones de saneamiento más sofisticadas después del proceso de certificación. Dado que los programas CATS no son preceptivos en términos de la tecnología empleada, las instalaciones que los hogares construyen son un reflejo de su capacidad de inversión en el momento de la etapa desencadenante. El efecto de los programas CATS consiste por tanto en acortar el proceso de adopción del saneamiento por parte de los hogares, que antes se entendía como un proceso largo, de varias fases y complejo. Rara es la vez, si es que sucede, que las comunidades toman la decisión colectiva de pedir que los hogares progresen por la escala del saneamiento (en lo que concierne a letrinas). Una vez satisfecha la norma con una letrina básica, los hogares suelen encontrarse con que una serie de impedimentos que limitan su capacidad para invertir en unas instalaciones de saneamiento mejores.

Las actividades complementarias son escasas en la actualidad

La evaluación confirmaba que en el periodo que sigue a la obtención la certificación ODF se produce en las comunidades una “erosión natural” de este estatus (medido, por ejemplo, por el porcentaje de hogares que disponen de letrinas y que las utilizan de forma continuada). Esta erosión natural no se debe a una falta general de observancia de la nueva norma social introducida por las medidas CATS, sino que es consecuencia de otras circunstancias, como puedan ser la llegada de nuevos miembros a la comunidad o el deterioro de las letrinas. Esta erosión natural puede considerarse aceptable si el esfuerzo necesario para mantener el estatus ODF a lo largo del tiempo se origina en la propia comunidad (o con muy poco apoyo externo)

El seguimiento y la evaluación de los programas CATS sigue siendo una labor en curso para UNICEF

El seguimiento de la aplicación de las medidas CATS y la integración de los programas CATS en los marcos de seguimiento y evaluación son robustos, con lo que contribuyen a la creación del entorno favorable. Sin embargo, los sistemas nacionales de seguimiento y evaluación carecen de los indicadores

adicionales que se precisan para formular enseñanzas a escala más mundial y para realizar ajustes necesarios (en especial información sobre costes y recursos humanos). Asimismo, se suscitan inquietudes respecto de la recogida de datos en la etapa posterior a la certificación. Por ejemplo, en la mayoría de los países no fue posible valorar la magnitud de los deslices debido a la falta de un seguimiento sistemático de la adhesión continuada al estatus ODF.

Recomendaciones y respuesta de la dirección

Recomendación 1: Continuar lo que da resultados

Como recomendación general, se instó a UNICEF a mantener y ampliar los aspectos de la programación de CATS que están dando buenos resultados. Dignos de especial mención son los aspectos en los que CATS ha innovado y avanzado la práctica de la programación del saneamiento rural. Los ejemplos incluyen la aplicación de CATS a través de los canales gubernamentales donde sea factible, la participación en el nivel de políticas para establecer un medio propicio sólido, la integración de los conceptos relativos a las normas sociales en el diseño e implementación de CATS y el uso de premios no monetarios para la comunidad, basados en el sentimiento de orgullo, a fin de generar una motivación positiva.

Recomendación 2: Revisar y ampliar el modelo estratégico

UNICEF y las partes interesadas de CATS deben revisar su modelo estratégico para tratar algunos de los puntos más deficientes. Tal como se practican en la actualidad, los programas de CATS han mostrado progreso en el establecimiento de un entorno propicio sólido y en la adopción rápida de nuevos comportamientos de saneamiento donde las condiciones son favorables. Con posterioridad, la atención a la sostenibilidad ha sido incompleta en muchos casos. En un enfoque modificado, el modelo estratégico continuará haciendo hincapié en el entorno propicio, pero ampliará los esfuerzos a los contextos más diversos y problemáticos, y hará un nuevo e importante hincapié en asegurar la sostenibilidad de los cambios de comportamiento.

Recomendación 3: Complementar los vacíos técnicos

UNICEF y las partes interesadas de CATS deben revisar ciertos enfoques que han dado lugar a deficiencias técnicas, sobre todo cuando hay problemas de equidad. Las principales preocupaciones técnicas son (a) desarrollar enfoques basados en la comunidad para entornos periurbanos y urbanos y (b) abordar el conjunto de problemas que dificultan la sostenibilidad de las instalaciones de saneamiento y el avance en la escala de saneamiento, especialmente en las zonas rurales más pobres que han sido el principal entorno de aplicación de CATS.

Recomendación 4: Profundizar el entendimiento de las dinámicas sociales subyacentes

UNICEF y las partes interesadas de CATS necesitan refinar aún más su comprensión de cómo aplicar el enfoque en las normas sociales al saneamiento y la higiene. Temas que requieren mayor investigación incluyen cómo aprovechar las oportunidades de difusión espontánea; cómo reafirmar las normas sociales con campañas de comunicación; cómo monitorear la estabilidad de normas sociales. Puede ser necesario impulsar cambios en los aspectos operativos de los programas de CATS y asegurar que el personal sea aún más capacitado en el enfoque de las normas sociales una vez que éste esté mejor comprendido.

Recomendación 5: Mejorar el seguimiento, la investigación y la evaluación

UNICEF y las partes interesadas de CATS necesitan revisar a fondo el seguimiento y enfoque de la evaluación a través de todo el ciclo de programación de CATS. Las esferas que requieren una atención especial incluyen desarrollar aún más los sistemas de seguimiento y evaluación para capturar y demostrar la sostenibilidad de los resultados (en especial en el período posterior a la certificación) y el desarrollo de una iniciativa de aprendizaje para documentar y poner de relieve las buenas prácticas.

La respuesta de la administración a las recomendaciones de la evaluación se hará pública partir de enero de 2015 (véase el anexo 2 para más detalles).

RÉSUMÉ EXÉCUTIF

Contexte et raison d'être

L'UNICEF met en place des activités WASH (eau, assainissement et hygiène) depuis les années 1960, en se concentrant particulièrement sur les zones rurales, les établissements de santé et les écoles.

Traditionnellement, les programmes d'assainissement reposaient sur des approches axées sur l'offre, qui plaçaient les subventions au cœur du processus et le changement des comportements et les normes sociales au second plan. Une évolution majeure s'est opérée il y a 10-15 ans, avec une attention de plus en plus portée sur la demande. Cette tendance a fait émerger un intérêt croissant pour les approches communautaires. Le terme générique de « mesures collectives d'assainissement total » (CATS), officiellement adopté par l'UNICEF en 2008, est employé par les professionnels de l'assainissement pour désigner un large éventail de programmes d'assainissement communautaires. Tous les programmes CATS ont pour objectif commun d'éliminer la défécation à l'air libre; ils reposent sur la demande et le leadership communautaires, sont axés sur le changement comportemental et social, et tournés vers l'innovation locale.

Les mesures CATS peuvent être appliquées via un large choix de méthodes, comme l'assainissement total piloté par la communauté (CLTS, acronyme anglais), l'assainissement total piloté par l'école (SLTS, acronyme anglais) et les campagnes d'assainissement total (TSC, acronyme anglais). Neuf principes essentiels guident les programmes CATS de l'UNICEF :

- L'approche CATS vise à créer des communautés exemptes à 100 pour cent de défécation à l'air libre (Principe 1).
- L'approche CATS est un processus de changement piloté par la communauté qui encourage la participation et l'implication de la communauté (Principes 2 et 3).
- L'approche CATS n'implique pas de subventions directes aux ménages pour construire les latrines (Principe 4).
- L'approche CATS encourage la construction de latrines avec des matériaux locaux, grâce aux compétences de techniciens locaux (Principe 5).
- L'approche CATS implique le renforcement des capacités des animateurs communautaires et des artisans locaux ainsi que la promotion de l'hygiène (Principes 6 et 8).
- L'approche CATS promeut la participation des gouvernements locaux et nationaux dès le départ (Principe 7).
- L'approche CATS est un point d'entrée pour un changement social plus large (Principe 9).

Depuis le développement initial de l'approche CATS, la théorie des normes sociales est de mieux en mieux comprise, ce qui renforce l'importance des programmes appuyant le changement des comportements à l'échelle de la communauté (et même de la société) et tirant profit du rôle essentiel que la pression sociale et les attentes sociales peuvent jouer dans le soutien aux nouveaux comportements en matière d'assainissement. Au moment de l'évaluation (2013), le développement et le lancement des mesures CATS constituait un point crucial. En Asie du Sud, où les programmes CATS sont les plus avancés, certaines initiatives semblables aux mesures CATS fonctionnaient depuis plus de dix ans. Bien que ces programmes soient plus récents en Afrique subsaharienne, ils s'y sont développés rapidement. Au cours des cinq dernières années, de nombreuses parties prenantes se sont engagées dans l'approche d'« assainissement total » ou en ont pris connaissance, et certains pays ont fait des mesures CATS des composantes clés de leur stratégie d'assainissement.

Cette évaluation a été commandée par l'UNICEF afin de faire le point sur les résultats des mesures CATS dans le monde et de permettre une prise de décision basée sur des données factuelles dans le cadre du renforcement des mesures CATS. L'évaluation revenait sur les efforts menés de 2008 à 2012 et étudiait les résultats sous quatre angles :

- L'objectif de réalisation : quels sont les résultats obtenus grâce aux mesures CATS (en matière d'extrants et de réalisations) et quelle est la qualité des données validant ces résultats ?

- L'objectif d'efficacité : quels sont les principaux facteurs sociaux et techniques permettant d'expliquer la réussite ou l'échec des mesures CATS dans le contexte d'un(e) pays/communauté donné(e) ?
- L'objectif d'efficience : quels sont les principaux facteurs d'ordre financier ou de gestion qui maximisent l'efficience/la rentabilité des mesures CATS ? Comment peuvent-ils être optimisés ?
- L'objectif de durabilité : quels sont les principaux facteurs nécessaires à l'échelle du pays/de la communauté pour améliorer la durabilité des nouveaux comportements créés par les mesures CATS ?

L'évaluation s'adresse principalement au personnel de l'UNICEF et aux partenaires des programmes CATS, aux donateurs et plus largement au secteur de l'assainissement.

Méthodologie

L'évaluation a suivi une approche de méthodes mixtes associant des méthodes qualitatives et quantitatives. Au cours d'une phase approfondie de démarrage, les documents existants ont été étudiés, une théorie du changement développée et des instruments d'évaluation élaborés. La phase de collecte des données était axée sur trois outils complémentaires :

D'abord, une enquête en ligne a été développée pour le personnel de l'UNICEF et les autres parties prenantes directement impliquées dans la mise en œuvre des mesures CATS. Plus de 200 sondés ont répondu à l'enquête, représentant 45 pays dans six des principales régions d'intervention de l'UNICEF.

Ensuite, deux webinaires ont été organisés avec la participation du personnel de l'UNICEF concerné par la mise en œuvre des mesures CATS. Les webinaires ont permis des rencontres virtuelles limitées dans le temps et structurées sur des thèmes choisis. Des entretiens semi-directifs ont été menés avec dix spécialistes de l'assainissement non rattachés à l'UNICEF (Voir Annexe 2).

Enfin, cinq pays (Inde, Mauritanie, Mozambique, Népal et Sierra Leone) largement représentatifs du déploiement des mesures CATS dans le monde, ont été sélectionnés pour servir d'études de cas dans le cadre d'une évaluation plus en profondeur de la mise en œuvre des mesures CATS au niveau national. Chaque pays a reçu la visite pendant deux semaines de deux membres de l'équipe d'évaluation ; et des entretiens avec des informateurs clés au niveau national et sous-national, des visites sur le terrain dans les communautés, des ateliers/groupes de discussion et une étude des documents ont été réalisés.

Parmi les limites méthodologiques de l'évaluation figurent l'absence de données de référence et de suivi dans certains contextes, le manque de données dans la documentation secondaire, notamment en ce qui concerne le coût des programmes, les déséquilibres géographiques dans la participation à l'enquête et les difficultés à attribuer les changements observés aux efforts CATS appuyés par l'UNICEF, dans la mesure où de nombreux acteurs sont actifs dans le domaine de l'assainissement. Ces difficultés ont été étudiées et des mesures ont été prises pour les atténuer lorsque cela était possible. Néanmoins, certaines constatations sont plus sûres que d'autres.

En termes d'analyse des données, l'équipe d'évaluation a abordé les résultats du programme CATS sous l'angle de la théorie du changement, en suivant les progrès depuis les intrants du programme jusqu'à l'adoption d'une nouvelle norme sociale (pas de défécation à l'air libre). D'après cette logique, si les neuf principes de base des mesures CATS sont correctement appliqués, les risques suffisamment maîtrisés et un environnement robuste et favorable établi, la nouvelle norme sociale aboutira. Les conclusions de l'évaluation ont été obtenues à partir de la triangulation des constatations issues de différents contextes, de différentes méthodes de collecte des données et de différentes sources.

Constatations et conclusions

Réalisations

Les mesures CATS ont contribué à une baisse rapide de la défécation à l'air libre

Dans les plus de 50 pays où l'approche CATS est mise en œuvre, les mesures CATS ont contribué à une baisse rapide de la défécation à l'air libre et encouragé la construction à grande échelle de latrines. En juin 2013, environ 37 000 communautés, presque exclusivement dans les zones rurales, avaient atteint le statut de collectivité sans défécation à l'air libre (SDAL, ou ODF en anglais) grâce aux mesures CATS, représentant une population d'environ 24 millions de personnes (la plupart se trouvant en Afrique et en Asie du Sud).

La rapidité avec laquelle les mesures CATS ont permis une baisse de la défécation et la construction de latrines a été confirmée par les principales parties prenantes au cours de l'évaluation et constitue une réalisation majeure, source de motivation pour l'UNICEF et ses partenaires.

Les mesures CATS ont contribué à la réorientation du secteur de l'assainissement vers des approches axées sur la demande

L'une des principales caractéristiques de la situation antérieure aux mesures CATS dans la plupart des pays était la prédominance d'approches axées sur l'offre, largement centralisées et lourdement subventionnées. Le changement des comportements était largement ignoré et la défécation à l'air libre n'était pas une priorité. La plupart des programmes d'assainissement fournissaient des latrines gratuites (ou fortement subventionnées) qui ne touchaient au final qu'un nombre limité de foyers.

L'introduction des mesures CATS a mené à un changement de politique important vers des approches axées sur la demande, donnant notamment la priorité à la réduction de la défécation à l'air libre. Les principes CATS sont désormais partagés par la plupart des pays où les mesures CATS ont été déployées, avec un degré relativement élevé d'appropriation à tous les niveaux du gouvernement.

Dans une large mesure, l'UNICEF a fortement contribué à l'alignement des partenaires de développement sur des programmes adhérant à la plupart des principes CATS, notamment l'objectif de réduire la défécation à l'air libre. Cet alignement impliquait en général à la fois une dimension de politique/stratégie (les partenaires appuyaient et adoptaient les politiques de CLTS ou CATS) et une dimension opérationnelle (les partenaires adaptaient les interventions d'assainissement en fonction du contexte).

Les impacts des mesures CATS sont limités dans certaines circonstances

Bien que les mesures CATS aient permis des résultats rapides, l'évaluation a identifié un certain nombre de limites pouvant affecter les programmes CATS, notamment :

- L'approche CATS convient mieux aux contextes ruraux : la rétroaction suggère que la cohésion sociale et un engagement vigoureux sur place des responsables locaux sont des facteurs essentiels de réussite, et qu'ils sont généralement plus problématiques dans les contextes urbains et périurbains. Très peu d'interventions CATS ont été mises en place dans des régions urbaines et périurbaines.
- Les limites de la politique sur les subventions : la mise en place des mesures CATS en présence d'autres programmes d'assainissement subventionnés (dans les communautés voisines ou au sein de la même communauté) s'est avérée être un défi majeur pour l'UNICEF et ses partenaires. Cela est particulièrement vrai dans les pays où le travail sur les politiques et les activités de plaidoyer de l'UNICEF n'ont pas mené à un alignement clair des partenaires derrière CATS et où des subventions directes demeurent disponibles.
- La disponibilité et le prix des matériaux : pour respecter les critères de la certification ODF, il est nécessaire que les communautés ciblées construisent des latrines. La disponibilité et le prix des matériaux nécessaires pour construire des latrines durables peuvent parfois constituer un obstacle majeur. Malgré le recours à des mécanismes de solidarité, dans de nombreuses communautés, certains ménages n'ont simplement pas les moyens de construire des latrines.

- Le manque de capacités et de ressources : les mesures CATS représentent une nouvelle approche dans de nombreux pays, et nécessitent de nombreuses ressources humaines formées ainsi que d'autres ressources. En général, les gouvernements nationaux et locaux des pays ciblés ne disposent pas des ressources ou capacités nécessaires à leur mise en œuvre.

D'après l'évaluation, l'UNICEF et ses partenaires ont agi au cas par cas mais ont relevé ces défis avec succès. Par exemple, là où d'autres programmes basés sur des subventions existent, la stratégie de l'UNICEF est d'être aussi flexible que possible, et d'intensifier le travail pour rendre l'environnement favorable et/ou de cibler les régions où les communautés n'ont pas été récemment exposées aux approches subventionnées.

Efficiences

L'UNICEF a réussi à créer un environnement favorable au développement des mesures CATS

D'après l'équipe d'évaluation, l'UNICEF a été remarquablement efficace dans presque tous les pays pour créer un environnement favorable au développement potentiel des mesures CATS. Les principaux domaines de réussite à cet égard sont notamment :

- Les politiques, la stratégie et la direction : l'important travail de plaidoyer réalisé par l'UNICEF a mené à une réorientation des politiques et stratégies au niveau local et national. Les principes CATS (essentiellement sous la forme de CLTS) ont été intégrés à la majorité des politiques et programmes d'assainissement développés et adoptés depuis 2008.
- Les arrangements institutionnels et partenariats : les arrangements institutionnels et les partenariats ont été essentiels dans le développement d'un environnement favorable aux mesures CATS. L'accent a été mis sur les autorités locales et les partenariats au niveau le plus proche des communautés ciblées. Cela a profondément changé la situation du secteur de l'assainissement. L'UNICEF a également privilégié les partenariats avec des entités non étatiques comme les ONG et les associations religieuses.
- La capacité de mise en œuvre : en ce qui concerne la capacité de mise en œuvre, l'équipe d'évaluation a estimé que l'UNICEF avait fortement contribué aux activités de renforcement des capacités (comme la formation des animateurs et des formateurs), au-delà de ce qui était nécessaire pour mettre en œuvre les programmes CATS financés par l'UNICEF. Cela reflète une approche de développement des capacités nationales plutôt qu'une simple exécution de projet. Le rapide développement des capacités essentielles dans ce secteur a facilité l'adoption des principes CATS par les gouvernements et les autres partenaires.

Alors que l'UNICEF a pris des mesures relatives aux politiques, aux arrangements institutionnels et à la capacité de mise en œuvre dans la plupart des pays, une moins grande importance a été portée à d'autres dimensions liées à la création d'un environnement favorable. C'est notamment le cas pour la participation du secteur privé, les mécanismes de financement et les questions liées à l'offre.

Les programmes CATS sont relativement économiques

Bien que le coût total des interventions CATS soit difficile à mesurer, l'évaluation a révélé que le rapport coût-efficacité était relativement élevé. Par rapport aux approches précédentes, dans l'approche CATS, le coût de mise en œuvre des programmes d'assainissement est transféré de la construction des latrines à une variété d'autres coûts, notamment la formation, le renforcement des capacités et le suivi. Comme le coût de construction des latrines dans le cadre des mesures CATS est supporté par les ménages, l'une des réalisations les plus importantes de l'approche consiste à mobiliser les ressources locales pour l'assainissement. Au final, beaucoup plus de latrines sont construites et utilisées pour beaucoup moins d'investissements gouvernementaux et extérieurs.

Les incitations financières constituent une dimension importante, sans laquelle les programmes ne fonctionneraient pas

Dans tous les pays où des mesures CATS sont mises en œuvre, l'UNICEF suit le principe de ne pas subventionner directement la construction des latrines. Des incitations financières sont cependant utilisées dans de nombreux pays. Par exemple, les programmes CATS couvrent généralement tous les

coûts liés au renforcement des capacités, créant une incitation pour les responsables gouvernementaux, les dirigeants locaux et les autres partenaires. Dans la plupart des pays, l'UNICEF couvre une part importante des coûts supportés par les organismes publics impliqués dans la mise en œuvre ou le suivi, notamment au niveau local et régional. À cet égard, l'approche CATS est typique du partenariat de collaboration de l'UNICEF avec les gouvernements, puisque sans appui financier les programmes ne pourraient fonctionner.

La « diffusion » planifiée et spontanée peut accroître l'efficacité des mesures CATS

L'approche CATS peut souvent s'étendre (ou « se diffuser ») en dehors de la zone géographique initialement ciblée via divers mécanismes de diffusion. De nombreux membres du personnel et partenaires de l'UNICEF ont mentionné le rôle clé joué par les cérémonies de certification dans la diffusion spontanée des mesures CATS, ainsi que le rôle capital joué par les écoles et les enfants. Bien que la diffusion permette une forte contribution à l'efficacité des programmes CATS, elle n'est pas toujours intégrée de manière formelle aux stratégies des programmes.

Efficacité

L'utilisation de la théorie des normes sociales est variable

Tandis qu'un changement dans les normes sociales est inhérent à l'approche CATS, tous les programmes de pays CATS de l'UNICEF ne font pas explicitement référence à une approche des normes sociales. Le processus d'intégration d'une théorie des normes sociales à l'approche CATS n'est pas achevé. Bien que le personnel de l'UNICEF reconnaisse l'importance de la modification des comportements avec les mesures CATS, le langage des « normes sociales » est peu utilisé. Le vocabulaire le plus couramment utilisé est toujours « changement des comportements », qui renvoie au changement de comportement individuel, par opposition au changement de comportement collectif, inhérent à la théorie des « normes sociales ».

Peu de membres du personnel de l'UNICEF ont reçu une formation sur la théorie des normes sociales, ce qui peut susciter des incompréhensions ou des malentendus au sujet de l'influence qu'elle a, ou peut avoir, sur les programmes. Il semblerait que le changement des normes sociales ne figure toujours pas au premier plan dans la réflexion de la plupart du personnel WASH de l'UNICEF (et il n'est en conséquence pas non plus reflété dans la réflexion des partenaires gouvernementaux de l'UNICEF).

Les preuves d'un changement dans les normes sociales après les interventions CATS

Les preuves d'un changement dans les comportements en ce qui concerne la défécation à l'air libre peuvent souvent être observées dès les activités de lancement, même avant la construction des premières latrines. Dans de nombreux pays, la plus forte preuve d'un changement dans les normes sociales est l'adoption et l'application véritables de règles communautaires acceptées par tous les membres de la communauté et ne pouvant être transgressées sans conséquences. Parmi les indications de l'adoption de normes sociales révélées par l'évaluation figurent :

- L'appui aux groupes de femmes pour garantir un approvisionnement permanent de produits d'hygiène;
- La mise en place d'autres initiatives communautaires d'hygiène (par exemple le balayage des rues, le ramassage des ordures, l'hygiène relative à la cuisine); et
- L'organisation du suivi communautaire des latrines et d'autres installations sanitaires.

Le processus de lancement des mesures CATS est généralement efficace

L'efficacité du processus de lancement et la capacité des mesures CATS à amener rapidement la plupart des communautés au statut ODF (ou presque) sont largement reconnues. Néanmoins, alors que le processus de lancement est considéré comme très efficace par la plupart des parties prenantes, il existe des limites à son efficacité globale. Par exemple, puisque les mesures CATS ne luttent contre la défécation à l'air libre qu'à l'intérieur et autour des villages, elles ne tiennent généralement pas compte des pratiques dans les champs environnants ou dans les fermes familiales, où les individus passent beaucoup de temps pendant la saison des plantations et des récoltes.

Parmi les principaux moteurs de changement figurent le dégoût et le choc ainsi que des responsables actifs et impliqués

Au cours de la phase de lancement, les moteurs de changement sont uniformes d'un pays à l'autre et reposent essentiellement sur le dégoût et le choc lorsque les communautés comprennent la voie de transmission orale-fécale de l'infection et le fait que les individus, globalement, « mangent leurs excréments ». Le dégoût est plus important au début du processus; l'« énergie » communautaire libérée par le choc initial est rapidement convertie en fierté d'avoir pris des mesures pour résoudre le problème, et cette fierté alimente le processus continu de changement après son déclenchement. Le pouvoir des responsables communautaires (y compris, dans certains pays, des responsables religieux) sur la mobilisation, l'appui et l'application de mesures par tous les membres de la communauté est le second principal moteur de changement.

Durabilité

La durabilité des mesures CATS à long terme constitue une préoccupation majeure

La durabilité à long terme des résultats catalysés par les mesures CATS est apparue comme une préoccupation importante au cours de l'évaluation. Néanmoins, l'évaluation de la mesure dans laquelle les communautés et les foyers adhèrent au statut ODF et à des comportements hygiéniques à long terme présente un certain nombre de défis méthodologiques. Il existe actuellement un décalage entre les systèmes de suivi en place dans la plupart des pays (axés sur les extrants et ne reposant que sur des indicateurs indirects comme le lavage des mains) et la mesure réelle de l'évolution des normes sociales et de la durabilité à long terme.

Les ménages ne progressent pas sur l'échelle de l'assainissement

D'après les responsables de la mise en place des mesures CATS et les informateurs clés, la principale difficulté rencontrée par l'approche CATS en termes de durabilité est l'attention exclusive portée au « bas » de l'échelle de l'assainissement. D'après l'évaluation, très peu d'éléments montrent que les ménages ciblés par les programmes CATS progressent sur « l'échelle de l'assainissement » en adoptant des installations sanitaires plus sophistiquées suite au processus de certification. Bien que les programmes CATS ne soient pas prescriptifs quant aux technologies utilisées, les installations construites par les ménages reflètent leur capacité d'investissement au moment du lancement. L'effet des programmes CATS est donc d'écourter le processus d'adoption de l'assainissement au niveau du foyer, qui est souvent considéré comme un processus long, à plusieurs étapes et complexe. Les communautés ne prennent que rarement voire jamais la décision collective de demander aux foyers de progresser sur l'échelle de l'assainissement (en ce qui concerne l'installation de latrines). Une fois la nouvelle norme respectée grâce à des latrines de base, les foyers ont souvent tendance à trouver que leur capacité à investir dans de meilleures installations sanitaires est entravée par différents problèmes.

Les activités de suivi sont actuellement rares

L'évaluation a confirmé qu'il existait une « érosion naturelle » du statut ODF dans les communautés au cours de la période suivant la certification (le statut étant évalué, par exemple, par le pourcentage de foyers disposant de latrines et s'en servant véritablement). Cette érosion naturelle n'est pas liée à un manque général d'adhésion à la nouvelle norme sociale créée par les mesures CATS, mais par d'autres facteurs tels que les nouveaux arrivants dans la communauté ou la détérioration des latrines. Cette érosion naturelle peut être considérée comme acceptable si l'effort nécessaire pour maintenir le statut ODF dans le temps provient de la communauté elle-même (ou avec un appui extérieur très léger).

Le suivi et l'évaluation des programmes CATS doit encore progresser pour l'UNICEF

Le suivi de la mise en œuvre des mesures CATS et l'intégration des mesures CATS aux cadres de suivi et d'évaluation sont solides et constituent un appui supplémentaire au développement d'un environnement favorable. Néanmoins, les systèmes nationaux de suivi et d'évaluation manquent d'indicateurs supplémentaires nécessaires pour développer davantage d'enseignements au niveau mondial et effectuer des ajustements (notamment des informations sur les coûts et les ressources humaines). Il existe également des préoccupations quant au recueil des données dans la phase post-certification. Par exemple, dans la plupart des pays il n'était pas possible d'évaluer l'ampleur des dérapages à cause du manque de suivi systématique de l'adhésion continue au statut SDAL.

Recommandations et réponse de la direction

Recommandation 1 : continuer ce qui fonctionne

Comme recommandation générale, l'UNICEF est exhorté à maintenir et transposer à plus grande échelle les aspects de la programmation CATS qui fonctionnent bien. Il convient de mentionner spécialement ces aspects dans lesquels CATS a innové et fait progresser la pratique de la programmation de l'assainissement en milieu rural. Les exemples incluent la mise en œuvre de CATS par la voie du gouvernement là où cela est possible, l'engagement au niveau politique pour construire un cadre favorable, l'intégration de concepts de normes sociales dans la mise au point et l'exécution de CATS et l'utilisation de prix communautaires non monétaires et fondés sur la fierté.

Recommandation 2 : revoir et élargir le modèle stratégique

L'UNICEF et les parties prenantes de CATS doivent revoir leur modèle stratégique afin qu'il adresse les points les plus faibles de CATS. Tel qu'ils sont mis en œuvre à l'heure actuelle, dans la limite des contextes favorables, les programmes CATS ont montré de bons résultats dans l'établissement d'un environnement favorable et dans l'adoption rapide de nouveaux comportements d'assainissement. On n'a souvent pas suffisamment porté attention à la durabilité. Dans une approche modifiée, le modèle stratégique continuerait donc à donner la priorité à un environnement favorable, mais élargirait les efforts déployés dans des contextes plus variés et plus difficiles et insisterait considérablement pour veiller à ce que la modification des comportements se maintienne à long terme.

Recommandation 3 : combler les lacunes techniques

L'UNICEF les parties prenantes de CATS doivent revoir certaines approches qui ont abouti à des lacunes techniques, en particulier là où existent des problèmes d'équité. Les principaux problèmes techniques sont (a) la mise au point d'approches communautaires qui soient adaptées aux environnements péri-urbains et urbains et (b) l'examen d'une série de problèmes qui entravent la pérennisation des installations d'assainissement et la progression sur l'échelle de l'assainissement, en particulier dans les zones rurales les plus pauvres qui ont été les principales zones des CATS.

Recommandation 4 : approfondir la compréhension des dynamiques sociales sous-jacentes

L'UNICEF et les parties prenantes de CATS doivent affiner d'avantage leur compréhension de comment appliquer l'approche des normes sociales aux comportements d'assainissement de d'hygiène. Au rang des questions qui devraient faire l'objet d'une enquête plus approfondie, on note : comment tirer parti des possibilités de diffusion spontanées ? Comment renforcer les nouvelles normes sociales à travers de campagnes de communication ? Comment faire le suivi de la stabilité des nouvelles normes sociales ? Il sera éventuellement nécessaire de modifier la mise en place de changements par rapport aux aspects opérationnels des programmes CATS et de s'assurer que le personnel soit mieux formé sur l'approche des normes sociales, une fois que la question a été mieux comprise.

Recommandation 5 : améliorer le suivi, la recherche et l'évaluation

L'UNICEF et les parties prenantes de CATS doivent examiner attentivement l'approche de suivi et d'évaluation tout au long du cycle de programmation CATS. Les domaines nécessitant une attention particulière comprennent entre autres un développement plus poussé des systèmes de S & E pour capturer et démontrer la durabilité des résultats (en particulier dans la période post-certification) et l'élaboration d'une initiative d'apprentissage pour documenter et mettre en évidence les bonnes pratiques.

La réponse de la direction aux recommandations de l'évaluation sera accessible au public à partir de janvier 2015 (voir annexe 2 pour plus de détails).

1 CONTEXT

1.1 Evaluation rationale

Community Approaches to Total Sanitation (CATS) was officially adopted by UNICEF in 2008 to guide its sanitation programming. CATS represents a major shift away from supply-driven, facility-oriented programmes that target thousands of beneficiaries per country per year towards a demand-driven, community-led approach that targets tens or hundreds of thousands of beneficiaries per country per year.

The development and roll out of CATS is at a crucial point. In South Asia, where CATS programmes are most mature, some CATS-like initiatives have been operating for more than ten years. While scale up is more recent in sub-Saharan Africa, programmes there are spreading quickly. Over the last five years, many stakeholders have been engaging with or are aware of the 'total sanitation' approach and some countries have adopted CATS principles as a key component of their (rural) sanitation strategy.

The UNICEF Executive Board commissioned an evaluation in order to assess the impact to date, to contribute to global learning, and to suggest possible adjustments in the way CATS programmes should be designed and implemented.

The scope of the evaluation was to:

Examine, as systematically and objectively as possible, the effectiveness, efficiency, sustainability and outcomes of the efforts in CATS supported by UNICEF. While it will be based in national and sub-national level experience, it is expressly called upon to deliver global level findings. [...] True impact level results need not be considered or treated in this effort. This effort will focus on issues related to achieving successful implementation at-scale. The main purposes of the evaluation are:

- 1. To enable evidence-based decision-making: to link attained CATS results back to the inputs, activities, and performance by UNICEF and other stakeholders, and thereby to determine any changes needed to make national partners and UNICEF more effective at CATS programming and to guide decisions about scaling up or not of the strategy;*
- 2. To contribute to global learning: to make available to the global communities interested in WASH, Education, and other topics the understanding about effective hygiene programming that will emerge, in order that they may alter the programmes they support in light of the CATS evidence;¹*
- 3. To promote accountability: to verify the accuracy of claims made about CATS performance, and to examine the reliability of data used to assess CATS performance, in order to assure internal and external stakeholders of the accuracy of the evidence that is presented and the efficiency of the program they support.*

The evaluation consultant was asked to examine key questions across four areas (effectiveness, efficiency, sustainability and outcomes).² Compared to a more classic evaluation, the relevance and impact of projects and programmes carried out under the umbrella of CATS were not considered during the evaluation (even if the relevance of CATS is indirectly assessed).³ 'Value for money' was a secondary aspect of the evaluation.

¹ Although hygiene is not a central dimension of CATS and therefore of this evaluation.

² In this report, 'the consultant' refers to the Hydroconseil-ECOPSIS-WEDC consortium, specifically established for the evaluation. The consortium was led by Hydroconseil.

³ There are very few impact assessments of CLTS and CATS programmes. Results from an on-going impact evaluation of CLTS programmes (financed by the Bill and Melinda Gates Foundation in Mali) were not available at the time the evaluation report was completed.

1.2 Key questions

An evaluation matrix was developed by the consultant to re-organize the questions included in the terms of reference and to develop new (more generic) evaluation questions.⁴ For each of the 18 main evaluation questions, the matrix includes a series of sub-questions that were used to guide the development of survey tools. These sub-questions were generated through key informant interviews, the literature review and the consultant's experience. For each question the consultant developed a list of indicators, data sources and collection tools.

Table 1: Main evaluation questions (overview of the matrix)

Overarching questions and objectives of the evaluation
<p>Outcome objective: What are the results achieved by CATS (output and outcome levels) and what is the quality of evidence validating these results?</p> <p>Effectiveness objective: What are the key social and technical factors that can explain the success or failure of CATS in a given country/community context?</p> <p>Efficiency objective: What are the key financial and managerial factors that maximize the efficiency/value-for-money of CATS? How can they be optimized?</p> <p>Sustainability objective: What are the key factors required at country/community levels to improve adherence to new ODF behaviours created by CATS?</p>
1. Design and inputs
<p>To what extent are costs of CATS well documented and predictable?</p> <p>In which ways has UNICEF worked to ensure a satisfactory enabling environment?</p> <p>What are the key elements currently taken into account to define a CATS intervention at country level?</p>
2. Implementation process
<p>What are the financial aspects of CATS and how are they taken into account in the implementation process?</p> <p>How is the M&E framework put in place and managed during implementation?</p> <p>How have CATS interventions been initiated at country, sub-country and community levels?</p> <p>How has the enabling environment been taken into account during implementation?</p> <p>How have CATS interventions been successfully adapted to national/local contexts?</p> <p>To what extent have social norm approaches been used in implementing CATS?</p> <p>How is the sustainability / reinforcement issue taken into account in the CATS process?</p>

⁴ See inception report.

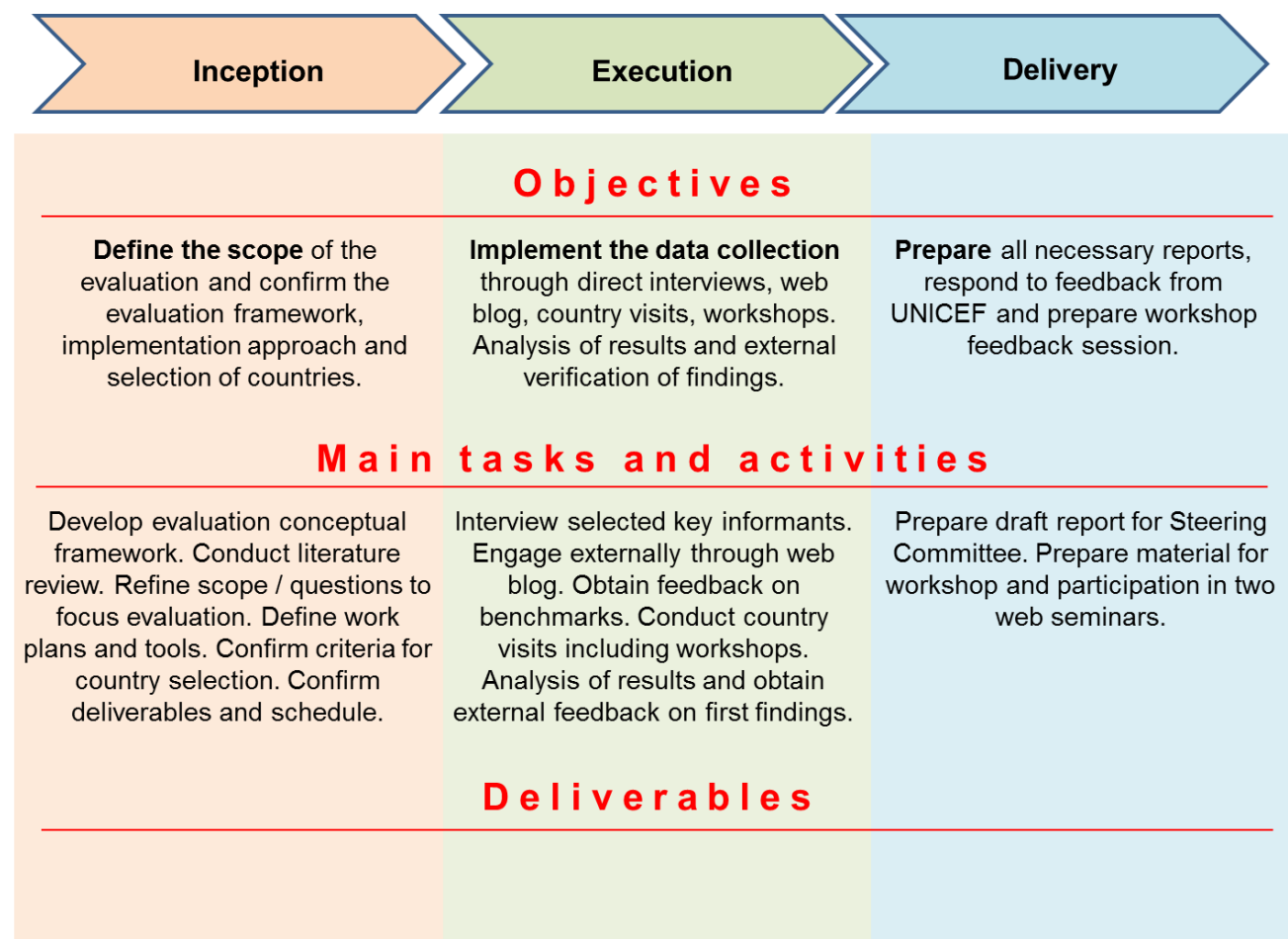
3. Outputs
What is the cost of reaching the different outputs of CATS?
How is CATS data reported to UNICEF nationally and at a global level? What is the basis of the evidence and what is the quality and reliability of the reporting?
What are the main CATS programme achievements and how are they measured?
How sustainable are the main outputs and achievements?
4. Outcomes and sustainability
Under what conditions is CATS efficient and how could this efficiency be improved?
How is post-certification data collected and key indicators monitored in the medium term?
What are the main impacts of CATS interventions (including unintended ones)?
How sustainable are the outcomes? How is sustainability reinforced in the post-certification phase?

1.3 The evaluation process

1.3.1 A three-phase evaluation

As illustrated in Figure 1, the evaluation was organized in three consecutive phases.

Figure 1: Overall organization of the evaluation



Source: Hydroconseil-ECOPSIS-WEDC, Technical proposal to UNICEF (revised).

1.3.2 Inception phase

Given the complex nature of the evaluation, the inception phase was given exceptional attention by the consultant, UNICEF Evaluation Office and the Reference Group⁵. The inception phase included:

- A kick-off visit to UNICEF headquarters;
- Completion of a comprehensive literature review;
- Development of a knowledge base on social norms and the theory of change;
- Semi-structured interviews with key informants;
- Collection of basic data on the implementation of CATS at country level;
- Development of criteria for selecting the countries to be visited; and
- A second visit to UNICEF headquarters following the submission of the draft inception report to review and discuss feedback received by the consultant.

The final version of the inception report was accepted by UNICEF in early May 2013.

1.3.3 Execution phase

According to the methodological approach developed during the inception report, various tools were deployed during the execution phase (May to October 2013):

Online survey

To build a global overview of CATS implementation in various contexts, an online survey was developed for UNICEF staff and others directly involved in CATS implementation. More than 200 respondents completed the survey, representing 45 countries across all six of UNICEF's main intervention regions. Sixty per cent of the respondents were UNICEF staff. Other respondents were from government counterparts, NGO partners and other relevant sector actors.

Webinars

Two webinars were conducted with participation from UNICEF staff involved in CATS implementation. The webinars enabled time-bound and structured virtual meetings on selected topics, including those that appeared to lead to different point of views between countries or individuals.

Country visits

Five countries (India, Mauritania, Mozambique, Nepal and Sierra Leone) were selected as representative of global CATS roll out and served as case studies for a more in-depth assessment of CATS implementation at country level. Each country was visited for two weeks by two members of the evaluation team (with assistance from national consultants). Each visit was prepared in coordination with the UNICEF country office, which assisted with field visits, document collection and mobilization of key partners.

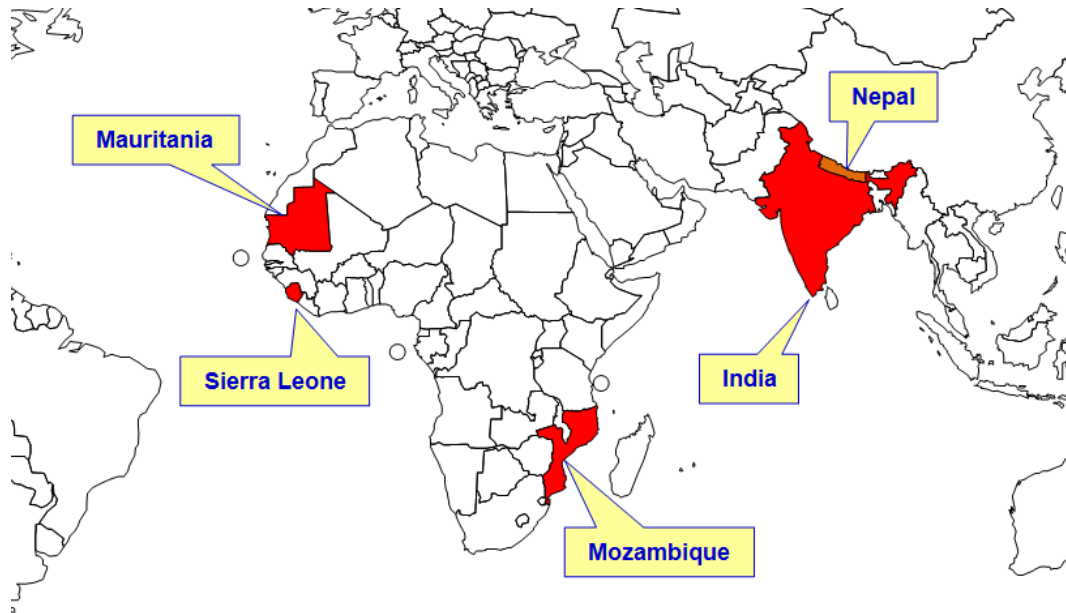
As per the protocol developed by the consultant and approved by UNICEF, the evaluation team used several complementary tools during the country visits:

- Extensive document reviews: All documents related to UNICEF's CATS programmes were collected, as were relevant national documents (e.g. policy and strategy papers, recent evaluations).
- Individual meetings with key partners and stakeholders: The most relevant actors at both the national and sub-national levels were met and interviewed, including government officials, international agencies and non-governmental organizations (NGOs).
- Community field visits: In each country the consultants visited at least five communities targeted by CATS programmes, representing different stages of implementation.

⁵ An expert Reference Group was formed to provide advice during the evaluation. It was made up of individuals from the Bill and Melinda Gates Foundation, the UK Department for International Development (DFID), the World Bank and Plan USA.

- Sub-national workshops: Local officials and implementing partners attended sub-national workshops, providing feedback on their experience with CATS. A significant portion of each workshop was dedicated to group work on specific topics related to the 18 evaluation questions.
- National workshops: National-level meetings were held at the end of each visit. They enabled the consultant to present the early findings of the visit and to have a discussion with national stakeholders to confirm or amend the major findings.

Figure 2: Country visits



Semi-structured interviews

Semi-structured interviews were conducted with non-UNICEF sanitation specialists who had significant experience with CATS or community sanitation. The interviews consisted of guided discussions between one evaluator and one key informant. Ten key informants were interviewed by the consultant, who subsequently conducted an analysis of the main topics and questions raised by the interviewees.

1.4 Methodological limitations

The methodological limitations of each of the tools used are described and discussed in detail in Annex F4. These limitations (summarized in the table below) were discussed with the UNICEF Evaluation Department during various meetings and mitigation measures were taken.⁶

Table 2: Main methodological limitations

Category	Methodological limitations	Mitigation measures
Literature review	Due to the large number of documents collected (180-200), the evaluation team focused on two specific areas: academic literature and the documentation produced by UNICEF. Consequently, the literature review may have missed lessons learned and findings from other organizations that have implemented CATS programmes.	This limitation was addressed by the evaluation team through the semi-structured interviews, online survey and field visits, through which the view of other stakeholders implementing CATS programmes were collected.
Case studies / country selection	Countries were selected for the case studies using a matrix based on information provided by UNICEF. The data used to populate the matrix was provided by UNICEF country offices. In some cases, the data was insufficient or incomplete, which might have affected the final selection.	The evaluation team addressed this limitation throughout the selection process by gathering missing information from other reliable sources whenever possible.
Case studies / methodology	The country visits included an extended visit to a relatively small sample of sites where CATS programmes are being implemented (4 to 5 communities per country), which enabled qualitative data collection and validation. However, it provided no basis for statistical inference. The selection criteria for the field visits were intended to ensure different contexts were covered, but were not intended to create a properly representative or stratified sample.	In addition to the information gathered during the field visits, the evaluation team also obtained general information on CATS programmes from the UNICEF country offices and implementing partners.

⁶ Notably the meeting held in Avignon, France from 7 to 9 October 2013 between the evaluation team, the Evaluation Department and the WASH Section.

Category	Methodological limitations	Mitigation measures
Online survey	<p>1) In a very limited number of cases, questions were misinterpreted by the respondents.</p> <p>2) The online survey was aimed at individuals and was not designed to get an 'organization-wide viewpoint'.</p> <p>3) The survey included more than 50 questions. Some respondents did not answer all questions.</p> <p>4) There is unbalanced geographical representation with regard to the respondents.</p>	<p>1) The data collected through the survey has been used with extreme care. Detailed analysis of complementary questions helped identify any misunderstandings.</p> <p>2) Minor inconsistencies have been identified in specific countries and taken into account.</p> <p>3) The number of respondents for each question has been systematically indicated in the report.</p> <p>4) Data has been systematically disaggregated to ensure the reliability of data.</p>
Webinars	<p>The webinar on social norms was not held in French. Therefore, English-speaking countries are more strongly represented in the qualitative data collected and in the concrete examples provided.</p>	<p>This limitation has been taken into account in the use of webinars as a source of information.</p>
Semi-structured interviews	<p>Due to time constraints, the evaluation team was very careful in the selection of respondents. While it was initially planned that the same template would be used for all interviews, conversation guidelines were actually adapted to the respondent's background / specific area of expertise.</p>	<p>Semi-structured interviews were analysed using qualitative methods. The evaluation team took only recurrent topics into account in the report.</p>

2 HISTORY OF CATS

2.1 The adoption of CATS

2.1.1 UNICEF's historical approach to sanitation

UNICEF has been implementing water, sanitation and hygiene (WASH) activities since the 1960s, with special focus on rural areas, health institutions and schools. In 2004 the WASH sector represented 12 per cent of UNICEF's total expenditures.⁷ Features of UNICEF's pre-CATS interventions in sanitation include the following:

- Significant focus on toilet construction in rural areas, health centres and schools, including the provision of and/or subsidization of construction materials, training of local artisans and masons and the establishment of village-level committees.
- Activities were strongly linked to water supply, with no conceptual framework and objectives specifically related to hygiene and sanitation. Prevalence of open defecation (OD) was not used as a criterion to select beneficiary communities.
- WASH expenditures focused largely on water supply. The number of people benefitting from UNICEF's sanitation interventions (i.e. getting a toilet) was on average in the tens of thousands per year in each country.

2.1.2 The CLTS approach

The Community-Led Total Sanitation (CLTS) approach was pioneered around the turn of the millennium by Kamal Kar and the Village Education Resource Centre (VERC; a local NGO partner of WaterAid Bangladesh) in the Rajshahi district of Bangladesh.⁸ CLTS quickly spread to India, Indonesia and to South Asia in general and then progressively to Africa. The approach was later further conceptualized by Kamal Kar and Robert Chambers, including a set of principles and practices aimed at eradicating open defecation in communities.⁹ CLTS can be defined as follows:

“Community-Led Total Sanitation (CLTS) is an innovative methodology for mobilizing communities to completely eliminate open defecation (OD). Communities are facilitated to conduct their own appraisal and analysis of open defecation (OD) and take their own action to become ODF (open defecation-free). At the heart of CLTS lies the recognition that merely providing toilets does not guarantee their use, nor result in improved sanitation and hygiene. [...] CLTS focuses on the behavioural change needed to ensure real and sustainable improvements – investing in community mobilization instead of hardware, and shifting the focus from toilet construction for individual households to the creation of open defecation-free villages. By raising awareness that as long as even a minority continues to defecate in the open everyone is at risk of disease, CLTS triggers the community's desire for collective change.”¹⁰

2.1.3 UNICEF's adoption of the total sanitation approach

UNICEF started to experiment with CLTS and community-based approaches to sanitation in the years following the adoption of its new global WASH strategy in 2006.¹¹ While the CATS acronym and concept does not explicitly appear in the strategy, it does state that “these approaches will not depend on

⁷ United Nations Children's Fund, *UNICEF Water, sanitation and hygiene strategies for 2006-2015*, E/ICEF/2006/6, November 2005, p 5.

⁸ Community-led Total Sanitation, <<http://www.communityledtotalsanitation.org/page/clts-approach>>, accessed 16 June 2014.

⁹ Kar, Kamal, *Subsidy or Self-Respect? Participatory Total Community Sanitation in Bangladesh*. IDS Working Paper 184, 2003.

¹⁰ Community-led Total Sanitation, <<http://www.communityledtotalsanitation.org/page/clts-approach>>, accessed 16 June 2014.

¹¹ United Nations Children's Fund, *UNICEF Water, sanitation and hygiene strategies for 2006-2015*, E/ICEF/2006/6, November 2005, p. 15.

household subsidies, but rather will encourage community-based approaches for 'total sanitation' that seek to eliminate the practice of open defecation, while enabling the poorest, including female-headed households, to build their toilets without undue duress."¹²

The 2006 strategy expressed concern that sanitation coverage had hardly progressed in the previous decade. Implicit in this observation was that earlier approaches, especially the subsidized construction of household latrines, were not sufficient to reach the Millennium Development Goal (MDG) for sanitation. Providing latrines did not guarantee their use and did not necessarily result in improved sanitation and hygiene. Household subsidies stifled household and community initiative, leading to uneven adoption and fostering problems with long-term sustainability. In addition, continuing open defecation was not addressed in the rest of the community. UNICEF's 2006 strategy was a first step towards a human rights- and community-based approach and away from a supply-driven and subsidy-driven approach.¹³

Figure 3: Old vs. new approaches

Old Approaches	New Approaches
Building toilets	Changing social norms
Individual/family	Social/community
Health message focused	Economic, social, health, disgust
Top-down and externally driven	Community led – Internal, demand driven
Didactic	Participatory – Natural and traditional leaders
Technologies predetermined	Local technologies – Community capacity
Subsidized	Rewards – Pride – Celebration
Don't mention the s*** word	Talk shit – Faeces, poo, kaka, toilets, latrines

Source: UNICEF, 2011, "CATS 101" (PowerPoint presentation).

2.1.4 Towards a new approach – the birth of CATS

Community Approaches to Total Sanitation (CATS) is an umbrella term used by UNICEF sanitation practitioners to encompass a wide range of community-based sanitation programming. All CATS programmes share the goal of eliminating open defecation; they are rooted in community demand and leadership, focused on behaviour and social change, and committed to local innovation. The CATS concept was developed at a UNICEF strategic planning meeting in 2008 that involved UNICEF WASH staff, partners such as the Water and Sanitation Program (WSP), the Bill and Melinda Gates Foundation (BMGF), Plan International, the United States Agency for International Development (USAID) and CARE, as well as key resource persons such as Kamal Kar. The meeting resulted the development of the CATS key principles, which guide UNICEF's sanitation programmes.

¹² United Nations Children's Fund, *UNICEF Water, sanitation and hygiene strategies for 2006-2015*, E/ICEF/2006/6, November 2005, p. 15.

¹³ The 2006-2015 strategy states "shifting responsibilities and resources to lower levels [and strategies] to be guided by a rights-based approach [...] particular attention to be given to capacity building [...] to ensure new services are sustainable [...] including participation by communities and households (especially women and children) in programme/project planning, design, implementation, operation and maintenance [...] and support technologies that are in the means of communities and households to operate and maintain."

Figure 4: The CATS core principles

1	CATS aims to achieve 100 per cent open defecation free communities through affordable, appropriate technology and behaviour change. The emphasis of CATS is the sustainable use of sanitation facilities rather than the construction of infrastructure.
2	CATS depends on broad engagement with diverse members of the community, including households, schools, health centres and traditional leadership structures.
3	Communities lead the change process and use their own capacities to attain their objectives. Their role is central in planning and implementing CATS, taking into account the needs of diverse community members, including vulnerable groups, people with disabilities, and women and girls.
4	Subsidies – whether funds, hardware or other forms – should not be given directly to households. Community rewards, subsidies and incentives are acceptable only where they encourage collective action in support of total sanitation and where they facilitate the sustainable use of sanitation facilities.
5	CATS support communities to determine for themselves what design and materials work best for sanitation infrastructure rather than imposing standards. External agencies provide guidance rather than regulation. Thus, households build toilets based on locally available materials using the skills of local technicians and artisans.
6	CATS focus on building local capacities to enable sustainability. This includes the training of community facilitators and local artisans, and the encouragement of local champions for community-led programmes.
7	Government participation from the outset – at the local and national levels – ensures the effectiveness of CATS and the potential for scaling up.
8	CATS have the greatest impact when they integrate hygiene promotion into programme design. The definition, scope and sequencing of hygiene components should always be based on the local context.
9	CATS are an entry point for social change and a potential catalyst for wider community mobilization (which can include other health and education based interventions).

Source: UNICEF, 2011, *CATS 101 – an introduction*.

CATS can be applied through a wide range of methods, such as Community-Led Total Sanitation (CLTS), School-Led Total Sanitation (SLTS), Total Sanitation Campaigns (TSC) and other methods.¹⁴ SLTS, which combines CLTS with WASH in schools, was pioneered by UNICEF in Nepal in 2006. The approach capitalizes on the leading role that schools play in mobilizing teachers, students and parents in triggering social change within the community. SLTS is different from CLTS as the target group is not the community itself, but all communities within the same school ‘catchment’ area (the link being the children attending the same school). This approach is being implemented in several countries, including Nepal and Sierra Leone.

Total Sanitation Campaigns were pioneered in India and Myanmar and initially had no relationship with CLTS. Total Sanitation refers to the intent to achieve full sanitation coverage in a given area and involves adding national and sub-national communication efforts to CATS in an effort to accelerate country efforts to reach the sanitation MDG. The Government of India renamed their ongoing rural sanitation programme the ‘Total Sanitation Campaign’ in 1999.

¹⁴ UNICEF Evaluation Office, CATS Evaluation Terms of Reference, September 2012.

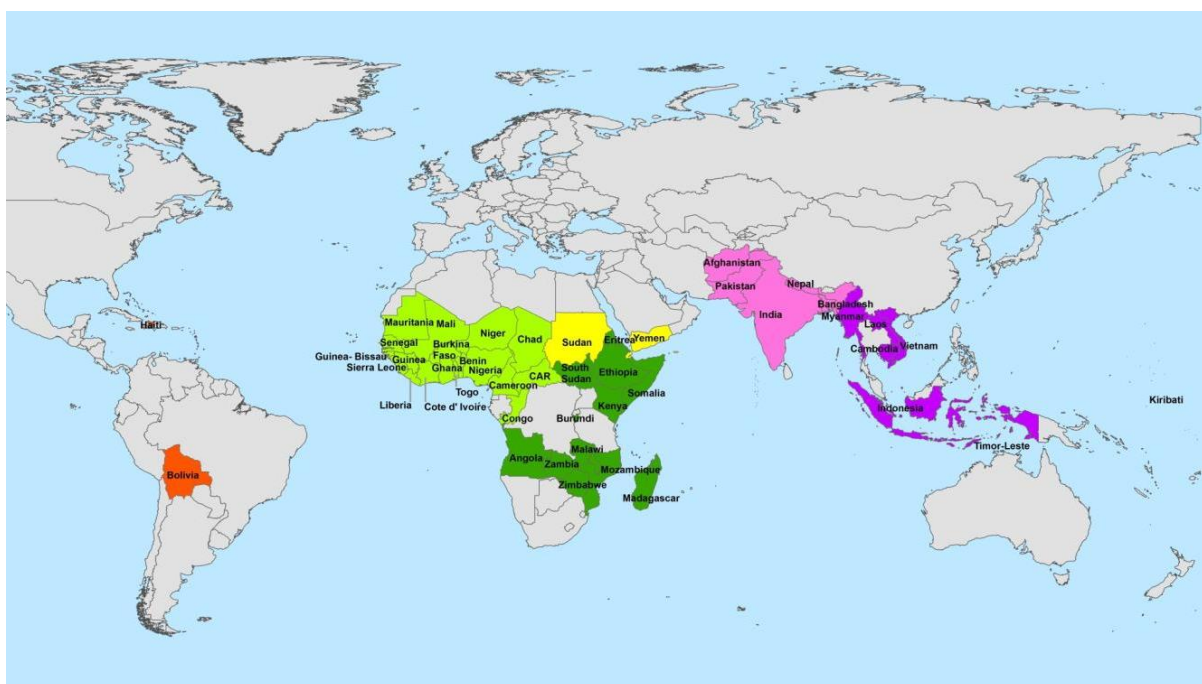
The historical relationship between CATS and CLTS is relatively complex. CATS is based on nine basic principles. Seven of the nine principles of CATS are similar to or identical to CLTS principles. Principle 4 may or may not be identical to CLTS principles, depending on how subsidies are applied in a specific programme. However, the two approaches are different, as CATS encompasses more elements than CLTS and represents a broader approach to the hygiene and sanitation sector. Two principles in particular – one aimed at government buy-in (Principle 7) and one on the integration of hygiene behavioural change (Principle 8) – are additional to CLTS as originally conceived and were perceived by UNICEF as substantial differences between CLTS and CATS. Many other organisations implementing CLTS are now also integrating hygiene components.

At country level, governments and implementing partners do not always establish a clear distinction between CLTS and CATS, as CLTS is the main modality of CATS programmes in the field. Since 2008, UNICEF has gradually become the main implementer of CLTS, demonstrating that it was possible to scale up an approach that was still in a pilot phase, especially in Africa. It is worth mentioning that UNICEF has not tried to 'brand' country-level programmes as CATS, especially where the government has taken a lead role.

2.2 Global progress

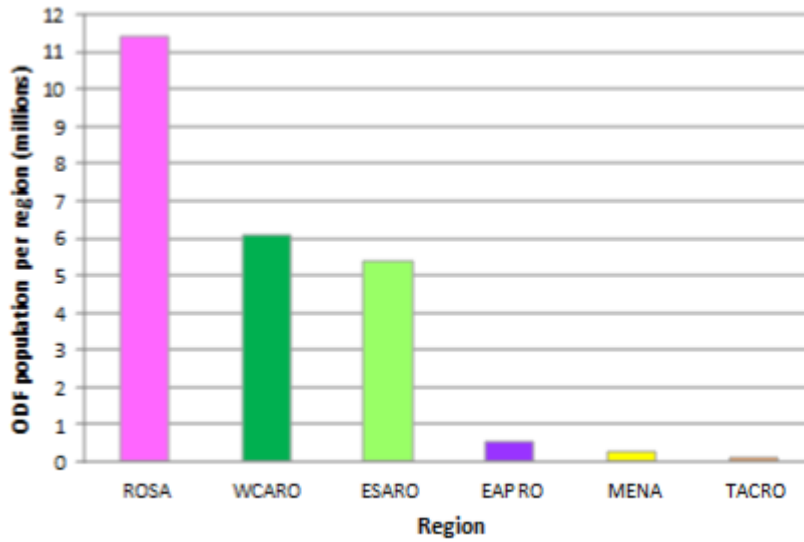
CATS has spread quickly since 2008. As of June 2013, CATS was being rolled out in 53 of the 90 countries where UNICEF WASH programming was taking place. Some 37,000 communities, almost exclusively in rural areas, had reached ODF status through CATS, representing an estimated population of 24 million (with almost all of these living in Africa and South Asia).

Figure 5: Countries where CATS programmes are being supported by UNICEF



Source: UNICEF, June 2013, Third edition of the "Toilet Talk" newsletter.

Figure 6: ODF population per region as a result of CATS intervention



Source: UNICEF, June 2013, Third edition of the “Toilet Talk” newsletter.

Figure 7: Top 10 CATS countries



Source: UNICEF, June 2013, Third edition of the “Toilet Talk” newsletter.

3 CONCEPTUAL FRAMEWORK

3.1 Moving from building toilets to eliminating open defecation

Traditionally, sanitation programmes were based on supply-driven approaches that put subsidies at the centre of the process and placed behaviour change in the background. Rural WASH projects were often the consequence of a national vision to provide all citizens with quality services to support social and economic development. . Considered an essential need for human health and economic development, drinking water was prioritized by these efforts.

However, despite significant progress made on drinking water projects, the entities responsible for the projects and services came to realize that water supply alone does not prevent the development of diseases: sanitation and hygiene is needed. A major change occurred 10-15 years ago with an increased focus on demand, a trend from which emerged a growing interest in community-based approaches.

The International Year of Sanitation brought sanitation back onto the international development agenda in a more significant way. Ending open defecation is now at the very heart of sanitation approaches, not only for UNICEF but also for the whole WASH community. The ‘call for action’ launched by the United Nations Deputy Secretary-General at the 2013 World Water Day (March 2013) provided further momentum: “Ending open defecation is key to fighting poverty and disease while pursuing attainment of the Millennium Development Goals. The call to action aims to focus on improving hygiene, changing social norms, better managing human waste and wastewater, and completely eliminating, by 2025, open defecation, which perpetuates the vicious cycle of disease and poverty.”¹⁵

The impact of ending open defecation is increasingly recognized as a critical factor to reduce morbidity and mortality of children under five.¹⁶ Growing evidence demonstrates the significance of eradicating open defecation – a significance that goes beyond the sanitation sector, with clear contributions to health, nutrition, education, child welfare and early child development, establishing a clear link between CATS and UNICEF’s core mandate.

In the context of the recent evolution of the hygiene and sanitation sector, CATS can be seen in a two-fold way. First, as a move from technically-based, supply-driven approaches towards a focus on behaviour change and demand-driven approaches. Second is the recognition of the centrality of open defecation as a key problem, the solution for which has benefits beyond the sanitation sector.

3.2 CATS as a means of creating a new social norm

3.2.1 Rationale for using a theory of change

A theory of change (ToC) refers to a causal model linking programme inputs and activities to a chain of intended or observed outcomes.¹⁷ While ToC is more commonly used in impact-oriented evaluations, the consultant determined that a ToC would be a useful tool to develop a conceptual framework to better understand CATS, given (1) the complexity of the approach; (2) the fact that CATS is built on a systematic analysis of the way a community can adopt a new behaviour regarding open defecation; and (3) the fact that CATS programming follows a number of steps in a particular order, assuming that a causality chain has been clearly identified and followed during programme design and implementation.

¹⁵ Press conference by Deputy Secretary-General to launch call for action on sanitation ahead of World Water Day, Department of Public Information, News and Media Division, United Nations, New York, 21 March 2013.

¹⁶ So, Jaehyang, ‘Ending open defecation, not by evidence alone’, 4 March 2013, <<http://blogs.worldbank.org/water/ending-open-defecation-not-by-evidence-alone>>, accessed 16 June 2014.

¹⁷ ToC is also referred to as programme theory, programme logic or theory-based evaluation.

3.2.2 How CATS creates a new social norm

Applying a ToC to a CATS intervention asserts that the programme inputs will create a new social norm of no open defecation. This new social norm will bring about and be reinforced by a change in individual and collective preferences, actions, behaviours and enforced formal or informal regulations/sanctions in the community.

The adoption of this new social norm can be measured through the proxy indicator of the core outcome: ODF status both achieved and sustained through family and individual action in a given community.¹⁸ If ODF status is sustained after a given period of time the social norm can be considered 'stabilized'.

For this evaluation, the consultant developed a comprehensive ToC that links inputs with outputs through a 'process of change' (see Figure 8). The ToC also includes the associated requirements of an enabling environment and the management of risks. The theory is that if the nine core principles of CATS are correctly applied, risks are managed sufficiently and a sound enabling environment is established, the new social norm will result (as measured by the existence of an ODF community).

While a change in social norms is implicit to the CATS approach, not all of UNICEF's CATS country programmes explicitly refer to a social norms approach. Further, the theory of change and social norms approach may not be relevant to community members. The evaluation team did not therefore ask community members directly about the adoption of social norms. Evidence of the influence of social norms on expectations within communities was determined through the outcome indicator (ODF status).

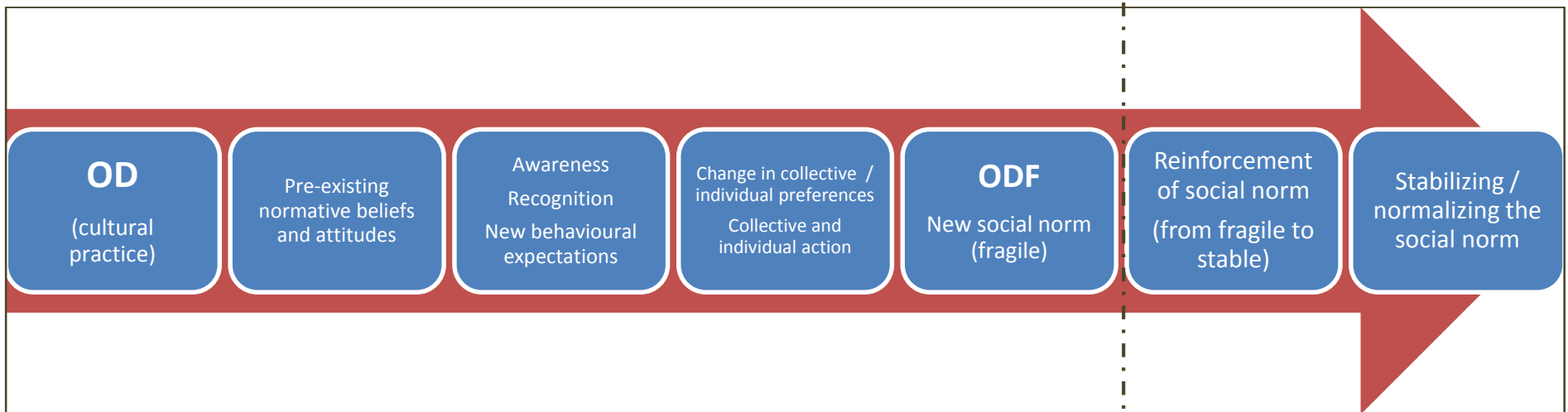
¹⁸ The monitoring of this proxy indicator implies the existence of a shared definition of what the ODF status is (see discussion in Chapter H) and how to monitor it.

Figure 8: CATS as a means to create a new social norm around open defecation (Theory of change)

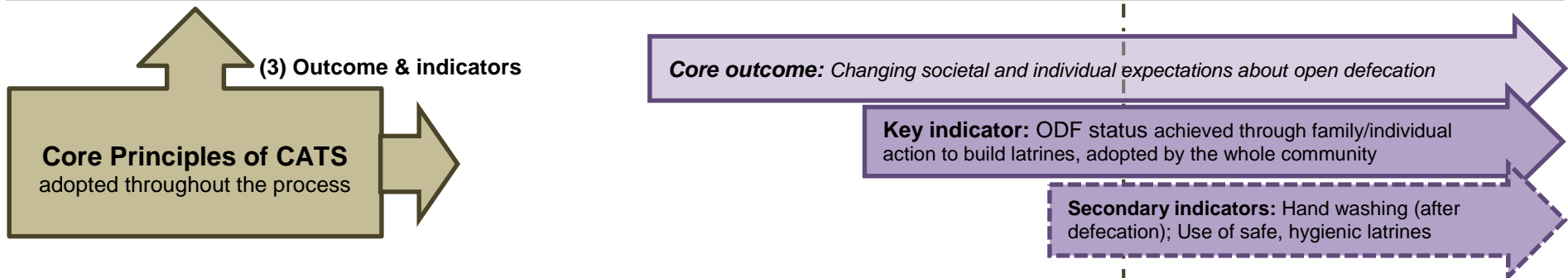
(1) Inputs



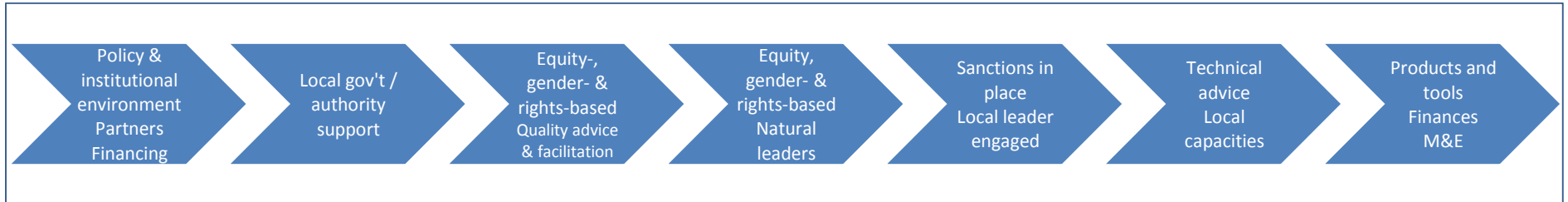
(2) Process of change: achieving a new social norm of ODF



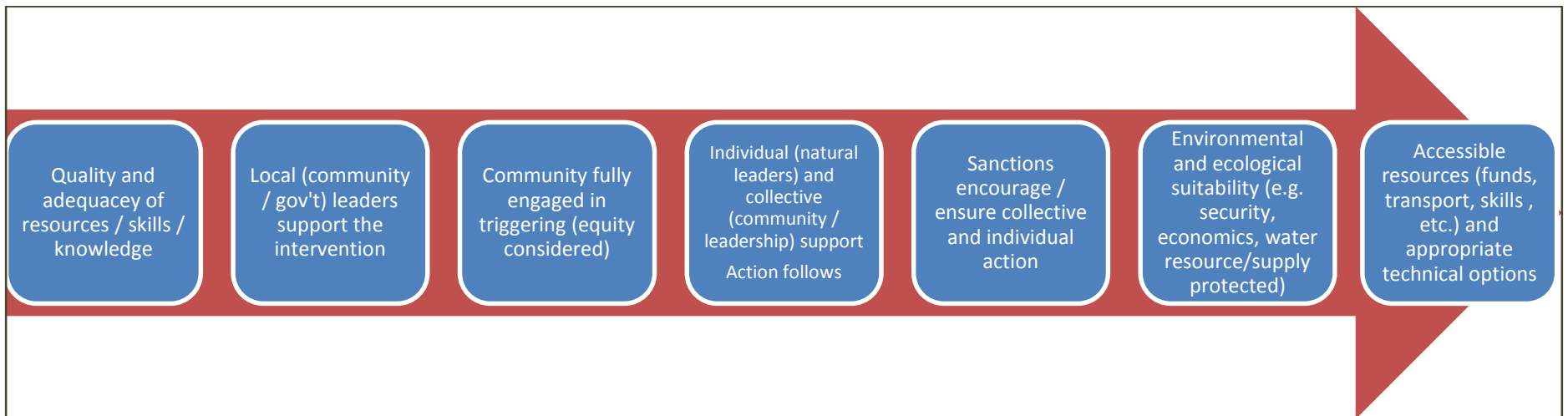
(3) Outcome & indicators



(4) Enabling environment (key aspects), reflecting stages in the process of change



(5) Assumptions and risks (key aspects), reflecting stages in the process of change



4 DIMENSION 1: OUTCOMES

4.1 Achievements

4.1.1 CATS contributed to the rapid achievement of reducing open defecation

Finding #1: CATS successfully achieves speedy and at scale results

- CATS achieves fast results as a whole in reducing OD and encouraging latrine construction
- CATS has gone to scale quickly
- The rapid going to scale is an important source of motivation for partners

This finding covers thematically related material found in sections 4.1.1 and 5.1 of this report.

In the more than 50 countries where CATS is currently being implemented, the evidence led the evaluation team to conclude that CATS contributed to the rapid achievement of reducing open defecation and encouraging the large-scale construction of latrines. Since 2008, 24 million people globally have abandoned open defecation as a direct result of CATS.¹⁹ The results achieved in Mauritania, Sierra Leone and Nepal are illustrative of global progress:

- Mauritania: The CATS programme began in 2011 after a brief pilot project. As of July 2013, more than 1,500 villages had been triggered and 1,113 had been declared ODF (out of a total of 5,540 villages in the country). The certification of more than 20 per cent of villages as ODF within three years is a remarkable achievement.
- Sierra Leone: As of August 2013 the UNICEF CATS programme covered six of the 12 predominantly rural districts in the country.²⁰ At the time 55 per cent of the 6,212 target communities had been ODF certified, a result attained after only three years of CATS implementation.
- Nepal: As a consequence of the introduction of CATS (mainly SLTS), 748 village development committees and six municipalities had been declared ODF as of March 2013. Five districts (Kaski, Chitwan, Tanahun, Myagdi and Pyauthan) have achieved 100 per cent sanitation coverage and have been declared ODF.

These positive results were further confirmed by the online survey in which 51 per cent of the respondents indicated that ODF status had been achieved in more than 50 per cent of the triggered communities within 6 months of triggering.

The rapidity of CATS in achieving a reduction of open defecation and the construction of latrines was confirmed by all key stakeholders (including the governments) during the evaluation and constitutes a major achievement, providing an important source of motivation for UNICEF and its partners.

4.1.2 CATS contributed to the re-orientation of governments and policies toward demand-led approaches

Finding #2: A high level policy alignment behind CATS has been achieved in most settings

- CATS advocacy is leading to major WASH sector policy shifts away from centralised supply side approaches, but not in all countries
- UNICEF has played a “very significant role” in this shift

¹⁹ UNICEF newsletter “Toilet Talk”, June 2013.

²⁰ Other development agencies cover the six remaining districts.

- “UNICEF has been remarkably successful in almost all countries at creating an enabling environment for potential scaling up”.
- Strategic partners accept most of the CATS principles within this shift
- Alignment must go beyond sectoral partners, but needs to be seen in political willingness to recognise OD as a major issue
- Partner alignment is seen at both the policy and the operational levels
- At a strategic level CATS shows flexibility in overall approach and partner inclusion and management; these are important success factors

This finding covers thematically related material found in sections 4.1.2, 4.1.3, 4.4.2 and 5.1 of this report.

One of the main features of the pre-CATS situation in most countries was the predominance of supply-oriented, largely centralized and heavily subsidized approaches. This was especially true in Africa, where prior to 2006 CLTS programmes were implemented on a small scale only. Typically, little national attention was given to sanitation initiatives and sanitation activities were implemented as components of water-oriented programmes.²¹ Behaviour change was largely ignored and open defecation was not a priority. Most sanitation programmes focused on providing free (or highly subsidized) latrines to a limited number of households.

The introduction of CATS has led to a significant policy shift towards demand-led approaches, including prioritizing the reduction of open defecation. It is widely recognized by partners that the intensive advocacy work that accompanied the first CATS pilot projects led to these policy shifts and that UNICEF played a very significant role in convincing and enabling governments to make this shift. In many countries, CLTS (or the total sanitation / community-based approach in general) is now the dominant (or only) rural sanitation strategy (although there remain competing models at implementation level).²²

4.1.3 CATS contributed to the alignment of partners towards reducing open defecation

To a large extent, UNICEF has succeeded in aligning development partners towards programmes that adhere to most of the CATS principles, including the focus on reduction of open defecation. This alignment typically involved both a policy/strategy dimension (partners supporting and adopting CLTS or CATS policies) and an operational dimension (partners adapting sanitation interventions accordingly). In Mauritania UNICEF was able to convince the government to re-align two major sanitation programmes (one funded by the French Development Agency and the EU and the other one funded by the AfDB) which were in the appraisal phase when CATS was introduced in the country and which did not initially plan to follow CATS principles. To achieve the ‘realignment’ both the policy/advocacy efforts and the flexibility of CATS in terms of principles played an important role. As a result, CATS (or CATS-compatible programmes) are currently being implemented across the entire country. Alignment efforts were also successful in Nepal where UNICEF was able to convince the government to adopt CATS principles and improve coordination in the sanitation sector.

²¹ African Ministers' Council on Water (AMCOW), *Can Africa afford to miss the sanitation MDGs?*, 2008. See also WEDC-HYDROCONSEIL for EUWI Africa, *Mapping EU Support for Sanitation in Africa*, 2010, where ODA towards sanitation is estimated at 35 per cent of total ODA flows for water and sanitation and even less if considering only basic sanitation.

²² During the inception phase basic data were collected and compiled on 56 countries where CATS programmes were active. For 37 countries reliable information was provided regarding the integration of CATS principles in the national policy/strategy. In those 37 countries, CATS principles were considered as partially or fully integrated in the national policy/strategy in 27 (73 per cent) of them.

4.1.4 CATS contributed to a broadening of the sanitation field, including a central role for children

Finding #3: CATS is successfully innovating in certain programmatic aspects

- CATS is innovating with respect to implementation
- One example is cross-sectoral links with health et al
- A second example is SLTS and the role of children

This finding covers thematically related material found in sections 4.1.4, 5.5.1 and 6.3.3 of this report.

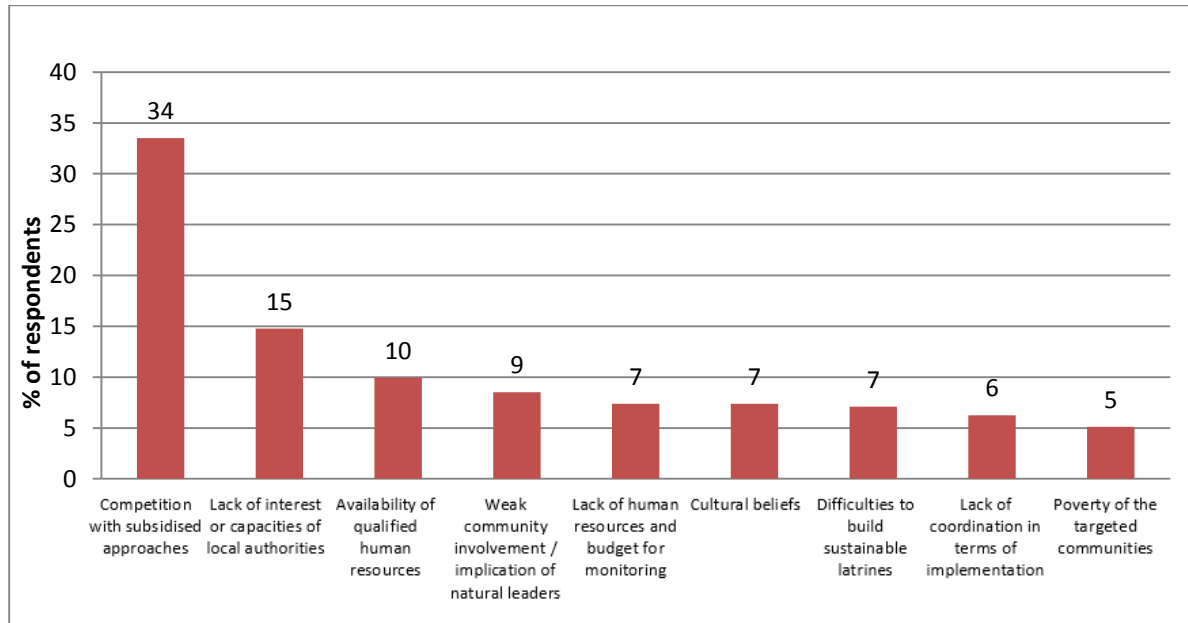
An important achievement of CATS programmes has been to promote a new way of looking at rural hygiene and sanitation, putting less emphasis on hardware (toilets, etc.) and introducing new issues such as hygiene-related behaviour and open defecation. As a result, the sanitation sector is now much more connected to the health and education sectors.

In most CATS programmes children play an important role, both in the triggering process and in post-triggering follow-up. This is especially true in programmes where schools are the main entry points to promote total sanitation to the community, as in the case of the Nepal CATS programme. CATS contributed to the innovation that children should be included in sanitation initiatives and that WASH interventions should be systematically linked to schools.

4.2 Constraints

While CATS have been able to deliver rapid results, the evaluation identified a number of implementation constraints. Some constraints are purely operational. Others are linked to the enabling environment, especially when CATS are not understood properly and/or perceived as going against the mainstream approach.

Figure 9: Constraints experienced during CATS implementation



Source: Online survey, question 10. Methodological note: after content analysis similar answers have been regrouped by category. Only the most significant answers (indicated by more than 5 per cent of the respondents) are shown.

4.2.1 An approach best suited to rural contexts

Finding #4: CATS is better suited to certain social contexts but not exclusively so

- CATS performs better in rural and cohesive social contexts
- CATS can be surprisingly robust even in social environments with many potential cleavages (e.g. caste, class gender).

This finding covers thematically related material found in sections 4.2.1 and 6.2.3 of this report.

The evaluation confirmed that CATS is an approach that is well adapted to rural areas in general and small rural communities in particular (although feedback from field-level implementers suggests that success is more related to the type of community and its social cohesion than to the population size per se). There are very few cases of CATS interventions implemented in urban and peri-urban areas. According to implementers, the main reason for the inadequacy of CATS in urban and peri-urban contexts is the lack of strong traditional leadership. Survey participants highlighted higher levels of mobility, knowledge and exposure to sanitation messages within the households as additional factors that affect success in urban and peri-urban areas.

4.2.2 The limits of the policy on subsidies

Finding #5: Subsidized latrine programmes can be a constraint on CATS unless carefully managed

- Subsidized latrine programmes in general are a constraint on CATS expansion and on harmonization of approaches across the sector
- Nonetheless (per India) major elements of the CATS principles can be integrated into a subsidized approach, with positive effects on overcoming supply chain problems and allowing poor families to afford better quality latrines.

This finding covers thematically related material found in sections 4.2.2, 5.1.1, and 5.1.4

The implementation of CATS in the presence of other (non-UNICEF) subsidized sanitation programmes (either in neighbouring communities or within the same community) has proven to be a major challenge for UNICEF and its partners. This is especially true in countries where UNICEF's policy/advocacy work has not led to a clear alignment of partners behind CLTS/CATS and where direct subsidies remain predominant.²³

The results of evaluation workshops held during the country visits in Africa indicate that in countries where competing approaches still coexist, UNICEF's strategy is to be as flexible as possible, and to intensify work on the enabling environment and/or to target areas where communities have not been recently exposed to subsidized approaches.

Progress in India, where the national sanitation programme has used a subsidy-based approach for decades, shows that it is possible to instil CATS principles into an overall subsidized framework. The constraint is more difficult to overcome where there exists a 'patchwork' of approaches within a country.

²³ For instance in Senegal and Burkina Faso.

4.2.3 Availability and affordability of materials

Finding #6: Geology and weather impose important constraints that continue to pose technical design challenges

- Remoteness and poor hydro-geological conditions can be major constraints on CATS success
- Poor conditions combined with no subsidies leads to communities often being excluded from programmes or being abandoned after a first unsuccessful attempt
- More work on technical standards and a targeted subsidy policy will be necessary

This finding covers thematically related material found in sections 4.2.3, 4.4.3, and 5.1.4

In order to meet the ODF certification criteria, it is necessary for targeted communities to build latrines of some sort. In the absence of subsidies or direct support to households for the construction of facilities, the availability and affordability of materials required to construct durable latrines can be a major constraint. Despite the use of solidarity mechanisms, in many communities there are some households who simply cannot afford to build a latrine. This phenomenon is especially prevalent in contexts where building latrines requires digging in rocky or sandy soil. It is also exacerbated where extreme seasonal weather renders simple structures inadequate.

4.2.4 Lack of capacity and resources

Finding #7: Ensuring sufficient capacity of national implementers is a critical determinant of programme success

- Introducing and scaling up CATS requires major investments, especially in human resources/training/organizational capacity.
- Many governments have human resource constraints at different levels
- Building national capacity is a primary means to overcome constraints
- UNICEF and partners have been good at creating this implementation capacity in most places, but not everywhere

This finding covers thematically related material found in sections 4.2.4, 4.3, 5.1.3, 5.5.1, and 5.5.2

CATS (and especially CLTS, which is the dominant operational methodology for implementing CATS) represents a new approach in many countries, requiring a substantial amount of specialized training to create the required human and institutional capacity (a good proxy of the required capacity is the number of trainers and facilitators trained at the national level, but it can also be expressed in terms of hygiene specialists, social mobilization and communication experts, M&E experts, etc.).

Implementing CATS also requires substantial resources, both human and financial, and can be a logistical challenge, especially in low-density or hard-to-reach areas. In general national and local governments in target countries do not have the resources or capacity necessary for implementation. This constraint was highlighted by a majority of the respondents to the online survey.

This challenge is very acute in India, where despite the strong commitment of the government, CATS programmes have significant difficulties coping with population growth and inadequate resources.

4.3 The flexibility of CATS in overcoming implementation constraints

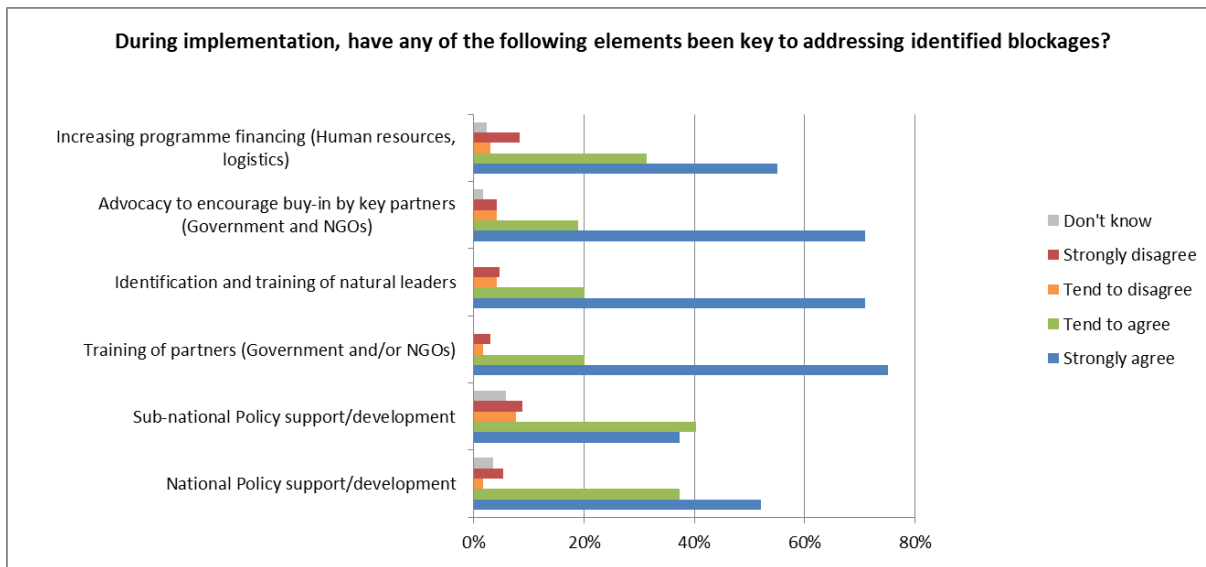
Finding #8: CATS programmes demonstrate operational flexibility, which has helped them adapt to the specific circumstances of diverse settings

- CATS programmes have been flexible in overcoming implementation constraints.
- A diversity of partnerships, leading organisations, and institutional arrangements allow adaptation to national contexts.
- Triggering has been adjusted from CLTS principles in some instances, e.g. to fit better into African cultures.

This finding covers thematically related material found in sections 4.3, 5.5.1, and 6.2.1

CATS is a flexible approach by nature. At country level, UNICEF teams and their implementing partners respond to constraints through a number of corrective actions. As shown in Figure 10, training and capacity building are particularly important in overcoming constraints.

Figure 10: Corrective actions taken to address constraints



Source: Online survey, question 20.

It is interesting to make a distinction between the constraints that UNICEF has been able to successfully address (such as the skills and capacities of local authorities, national governments and implementing entities) and those that are beyond UNICEF’s control (such as the financial resources that national and local governments can dedicate to CATS). Another interpretation of Figure 10 is that policy and resources are less important in overcoming constraints during the implementation phase (as they should already have been addressed in the advocacy and design phases).

4.4 Criteria for success

Finding #9: It is possible to predict if CATS will succeed in the community from readily identifiable indicators, and to make adjustments or withdraw if the risk factors are present.

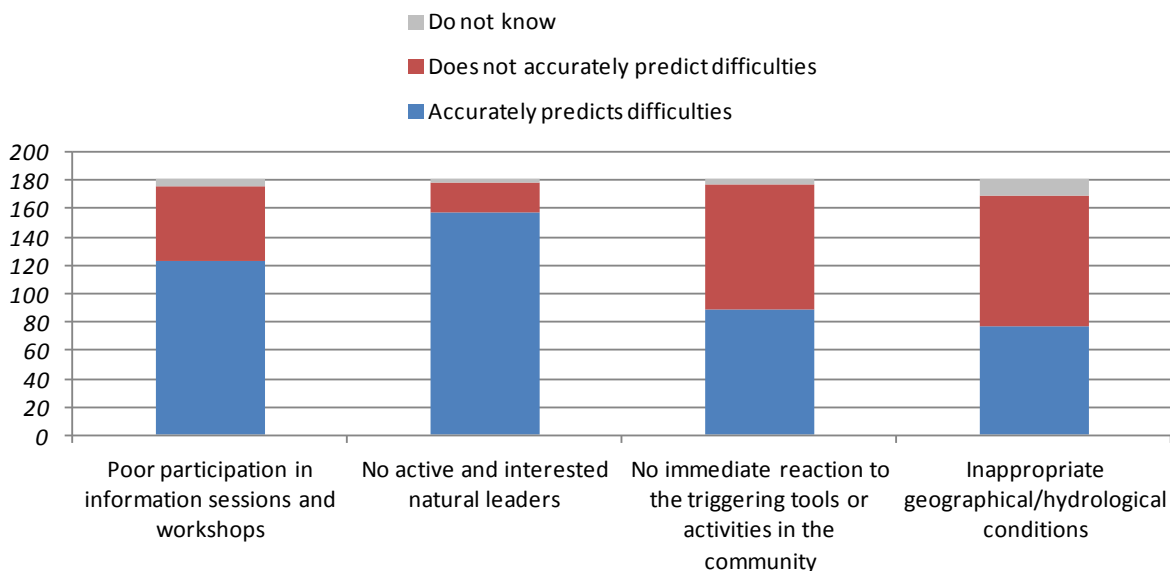
- Successful implementation is dependent on proper application of the known critical steps [pre-triggering, triggering, leaders, group decision/bylaws, monitoring]
- The success factors appear to be those predicted by and planned for by CATS - e.g. natural leaders, community cohesion mechanisms.
- CATS conceptual understanding of this element of the process is very strong

This finding covers thematically related material found in sections 4.4. 6.2 and 6.3

Determining the criteria that can help predict the success of CATS is a complex issue, as myriad factors affect the outcomes of the approach. The evaluation found that important criteria include the enabling environment and factors linked to community mobilization and cohesion (i.e. interest and commitment of natural leaders; level of community participation in triggering events). Geographic and physical conditions were regarded as less important factors.

Figure 11: Predictors of success (community level)

In your experience, are any of the following factors accurate predictors that the CATS effort in the community will not succeed?



Source: Online survey, question 18

4.4.1 Implementation factors

According to CATS implementers, the main criteria for success during implementation include:²⁴

²⁴ The criteria were spontaneously listed by participants during the webinars.

- Quality of triggering: The tools and actions used to trigger the target community can vary considerably in terms of quality, depending on the agency implementing the CATS programme.²⁵
- Involvement of local leaders: The quality and commitment of local leaders (i.e. chiefs, mayors, 'natural leaders', heads of health committees, school administrators, etc.) is a very important factor.²⁶ Implementers observed that CATS can fail when local leadership is either weak or fragmented.
- Enforcement: The effective enforcement of community by-laws (both formal and informal) related to the obligation to build a latrine or to end open defecation practices is an important factor.
- Monitoring: Effective and on-going monitoring of household behaviour by local/natural leaders, WASH committees and local authorities / implementing partners is also an important factor. This factor is recognized as one of the most challenging, as resources are often a constraint.

4.4.2 Enabling environment

Finding #10: Involving sub-national authorities is a key success factor

- Sub-national authorities often have a better understanding of programme realities than the central level, which is often under-informed because of an absence of systematic learning approaches
- CATS has been very successful in stimulating this involvement

This finding covers thematically related material found in sections 4.4.2, 5.1.2 and 5.5.2

Strong political commitment and oversight at the national level is crucial to the success of CATS programmes. Especially important is willingness among decision-makers to recognize open defecation as an important issue and to make its elimination the primary objective of sanitation interventions. Despite the substantial and continuous advocacy work undertaken by UNICEF and its partners, this point has proven difficult in a few countries where governments are reluctant to question their current approaches.

Involvement of local authorities another key element of the enabling environment, one that CATS programmes have been successfully managing in all countries. This involvement goes beyond simple support, as local officials are systematically involved in all phases of CATS (including the selection of communities, triggering events and certification).

In a few countries (e.g. Mozambique and Mauritania), a gap has been observed between the local and national governments, with local levels of government showing a better understanding of the complexities of CATS implementation. In some cases, the national level has no clear mechanism to systematically learn from experience built at the local level. In countries like India, where the constitution decentralizes authority for sanitation to the local level, the gap between central and local levels is less significant than in more centralized countries.

4.4.3 Environmental/geographic conditions

Local environmental and geographic conditions can affect the success of CATS interventions. Adherence to the core principle of not providing direct subsidies for the construction of latrines can make it very difficult for households to build latrines at a reasonable cost in flood-prone areas, in rocky or sandy soil and in areas where the water table is too high. During the early deployment of CATS in a country or

²⁵ This was clearly established in the "Roll-out evaluation of CLTS in West and Central Africa", 2011.

²⁶ A comprehensive definition of a 'natural leader' can for instance be found in Kamal Kar, 2010, Workshops for CLTS, A Trainer's training guide, WSSCC / CLTS Foundation: "Natural Leaders are the ones who emerge spontaneously during the process of triggering and post-triggering stages. These are the people who take the lead role in cleaning up the community and in ending OD, as they best understand the meaninglessness of constructing a few more latrines rather than eradicating OD. They are the ones who really get charged up from the entire process, want to stop OD with immediate effect and jump into action, involving the community / neighbourhood in eradicating the practice. They could be schoolboys or girls, young men or women, elderly people, religious leaders or formal/informal leaders of the village or community. Often these Natural Leaders don't stop after the community achieves ODF status but carry on with their efforts, addressing other common needs of the community like food security, livelihoods, education or protection from natural calamities."

region, these areas are often excluded and communities are not triggered or are abandoned after a first unsuccessful attempt (this has been the case in areas of Mali, Mauritania and Mozambique). The evaluation found that many implementers believe that improvements in technical standards, together with targeted subsidies, are needed to help reach households in such areas.

Geographic constraints are also faced in large, highly populated countries (e.g. Nigeria) as well as in particularly remote and sparsely populated areas (e.g. Mauritania and parts of Mali, Niger and many other countries). In the former, the limiting factor is the vast amount of financing required for scale up; in the latter it is the high marginal cost of reaching remote communities.

4.5 Unintended or unexpected outcomes

4.5.1 Positive outcomes

During the evaluation, all stakeholders asserted their belief in the positive impact of CATS programmes on the health status of targeted communities. However, there is very little hard evidence to support a direct impact of ODF on the health of the population. Existing CATS M&E systems generally do not include health indicators through which impact can be assessed.²⁷ While a number of scientific studies on the relationship between health and sanitation are ongoing, thus far very few cases are properly documented in the literature.²⁸

Significantly, target communities are reported as having gained greater confidence in talking about sanitation-related topics, which is supported by an increase in collective awareness of the issues. Related to this is the sense that communities increasingly understand the link between WASH activities (including water supply) and health outcomes.

A commonly documented unintended outcome of CATS is the empowerment of women and children as they play a major role in the implementation of CATS in general and social mobilization efforts in particular. This is especially true when SLTS is a component of the CATS intervention.

²⁷ In Mauritania, the CATS pilot project (in the Trarza region) was conducted by the Ministry of Health at a time when the ministry in charge of water and sanitation was reluctant to experiment with non-subsidized approaches. The evaluation report of the pilot project states that “between 2008 and 2009 [the pilot was implemented in 2008] the prevalence of diarrhea dropped by 36.4 per cent in only one year. Other factors probably need to be taken into consideration, but it seems clear that CLTS contributed significantly to this evolution”. In India an assessment of the recipients of the total sanitation award conducted in 2011 by the Ministry of Drinking Water and Sanitation also showed decline of water-borne diseases as well as “impressive reduction of maternal mortality”.

²⁸ As an example of the few references found in the literature, see Dean Spears, *Sanitation and open defecation explain international variation in children’s height: Evidence from 140 nationally representative household surveys, 2012* and Dean Spears, *The nutritional value of toilets: How much international variation in child height can sanitation explain?*, 2013, where the author states that “The number of people defecating in the open per square kilometre linearly explains 65 per cent of international variation in child height.”

The impact on women of the social mobilization processes triggered by CATS activities in Bondaguda village (Simliguda block, Koraput district, Odisha state, India)

In Bondaguda village, the CATS-related social mobilization processes led to the reorganization of women's groups and helped solve water problems in the community. Situated at the top of a hillock, water scarcity had always been a problem for the village and it was the women who had the arduous chore of fetching water. Now, every house in the village has a rooftop rainwater harvesting structure.

In addition, there was a place in the village where, until recently, women were not permitted to climb and sit on the dais. However, as a result of the women's groups leading the sanitation work [CATS] in the village, they have been able to break this tradition, which is a major achievement. They can now organize their own meetings and address the outsiders sitting on the dais. Moreover, the women's groups have successfully banned the consumption of liquor in the village.

Adapted from the CATS evaluation India case study, pages 20-21.

Improved physical safety was often mentioned during community focus groups. The fact that people no longer have to go into the bush to defecate is recognized as reducing the risk of violence against women and minimizing the risk of encountering snakes and other animals.

4.5.2 Negative outcomes

Finding #11: Equity issues are found in CATS programmes, especially when the poorest of the poor cannot afford the building materials

- Social exclusion is a theoretical outcome of by-laws when the poor cannot afford to build, but this has not been observed in practice
- Micro-financing options have been created and are successful in supporting latrine ownership by the poor but do not seem to be taken to scale anywhere
- Rationale for geographic targeting of CATS programmes is strong, including for reasons of reducing equity imbalances

This finding covers thematically related material found in sections 4.2.3, 4.5.2, and 5.1.4.

One unintended negative impact of CATS could be that families who are resistant to adopt ODF status may become excluded (banished or subject to penalties) from their community where the rules around latrine construction and open defecation are strictly enforced. While this was systematically mentioned by practitioners during the country case study workshops (especially at local level), the evaluation found no evidence that families have actually been excluded from their community. More generally, there is no evidence that extreme exclusion phenomenon documented in recent publications occurred in communities targeted by CATS programmes.²⁹

Only eight per cent of respondents to the online survey mentioned negative outcomes as a result of CATS implementation (72 per cent were certain there were no negative outcomes and 20 per cent responded that they 'did not know'). In nine countries a number of respondents indicated the existence of negative outcomes but were unable to provide a specific example.³⁰ Further investigation would be required to determine the exact nature of these negative outcomes.

²⁹ Bartram, J., et al., Comment on community-led total sanitation and human rights: should the right to community-wide health be won at the cost of individual rights?, *Journal of Water and Health*, 10(4), 2012, pp. 499-503.

³⁰ Afghanistan, Bolivia, Burundi, Ghana, Haiti, Malawi, Pakistan, South Sudan, Solomon Islands and Zambia.

5 DIMENSION 2: EFFICIENCY

5.1 UNICEF's contribution to create an enabling environment for CATS scale up

Finding #12: The factors to successfully scale up CATS have been identified but not all are being fully addressed in CATS programming

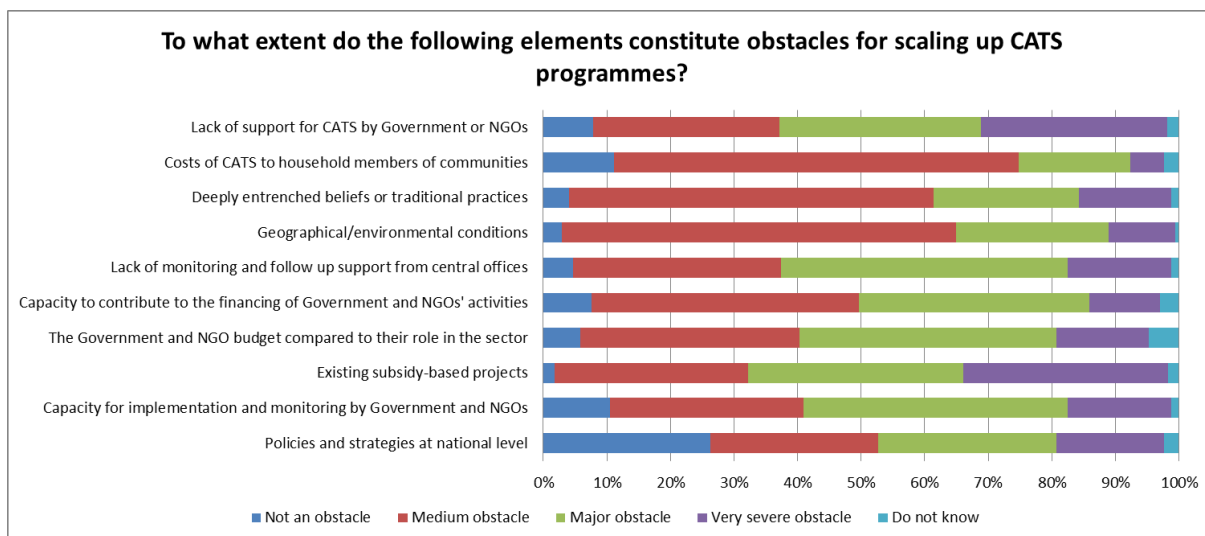
- Six factors are identified: Policy, strategy, and direction; Institutional arrangement and partnerships; Creating capacity at all levels; ensuring the supply side of the market works; ensuring financing
- The more severe obstacles have been lack of support at the national level; existence of subsidy-based projects
- UNICEF has spent relatively less effort in certain parts of the enabling environment, notably private sector participation, financing mechanisms, and supply

This finding covers thematically related material found in section 5.1-5.1.5 of this report.

The evaluation team found that UNICEF has been remarkably successful in almost all countries at creating an enabling environment for potential scale up, even if all aspects of the enabling environment have not been given the same attention.

The online survey provides an overview of the challenges often faced in scaling up CATS and how CATS practitioners perceive those obstacles. As shown in Figure 12, the lack of support for CATS at the national level and the existence of subsidy-based projects are seen as the most severe obstacles. The cost of CATS for households, cultural dimensions (entrenched beliefs or traditional practices) and geographic/environmental conditions are considered either as 'medium' obstacles or not obstacles at all. More than 25 per cent of the respondents believe that policies and strategies are "not an obstacle" (this may be linked to the fact that in a majority of countries UNICEF has already successfully dealt with this dimension of the enabling environment).

Figure 12: Main obstacles to scaling up CATS



Source: Online survey, question 33.

5.1.1 Policy, strategy and direction

It is important to note that when CATS started to be rolled out five years ago, open defecation was not a major issue in the sanitation sector and governments were reluctant to consider non-subsidized and behaviour change-oriented approaches. CATS-compatible approaches were only piloted by a few NGOs in a limited number of countries and communities. The substantial advocacy work conducted by UNICEF at an early stage led to the re-orientation of policies and strategies at local and national levels. CATS principles (mostly in the form of CLTS) have been included in a majority of the sanitation policies and programmes that have been developed and adopted since 2008.³¹ In some countries, UNICEF's efforts led to the adoption of a national ODF objective (for instance in Mauritania).

5.1.2 Institutional arrangements and partnerships

Institutional arrangements and partnerships have been crucial in the developmental of an enabling environment for CATS. An important feature in this regard is the focus on local authorities and partnerships at the level closest to the target communities. This focus has profoundly changed the status quo in the sanitation sector. UNICEF has also emphasized partnerships with non-state entities such as NGOs and religious associations.

Cross-sector partnerships, which have encouraged the involvement of government entities and other partners focused on health, education and social mobilization, have also been important.³² UNICEF has managed this multi-sector dimension of CATS by promoting existing WASH task forces (or setting up new ones). A number of the country case studies highlight the fact that it is only through the framework of CATS programmes that the Ministry of Health has engaged with sanitation programmes (in countries where sanitation is not part of the mandate of the Ministry of Health).

5.1.3 Implementation capacity

With regard to implementation capacity, the evaluation team found that UNICEF has significantly contributed to capacity building activities (such as the training of facilitators and trainers), beyond what was needed to implement UNICEF-financed CATS programmes. Examples include country visits and country exchanges, workshops, preparation and dissemination of guidelines (including translating the CLTS Handbook into French as early as in 2009). This 'generosity' contributed to the rapid development of critical capacity in the sector and facilitated the adoption of CATS principles by governments and other partners.

5.1.4 Other dimensions of the enabling environment

Compared to the efforts undertaken in relation to policy, institutional arrangements and implementation capacity, UNICEF has spent relatively less time and effort on the other dimensions of the enabling environment. This is especially the case with regard to private sector participation, financing mechanisms and supply-related issues.

As one of the basic goals of CATS programmes is to encourage the construction of low-cost latrines by households themselves, less work and effort has been dedicated to the availability of products and the involvement of the private sector – in other words, the supply side of the market. In countries where the challenge facing households around durable materials for latrine construction is widely acknowledged, UNICEF's efforts have been more oriented towards ensuring improved traditional latrines are acceptable within national standards, than in making durable materials for latrine construction more locally available. Discussions are ongoing within UNICEF on how to integrate CATS and other more supply-focused

³¹ Adoption of CATS/CLTS in national programmes is well documented by the case studies. See for instance the PRONASAR in the case of Mozambique.

³² Even if significant efforts have been made to establish clear leadership in the sanitation sector – following the recommendations of the Sharm El-Sheikh declaration of the African Union in 2008 – it is far from being the case in all countries. The institutional responsibility for sanitation is often shared by several government bodies, especially with regard to the hygiene dimension of the sector.

approaches (labelled 'CLTS+' in some countries such as Mozambique or Mauritania) such as sanitation marketing³³

On the other hand, India has partially 'overcome' the supply challenge by heavily subsidizing the construction of household facilities (through the provision of awards after works completion). Despite the drawbacks of this approach (higher technical standards, slow pace, etc.), this has given households the means to access local markets and build higher quality facilities.³⁴

The long-term sustainability of CATS programmes will be dependent on sufficient national or local financing. While the implementation of most CATS programmes are still dependent on UNICEF funding, UNICEF has been successful in convincing some governments to include part of the cost of CATS in the national budget. In Mauritania the implementation of CATS led to the inclusion of a sanitation line in the national budget for the first time (although the amount remains limited). In Mozambique, UNICEF has advocated for the Ministry of Water and Public Works (MOPH) to assign dedicated water and sanitation budgets to the districts.

There are a number of cases in which CATS programmes are experimenting with innovative or alternative financing mechanisms, such as Village Savings and Loans Associations in Sierra Leone, village-managed funds to support poor families in Nepal and in India, where some communities merge all financial awards in a community-managed fund to help support poor families.³⁵ However, the evaluation found no evidence that such mechanisms have been successfully scaled up.

Private sector engagement is widely recognized as a key aspect of the enabling environment of CATS. Private sector actors can be involved at various levels. A few CATS programmes rely on private sector actors as implementers. A range of private sector actors are involved in the construction of latrines, including masons, latrine builders and shops selling building materials. However, engagement with the private sector is far from systematic. In most cases it is assumed that the private sector will play its role and there is no specific component of the intervention aimed at strengthening or supporting private sector actors. This may be a result of the choice to rely on households' know how and resources to build their own latrine as well as the principle of not imposing technical standards that would require more sophisticated construction skills.³⁶

While the way CATS is currently being implemented does not address the supply side in a systematic manner, UNICEF has recently intensified its thinking around the sanitation marketing approach (SanMark) and how it could complement CATS. UNICEF believes the two approaches could mutually reinforce each other. Several SanMark training sessions were organized in 2013 and specific SanMark programmes are being designed. While these efforts are at an early stage, reconciling SanMark (which is basically a supply-side, technology-oriented approach) with CATS has great potential, especially in terms of addressing the limitations of CATS with regard to sustainability.

³³ WSP went through the same process a few years ago and has been supporting "Total Sanitation and Sanitation Marketing (TSSM)" programmes in several countries, including India and Indonesia.

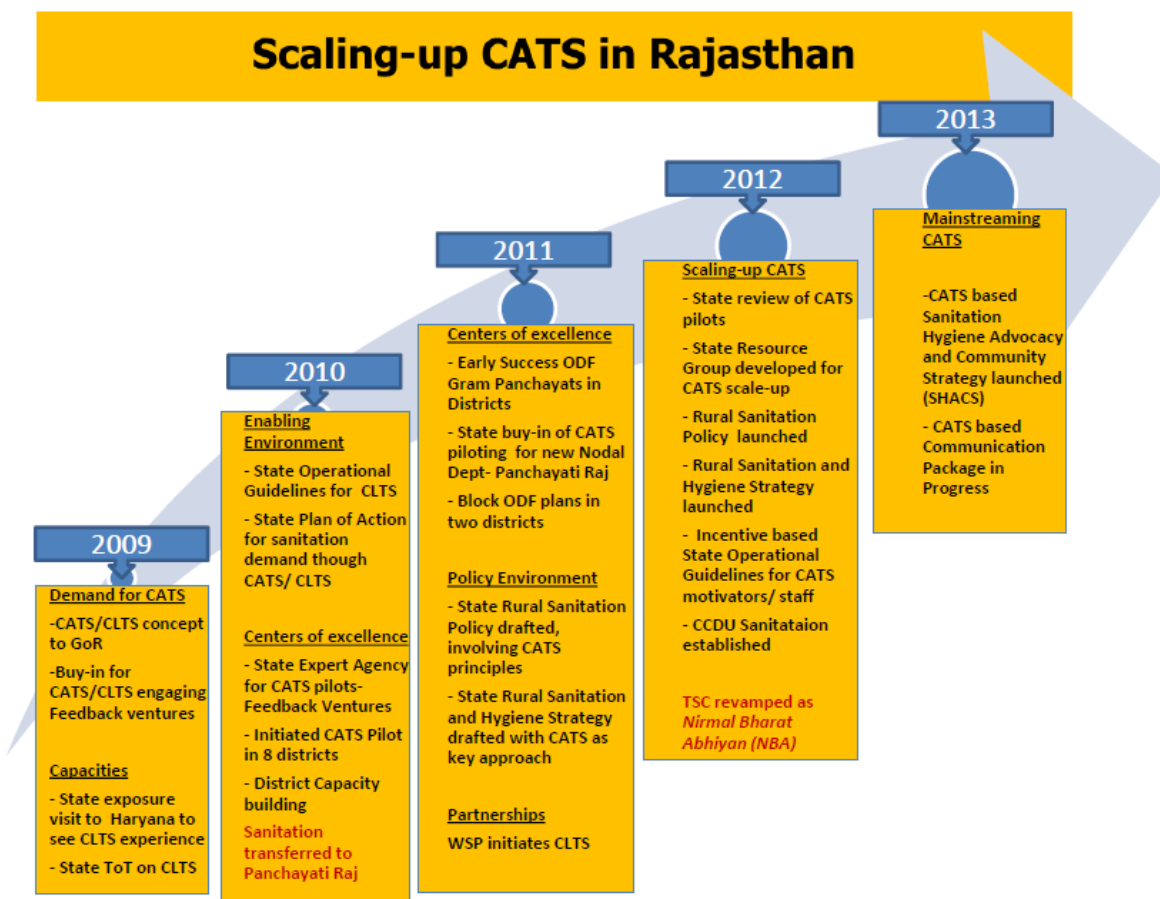
³⁴ In India the provision of the subsidized award is conditional on the quality of the facility, according to local standards. While this condition implies technically more sustainable facilities it also has unforeseen consequences on the sustainability of the ODF status, and on scaling up capacity and pace, as it sets up technical standards that are relatively high, especially from the household's point of view.

³⁵ On the financing mechanisms see for instance pS-Eau, *Financing sanitation in sub-Saharan Africa*, 2012.

³⁶ CATS does not exclude the development of locally-adapted latrine models (a few examples were reported to the evaluation team). But this does not seem to be a major trend in the way CATS is implemented.

5.1.5 An adaptive, sequential approach to scale up

Figure 13: Strategy developed by UNICEF in the state of Rajasthan (India) to scale up CATS by addressing key aspects of the enabling environment



Source: PowerPoint presentation from the UNICEF state office in Rajasthan.

UNICEF's strategy to address various aspects of the enabling environment in Rajasthan (see Figure 13) illustrates the sequential and adaptive approach in which CATS can be scaled up. This is especially relevant in countries like India where UNICEF does not directly finance CATS programmes but concentrates on providing the government with technical support and advice. In this respect, time and flexibility are key ingredients for success.

5.2 Costs and financial competitiveness of CATS

Finding #13: CATS is clearly a relatively low cost approach that leverages significant community and household investments.

- At this point it is not possible to document CATS costs due to absence of a common costing framework, the nature of costs, and the varied financing arrangements among diverse partners
- As a general observation, costs are low, as would be expected from the model
- CATS costs are likely to grow over time as follow-up reinforcement actions and developing the supply side are both needed for sustainability

- CATS has been very successful in ‘leveraging’ investments—i.e. there are high levels of investment (time, materials) by community members. Actual amounts leveraged can only be estimated; perhaps in the 2-3 dollars leveraged per CATS program dollar spent
- This is in contrast to many other WASH approaches

This finding covers thematically related material found in section 5.1-5.1.5 of this report.

The actual cost of CATS interventions are extremely difficult to measure and compare between programmes and countries. This is due to a variety of reasons, including the absence of a common framework for costing CATS programmes, the nature of CATS-related inputs (most of which are related to training, capacity building, advocacy and communications, as opposed to commodities and supplies) and the wide variety of institutional arrangements through which CATS is implemented.

Recent evaluations have paid insufficient attention to analysing the cost of CATS.³⁷ Global assessments, such as the WASHCost project, also do not provide information on the cost of implementing CATS.³⁸ The approximate figures that are available indicate that the cost of implementing CATS (under its main modality – CLTS) ranges from US\$5 to US\$15 per capita.³⁹ It is important to note that most of this data originates from Africa and that costs could be much different in Asia. The increasing inclusion of CATS and CLTS in national budgets should provide more accurate figures in the future.

What is clear is that compared to previous approaches, CATS shifts the cost of implementing sanitation programmes from latrine construction towards a variety of other costs, including training, capacity building and monitoring. As the cost of constructing latrines under CATS are borne by households, one of the most important outcomes of CATS is to mobilize local resources for sanitation. While household costs are rarely monitored or documented, it is believed that CATS has a strong leveraging effect (with every dollar spent by a CATS programme prompting the household to spend 2 or 3 dollars, making the approach very cost effective).

As stated by one of the key informants “CATS is a low cost but not a no cost approach”. UNICEF’s successful implementation of CATS has demonstrated that rural sanitation can be addressed at a reasonable cost, part of which can be covered by existing resources at the local level (where in many cases it would be impossible for local authorities to finance a subsidy-based latrine construction programme). The case studies highlight a number of instances in which local authorities are able to target more communities than initially planned, drawing on their own financial resources.

Finally, concerns have been raised that the total cost of CATS is not yet ‘visible’ as the costs related to sustaining ODF status in certified communities are not known. Linked to this concern is the issue of hard-to-reach communities, where marginal costs are comparatively high, making national scale up most costly. However, this issue is not specific to CATS.

³⁷ Including the recent evaluation of the ‘One-million Initiative’ in Mozambique.

³⁸ IRC International Water and Sanitation Centre, *Hygiene promotion. How effective is it? How much does it cost?*, 2013.

³⁹ The “Roll-out evaluation of CLTS in West and Central Africa” estimated the cost at US\$4 per capita. Early assessment of the CATS program in Mali indicated that the cost was around US\$8 per capita. Recent feasibility studies – Mauritania, 2012; Ghana, 2011-2012; and Senegal, 2013 used US\$12-14 per capita as an initial estimate. These estimates include the costs required to reach the certification stage but exclude household costs in the construction of latrines.

5.3 Financial (and other) incentives

Finding #14: Support to the operational costs of government and to award ceremonies can be incentives with a powerful mobilizing effect on leaders and government bodies

- These incentives create 'positive momentum' for bureaucracies and leaders, demonstrating how results can be achieved more efficiently than before through focusing on the 'software' part of the programmes
- Rewards can have a powerful catalytic effect on community behaviour
- The rewards offered have been both monetary/tangible as well as psychological (recognition); varied models are seen across contexts
- Rewards can become known and expected; these can be disguised subsidies

This finding covers thematically related material found in section 5.3 of this report.

In all countries where CATS is being implemented, UNICEF follows the principle of not directly subsidizing the construction of latrines.⁴⁰ Financial incentives, however, are used in many countries. For instance, CATS programmes usually cover all costs related to capacity building, creating an incentive for government officials, local leaders and other partners to participate. In Mauritania, training and 'kick-off' workshops represented five per cent of the CATS programme budget from 2010 to 2012.

In most countries, UNICEF's CATS programmes cover a substantial portion of the costs borne by the government agencies involved in implementation or follow-up, especially at the local and regional level. Covering these costs (including motorcycles, fuel, computers and daily subsistence allowances) has proven to be instrumental in the success of CATS implementation.

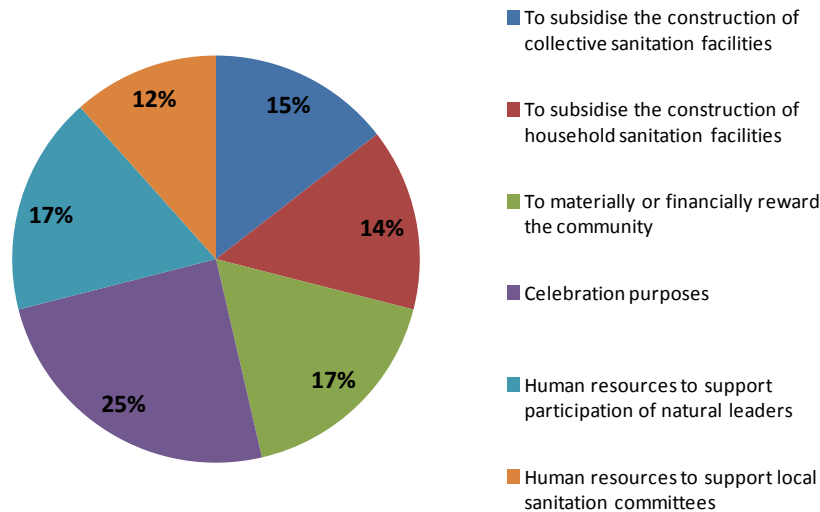
At the community level, while local leaders do not normally receive any direct financial incentives, some indirect costs related to their mobilization are often covered by UNICEF. Most implementing partners have recognized the importance of these costs in motivating local leaders, especially in the post-triggering and follow-up phases. These mobilization costs can be indirectly provided by other programmes (for instance when community leaders are also involved as social mobilizers by health programmes).

Certification ceremonies can have a strong impact on the local economy and they therefore constitute a financial incentive. In fact, the online survey identified ceremonies as the predominant financial incentive in CATS programmes (see Figure 14). Certification ceremonies represent a substantial portion of the total cost of CATS programmes. In Mauritania they represented 17 per cent of the overall cost of CATS implementation.⁴¹ In addition to the financial incentive however, survey respondents noted that certification ceremonies also play an important psychological role (recognition and pride for the community; diffusion of the new social norm).

⁴⁰ In the case of SLTS, school sanitation facilities are often partially subsidized (as are other equipment and supplies). India is not an exception to this principle as UNICEF is not involved in delivering subsidies under the CATS programme: UNICEF is not involved in delivering financial incentives either to the communities or to the individuals as such under the CATS programming in India. The role UNICEF is playing is in the CATS demonstration programmes which are primarily showcasing the ways to facilitate the community action for achieving open defecation free status. The support is mostly through technical assistance, which mainly consists of support for capacity building through training programmes, exposure visits, innovative ideas and sometimes engagement of specialized agencies" (India case study, November 2013, p. 26).

⁴¹ Mauritania is the only country from which the evaluation team managed to properly document detailed costs of CATS implementation over a significant period of time (three years).

Figure 14: Use of subsidies and financial incentives in CATS programmes



This question had 53 respondents

Source: Online survey, question 24.

Collective rewards are used in a minority of countries (17 per cent according to the online survey).⁴² These rewards take a variety of forms, from monetary awards (such as the Clean Village Award provided by the Government of India) to hygiene kits, bicycles and mobile phones. There is no clear evidence that rewards improve the efficiency of CATS programmes. To the contrary, they have been identified as counterproductive in some countries such as Mozambique, where they have been completely abandoned: “such rewards became well known in advance and expected by communities, contradicting the no-subsidy principle of CATS and influencing communities to move towards immediate quantitative results rather than adopting more durable, embedded behaviour change”.⁴³

Overall, financial incentives are an important dimension of CATS, without which programmes would not work. Financial incentives create positive momentum for bureaucracies and leaders and have contributed to substantially change the way money is spent in the hygiene and sanitation sector.

5.4 Diffusion mechanisms

Finding #15: There are three methods by which CATS programming spreads (diffuses): only one is systematically planned for and supported

- Three types of diffusion are seen: institutionalized (via scaling up approaches); organized/encouraged (reaching out to neighbouring communities); and spontaneous
- Organized and spontaneous diffusion are rarely included as an objective in programme design
- Spontaneous diffusion occurs, sometimes in apparently significant amounts
- It spreads through different mechanisms including by natural leaders, by schoolchildren influencing parents, and by interest sparked by observing certification ceremonies

⁴² The Indian approach includes household rewards.

⁴³ Some families came to expect household rewards on completion of their latrine, rather than when ODF was achieved at community level.

- It is not well understood yet needs to be
- It is not really planned for but it is probable that it can be planned for and supported; building it into the M&E approach is a first step.

This finding covers thematically related material found in sections 5.4 and 6.1.2 of this report.

CATS can often spread (or ‘diffuse’) outside the geographic area initially targeted. In fact, the phenomenon was mentioned in almost all countries surveyed during the evaluation, which identified three diffusion mechanisms:

- Institutionalized diffusion: Occurs when UNICEF creates the institutional conditions to encourage national governments or major development partners to adopt CATS principles and to invest in CATS-compatible programmes.
- Organized / encouraged diffusion: Occurs when diffusion is included in the programme objectives, using key moments in the CATS cycle to encourage neighbouring communities to engage in triggering activities, with or without external support.
- Spontaneous diffusion: Occurs when a CATS intervention in a community prompts action in a (neighbouring) community in an unintended way and without external support.

While the evaluation team was able to identify these mechanisms, the extent and the scale of diffusion is difficult to assess and the phenomena is poorly documented in the literature. Key catalysts of spontaneous diffusion were discussed during country workshops, leading to the following conclusions:

- Spontaneous diffusion is most commonly linked to the strong involvement of natural leaders, especially when their influence goes beyond their own community. In Mozambique for instance, the limited extent of spontaneous diffusion is explained by the fact that “the influence of traditional leaders remains strong within their community, but does not extend much beyond this perimeter, which limits their ability to convince other communities to adopt similar actions or behaviours”.
- A majority of countries insisted on the role played by schools and children. In these cases spontaneous diffusion can be largely unintended and informal (children going to an ODF school influence their parents and therefore the natural leaders in the communities where they reside) or deliberately institutionalized (where SLTS is a significant part of the CATS programmes). This second modality is very well documented in Nepal, where the government decided to implement SLTS across the country.
- Many UNICEF staff and partners mentioned the key role played by certification ceremonies in the spontaneous diffusion of CATS. Leaders of neighbouring communities are often inspired by the positive attention that ceremonies bring (CATS implementers usually invite neighbouring, regional or national leaders to the events) and often decide to trigger their own community without waiting for an external intervention.⁴⁴

While diffusion can strongly contribute to the efficiency of CATS programmes, usually it is not formally integrated in programme strategies. To allow CATS programmes to fully benefit from the contribution of diffusion, at least two actions should be taken:

- Build a knowledge base of best practices regarding the diffusion of CATS. UNICEF staff and CATS implementers have a lot of knowledge that is not properly documented. Documenting cases of diffusion would allow UNICEF to have a better understanding of the mechanisms and build them into programme plans and budgets.
- Include spontaneous diffusion effects in the M&E system. This would mean systematically monitoring all communities within a district or region in order to determine when spontaneous

⁴⁴ In Mali, UNICEF invited the minister in charge of sanitation to the first certification ceremonies in the pilot area in 2009 (Kati district, Koulikoro region). The same strategy was adopted in Mauritania as well as in many other countries. In Mauritania, the importance of the certification ceremonies is reflected in the fact that the ceremonies represent 25 per cent of the total budget of CATS.

diffusion occurs. This would allow UNICEF to set targets not only in terms of the number of ODF communities, but also in terms of reaching ODF status at the level of a larger area.

5.5 Institutional arrangements and partnerships

5.5.1 A diversity of arrangements adapted to national contexts

CATS-related institutional arrangements vary across countries. For instance, in Mauritania CLTS is implemented through both the National Directorate of Sanitation (DNA), which plays a major role in policy setting and coordination, and the Regional Directorates of Hygiene and Sanitation, which are responsible for rolling out and monitoring CLTS programmes. This institutional arrangement has been instrumental in developing CLTS ownership in the country.

In contrast, the implementation of CATS in Mozambique and Sierra Leone is driven by national and local sanitation departments, with implementation carried out by NGOs or local firms specialized in community mobilization. These third-party implementers sign Programme Cooperation Agreements (PCA) with UNICEF through which they agree on the way to implement the programme.

In Nepal CATS is the central focus of the country's Sanitation Master Plan, which guides national efforts toward 'total sanitation'. Nepal's five key ministries (the Ministry of Urban Development, Ministry of Local Development, Ministry of Education, Ministry of Finance and Ministry of Health) and the country's Planning Commission have all approved and pledged their support to the master plan.

In India UNICEF is a long-term strategic partner of the Ministry of Drinking Water and Sanitation (MDWS) at both the national and state level. UNICEF has supported the MDWS to design and develop a National Sanitation, Hygiene Advocacy and Communications Strategy, which has been accepted by the national government and a majority of states.

5.5.2 Strong partnerships at all levels

Strong partnerships at all levels are a prerequisite for the successful and efficient implementation of CATS programmes. At the local level, partnerships between UNICEF and authorities take different forms and may be more or less formalized. In India partnerships vary considerably between states and involve a range of UNICEF support, from the development of guidelines to training of staff responsible for CATS implementation. The lack of prescriptive institutional model allows great flexibility for CATS, which is one of its strengths.

Partnership models at the national level also vary between countries. In Mauritania, ownership of CLTS by the national authorities has been the foundation of rapid deployment of the approach. In this context, UNICEF's support in building the capacity of institutional partners, either through policy assistance, development of guidelines, or training, is crucial. In Nepal, UNICEF's role is to support and build the capacity of WASH coordination committees at the central, district and local levels. In Mozambique, while UNICEF maintains good institutional relations with the DNA at the national level (and at provincial level through the Provincial Departments of Public Works and Housing (DPOPH)), UNICEF may need to give greater attention to institutional partnerships at sub-national levels to strengthen their capacity to manage, facilitate and monitor WASH programmes beyond the life of the One Million Initiative programme.

5.5.3 Partnerships with non-state actors

The engagement of non-state actors can also be a factor affecting success. In Mauritania, the involvement of religious leaders and organizations has been important in raising awareness of communities on sanitation and hygiene, making a link between hygiene-related issues and the cultural habits and beliefs that are strongly rooted in Islam. Local radio stations have also been important in awareness raising in Mauritania. In Nepal, the private sector is playing a growing role in CATS through the provision of construction materials.

6 DIMENSION 3: EFFECTIVENESS

6.1 Evidence of social norms change

6.1.1 Are social norms a key aspect of UNICEF's CATS implementation?

Finding #16: UNICEF staff and CATS partners are employing a social-norms approach to changing WASH behaviour without fully understanding or implementing it

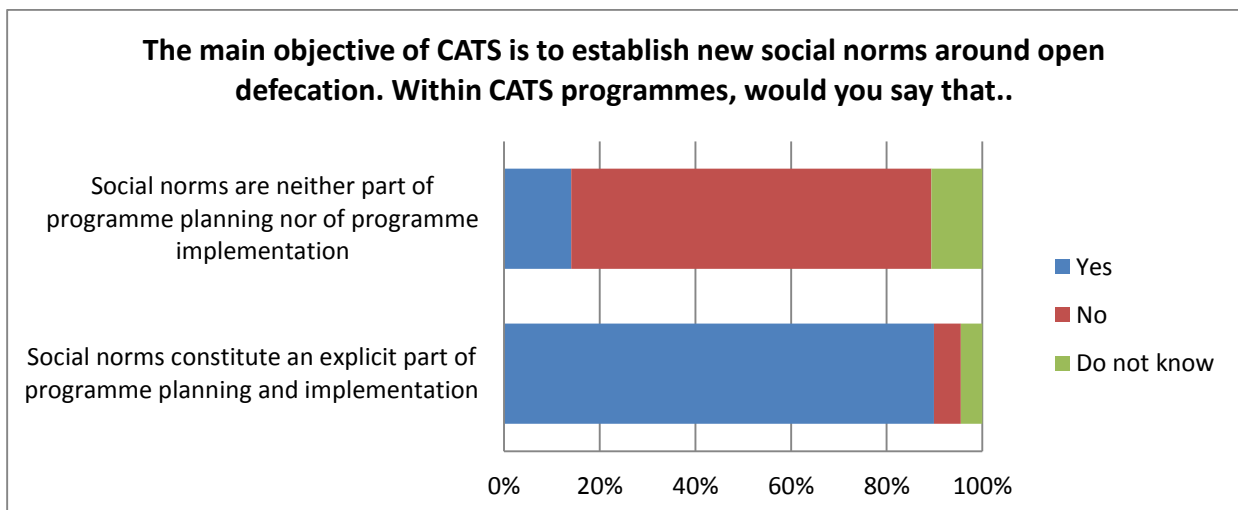
- UNICEF staff and CATS partners do not fully understand and fully implement the social norms aspect of the process
- Instead, many still use older models (e.g. individual behaviour change rather than collective norms change; # of latrines) as their reference point.
- Few staff have been trained in social norms theory, approaches, and application
- CATS is in a transitional stage where the new philosophy is being integrated but is not completely embedded.

This finding covers thematically related material found in sections 6.1.1 and 6.1.2 of this report.

Integration of social norms theory in CATS is an ongoing process. While UNICEF staff recognize the importance of addressing behaviours within CATS, the language of 'social norms' is not widely used. The most commonly used vocabulary is still 'behaviour change', which is different in that it refers to individual behaviour change, as opposed to collective behaviour change, which is inherent in the 'social norms' theory.

Few UNICEF staff have been trained in social norms theory, which may lead to misconceptions or misunderstandings about what influence it has, or can have, on programmes. There is a sense that changing social norms is still not at the forefront of thinking among most of UNICEF's WASH staff (and as a result it is also not reflected in the thinking of UNICEF's government partners). Attitudes and actions are still based on past approaches, with UNICEF, as stated by one webinar participant "not always fully on-board with the new approach... we are still counting latrines in the back of our minds". The online survey (see Figure 15) confirmed that UNICEF staff recognize the importance of social norms, even if country case studies show that they might not be fully taken into consideration during implementation.

Figure 15: Integration of social norms in CATS programmes



Source: Online survey, question 25.

As a result, the evaluation team observed what could be considered a transitional situation, in which all segments of CATS programming have not yet been influenced by the concept of social norms.⁴⁵ This has significant effects on the implementation, monitoring and sustainability of CATS.⁴⁶ The indicators currently used by CATS programmes are typical CLTS indicators (ODF status, number of certified communities, number of latrines, existence of hand-washing equipment, etc.), that take social norms into account only to a limited extent. The capacity of UNICEF's CATS programmes to measure changes in social norms is currently being developed, which may explain the transitional situation documented by the evaluation team.

6.1.2 Evidence of social norms change

Finding #17: There is strong evidence of individual and community movement away from OD tolerance to a new norm of OD unacceptability

- Movement toward the new norm occurs rapidly, especially when a good triggering phase is undertaken.
- The shift may take an interim shape of many individual changes before a collective norm has been set.
- Norms are visibly embodied in community rules, sanctions, and pro-hygiene practices (e.g. garbage collection). These show a clear shift in favour of ODF environments and social agreements to enforce them.

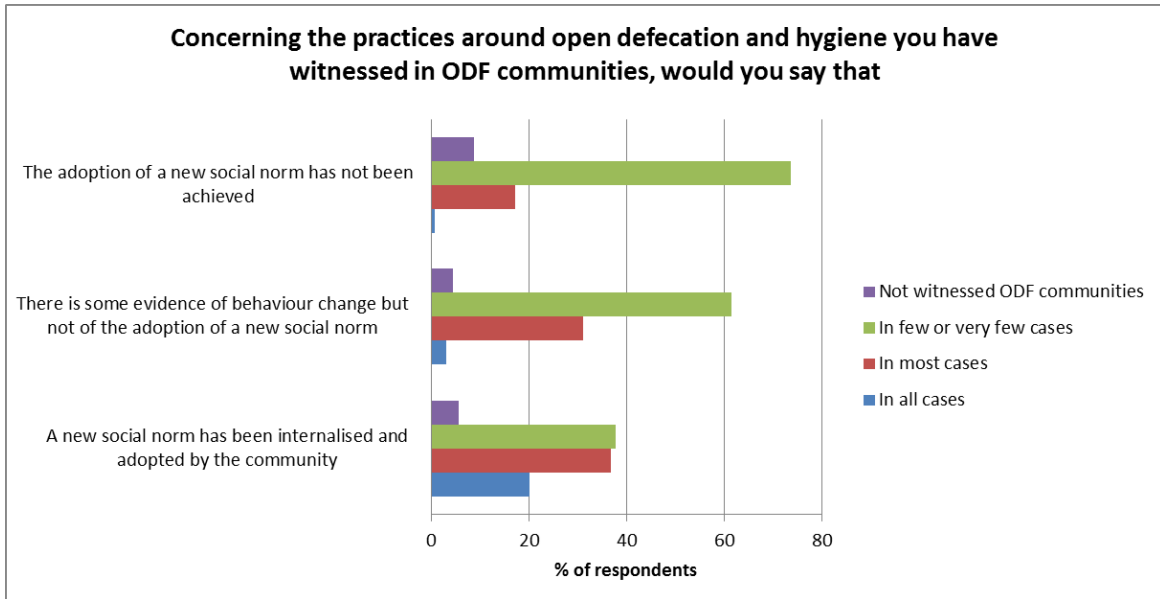
This finding covers thematically related material found in section 6.1.2 of this report.

Evidence of CATS-related behaviour change around open defecation can often be observed as soon as triggering activities have taken place, even before the first latrines have been built. However, if a change in individual behaviour is a pre-requisite for wider collective change, it does not yet constitute a change in social norms. However, it is important to identify and document these first changes (and to take corrective action if they are not observed).

⁴⁵ Some may argue that CATS processes – particularly CLTS – if correctly carried out, by their inherent nature can trigger social-norms change.

⁴⁶ For instance, it is expected that a better understanding and use of the social norm concept will help increase the conversion ratio of communities triggered to ODF status achieved, which would have a strong impact on the effectiveness of CATS programmes.

Figure 16: Perception of the adoption of a new social norm around open defecation



Source: Online survey, question 32

There is evidence that children can play an important role in the construction of the new social norm around open defecation. As documented in the Sierra Leone case study, “SLTS is also enhancing a sense of social norms evolution. Where children have access to and use appropriate latrines, hand-washing facilities, safe water supplies and waste disposal at school, they have higher expectations of sanitary improvements at home. Using a latrine, adopting hand-washing and keeping the environment clean are becoming more of an expected way of life than would otherwise be the case.”

A change in social norms is further indicated by the fact that after CATS interventions the benefits from ending open defecation are seen as owned by the whole community, rather than by individual households. As the Sierra Leone case study documented, “communities are increasingly seeing open defecation as a behaviour that can put the health of the entire community at risk.”

In many countries, the strongest evidence of a change in social norms is the genuine adoption and enforcement of community-level rules and bylaws that are accepted by all community members and cannot be transgressed without consequences.⁴⁷

Community fines in Sierra Leone

In most communities, a fine of US\$0.67 or US\$1.12 was imposed for actions such as:

- Defecating in the bushes;
- Not having a hand-washing facility;
- Not using a ‘potty’ for small children;
- Not reporting a broken latrine to the WASH committee and reconstructing it;
- Using another person’s latrine;
- Having a dirty compound; and
- Not taking part in a monthly cleanup activity.

Source: CATS evaluation, Sierra Leone case study, page 16.

⁴⁷ In most cases, these rules previously existed in the legal framework but they were not enforced.

However, the existence and enforcement of such rules are rarely taken into account by the certification process or the M&E system. A question frequently discussed by CATS implementers is whether the existence of fines is an indication of a change in social norms or if it introduces a bias (either because the fines exist but are not actually enforced or because people do not revert to open defecation only because they fear the fine).

The existence of formal or informal rules around open defecation is not the only hard evidence of the adoption of social norms. The case studies and the webinar on social norms documented a number of other signals, including:

- Support to women’s groups to ensure a permanent supply of hygiene products;
- Establishment of other community-based hygiene initiatives (e.g. sweeping of streets, garbage collection, cooking-related hygiene); and
- Organization of community monitoring of latrines and other hygiene facilities.⁴⁸

In conclusion, there is significant evidence that social norms on open defecation change after CATS interventions. The concern expressed by most stakeholders interviewed during the evaluation is with regard to the sustainability of the changes after certification. In the online survey, a large majority of respondents acknowledged that a new social norm had been internalized, but an even larger majority questioned the sustainability of this change.

6.2 Triggering

Finding #18: CATS programmes are very effective in ‘triggering’ community interest in becoming ODF

- Triggering is among the components that must be co-managed with community leaders to successfully employ the social norms approach.
- There are consistent triggering practices seen that follow CATS/CLTS principles.
- Disgust and shock are main drivers. They lead to community ‘energy’ that becomes pride at having taken care of the problem.
- Bad quality facilitation is a widely recognized predictor of triggering failure.

This finding covers thematically related material found in sections 6.2, 6.3.1, 4.4.1 and 4.4.2

6.2.1 Steps taken during the triggering phase

As described in the CLTS Manual, “Triggering is based on stimulating a collective sense of disgust and shame among community members as they confront the crude facts about mass open defecation and its negative impacts on the entire community”. The steps taken during the triggering phase are largely based on the manual and include:

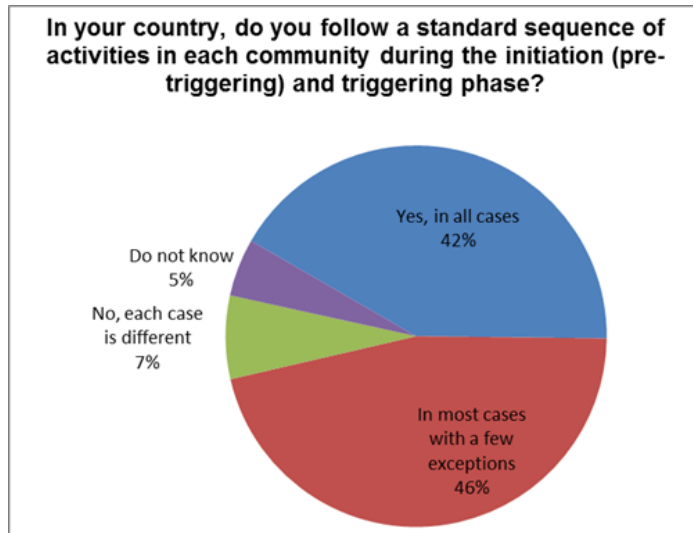
- Transect walks throughout the village (including the participation of children and women);
- Community mapping of defecation areas;
- Calculation of shit and medical expenses;
- Disgust triggering through demonstration of oral-faecal transmission route of infections;
- Identification of natural leaders; and
- Participatory development of village action plan and timeframe.

As shown in Figure 17, these steps are followed by a majority of those responsible for triggering, whether

⁴⁸ These signals are very community- and context-specific and require further investigation.

working directly under the leadership of local authorities or for subcontractors.

Figure 17: Standard sequence of activities during the pre-triggering and triggering phase



Source: Online survey, question 14

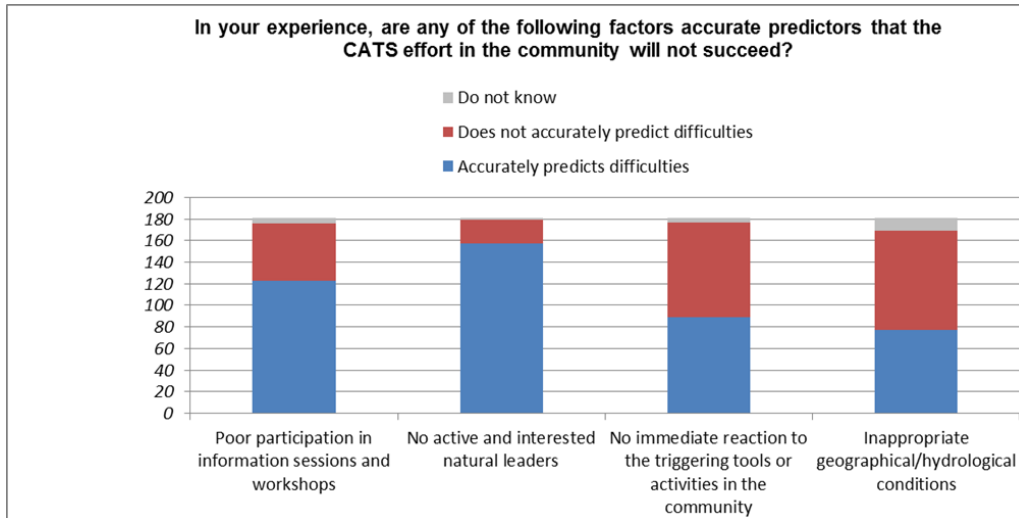
CATS differs from 'classic' CLTS on a few points that are considered meaningful by CATS implementers and are seen to be important to make the CLTS approach relevant in the African context. For instance, CATS does not include the systematic use of shame during triggering nor are children used as whistle blowers (as they often are in the CLTS approach). Adaptations to the initial CLTS package are also made in communities where the triggering process is anticipated to be difficult, especially in communities where traditional leadership is weak or conflictive and in peri-urban or urban communities. In such cases implementing agencies are testing different approaches. Some are reverting to the Participatory Hygiene and Sanitation Transformation (PHAST) approach, while others are beginning to complement CLTS with elements taken from the SanMark approach.

6.2.2 Factors impacting the effectiveness of the triggering phase

Support of natural leaders

The active support of natural leaders is crucial to the success of the triggering (and post-triggering) phase. In fact, as indicated by Figure 18 lack of interest and support from natural leaders can be an accurate predictor of CATS failure.

Figure 18: Accurate predictors of CATS failure



Source: Online survey, question 18.

Involvement of third party actors

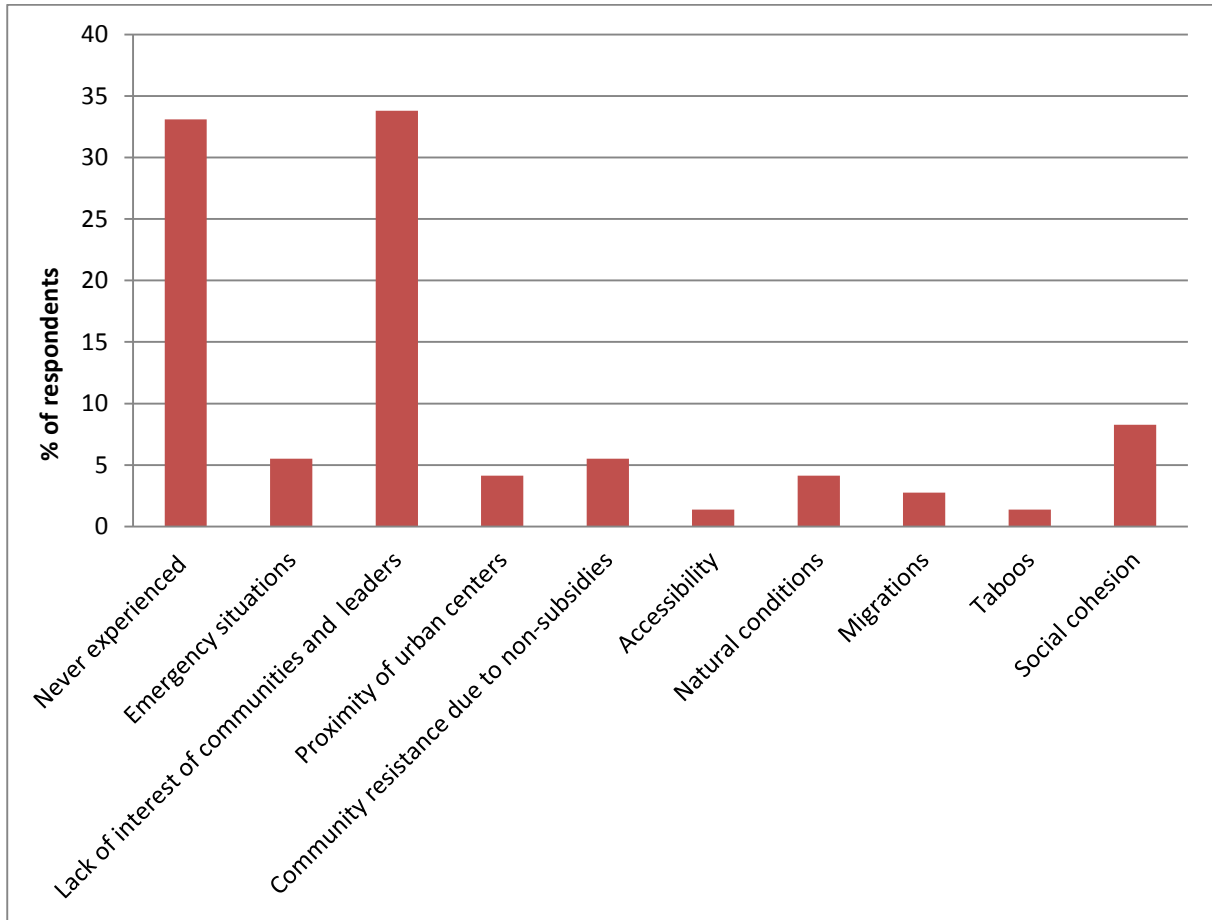
The involvement of relevant local third party actors can be important in the triggering process. In Mali, the involvement of traditional communicators (*griots*), the support of media, the involvement of political leaders in the ODF celebration and the sponsorship of ODF ceremonies by prestigious personalities were found to be critical to the success of the triggering process. In countries such as Mauritania, the involvement of religious leaders and local radio stations was essential.

Social cohesion

Figure 19 indicates that one of the main reasons for CATS being halted during the triggering phase is a lack of social cohesion and/or a lack of interest among communities and leaders. When communities are composed of several different sub-groups, triggering has proven much more difficult. In Mauritania, lack of community cohesion due to different social backgrounds, especially in peri-urban areas, has been identified as contributing to the failure of CLTS implementation.

The early and ongoing support of the entire community is therefore critical. The evaluation and selection process undertaken during the pre-triggering phase can help identify 'free riders' and make sure the community is ready to undertake changes in hygiene and sanitation practices.

Figure 19: Reasons for halting CATS activities during the triggering phase



Source: Online survey, question 19.

Quality of facilitation

As found by the evaluation conducted two years ago in West and Central Africa, the quality of training facilitation is instrumental in ensuring the success of triggering. This requires hiring highly qualified facilitators with significant training and experience. It also means that training should be tailored to local conditions and include significant field activities.

6.2.3 Effectiveness of the triggering process and its limitations

The effectiveness of the triggering process and the capability of CLTS to quickly bring most communities to (or close to) ODF status is widely recognized. In India, the original CLTS tools have worked well irrespective of the background (i.e. caste, gender, age, etc.) of the local population. In Mozambique and Mauritania, it is estimated that the majority of communities reach ODF status within three months of triggering. Communities that do not achieve ODF status within three months often do not reach it at all.

While the triggering process is seen as very efficient by most stakeholders, there are limitations to its overall effectiveness. In Mozambique it has been noted that a given community may be mostly ready for ODF certification, but one or two resistant households keep them from achieving ODF status, ending in the community being counted as 'not ODF' in the programme's monitoring system. As a consequence, programme results do not clearly account for the fact that a significant number of households have changed their behaviour. A second limitation is related to the fact that while CATS addresses open

defecation within and around villages, it does not consider practices in surrounding fields or in family farms, where people spend significant amounts of time during the planting and harvesting seasons.

Overall, the evaluation team concluded that CLTS is effective in bringing communities to ODF status (or very close to it), but that it is not yet effective in establishing more stabilized social norms around open defecation, as indicated by the levels of 'slippage' back to open defecation.

6.3 Drivers of change

6.3.1 Disgust and shock

In the triggering phase, the drivers of change are consistent across countries and rely mainly on disgust and shock as communities came to understand the oral-faecal transmission route of infection and the fact that people are basically 'eating each other's faeces'. Disgust is most important during the early stages of the process; the community 'energy' released by the original shock is quickly converted into the pride of having taken action to solve the problem, and this pride fuels the continuing process of change after triggering.

6.3.2 Active and interested leaders

The strength of community leaders (including, in some countries, religious leaders) in mobilizing, supporting and enforcing action by all members of the community is the second main driver of change.

In the case of SLTS, well-motivated and informed 'Focal Teachers' play a significant role in mobilizing action, encouraging and supporting children to adopt the appropriate behaviours that can be replicated by the wider community. The evaluation found that this was particularly important in Sierra Leone, India and Nepal. For instance, in Nepal 'Children Clubs' are responsible for monitoring the sustainability of ODF status and are trained to blow a whistle when they see a defaulter.

6.3.3 Integration with other initiatives

The integration of CATS into other WASH and non-WASH initiatives seems to reinforce the sanitation messages delivered by CATS programmes. In Mauritania, the integration of CLTS into UNICEF's health and maternal and child programmes helps increase the communities' awareness of sanitation practices and supports sustained behaviour change.

7 DIMENSION 4: SUSTAINABILITY

7.1 Evaluation criteria

Finding #19: ODF certification criteria have evolved toward a common set focused on short-medium term monitoring needs

- The certification process and the criteria varies by country but there is a core set of criteria that are quite consistent [no more OD; existence of latrines; existence of hand-washing facilities].
- These indicators are not well positioned to measure social norms change.
- One useful operational rule is to utilize a waiting period to see if the behaviours are sustained for a few months from the moment the community declares itself ODF.

This finding covers thematically related material found in section 7.1

CATS programmes are evaluated by the number of ODF certifications awarded (either to communities when CLTS is the predominant component of CATS, or to schools in the case of SLTS). Although variations exist between and within countries,⁴⁹ almost all countries surveyed share three common elements in defining their certification criteria:

- Eradication of open defecation in the community, attained when community leaders are confident that open defecation has been completely abandoned and that the community is 100 per cent ODF;
- Existence of latrines in every building in the community. The criteria differ between countries but latrines are generally supposed to be ‘fully functional and clean’, offer privacy and include a lid on the defecation hole and a roof to protect the slab;⁵⁰ and
- Availability of hand-washing facilities near the latrines, with water, soap or ash and evidence of regular use (not systematically measured but commonly included).

Recently, some countries have introduced a second level of certification (called ‘CLTS+’ in Mozambique), which includes elements related to the sustainability of facilities and/or adherence to ODF status or other hygiene-related behaviours. In Mozambique the standard of latrines built is evaluated in order to align with Joint Monitoring Programme for Water Supply and Sanitation (JMP) standards and to address the problem of latrines frequently collapsing. This second level of certification implies regular post-certification follow-up.

The country visits also documented examples where additional positive behaviours have been adopted. In Sierra Leone many communities adopt a wider approach to a ‘healthy living environment’, including the use of dish racks, compost fences and clotheslines, which now form part of the ODF certification checklist.

The way in which certification criteria are measured and the time of the measurement also varies between countries and over time. The current tendency is to delay the certification process (and especially the ceremony) to ensure that a minimum length of adherence to the ODF status is accomplished (for instance in Nigeria there is no certification unless the ODF status is sustained for six months).⁵¹

⁴⁹ The Mauritania case study, for instance, showed that the CLTS/CATS programme started without a clear and widely shared set of certification criteria at national level as detailed criteria were left to the certification committees set up at regional (*Wilaya*) level. Almost 1,000 communities had been certified when a workshop held in April 2013 finally made the certification criteria uniform across the country.

⁵⁰ Although this final criteria is not systemically included. For instance, in Mali most latrines are built using traditional bricks (mixture of clay and straw) to ensure privacy, but with no roof.

⁵¹ Thomas, A. and Bevan, J., *Developing and Monitoring Protocol for the Elimination of Open Defecation in Sub-Saharan Africa*, paper prepared for the IRC Symposium 2013, Monitoring Sustainable WASH Service Delivery, Addis

Drawing from the country visits and the webinar discussions, the key factors affecting the sustainability of CATS outcomes in terms of measurement are:

- The adoption of a clear protocol for measurement that is shared at national level and by all implementing agencies;⁵²
- The existence of clear and consistent definitions of ODF status and indicators to measure status over the lifespan of the programme (and afterwards);⁵²
- The inclusion of indicators related to sustained behaviour change and adherence to ODF status (e.g. existence of formal and informal rules and by-laws prohibiting open defecation). In addition to consistency in M&E, in order to assess the longitudinal trajectory of change in sustainability, it is important to capture developing improvements or enhancements.

The measurement of CATS outcomes has led to the current debate around the very definition of what ODF status is and how it can be measured in the long term, requiring the demonstrated adoption of a new social norm. At present, most countries still rely on primary and secondary indicators, which are only partially connected to the social norms dimension of CATS and a future impact study is likely to be required.

7.2 M&E systems

7.2.1 Global systems

Finding #20: The monitoring of CATS at the global level by UNICEF and/or others is under-developed

- Some information is systematically collected and reported to the global WASH level; the indicators are few and basic [# of countries, # of communities ODF, # of people ODF].
- This process can be supplemented by special small surveys and by more informal exchanges via webinars and calls.
- The GLAAS report includes data on some of the less tangible aspects of CATS—e.g. the enabling environment—and is a good complement to the limited data collected globally.

This finding covers thematically related material found in section 7.2.1

Data on the global implementation of CATS are drawn from country office programmes and information gathered through an internal reporting mechanism twice a year (UNICEF's WASH Section expends substantial effort to gather data from more than 50 countries).⁵³ Three indicators are consistently and regularly monitored at the global level:

- Number of countries implementing CATS;
- Number of ODF communities per country; and
- Number of people living in ODF communities per country.⁵⁴

Ababa. This paper includes examples of protocol steps and is especially interesting for the compilation of primary and secondary indicators in 15 countries where CATS is implemented.

⁵² This is for instance clearly identified as a key factor in the following review: United Nations Children's Fund, *Community-Led Total Sanitation in East Asia and Pacific: Progress, Lessons and Directions*, November 2012.

⁵³ Variability in the quality of data is reflected in the matrix used by the consultant for the country selection.

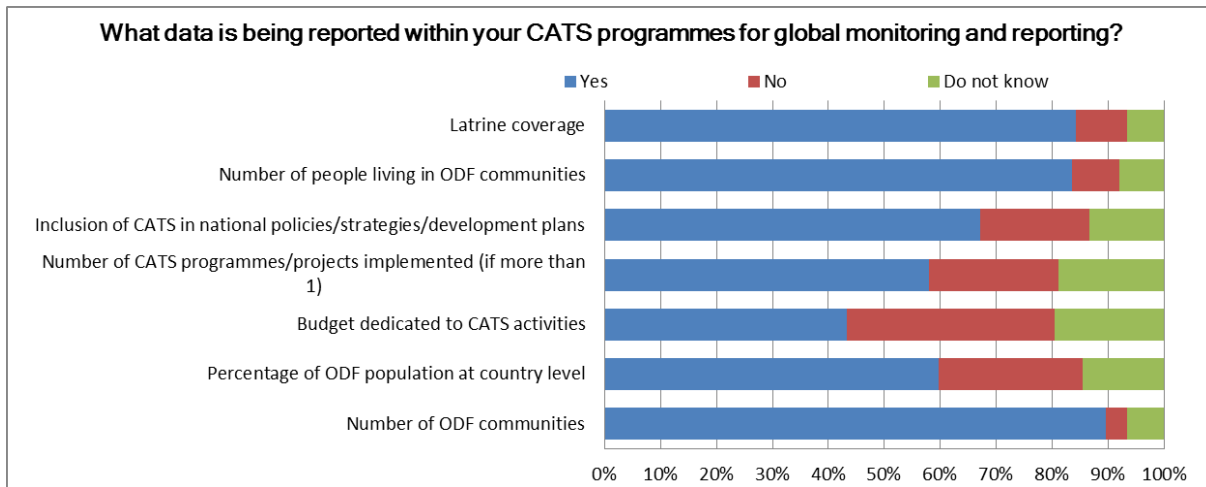
⁵⁴ In late 2012, the WASH Section conducted a rapid survey on the status of CATS in all countries where WASH activities were then being implemented. The survey generated a range of useful information, including whether or not CATS had been integrated into national policies and a list of partners involved in CATS implementation in each country. This survey was very useful to the consultant, especially for selecting countries to be visited. However, the survey was not compulsory for country offices so does not provide comprehensive data that could be used in the framework of the evaluation.

These data are very useful for providing ‘headline’ information on CATS. The collection and presentation of global systems data (e.g. on human resource and finances) currently falls within the remit of the biennial Global Analysis and Assessment of Sanitation and Drinking-Water (GLAAS) report. Significantly, the evaluation team found that it is feasible to evaluate some of the less tangible aspects of CATS, including elements of the enabling environment. In fact, the overall assessment of the team is that this aspect is particularly strong across the board, which means that CATS has been influential in the national policy process.

There is an opportunity to aggregate CATS national data to supplement the existing global picture. While the evaluation team is not suggesting that this needs to be done by UNICEF, it reinforces the call for a more united international approach to M&E in the sector.

Figure 20 summarizes the responses from the online survey for the question on global data reporting. The evaluation team has noted that as UNICEF only collects three indicators globally, it is possible that the respondents may have interpreted the question in terms of data that is collected nationally but that could contribute to global reporting.

Figure 20: Data being reported for global monitoring and reporting



Source: Online survey, question 53

7.2.2 Country- and local-level systems

Finding #21: National and sub-national CATS M&E capacity building is occurring but is presently also quite basic in most countries

Government WASH M&E systems normally do not gather CATS relevant information (e.g. OD, hygiene behaviours, social norms)

- UNICEF is working to build government WASH M&E capacity and to harmonize M&E standards and protocols across actors in the sector.
- This is the correct strategy even if it takes longer, since it assures ownership and sectoral consistency.

This finding covers thematically related material found in section 7.2.2

At the country level, UNICEF’s policy is to rely as much as possible on existing government-led M&E systems, especially in countries such as India where ‘pre-CATS’ programmes have already developed their own systems. This has proven to be difficult, especially considering the initial weakness of sanitation M&E systems in many countries, especially in Africa, where sanitation only recently became a priority and

where M&E systems, when they existed before CATS, only took into consideration the number of latrines constructed and largely ignored aspects related to open defecation, hygiene-related behaviours and social norms. However, the advantage of putting the M&E system in the hands of the government is that it enhances national ownership.

While the arrangements for monitoring CATS varies considerably between countries, in most cases they are carried out within the overall framework of the national M&E systems, including through the use of sector working groups. The variety of approaches is highlighted by the responses to online survey question 52, which indicated that the management of CATS-related M&E is carried out directly by the government in 25 per cent of countries, by UNICEF staff or consultants in 25 per cent and by partner NGOs in 50 per cent.

These M&E systems are structured around data collected at the local level, with one or two intermediary levels depending on the size and administrative complexity of the country and the institutional arrangements in place. In a few countries M&E is carried out through a third party agreement (Pakistan being the best and most successful example) or with the involvement of a specialized M&E consultant (India to some extent).⁵⁵

Countries typically monitor a range of indicators at household and community levels. While some indicators are common across countries, definitions vary (e.g. household vs. community achievements, ODF claimed and/or ODF certified, inclusion of shared latrines, standards of latrines, inclusion of hand washing facilities, etc.).

Overall, monitoring of both outputs and outcomes is a strength in most of the country programmes visited, resulting in quality local-level data. There are also good examples of broader 'enabling' factors being established as indicators (found in Mozambique).

Different implementation arrangements give rise to a number of context-specific concerns, particularly with respect to self-reporting and verification processes. These can be quite subtle; for example in Mozambique, third-party (government-led) evaluations are conducted annually as part of the process of awarding ODF status. This has led to concerns around consistency in understanding of the certification standards (but has not affected the quality of the verification process in itself).⁵⁶ The key finding is that it is a common understanding across stakeholders within a country that is most important, as the long-term monitoring goal is to identify the trajectory of change in ODF status.

A broader concern is the extent and robustness of systematic monitoring of post-ODF sustainability. Findings from the country visits indicate that there is little post-certification monitoring of continued adherence to ODF and the extent to which communities adopt additional supporting behaviours. Subsequent to implementation, while headline data will be reported via the JMP, this does not provide adequate detail to develop corrective change at programme level.

Capturing diffusion is also an important aspect of CATS M&E. There is evidence that spontaneous diffusion of CATS occurs in a significant number of cases. However, additional information about this diffusion (reasons, mechanisms and results) is not readily available at present.

The country visits indicated significant overall concern with regard to the sustainability of the M&E systems themselves, particularly given the challenges of capturing post-ODF data. While some issues can be resolved through inter-country exchanges and capacity development for partners, local capacity also needs to be addressed. This is likely to be challenging in all countries, including those such as India, with its long history of functioning local government structures. This will become increasingly important given the developments in a number of countries of moving beyond community/village-level towards declaring

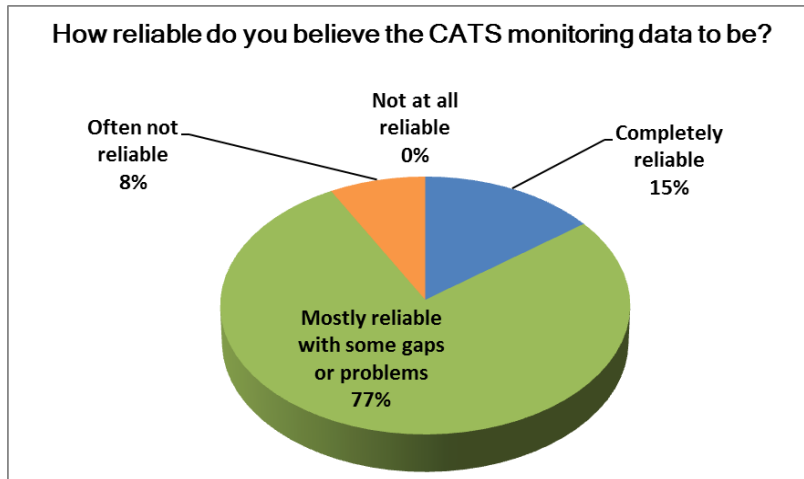
⁵⁵ In India, instances were noted where UNICEF-supported CATS work has independent reporting, but this is not necessarily the case across the national programme.

⁵⁶ There is significant and growing concern voiced as a result of the national evaluation / certification visits. This has identified an apparent mismatch between the number of communities that NGOs propose for ODF certification and the number that gain certification during the evaluation visits. These communities are not only within UNICEF's programme, but also within PRONASAR.

ODF-districts⁵⁷ Sustainability of the M&E systems is an understandable concern where it depends on external funding.⁵⁸

Periodic independent evaluation (as distinct from monitoring) may be important to accurately measure the sustainability of CATS. In India, the evaluation team found a particularly good example of the systematic evaluation of CATS, led jointly by UNICEF, which looked at how the benefits of social mobilization achieved through CATS can be applied to lever wider change in other sectors.

Figure 21: Reliability of CATS monitoring



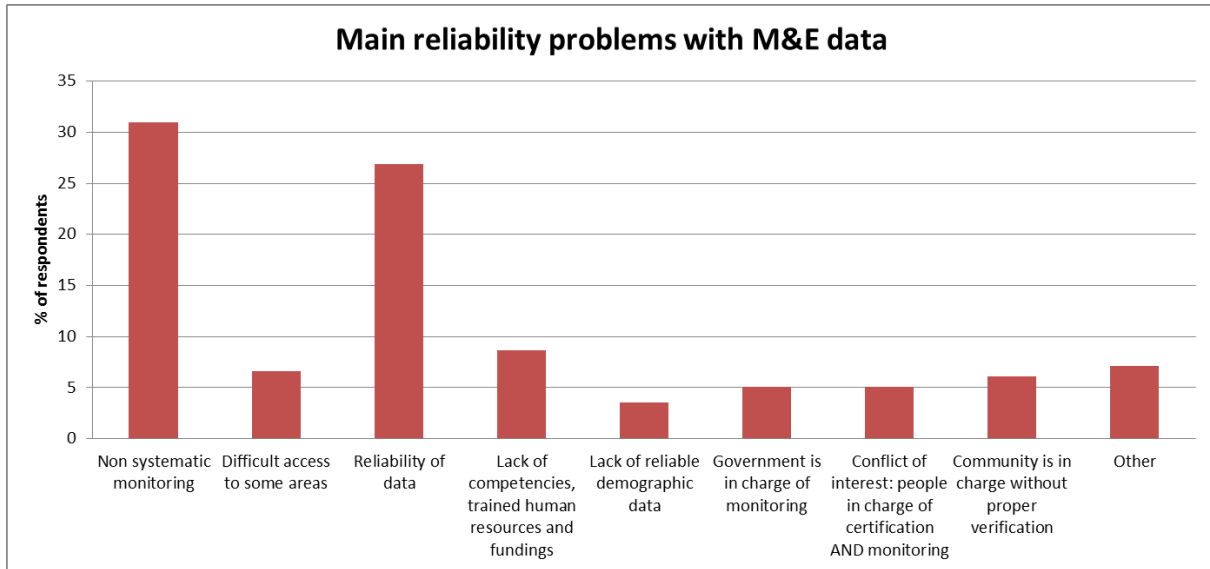
Source: Online survey, question 54.

As shown in Figure 22, a majority of respondents to the online survey, as well as the participants in the ‘sustainability’ webinar, further cited reliability of data and non-systematic monitoring as significant problems.

⁵⁷ A previous independent evaluation in Nepal also highlighted this as a serious problem in terms of post-ODF monitoring and follow-up. See Cotton, A.P., et al., WaterAid Nepal Country Programme Evaluation, London UK, 2013.

⁵⁸ In Sierra Leone a strong system of performance-based monitoring has been established using external funding.

Figure 22: Reliability of M&E data



Source: Online survey, question 54.

7.2.3 Supporting M&E for CATS

The monitoring and evaluation of CATS programmes remains a ‘work in progress’ for UNICEF. The evaluation team found that the three global indicators currently used are appropriate and that their collection should be continued. The team further found that UNICEF has a key role to play in strengthening national monitoring structures. Key actions in this regard include:

- Supporting a common understanding around indicators and definitions among partners;
- Supporting the periodic evaluation of ODF status as a means of strengthening monitoring systems;
- Improving the ability of monitoring systems to capture post-ODF sustainability; and
- Supporting increased M&E capacity within local governments.⁵⁹

7.3 Evidence of adherence to ODF and lasting behaviour change

Finding #22: Erosion of gains because of regression to OD behaviour is a major challenge; too little is known about sustaining gains.

- A number of factors that promote sustainability are already well known by practitioners [e.g. policy commitment, flexibility etc.].
- Post-certification follow-up and reinforcement measures are not systematically done.
- Slippage can be significant and fairly rapid, indicating weak adherence to new norms, or more tangible problems (poor quality latrines, weak supply systems).
- M&E for sustainability issues is weak.

This finding covers thematically related material found in section 7.3

⁵⁹ It is important to note that this issue is relevant for all sectors and that there are risks inherent in one sector driving ahead without considering the responsibilities of local governments within other sectors.

Adherence to ODF emerged as an important concern during the country workshops. However, evaluating to what extent communities and households adhere to ODF status and long-lasting hygiene behaviours presents a number of methodological challenges. There is currently a gap between the monitoring systems in place in most countries (which focus on outputs and rely on proxy indicators such as hand washing) and the effective measurement of social norms evolution and long-term sustainability.⁶⁰

7.3.1 Factors affecting sustainability

The evaluation team made a distinction between short-term outcomes (which are at the forefront of UNICEF programming) and the factors required for achieving sustained impacts. This can be shown via a 'spectrum of sustainability':

Short-term outcomes	----->	Long-term impacts
Reinforcing activities to sustain ODF and other behaviours	-----> Increasing sustainability	Many elements, including institutionalized changes to the enabling environment

The 'sustainability webinar' provided helpful insights into factors that affect sustainability, including the following:

- High-level buy in, with a shared understanding of outcomes, is a foundation for sustainability;
- Engagement of all levels of government, including clarity around roles, is significant for both implementation and the future monitoring of results;
- A better understanding of the cost of achieving long-term sustainability is needed;
- Findings ways to facilitate access to affordable solutions that enable households and communities to stay on / move up the sanitation ladder need to be considered as part of programme design and be contextually appropriate; and
- Adaptations that account for the fragility of social norms will be needed where CATS is implemented in fragile/vulnerable communities (e.g. targeted subsidies).

7.3.2 Current evidence on sustainability

Post-certification follow-up and application of reinforcement measures are not systematically done in all countries where CATS programmes are being implemented. While many reinforcement activities are being undertaken, within the current M&E systems it is not possible to relate the intensity of this reinforcement (or the type of activities undertaken) with adherence to ODF status. As a result, adherence to ODF status is currently not clearly measured and reported, which makes reaching a solid conclusion regarding the sustainability of the approach difficult.

However, some evidence on sustainability does exist. The evaluation team found that CATS programmes have had a strong influence on sanitation policy and strategy development, representing an important contribution to the enabling environment and sustainability. In Sierra Leone, the Poverty Reduction Strategy Paper (PRSP) "Agenda for Prosperity", prioritizes WASH in the government's development agenda and includes a commitment to increase the WASH budget to one per cent of Gross Domestic Product (GDP) by 2017 (from a current level of 0.35 per cent). The evaluation team's country visit concluded that the successful implementation of CATS had a significant role in catalysing this commitment.

There are also 'chicken and egg' situations that can arise with regard to the sustainability of CATS. In Mozambique the National Directorate of Sanitation wants further information on the cost of achieving sustainable sanitation services through CATS before fully adopting the approach. However, this information will be difficult to generate without further implementation in the country.

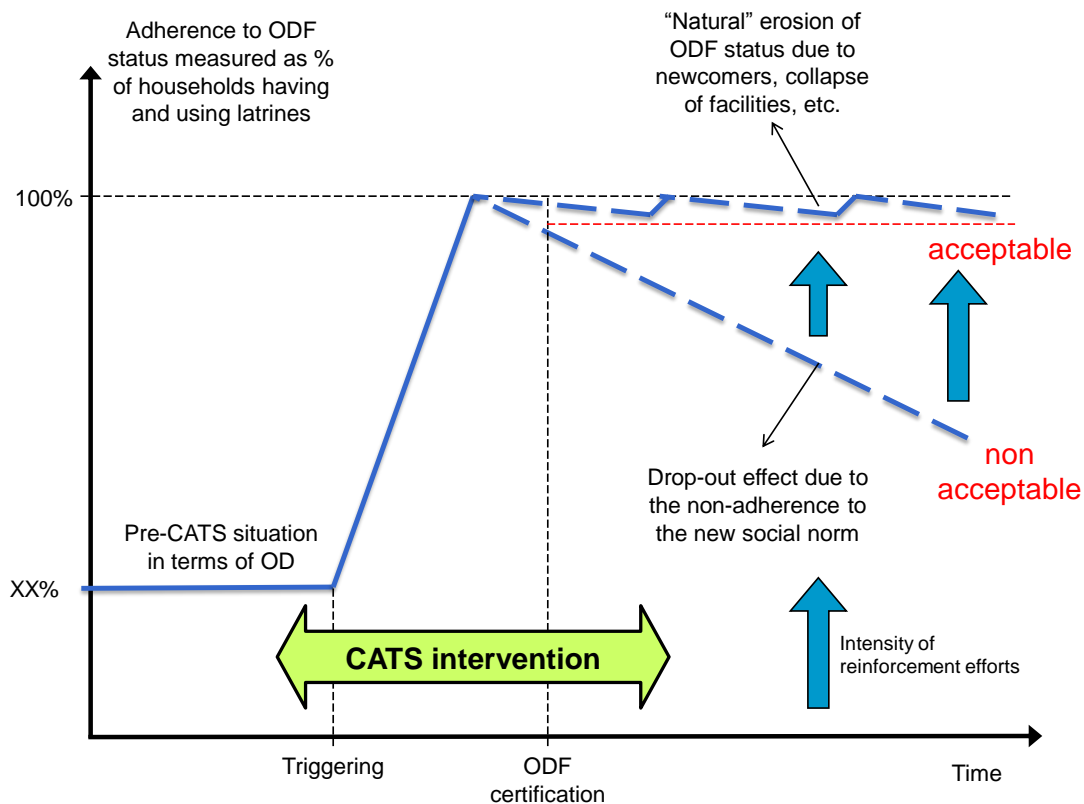
⁶⁰ There are a few exceptions of M&E systems using indicators that could be more directly linked to adherence to ODF status. In Vietnam, UNICEF monitors the number of households stopping OD (from the webinar discussion on sustainability).

Quantitative data are available for Mozambique, through the Sustainability Check report (2012). The report shows that overall sanitation sustainability within the programme was 69 per cent in 2012, compared with 80 per cent in 2011 and that the proportion of defecation-free communities decreased from 96 per cent in 2011 to 84 per cent in 2012. Although these decreases are considered to be 'satisfactory', they indicate a loss of impact from the CATS strategy and approach with time. UNICEF has introduced CLTS+ / ODF+ in the country (in the form of promoting improved facilities, with more durable latrines and hand-washing facilities) to address the frequent slippage from ODF status that occurs when basic latrines eventually collapse.⁶¹

7.3.3 Evidence of erosion and drop-out

As indicated by field observations, recent evaluations and the experience of implementers, there is a 'natural erosion' of ODF status within a community in the period after certification (the status being measured, for instance, by the per cent of households having latrines and consistently using them). This natural erosion is not due to a general lack of adherence to the new social norm created by CATS, but is caused by other circumstances such as newcomers in the community or a deterioration of latrines. This natural erosion can be considered acceptable if the effort necessary to maintain ODF status over time originates within the community itself (or with very light external support).

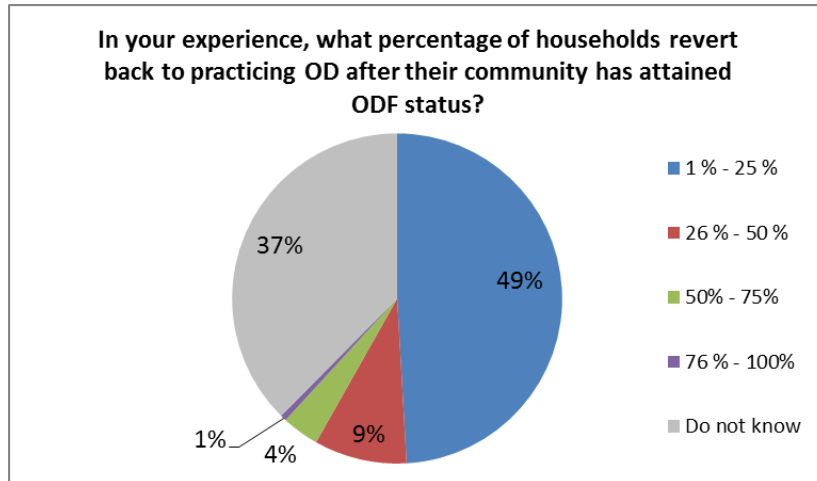
Figure 23: Adherence to ODF status over time



⁶¹ Interestingly, safe sanitation indicators have declined, primarily due to the change in definition of acceptable slab construction, which resulted in only 48 per cent of slabs being considered durable and easy to clean.

As shown in Figure 24, CATS implementers believe that less than 25 per cent of households revert back to open defecation after their community has attained ODF status. The key question is not whether there will be defaulters but how defaulters are dealt with within the community and what is the critical number of defaulters above which the social norm is put at risk. It was not possible to identify the 'acceptable' percentage of defaulters within the context of this evaluation as the absence of systematic monitoring of ODF status after certification does not allow measurement of the extent of this regression.

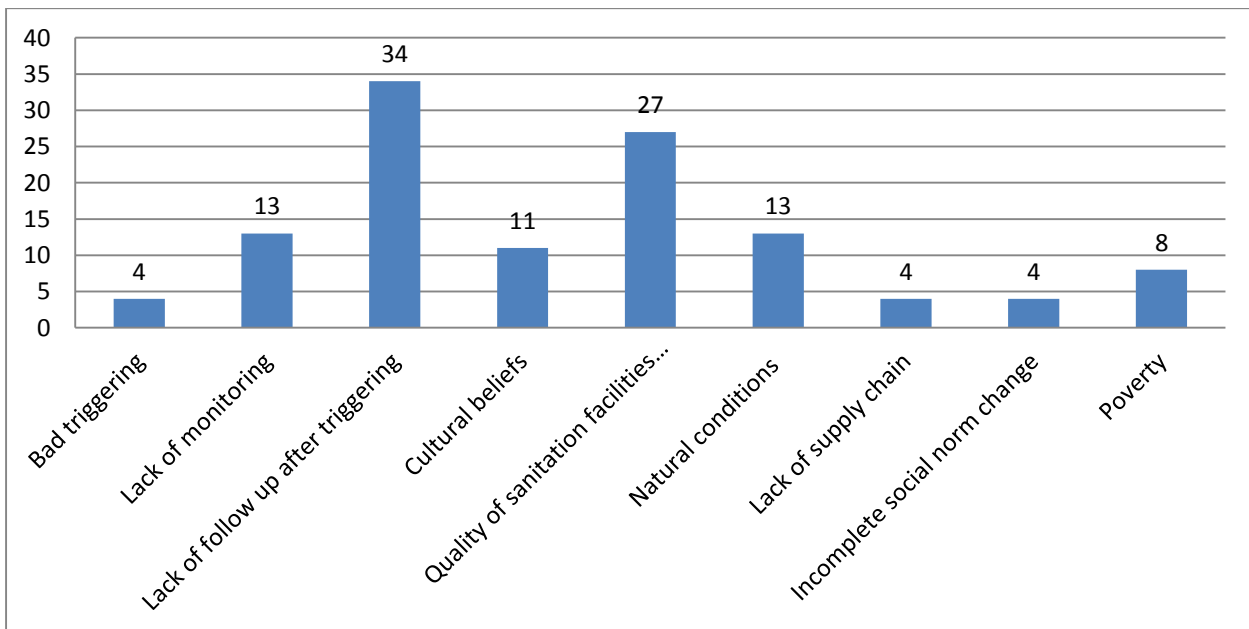
Figure 24: Regression to open defecation according to CATS implementers



Source: Online survey, question 48.

If dropout rates are not easy to assess, the reasons for reverting back to open defecation after a CATS intervention are well known. According to a majority of practitioners, lack of follow up after triggering and the quality of constructed latrines are the two main reasons for the regression of communities back to open defecation (with the lack of monitoring also mentioned by a significant number of respondents).

Figure 25: Reasons why communities revert back to open defecation



Source: Online survey, question 49.

Overall, the evaluation team found that the objective of 100 per cent ODF is feasible at a specific moment in time (at or near certification) but that this objective is not currently being sustained. The capacity of the community to deal with defaulters so their numbers can be held at an acceptable level is a critical requirement for long-lasting adherence to the new behaviours. Although there is no evidence on what this acceptable level is, this capacity would be an indicator that the new social norm is being sustained.

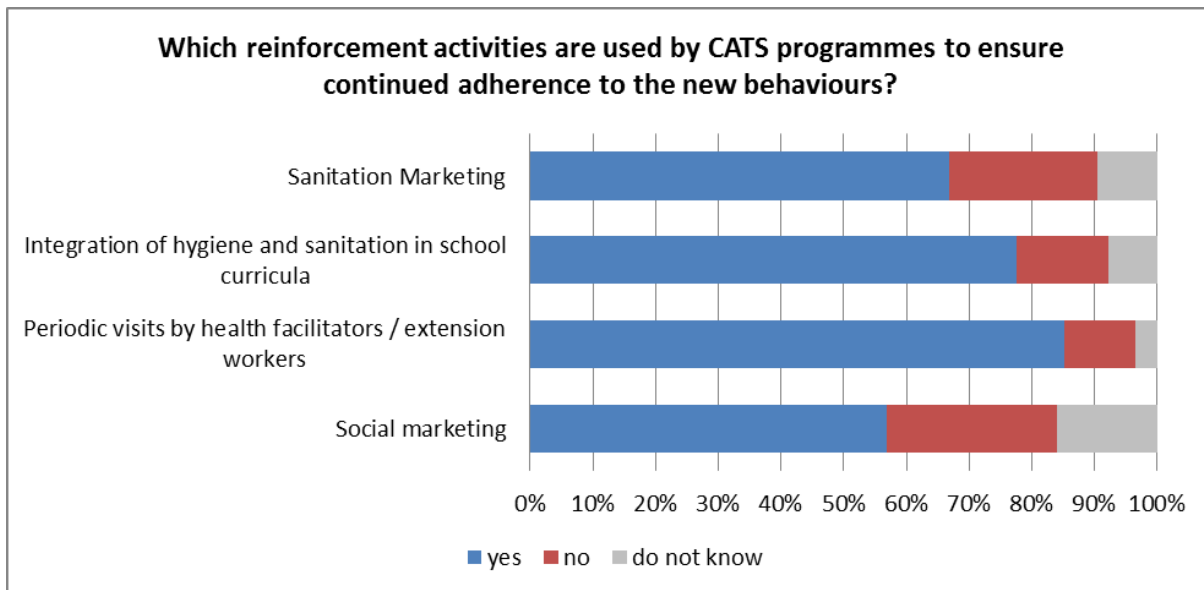
7.3.4 Reinforcement activities

While CATS programmes have been able to achieve rapid progress in eliminating open defecation, reaching ODF should not be seen as the end point. As CATS programmes continue to scale up in many countries, implementers need to integrate the post-certification phase into their plans and strategies, with particular attention given to:

- Quality of facilitation;
- Adequate capacity and resources for follow-up support and monitoring at all levels;
- Provision of technical support (adapted to specific contexts and vulnerabilities); and
- Development of affordable solutions that will gradually increase the durability of infrastructure (including through market-based approaches).

Currently, reinforcement activities are not systematically carried out across all CATS programmes. As shown in Figure 26, the online survey indicated that periodic visits of health facilitators / extension workers take place in 85 per cent of cases, however the quality of this support was not evaluated.

Figure 26: Reinforcement activities



Source: Online survey, question 41.

The reinforcement activities that are being undertaken vary significantly between countries. The adoption of additional positive behaviours was observed by the evaluation team in Sierra Leone, with many communities adopting a wider approach to a 'healthy living environment', including the use of dish racks, compost fences and clotheslines.

In Mozambique, implementing partners report that without regular (sometimes weekly) support visits following ODF certification, communities quickly revert to past practices (although this is often in relation to hand-washing practices rather than open defecation). While it is very resource intensive, many NGOs find PHAST, through which community meetings and one-to-one visits are used to address 'resistant' families, an appropriate tool to encourage on-going adherence.

7.3.5 Progressing up the sanitation ladder

Finding #23: CATS programmes are having little success in inspiring households and communities to move further up the sanitation ladder after attaining the original ODF certification

- There is little evidence of households moving up the sanitation ladder from their initial latrine and set of behaviours.
- If CATS wants to inspire people to move up the sanitation ladder, it needs to measure post certification aspects.
- In some countries, this is being done via a CATS+ programmes and M&E processes. The additionalities tend toward quality of latrines; replacement of collapsed latrines; maintenance of visible ODF environments.

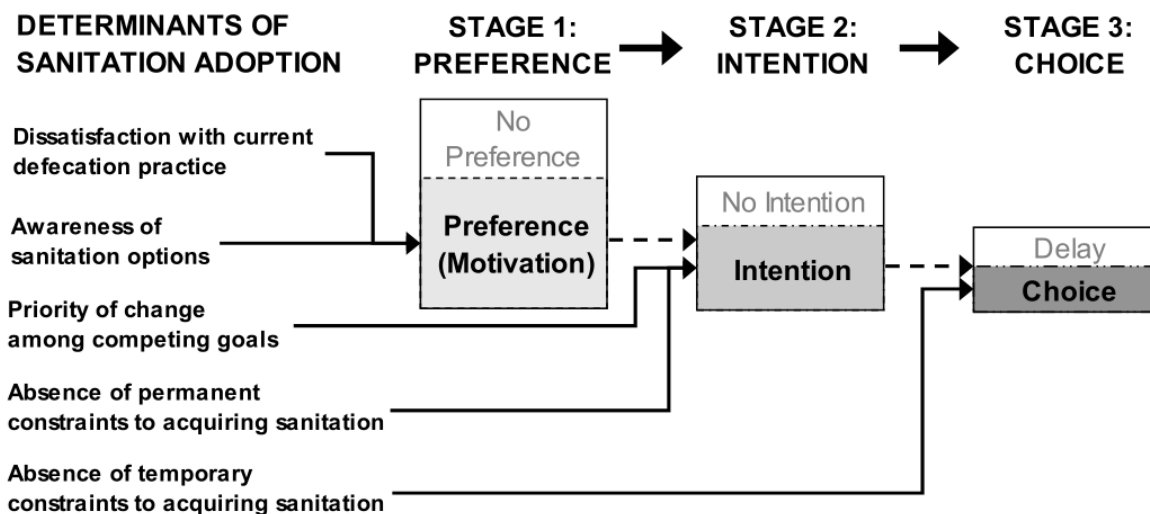
This finding covers thematically related material found in section 7.3.5

The evaluation has found very little evidence that households targeted by CATS programmes are progressing up the ‘sanitation ladder’ by adopting more sophisticated sanitation facilities after the certification process. The construction and use of improved latrines can be viewed as a reinforcing practice, in which case it does require some attention in terms of helping to retain ODF behaviour and reducing slippage, as considered below.

As CATS programmes are not prescriptive in terms of the technologies used, facilities constructed by households reflect their investment capacity at the time of the triggering. In Mozambique, ODF+ has been introduced (in the form of promoting improved facilities, with more durable latrines and a hand washing facility) to address the frequent slippage from ODF status when basic latrines eventually collapse and the community are tired of rebuilding them.

The effect of CATS programmes is therefore to shorten the process of adopting sanitation at the household level, a development which is usually described as a long, multi-step and complex process taking the household from preference to intention and then to choice.

Figure 27: The determinants of sanitation adoption



Source: Scott and Jenkins, 2006.

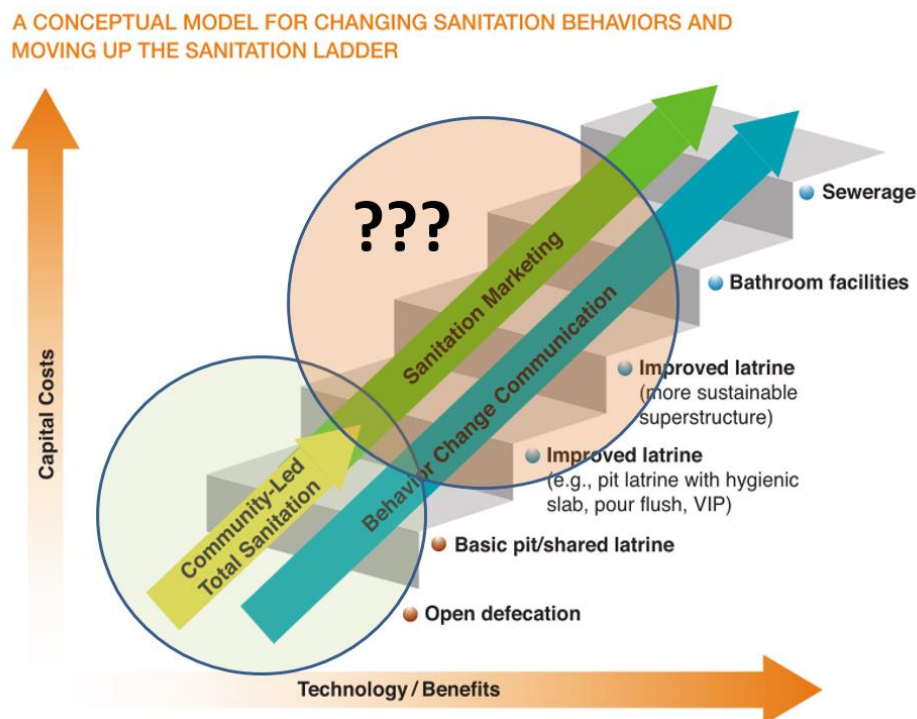
The process is shortened for at least two reasons. First, because individual motivation and intention are replaced by collective or community pressure, leaving no choice for the households who would have normally fallen into the 'no preference', 'no intention' or 'delay' categories. The second reason is that CATS removes the permanent or temporary constraints to acquiring sanitation by allowing households to select the cheapest technological option.

Once the community expectation becomes less intense (a few months after certification), households revert to the previous situation in which the decision to invest in new sanitation facilities (or into rebuilding existing sanitation facilities) remains a complex process constrained by a number of issues. The 'sustainability webinar' identified the following issues:

- Durability of latrines, including collapse due to difficult soil conditions, storms and heavy rain;
- Cost of more durable latrine materials;
- Lack of suitable latrine options;
- Poor supply chains, especially in remote rural areas; and
- Vulnerability of societies.

According to CATS implementers and key informants, the main challenge that CATS is facing in terms of sustainability is its exclusive focus on the 'bottom' of the sanitation ladder. Certification can be seen as the beginning of the process that will take households to sustainable access to sanitation. However, at present most CATS programmes are focused on achieving ODF status in a large number of communities, and do not have enough resources to dedicate to reinforcement activities. According to the prevailing conceptual model in the sector (see Figure 28), CLTS and sanitation marketing are seen as two consecutive steps. Current thinking around CATS has the potential to go beyond this conception by truly integrating CLTS and SanMark (and not restricting SanMark to a 'post CLTS' process).

Figure 28: The sanitation ladder – the currently prevailing conceptual model in the sector



Adapted from Jacqueline Devine, WSP, 2010.

7.3.6 Enhancing the sustainability of CATS outcomes

The sustainability webinar and country visits produced some very useful points, which may inform future discussions around sustainability. In summary:

- CATS is relatively new in many countries. The initial focus has been on achieving behaviour change (as opposed to the previous priority of constructing latrines).
- Enhancing CATS to incorporate a sanitation marketing phase is new, with results only recently emerging. In most countries, sanitation marketing needs to move beyond the traditional activities of training masons and entrepreneurs, towards reinforcing the supply side of sanitation. This requires a more comprehensive understanding of market demand, supply chains and mechanisms and motivations for private sector engagement.
- The development of supply chains must not jeopardize the widespread and extensive need for options to be available that are affordable and appropriate to the vast majority of rural households.
- Consideration should be given to the appropriate roles that other (non-WASH sector) actors can play, such as in promotion campaigns and the use of information and communication technologies. The achievement of ODF status across larger geographic areas (e.g. LGA-wide in Nigeria), may enhance the opportunities and potential for building markets and increasing the potential for private providers.

8 CONCLUSIONS

Conclusions will be presented according to the four evaluation criteria employed in the evaluation, i.e. outcomes, efficiency, effectiveness and sustainability.

8.1 OUTCOMES

The evaluation concludes that CATS has generally achieved planned results, i.e. reducing open defecation and encouraging the construction of latrines. The rapid scaling up of CATS in many countries has been a success.

The evaluation notes the following achievements:

CATS successfully achieves speedy and at scale results. Evaluative evidence shows that CATS achieves fast results as a whole in reducing OD and encouraging latrine construction. CATS has gone to scale quickly which is an important source of motivation for partners.

A high level policy alignment behind CATS has been attained in most settings. The evaluation found that CATS advocacy is leading to major WASH sector policy shifts away from centralised supply side approaches, but not in all countries. It concludes that UNICEF has played a very significant role in this shift and that UNICEF has been remarkably successful in almost all countries at creating an enabling environment for potential scaling up. Strategic partners accept most of the CATS principles within this shift. The evaluation also notes that alignment must go beyond sectoral partners, and needs to manifest in political willingness to recognise OD as a major issue. Partner alignment is seen at both the policy and the operational levels. At a strategic level CATS shows flexibility in overall approach and partner inclusion and management; the evaluation concludes that these are important success factors.

CATS programmes demonstrate operational flexibility, which has helped them adapt to the specific circumstances of diverse settings. CATS is also successfully innovating in certain programmatic aspects. All in all, the evaluation concludes that CATS programmes have been flexible in overcoming implementation constraints. Triggering for instance has been adjusted from CLTS principles in some instances, e.g. to fit better into African cultures. A diversity of partnerships, leading organisations, and institutional arrangements allow adaptation to national contexts. Evidence also shows that CATS is innovating with respect to programme implementation, e.g. in terms of cross-sectoral links with health and in terms of SLTS and children's roles.

The evaluation notes the following challenges:

Ensuring sufficient capacity of national implementers is a critical determinant of programme success. Involving sub-national authorities is a key success factor. The evaluation found that introducing and scaling up CATS requires major investments, especially in human resources/training/organizational capacity. Evidence shows that many governments have human resource constraints at different levels, suggesting that building national capacity is a primary means to overcome constraints. Evidence also shows that sub-national authorities often have a better understanding of programme realities than the central level, which is often under-informed because of an absence of systematic learning approaches. The evaluation concludes that CATS has been very successful in stimulating sub-national involvement and that UNICEF and partners have been good at creating implementation capacity in most places, but not everywhere.

CATS is better suited to certain social contexts but not exclusively so. It is widely recognised that CATS performs better in rural and cohesive social contexts. However, data collected as part of the evaluation case studies shows that CATS can be surprisingly robust even in social environments with many potential cleavages (e.g. caste, class, gender).

Subsidized latrine programmes can be a constraint on CATS unless carefully managed. Evaluative evidence shows that subsidized latrine programmes in general are a constraint on CATS expansion and on harmonization of approaches across the sector. Nonetheless (per India) major elements of the CATS principles can be integrated into a subsidized approach, with positive effects on overcoming supply chain problems and allowing poor families to afford better quality latrines.

Geology and weather impose important constraints that continue to pose technical design challenges. Evaluation field visits confirmed that remoteness and poor hydro-geological conditions can be major constraints on CATS success. Poor conditions combined with no subsidies leads to communities often being excluded from programmes or being abandoned after a first unsuccessful attempt.

Some equity concerns persist in CATS programmes, especially when the poorest of the poor cannot afford the building materials. The evaluation concludes that the rationale for geographic targeting of CATS programmes is strong, including for reasons of reducing equity imbalances. It finds that social exclusion is a theoretical outcome of by-laws when the poor cannot afford to build. Thankfully, this has not been observed in practice. The evaluation also notes that micro-financing options have been created and are successful in supporting latrine ownership by the poor but do not seem to be taken to scale anywhere.

8.2 EFFICIENCY

Overall, the evaluation concludes that CATS is highly efficient for three principal reasons: First, there is a short lapse time from triggering to completion of the output stage (ODF declaration). Second, CATS presents good value-for-money due to the principle of “no subsidies” and an efficient division of labour among partners. Third, CATS is successful in leveraging community investments (time, materials).

The evaluation notes the following achievements:

CATS is clearly a relatively low cost approach that leverages significant community and household investments. The evaluation was unable to document CATS costs due to absence of a common costing framework, the nature of costs, and the varied financing arrangements among diverse partners. However, as a general observation, costs are low, as would be expected from the model. Furthermore, the evaluation concludes that CATS has been very successful in ‘leveraging’ investments—i.e. there are high levels of investment (time, materials) by community members. Actual amounts leveraged can only be estimated; perhaps in the 2-3 dollars leveraged per CATS programme dollar spent. The evaluation notes that this is in contrast to many other WASH approaches. The evaluation notes that CATS costs are likely to grow over time as follow-up reinforcement actions and developing the supply side are both needed for sustainability.

Support to the operational costs of government and to award ceremonies can be incentives with a powerful mobilizing effect on leaders and government bodies. The evaluation recognises that ceremonies and other incentives create ‘positive momentum’ for bureaucracies and leaders, demonstrating how results can be achieved efficiently through focusing on the ‘software’ part of the programmes. Rewards were found to have a powerful catalytic effect on community behaviour. The rewards offered have been both monetary/tangible as well as psychological (recognition); varied models are seen across contexts. However, the evaluation notes that rewards can become known and expected and therefore act as disguised subsidies.

The evaluation notes the following challenges:

The factors to successfully scale up CATS have been identified but not all are being fully addressed in CATS programming. The evaluation notes that success factors for scale-up are well known within UNICEF: policy, strategy, and direction; institutional arrangement and partnerships; creating capacity at all levels; ensuring the supply side of the market works; ensuring financing. However, evidence shows that UNICEF has spent relatively less effort on some of these elements. For instance, regarding “supply side” factors, work on certain parts of the enabling environment has been sparse (notably private sector participation, financing mechanisms, and supply). Other obstacles to CATS efficiency have been lack of support at the national level and existence of subsidy-based projects.

There are three methods by which CATS programming spreads (diffuses): only one is systematically planned for and supported. Three types of diffusion are seen in the evaluative evidence: institutionalized (via scaling up approaches); organized/encouraged (reaching out to neighbouring communities); and spontaneous. Organized and spontaneous diffusion are rarely included as an objective in programme design. Spontaneous diffusion occurs, sometimes in apparently significant amounts. It spreads through different mechanisms including by natural leaders, by schoolchildren influencing parents, and by interest sparked by observing certification ceremonies. The evaluation concludes that spontaneous diffusion is not well understood yet needs to be. It is probable that it can be planned for and supported; building it into the M&E approach is a first step.

8.3 EFFECTIVENESS

As noted above, the evaluation of CATS outcomes suggests that CATS performs best in rural, socially cohesive contexts, but is robust even in social environments with many cleavages (e.g. caste, class, gender). Triggering is usually very effective. There is insufficient evidence to determine what contribution has been made to lasting social norms change.

The evaluation notes the following achievements:

There is strong evidence of individual and community movement away from OD tolerance to a new norm of OD unacceptability. The evaluation observes that movement toward the new norm occurs rapidly, especially when a good triggering phase is undertaken. The shift may take an interim shape of many individual changes before a collective norm has been set. Norms are visibly embodied in community rules, sanctions, and pro-hygiene practices (e.g. garbage collection). The evaluation concludes that in many of the assessed settings there is a clear shift in favour of ODF environments and social agreements to enforce them.

CATS programmes are very effective in ‘triggering’ community interest in becoming ODF. The evaluation concludes that triggering is among the components that must be well managed to successfully employ the social norms approach. It finds consistent triggering practices that follow CATS/CLTS principles. Disgust and shock are main drivers. They lead to community ‘energy’ that becomes pride at having taken care of the problem. The evaluation confirms that bad quality facilitation is a predictor of triggering failure.

It is possible to predict if CATS will succeed in the community from readily identifiable indicators, and to make adjustments or withdraw if the risk factors are present. The evaluation finds that successful implementation is dependent on proper application of the social norms approach [triggering, leaders, group decision/bylaws, monitoring] and that success factors are those predicted by and planned for by CATS—e.g. natural leaders, community cohesion mechanisms. It concludes that CATS conceptual understanding of this element of the process is very strong.

The evaluation notes the following challenges:

UNICEF staff and CATS partners are employing a social-norms approach to changing WASH behaviour without fully understanding or implementing it. The evaluation finds that UNICEF staff and CATS partners do not fully understand and fully implement the social norms aspect of the process. Instead, many still use older models (e.g. individual behaviour change rather than collective norms change; counting the number of latrines) as their reference point. Few staff have been trained in social norms theory, approaches, and application. It concludes that CATS is in a transitional stage where the new philosophy is being integrated but is not completely embedded.

8.4 SUSTAINABILITY

Some questions remain in terms of sustainability of results achieved, and in terms of the monitoring of these results. At present, there is insufficient evidence to determine the stability of the new social norm (ODF and hand washing). It is not possible to assess slippage back into open defecation due to lack of monitoring of new behaviours in the post-ODF certification phase. The strength of the enabling environment however is an indication of high potential for sustainability.

The evaluation notes the following achievements:

The enabling environment for CATS is generally strong. As noted above, CATS is well aligned with national WASH sector policies/strategies and CATS principles are shared by partners with high degree of ownership. In many settings, national ownership has led to strengthened institutional environments and more adequate, predictable financing. Evaluative evidence shows that support for CATS by local authorities in particular is generally robust.

ODF certification criteria have evolved toward a common set focused on short-medium term monitoring needs. The evaluation finds that the certification process and criteria vary by country but there is a core set of criteria that are quite consistent [no more OD; existence of latrines; existence of hand-washing facilities]. As a result, not only are the data consistent, but certification criteria are appropriate for programmatic decision-making throughout the programme implementation phase. One useful operational rule for the post-certification phase is to utilize a waiting period to see if the behaviours are sustained for a few months from the moment the community declares itself ODF.

The evaluation notes the following challenges:

The monitoring of CATS at the global level by UNICEF and/or others is under-developed. Evidence shows that some information is systematically collected and reported to the global WASH level; the indicators are few and basic [# of countries, # of communities ODF, # of people ODF]. This process can be supplemented by special small surveys and by more informal exchanges via webinars and calls. The GLAAS report includes data on some of the less tangible aspects of CATS—e.g. the enabling environment—and is a good complement to the limited data collected globally. However, no system is in place that would routinely feed monitoring data into decision-making processes.

National and sub-national CATS M&E capacity building is occurring but is presently also quite basic in most countries. Government WASH M&E systems normally do not gather CATS relevant information (e.g. OD, hygiene behaviours, social norms). UNICEF is working to build government WASH M&E capacity and to harmonize M&E standards and protocols across actors in the sector. The evaluation concludes that this is the correct strategy even if it takes longer, since it assures ownership and sectoral consistency.

Erosion of gains because of regression to OD behaviour is a major challenge; too little is known about sustaining gains. A number of factors that promote sustainability are already well known by practitioners [e.g. policy commitment, flexibility etc.]. The evaluation shows that post-certification follow-up and reinforcement measures are not systematically done. Slippage can be significant and fairly rapid, indicating weak adherence to new norms, or more tangible problems (poor quality latrines, weak supply systems). The evaluation concludes that M&E for sustainability issues is weak. In particular, indicators are not well positioned to measure social norms change, especially not in a way that can anticipate slippage and guide reinforcement efforts.

CATS programmes are having little success in inspiring households and communities to move further up the sanitation ladder after attaining the original ODF certification. There is little evidence of households moving up the sanitation ladder from their initial latrine and set of new sanitation behaviours. The evaluation confirms that if CATS wants to inspire people to move up the sanitation ladder, it needs to measure post certification aspects. In some countries, this is being done via a CATS+ M&E process. The additionalities tend toward quality of latrines, replacement of collapsed latrines, and maintenance of visible ODF environments, among others.

9 RECOMMENDATIONS

Recommendation 1: Continue What Works

As a general recommendation, UNICEF is urged to maintain and scale up the aspects of CATS programming that are working well. Much of CATS success is based on the flexibility of the approach, with the CATS principles providing the overall framework for how UNICEF Country Offices engage at the national level. CATS has also been flexible at an operational level where it successfully draws from and adapts preceding approaches such as CLTS. These should be continued, and are not all repeated here. Worth special mention are the aspects where CATS has innovated and advanced the practice of rural sanitation programming. Examples in both categories include the following:

- Using non-monetary, pride-based community awards as positive motivation.
- Implementing CATS through government channels where feasible, while also including NGO and other non-state actors in a whole partner approach.
- Engaging at policy level to build a sound enabling environment; effectively adapting to national contexts by embracing the national culture and policy choices.
- Integrating the CATS M&E system into the overall M&E framework of the WASH sector.
- Integrating social norms concepts into CATS design and implementation.

Recommendation 2: Refine and Expand the Strategic Model

UNICEF and CATS stakeholders need to review their strategic model and ensure more effort is placed at the points where it is weakest. As practiced at present, CATS programmes have demonstrated good progress on establishing a supportive enabling environment, and to achieving rapid adoption of new sanitation behaviours through the operational flexibility of approach within a relatively limited set of favourable contexts. Subsequent attention to sustainability has been incomplete in many cases.

In a modified approach, the strategic model would continue the strong emphasis on the enabling environment, would broaden the efforts to more diverse and challenging contexts, and would place significant new emphasis on ensuring that the changed behaviours are sustained.

An important related issue is the strategic view of costs and cost effectiveness. An intended and achieved result of CATS programming to date has been a high level of cost-efficiency from the government and partner point of view. Once changes are made in reaction to this set of recommendations, it is likely that additional expenditures will be required in the short and medium term in many nations. UNICEF and partners will need to adjust their expectations about cost efficiency, which is likely to see a decline in the short term but an increase in the medium and long term through greater sustainability.

Recommendation 3: Fill Technical Gaps

UNICEF and CATS stakeholders need to revisit certain approaches that have resulted in technical gaps, especially where there are equity concerns. The major technical concerns are the following:

- Developing community-based approaches suited for peri-urban and urban environments;
- Addressing the set of issues hindering sustainability and the move up the sanitation ladder, especially in the poorer rural zones that have been the main CATS setting. This issue complex involves latrine design/infrastructure durability, geo-physical site challenges, supply accessibility, and micro-finance availability.

Recommendation 4: Deepen Understanding of the Underlying Social Dynamics

UNICEF and CATS stakeholders need to further refine the understanding of the social forces affecting community and household sanitation and hygiene behaviour. Through CATS, significant new understandings have been developed about the motivation behind sanitation behaviour and how to

achieve speedy, collective change. However, the social norms approach as practiced is not an answer for all of the behavioural questions. Issues where further understanding is needed include the following:

- Coping with communities that lack the social cohesion to make practicable the social norms approach;
- Understanding why people do or do not move up the sanitation ladder even when they can afford to;
- The reasons for individual, household, and group reversion back to OD behaviour (slippage);
- How to capitalize on the spontaneous diffusion opportunities that arise;
- How to reinforce new social norms with broad communications campaigns (for example, as part of ODF+ or CATS+ programming).

When this research has generated improved understanding, there will certainly be necessary changes in operational aspects of CATS programmes. These are not predicted here, but the recommendation extends to making those changes once the behaviour issues are better understood.

As a related issue, the organizations implementing CATS approaches need to train their staff more thoroughly on the social norms approach, especially if it is to be applied in more complex environments. Likewise, and together with correlated strategies to assist in the situations where it has reached its limits and much still needs to be done.

Recommendation 5: Improve Monitoring, Research and Evaluation

UNICEF and CATS stakeholders need to thoroughly review the monitoring and evaluation approach across the entire cycle of CATS programming. Areas requiring special attention are the following:

- Further developing M&E systems to capture (and demonstrate) sustainability of results, especially in the post-certification period. Areas deserving special attention are the Sustainability Check tool and the generally absent social norms indicators;
- Researching the relationships between short-term social norm adoption and the level of post-ODF support required to ensure long lasting adherence to the new norm;
- Developing a learning initiative to document and highlight good practices that would be effective at both national/local and at regional/global levels.

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ANNEXES

Annex 1: Evaluation Terms of Reference

Evaluation of the WASH Sector Strategy: Community Approaches to Total Sanitation (CATS)

1.0 BACKGROUND INFORMATION

1.1 Programming Overview

Progress towards the MDG Sanitation target has been slow. For decades there has not been a proven, scalable, cost-effective model that gives confidence for rapid further progress. CATS is a new and promising approach that has been introduced during the past decade in five continents. CATS is now operating in 50 countries in over 54000 communities with at least 103 million total residents. There are major efforts throughout Africa, South Asia, and East Asia. CATS aims for 100% Open Defecation Free (ODF) communities and associated key behaviors (e.g. hand-washing with soap). Implementers are asked to consistently utilize a set of interventions built around the 9 principles that are listed in annex A.

Community Approaches to Total Sanitation (CATS) is an umbrella term used by UNICEF sanitation practitioners to encompass a wide range of community-based sanitation programming. CATS share the goal of eliminating open defecation; they are rooted in community demand and leadership, focused on behaviour and social change, and committed to local innovation.

CATS can be applied at the country level through a range of methods, such as Community-Led Total Sanitation (CLTS), School-Led Total Sanitation (SLTS) and Total Sanitation Campaigns (TSC).

If successful in limiting sanitation related diseases, CATS will have significant direct and indirect impacts on child morbidity and mortality, stunting, education, and other areas. Monitoring data based on a consistent certification/ verification process indicate very high success rates in increasing access to safe sanitation compared to conventional approaches, and a global evaluation confirming this would encourage much wider adoption.

The CATS programs are fundamentally owned and implemented by national partners; leadership is normally taken by national and sub-national governments but often includes other actors within the nation. Community participation is a critical element. A key element is the introduction of a new Social Norm using strategies such as mobilizing the community to take a collective decision that leads to community implementation and oversight of related activities (household and school latrine building and use, hand washing etc). The approach is radically different from conventional efforts that focus on changing the behavior of households one at a time, and that heavily subsidize latrines.

Key UNICEF contributions to CATS include policy advocacy, social mobilization, counterpart capacity strengthening, community triggering, monitoring, and limited financial support. UNICEF is not the only organization supporting CATS programs. Other major supporters implementing similar approaches

include WSP, Plan International and SNV. There may be some variations in how CATS is implemented but for this evaluation the experience of UNICEF supported programs will constitute the evidence base.

Within the prioritization exercise to decide upon UNICEF's global evaluation agenda for 2012-2013, CATS was widely considered as a top priority. Consequently, it is one of 14 global evaluations to be started in 2012-2013. The UNICEF Executive Board approved inclusion of CATS in the 2012-2013 Integrated Monitoring and Evaluation Framework at its February 2012 session.

1.2 The programming to be evaluated

The actual work to be evaluated is the programming employed to realize the CATS objective (to achieve 100 per cent open defecation free communities through behavior change and generating demand for affordable, appropriate technology). In most instances, a common approach is used featuring these elements:

- Review of the existing sanitation and hygiene progress in the nation, the achievement gaps, and the existing knowledge, attitudes and practices regarding excreta disposal and hygiene;
- Fostering an overall policy among national stakeholders in favor of CATS as an approach to supplement or supplant other approaches being used;
- Designation of a geographic region or regions where CATS will be implemented at scale. It is possible that pilot locations will validate the approach in a smaller location, but the goal is always to operate at scale;
- Mobilization and training of multiple partners at both national and local levels: government partners, NGOs, community facilitators and local artisans, as well as donors, etc.
- Mobilization of entire communities (through pre-triggering, triggering and follow-up stages) to attain a commitment to reaching Open Defecation Free status and associated goals (e.g. equity);
- Community action [i.e. many communities in action at once] supported by the government, private sector and other partners;
- Monitoring of progress leading ultimately to a certification process where the community is declared ODF or not.
- Ongoing efforts by the community and reduced but still occasional support from the partners in order to assure sustainability and equity, and to encourage households to move up the sanitation ladder from ODF to improved sanitation facilities.

In most cases, the program is managed as a classic developmental effort employing the policy-program-project models. There is normally an integrity to the program—i.e. a consistent management of the entire effort and clear boundaries between areas and stakeholders that are in the program versus those that are not (although spontaneous diffusion occurs and is of interest to the evaluation). It is these programs that form the particular efforts to be assessed, and the lessons found within are to be aggregated into global findings.

CATS initiatives may occur where hygiene programs or policies have been implemented or in fact are still present. These are not considered to be critical confounding factors. CATS is designed to enable communities to integrate existing efforts that support ODF goals, or to foster changes toward ODF goals.

1.3 Where additional information can be found

To understand more about the location and magnitude of country efforts employing the CATS approach, details about the programme strategy, and other materials, please visit

http://www.unicef.org/evaluation/index_65678.html

2.0 PURPOSE AND OBJECTIVES

2.1 Purpose

The evaluation will examine, as systematically and objectively as possible, the effectiveness, efficiency, sustainability and outcomes of the efforts in CATS supported by UNICEF. While it will be based in national and sub-national level experience, it is expressly called upon to deliver global level findings.

Please note that there is operational research funded by other organizations that is, inter alia, investigating the impact of CATS on morbidity and mortality. True impact level results need not be considered or treated in this effort. This effort will focus on issues related to achieving successful implementation at-scale.

The main purposes of the evaluation are

- A. *To enable evidence-based decision-making:* to link attained CATS results back to the inputs, activities, and performance by UNICEF and other stakeholders, and thereby to determine any changes needed to make national partners and UNICEF more effective at CATS programming and to guide decisions about scaling up or not of the strategy;
- B. *To contribute to global learning:* to make available to the global communities interested in WASH, Education, and other topics the understanding about effective hygiene programming that will emerge, in order that they may alter the programs they support in light of the CATS evidence.
- C. *To promote accountability:* to verify the accuracy of claims made about CATS performance, and to examine the reliability of data used to assess CATS performance, in order to assure internal and external stakeholders of the accuracy of the evidence that is presented and the efficiency of the program they support.

2.2 Target Audiences

The target audiences of the evaluation are the following, with some audiences likely to utilize the results for all three purposes and others interested in just two or one of the purposes:

- The communities that have already implemented CATS and those that might if it is expanded, that wish to see their experiences and thoughts accounted for in a truly human rights based approach to programming
- Partners in the implementation of CATS programming, to determine if their investments are working and if the programs should grow in scale

- Donors and the technical community in WASH that wish to understand what works well or not in CATS in order to maintain, modify, or abandon their present programming emphases that do not include CATS approaches
- UNICEF, to judge if the overall efficiency and effectiveness meets desired standards, and to judge if CATS should be promoted for greater take-up by governments and funding bodies; also, to identify operational improvements in monitoring, oversight etc to reduce risks and improve the positive outcomes

A communication approach to ensure the dissemination of the results to the different audiences by appropriate means is envisioned, but is not included as a task within the TOR.

2.3 Evaluation Objectives

This TOR does not include an extensive and mandatory list of questions that must be answered in the evaluation. However, the objectives that are described will all be present and the key topics concerned will have to be covered. For the team winning the contract, it will be a task of the inception period to arrive at a final set of questions in consultation with stakeholders and in light of the opportunities to gather data from existing and new sources.

Annex 2 of the TOR presents a draft set of specific questions that will form the basis for refining the final set during the inception period.

- A. **Outcome Objective:** To summarize the results achieved at the output and outcome levels and to validate the quality of the evidence.

Note: While each country may set its own objectives at the outcome level, the global guidance advises that a minimum set of objectives be established covering the following: 1) Open Defecation Free communities (Total Sanitation); 2) the population using latrines; and 3) the societal expectations concerning sanitation . The adherence to the global standards is a major point of interest in the evaluation, even if nations have additional objectives of their own.

Key Topics:

1. How success is defined and measured, including the evidence against the global standards
2. The quality of the evidence behind those claims
3. Claimed achievements, including specific attention to non-success.
4. Contrast with the pre-CATS situation and the secular trend in sanitation
5. Comparative success in different contexts (geo-physical, policy, social)
6. Existence of unintended consequences, whether positive or negative.

- B. **Effectiveness Objective:** To determine the key social and technical factors for success (or failure) and the key adaptations to ensure relevance in varied contexts.

Note: Evidence to answer the questions in Sections B, C, and D will come from different programming settings. Where there is a common practice across settings, it is important to stress the similarity. Where there are substantial variations in practice, the advantages and disadvantages of the variants should be noted.

Key Topics:

1. The information and factors to consider in deciding whether CATS is relevant for a setting.
2. Successfully 'triggering' the program at the community level, with attention to equity.
3. The rationale and experience with different program approaches (voluntary/mandatory; all communities/communities bypassed)
4. Utilization of the 'social norms ' approach to community mobilization [The Social Norms approach encourages the community to set standards of behavior for its members who then are expected to abide by them, with peer pressure and social expectation assuring adherence rather than the policing function of government service providers].
5. Evidence for the changes in social norms for open defecation
6. Universal and optional elements of CATS, and the bases for deciding which to include by context.
7. Targeting the right mix of partners, defining roles, and achieving consistent good performance.

- C. **Efficiency Objective:** To define the set of financial and managerial factors that achieve or hinder the attainment of maximum efficiency/value-for-money

Key Topics

1. The types of costs incurred in CATS programs, and the cost drivers that managers must monitor.
2. Whether generic cost models can be developed for the pilot and going to scale phases.
3. Where cost burdens fall and their impact on social acceptance and project success.
4. The experience with financial incentives and subsidies, and their impact on costs and results.
5. Whether spontaneous diffusion occurs and how it affects results, costs, and sustainability; whether it can be planned for and supported.
6. The key elements of the enabling environment--i.e. the large scale institutional framework-- needed to authorize and support CATS in a nation and at scale
7. How to work with strategic partners to achieve the best enabling environment
8. Building a positive relationship between strategic partners and implementing partners.
9. How well UNICEF has met its accountabilities as a strategic partner and as an implementing partner; where UNICEF specifically could improve.

- D. **Sustainability Objective:** To understand what is required to improve the long term adherence to the new behaviors.

Key Topics

1. The evidence for continued adherence to ODF practices after certification, and an analysis of which of the core elements seem easiest and hardest to sustain.
2. Reasons for regressing back to OD practices, and which populations are most at risk.
3. The best reinforcement efforts of WASH sector actors to support long term adherence.
4. The relation of ongoing costs and cost burdens to adherence and abandonment
5. Actions/investments that can be taken in the mobilization and implementation phases that can improve long term sustainability.

3.0 METHODOLOGICAL CONSIDERATIONS

This will be a mixed methods evaluation. The following offers guidance on the potential data sources and design issues. It is not a mandate to include any particular point unless a specific requirement is mentioned.

3.1. Data Sources

3.1.1 Existing Information Sources: Project and Sectoral Documentation

There are three sets of documentation that can be exploited:

- The operational material based in country and regional offices--and sometimes collected at HQ-- offers a deep but incompletely archived documentary set. Items that are most commonly available include global monitoring data from 50 countries indicating direct and indirect beneficiaries, planning tool kits, field notes, and training materials. Less common but occasionally available are items such as systematic reviews and evaluations
- This WASH/CATS specific information is sometimes consolidated into more thoughtful and comprehensive statements within Annual Reports and periodic reviews (e.g. Mid-Term reviews). However, it cannot be guaranteed that a particular office will have done a good summary reflection.
- The specific documentation gathered by the WASH Unit in UNICEF HQ, which may include content from the two bullets already noted and any of the sources mentioned below, as well as information reflecting global thinking and policy, overall guidance etc. The more relevant types of documents and/or key particular pieces are known to be available including CATS guidance and review documents from IDS, WSP, Plan and others.

There may in addition be other small collections or discrete documents that can be useful that are presently not identified.

3.1.2 Existing Information Sources: Quantitative Surveys and Evaluations

There are two additional data sources that measure more directly program baselines, outcomes, and impacts.

- Completed evaluations and baseline studies/surveys directly [e.g. a CATS project baseline] and indirectly linked to WASH/CATS [e.g. a rural water project baseline with limited sanitation information]. However, the number of relevant items is not known, and may be small. For this evaluation, a collection exercise will be undertaken by UNICEF and the documents provided to the consultants with guidance about the most relevant items. Although a systematic assessment of quality of WASH related evaluations has not been done, all evaluations completed since 2009 have been quality reviewed, and the evaluators will have these ratings to guide them in determining which are trustworthy.
- Of particular importance is a review of CATS to be conducted in the East Asia and Pacific Region by UNICEF and regional partners (Plan International, WaterAid Australia, and WSP-EAP). It will examine the comparative strengths and weaknesses of the present practice of CATS in the region. The review should be completed by October 2012 and will cover many of the themes of this evaluation. While it will not probe as deeply into some topics, it will benefit from a multi-agency perspective. It is hoped that this work will greatly reduce the direct effort required under this TOR for the East Asia region

It is widely known that WASH data are collected within a variety of household surveys. The most standardized are the Demographic and Health Surveys (DHS) and the Multiple Indicator Cluster Surveys (MICS). However, neither DHS nor MICS surveys typically sample at a scale sufficient to contrast ODF free regions with others, nor do they normally collect much data about hygiene practices. Consequently, it is not thought that these survey data will be very useful. All publicly available MICS data can be viewed at www.childinfo.org. The raw data files are accessible if necessary.

Despite the several uncertainties, the overall availability of quantitative data is considered enough that the technical bids and the team composition should show a level of statistical analytic competency.

3.1.3. New Information Sources: Key Informant Interviews/Focus Groups

Institutional memory is lodged with individuals more than the documentary record. The great majority of those that have developed and implemented CATS programs are still present within UNICEF or in partner organizations. There are experts in other developmental organizations that have critically assessed CATS or linked strategies.

UNICEF can help provide a list of key informants and counterpart persons and institutions, based on criteria the consulting firm will be invited to suggest. The consultants can assume that they will have a well-defined 'sampling universe' for interviews, focus groups, and surveys as discussed next.

UNICEF has web-based group speaking/learning capacities in most offices. Bidders can assume that most staff can be interviewed by web link if that is helpful, and that group web discussions can be organized at very low cost. Likewise, counterparts in countries that cannot be visited can be interviewed via remote technologies.

3.1.4. New Information Sources: Surveys and Blogs

The presence of persons and data in more countries than can be visited may justify a questionnaire-based outreach. This can be done via e-mail or by an intranet-based format. Bidders can assume that any UNICEF staff—individually or by group (function, sector, office type)--can be asked to participate in a survey. Response rates in major evaluations are typically 60% or higher.

An increasing percentage of staff are registered members of a Community of Practice (CoP). WASH staff members in UNICEF regularly interact with one another via Webex sessions or a comparable technology. These can be initiated and recorded as part of the evaluation. Related techniques are now also familiar to many staff (e.g. interactive Web Logs (Blogs) where staff members can pose questions, offer their experience, identify resources etc.) A blog space can be provided by UNICEF, but the consultants will need to design and manage the blog as part of their data gathering responsibilities.

Surveys directed at non-UNICEF respondents can also be conducted, such as counterpart technical staff. UNICEF will encourage the targeted persons to respond but cannot guarantee that they will. However, it is critical to note that the technical proposal should not include the collection of any new primary data from beneficiary communities. The information base is strong enough that no population based surveys are needed.

3.1.5. New Information Sources: Country Visits

A set of country visits is required in this evaluation. See next section for details.

A key part of the technical proposal will be an explanation of what the consulting team would try to accomplish during a country visit, including who they would contact and the methods they would employ.

It can be assumed that Country Offices will assist with arranging the visits, identifying respondents, gathering documentation etc. It is not the case that they will provide or absorb other costs (local researchers, travel, etc), which must be budgeted for in the financial proposal.

3.2 Design Issues

Please note that section 1.2 describes the programming to be evaluated, which is an important design factor. In short, the programs are normally discrete efforts with a dedicated management structure operating in recognized boundaries albeit at large or very large scales. Locating the programs and knowing which data originate from the program versus from other locales or programs is normally not a problem.

3.2.1 Opportunities for comparing CATS programs with other approaches

It is not required that, at a global level, UNICEFs CATS results or practices be compared to the hygiene programming approaches of other development organizations. However, it is desired that comparative or external perspectives should be factored into the evaluation. Bidders are asked to specifically address in their technical proposal how they would build in comparative or external perspectives

3.2.2. Sampling a Set of UNICEF Programs or Projects

The CATS approach is not universally applied. The relatively limited number of countries that implement it and their high engagement in the program means that there should be a greater than 80% response rate to any surveys.

Key informant interviews may be drawn from a more limited set of programs. UNICEF will provide any information requested on program size, spending, context etc to permit the consultants to identify a sample of key informants.

3.2.3 Country Visits

It is required that the proposal include technical details and costing for 4 country visits. At least 2 professionals from the consulting team must be on each mission. The technical proposal must indicate how long a visit should be and why that duration is recommended. Overall budget considerations preclude visiting more than 4 countries.

The country visits will be based on a purposive sampling strategy--i.e. intentionally going where the learning potential is greatest. The actual criteria will be developed jointly by UNICEF and the consultants. As part of the technical proposal, bidders are directed to explain the considerations they would recommend be used in the identification of case study countries. They are asked additionally to suggest an exemplary set of countries to include as case studies drawn from the material on CATS viewable through the website, in the understanding that the actual set will be developed consultatively in the inception report period.

The proposal should explain what portions of the objectives would be examined in the country visits, and the expected methods to be employed.

Costing the country visits offers some challenges. See the instructions in section 11.3.2 on handling this issue.

3.2.4. Phasing

The evaluation will occur in three phases, as follows:

- Inception phase, during which the methodology to be employed during the evaluation will be developed by the consultant and approved by the steering committee.
- Execution phase, during which the great majority of new data acquisition occurs and the major analytic work is completed
- Delivery phase, during which the report is written, reacted to and accepted, and the subsequent utilization and management response moments are completed. The consultants will have a very light role in the utilization and management response actions.

The calendar presented in section 9.0 shows an indicative time line for these phases.

3.2.5. Analytic Specificity

UNICEF is conscious that there are two types of questions posed within the questions sets:

1. Descriptive Questions/Issues: Successful responses involve well organized narratives about the visible and less visible facts of CATS (systems, processes, options, routines, decisions). The consultants' ability to digest and streamline a wide range of material will be paramount, but there will be less judgment called for than in the second type of question.

2. Normative Questions: Successful responses require the application of explicit and defensible criteria for weighing evidence to identify what has worked or not, and why. For all normative questions, the evaluators must be clear what is to be considered as a "good" standard and what is to be considered as a "poor" or "not met" standard. Where possible, UNICEF is looking for good practice benchmarking that will form the basis of quality design and assessment efforts in future CATS programming.

The technical proposals should present the organization's familiarity with existing CATS norms and its utilization of them in prior evaluative work. It should also discuss where it feels more work needs to be done to arrive at useful norms, and it should discuss the organization's competence in developing analytic norms when dealing with topics where they are incomplete.

4.0 ETHICAL ISSUES

Conventional ethical guidelines are to be followed during the evaluation. Specific reference is made to the UNEG guidelines. Good practices not covered therein are also to be followed. Any sensitive issues or concerns should be raised with the evaluation management team as soon as they are identified.

On two particular issues:

- The evaluation may have contact with children as informants or objects of study. In all contacts with children, the UNEG ethical guidelines regarding issues like confidentiality and not exposing the child to danger must be carefully respected.
- No participant other than UNICEF staff may be compelled to cooperate with the evaluation. UNICEF will direct staff to participate where needed.

5.0 ACCOUNTABILITIES

Responsibilities related to this consultancy will be divided as follows:

A)

5.1 Evaluation Team Leader

1. Oversight and management of team members.
2. Orientation and training of team members, data collection assistants where applicable
3. Responsible for meeting deadlines and quality of evaluation products
4. Principal authorship of final report
5. Design and facilitation of final workshop

5.2. Evaluation Office

1. Selection and orientation of the evaluation team
2. Liaison with the evaluation team
3. Collection of relevant internal materials
4. Facilitation of new data collection--e.g. set up intranet questionnaires; admin support to trips
5. Coordination of stakeholders
6. Securing agreement of country and regional offices for field visits
7. Review and acceptance of intermediate and final products
8. Authorizing payment

Important notes:

- a) The Evaluation Office will invite other key stakeholders to share in these steering duties but will retain final decision making power. These invitees will include persons from one or more regional offices.
- b) UNICEF may elect to designate a project manager for the evaluation. The project manager may share or have direct accountability for some or all of these items.

B)

5.3. Reference Group of Experts [Potential]

1. Key informants
2. Offer methodological suggestions
3. Peer review and comment on intermediate and final products
4. Participation in final workshop or review meeting.

5.4. Field offices (Regional and country offices)

1. Designation of a focal point for support.
2. Liaison with and introduction of evaluators to national educational counterparts and other partners
3. Organization of administrative and logistical support to evaluation team, including accompanying them on trips.
4. Provision of documents for review; being key informants
5. Review of field visit report for factual errors and omissions

5.5. UNICEF Management, includes various levels and sectors

1. Ensure a proper dissemination of the report
2. Develop and implement a management response

Accountabilities not included in the TOR will be discussed among the stakeholders and a final determination made by the steering committee.

6.0 STUDY TEAM COMPOSITION

6.1 Team Composition

The contractor will present a team of professionals; this work cannot be conducted by a single person. There is no minimum or maximum number of persons to be presented, as long as the team size and level of effort is convincing that the schedule presented in section 9.0 can be met

The mandatory competencies of the team are as follows:

- At least one of the persons must be a sanitation programming expert, with experience in or deep knowledge of CATS a major advantage.
- At least one of the persons must be an evaluation expert capable of developing the overall evaluation design and managing the various data gathering methods and analytic processes.
- At least one of the persons must have expertise in social analysis, with experience or deep knowledge of Social Norms theory and practical application a major advantage
- At least one of the persons must have expertise in financial analysis and economics relevant to the efficiency objective, with experience based in the WASH sector a major advantage

These requirements need not lead to 4 separate team members; persons with multi-skill sets can fill more than one mandatory competency. The levels of effort for each of the experts can vary substantially depending on the proposed emphases in the technical proposal.

Teams will be rated more highly to the degree that they can show these additional skills or competencies:

- Length of relevant work history
- Appropriate training/education
- Fluency in French
- Higher level statistical analytic skills
- Familiarity with UNICEF's programming strategies and organizational culture
- Knowledge of additional sectors involved in WASH/CATS programming (e.g. Education, Communication for Development (e.g. for the Social Norms items).
- Institutional support, if needed (e.g. administrative aides, document reviewers etc.)

6.2 Participation of present and former UNICEF staff and consultants

All current UNICEF staff may be involved only as informants or in other specific roles (e.g. member of the steering committee). They may not be evaluation team members.

Former UNICEF staff or consultants that have worked on WASH programming and CATS may be members of the evaluation team if they meet technical qualifications for skills, independence etc. Any prior involvement should be specifically noted in the technical proposal in order to work around any possible conflicts of interest.

7.0 PROCEDURES AND LOGISTICS

Not all contingencies can be forecast, so dialogue will be required. The following are a few specific points that can already be stated.

The consultants will provide their own computers. On an as-needed basis, consultants will be granted access to UNICEF data bases and necessary software to utilize them. This will include access to the UNICEF Intranet and permission to freely access all material found there. As noted earlier, certain telecommunications support can be expected (teleconferences, survey distribution) but the consultants must fully manage the events/processes that utilize these means.

For field visits and visits to UNICEF HQ consultants will be supported by UNICEF country and regional offices to the extent possible, especially in items like security advisories and facilitating contact with key informants. During country visits, the consultants will be expected to handle the following responsibilities:

- Accommodation, food, travel and appropriate insurance of the contractor's workers, both international and local. This includes life and health insurance, incentives, hazard pay.
- Transport and accommodation of government and/or NGO staff that are/were involved in program work and who will be resource persons to the study.
- Copying of information in hard copy or electronic form.
- Hiring and travel of local translators, interviewers, drivers, watchmen, etc.
- Renting of office space, computers, tape recorders, information technology, outside of what UNICEF will make available at sites where it has existing offices

Consultants will be covered by the usual terms and conditions with regards to security and evacuation in emergencies.

Consultants will travel under a consultant Travel Authorization, per UN regulations. Any additional costs incurred or changes from normal travel procedures shall be approved in advance by the management team.

8.0 PRODUCTS/DELIVERABLES

The formats for the deliverables will be determined later, but in general all written items should be in Microsoft Word and all presentations in PowerPoint. All documentation must be in professional level standard English.

8.1 Interim Work Products

1. Detailed work plan and timelines
2. Progress Reports (bi-weekly to start; may reduce to monthly after the inception report phase)
3. Draft tools
4. Presentation materials for steering committee meetings
5. Records of quality assurance routines devised and executed on sampling strategies, data processing and other activities, if requested.
6. Data files, survey data etc, if requested.

8.2 Final Products: Documentation

1. Inception Report (end of phase 1)
2. Final report (Outline and details to be developed with the reference group). A maximum page limit of approximately 50 pages is envisioned, with additional annexes expanding on the main text allowed.
3. A stand-alone maximum 4 page summary of the evaluation. A well written executive summary may suffice for this deliverable.
4. Accompanying visual material (if any) in final edited form.
5. Assessment of the evaluation methodology, including a discussion of the limitations. This may be presented as an annex within the report.
6. Self-contained PowerPoint presentation of up to 25 slides and complete speaking notes that summarizes the final report. This must be to a standard that it can be understood or presented by persons not on the evaluation team.

Critical note: The country visits are not designed to yield specific country case study reports. Thus, the bids should not include costs for case study reports. If a country office wishes to have such a report, it will negotiate this directly with the consultants and will sign a separate contract.

8.3 Final Products: Workshop

7. 1 feedback workshop: expected duration of 1 day exclusive of preparation time.

9.0. TIMETABLE

The following is an indicative time table for the study. The proposer is free to propose a different time table. Earlier delivery while maintaining quality standards will be favorably considered in the technical assessment.

Activity	Duration	Completion by (weeks from the date the contract is signed)
INCEPTION PHASE		
- Introductory work: meetings, document gathering etc.	2 weeks	Week 2
Inception Report, including: <ul style="list-style-type: none"> • Conceptual report • plans, protocols, analytical framework, and indicators; selection of countries and geo-areas for the study in each country; selection of in-country (or regional) partners if any 	2 weeks	Week 4
- Review of the study plan, protocol, analytical framework and indicators by steering committee	One week	Week 5
- Feedback and revision; acceptance of the inception report	One week	Week 6
EXECUTION PHASE		
- Various data collection strands of the evaluation	8 weeks	Week 14
- Country visits	4-5 weeks (within the 8 weeks)	Week 14
- Analysis	2 weeks	Week 16
DELIVERY PHASE		
- Preparation and submission of draft report (s)	2 weeks	Week 18
- UNICEF feedback on draft report	2 weeks	Week 20
- Preparation and submission of final report	2 weeks	Week 22
- Presentation workshop	1 day	To be determined
- Participation in 2 web seminars (different days)	½ days	To be determined

For purposes of calculating team member availability, bidders should assume that the contract will be signed on or about 15 October, 2012.

10.0. RISKS AND RISK MITIGATION

It is impossible to predict all the problems and risks that might arise. Those that are considered most likely to appear are the following:

a) Perceptions that the evaluation is an audit- or inspection-like compliance check. This could limit buy-in and perceived utility, engendering resistance and ultimately a lack of uptake of findings and recommendations. A pointed effort will be made from the outset to adequately communicate the evaluation's objectives, purpose and scope, and to underline the utility of COs' experience for fostering organizational learning.

b) Timing presents a major risk for this evaluation, in general and in particular around the 1 week proposed per country visit. Time for data collection will be tight. Country and regional office support will be necessary to ensure that time spent in country is well used and documentation sharing happens well before arrival, so that consultants can quickly begin with data collection and logistical issues resolved prior to arrival. In addition, bidders are encouraged to be forthright about whether they recommend a longer period, or the compromises they project emerging if that duration is maintained.

c) As noted in various places above, data availability, quality and consistency are to a degree unknown. The mitigation factors will be a comprehensive effort to collect data and sources, and the creativity and skill of the consultants in exploiting an evidence base that may have some gaps.

Conversely, the following common risks are not expected to be present:

- Threats to independence. The leadership of the Evaluation Office, the presence of a reference group, and a general ethic of respecting evaluator autonomy should ensure independence. The Evaluation Office is normally vigilant in explaining to all stakeholders the routines and ethics of independence and pro-actively resolving problems that emerge.
- Lack of conceptual clarity. The well-defined and commonly adhered to design of CATS should permit a clear logic model/theory of change to be formulated to guide the evaluation.

Unforeseen risks will be quickly addressed by the Evaluation Office and other stakeholders.

11.0. SUBMISSION GUIDELINES

11.1 Institutional Profile

11.1.1. Background Information

The proposer must provide the following background information about the company (the term company is meant to apply broadly to private firms, university institutes etc.):

- Date and country of incorporation
- Summary of corporate structure and business areas
- Corporate directions and experience
- Location of offices or agents relevant to this proposal
- Number and type of employees
- Financial statements of the two most recent financial years

11.1.2 Institutional Expertise and Experience

The proposer shall provide a minimum of three (3) references to clients for whom the proposer has carried out similar scope of project. UNICEF may contact references for feedback on consultants / services provided by your firm to support similar projects.

- Name and description of client company/organisation
- Names of senior individuals in the client companies who were involved in the Project (referred to) who are knowledgeable
- Scope and scale of Projects
- Services provided to client

11.2 Technical Proposal

11.2.1: General Issues

The technical proposal should minimize repeating what is stated in the TOR and should emphasize the conceptual thinking and methods the organization expects to utilize.

There is no minimum or maximum length. If in doubt, ensure sufficient detail.

Bidders may be asked to provide additional information.

Ensure that the level of effort to be committed by the different team members in each phase is visible within the technical proposal. That same information with additional cost data should feature in the financial proposal.

If it is proposed to hire local researchers or other affiliated institutions, the level of effort must be specifically identifiable in the proposal. Further, the experience of the organization in locating and supervising local teams must be described.

11.2.2: Specific Reminders

Keep in mind that the following specific items must be present, in addition to whatever other approaches and methods are proposed:

1. Presentation of a work plan in three phases, with details on the overall design and data gathering methods to be used.
2. Details of team members' relevant qualifications and the basic information about the organization submitting the bid.
3. A description of the plans to gain full value from the country visits, including the objectives, data to be sought, and methods to be used [see section 3.1.5 and 3.2.3 for details]
4. How a comparative and/or external perspective can be built into the work [see section 3.2.1]
5. A description of the bidders' familiarity with CATS and WASH analytic norms, deficits seen in the norms, and the ability to develop norms where they are absent [see section 3.2.5 for details].

6. The intended participation of any former UNICEF staff [see section 6.2 for details].
7. The level of effort is visible for all team members in both the technical (without price) and financial proposals (with costs).
8. The presence of any local researchers or others not normally full time members of the bidding organization, with a description of how they will be engaged and supervised [see section 11.2.1] for details].

All other contents are at the discretion of the bidder.

The RFP instructions also include particular requirements (e.g. non-use of child labor) that must also accompany the submission package.

11.3 Cost Proposal

11.3.1 Basic Bid Structure.

Bidders must submit a firm-fixed price bid.

The quotation will not subject to revision unless officially invited to re-submit by UNICEF.

The proposer will suggest a payment schedule for the contract, linked to unambiguous contract milestones.

The currency of the proposal shall be in **US Dollars**. Invoicing will be in US Dollars. Payment will be effected by bank transfer in US Dollars.

11.3.2 Budget Categories and Details

The budget should be presented in 3 categories: personnel costs, project costs, overhead costs. Sub-headings within the categories may be done at bidder's discretion.

Personnel Costs to include: Classification (i.e. job title/function) and rates for team members; duration of work for each. This information may be contained within a table showing expected level of effort per team member, by project phase. The level of effort must be visible in both the technical and the financial proposals, albeit without the costing data in the technical proposal.

If it is proposed to hire local researchers or other affiliated institutions, the costs and level of effort must be specifically identifiable in the proposal.

Project Costs to include: cost of travel, including subsistence allowances, travel by air, train, road, etc., telecommunication and miscellaneous expenses

For bidding purposes, bidders will employ the following 4 destinations for travel, local research etc costs. In fact the sites have not been decided and are subject to discussion, but employing the same set for all permits bid comparison. The four sites are Sierra Leone, Mozambique, India, and Indonesia.

Travel to the destinations finally selected will be on a cost-reimbursable basis. This is the sole budget component that will be charged this way; other elements will be firm fixed price.

Overhead, general and administrative expenses, fee to include: institutional overhead, fee/profit over and above overhead.

The Cost Proposal must include detailed item-wise quotations, based on the terms of reference and other relevant documents. Please note that travel costs and subsistence rates (lodging, food, local transport, incidentals) will be based on the lower of the rates proposed by the bidder or the official and prevailing United Nations rates. Bidders are encouraged to submit economical travel and subsistence costs. If information on prevailing UN rates is required, please submit a question as described in the RFP guidelines.

Note: Experience has shown that bidders often submit data using their own cost rubrics and not according to the three categories described next. This is acceptable as long as UNICEF can re-cluster the figures into the 3 headings.

All prices/rates quoted must be exclusive of all taxes as UNICEF is a tax-exempt organisation.

12.0 AWARDING THE CONTRACT/PAYMENT

Please be reminded that UNICEF has limited funds for this study, as UNICEF is a non-profit making organisation, raising all its funds through voluntary contributions. UNICEF will award the contract after considering both technical and cost factors, on the principle of best value-for-money.

Payment will be made only upon UNICEF's acceptance of the work performed in accordance with the Contract milestones. The terms of payment are Net 30 days, after receipt of invoice and acceptance of work. Earlier payment may be considered if discount for early payment is offered.

The Nine Core Principles of CATS/CATS

1. CATS aim to achieve **100 per cent open defecation free (ODF)** communities through **affordable, appropriate technology and behaviour change**. The emphasis of CATS is the sustainable use of sanitation facilities rather than the construction of infrastructure. The **safe disposal of infant and young children's faeces** in toilets is essential to achieving ODF status.

2. CATS depend on **broad engagement with diverse members of the community**, including households, schools, health centres and traditional leadership structures.

3. **Communities lead the change process and use their own capacities** to attain their objectives. Their role is central in planning and implementing improved sanitation, taking into account the needs of diverse community members, including vulnerable groups, people with disabilities, and women and girls.

4. **Subsidies – whether funds, hardware or other forms – should not be given directly to households**. Community rewards, subsidies and incentives are acceptable only where they encourage collective action in support of total sanitation and where they facilitate the sustainable use of sanitation facilities.

5. **CATS support communities to determine for themselves what design and materials work best for sanitation infrastructure rather than imposing standards**. External agencies provide guidance rather than regulation. Thus, households build toilets based on locally available materials using the skills of local technicians and artisans.

6. CATS focus on **building local capacities to enable sustainability**. This includes the **training of community facilitators and local artisans**, and the **encouragement of local champions** for community-led programmes.

7. **Government participation from the outset** – at the local and national levels – ensures the effectiveness of CATS and the potential for scaling up.

8. CATS have the greatest impact when they integrate **hygiene promotion** into programme design. The definition, scope and sequencing of hygiene components should always be based on the local context.

9. **CATS are an entry point for social change** and a potential **catalyst for wider community mobilization**.

Source: *The Essential Community Approaches to Sanitation (CATS)*, UNICEF, 2011

Potential Questions

- A. **Outcome Objective:** To summarize the results achieved at the output and outcome levels and to validate the quality of the evidence.

Note: While each country may set its own objectives at the outcome level, the global guidance advises that a minimum set of objectives be established covering the following: 1) Open Defecation Free communities (Total Sanitation); 2) the Population using latrines; and 3) the societal expectations concerning sanitation. The adherence to the global standards is a major point of interest in the evaluation, even if nations have additional objectives of their own.

Key Questions:

Achievements

- a) How is success defined? Is success defined the same way across nations or across program partners?
- b) What is the certification process used in different countries to validate success? What are the criteria used and how common are they?
- c) What is the claimed success rate within implementing countries using official certification criteria?
- d) How does this contrast with the pre-CATS situation in the CATS implementation zone, to the extent that baseline data is available?
- e) How does this contrast to the rate or progress nationally in non-CATS areas, over the time of CATS implementation?
- f) What is the evidence of impact from direct CATS work and indirectly through spontaneous or partially supported diffusion?
- g) Are there contexts in which the levels of success or failure are consistently different from other contexts?
- h) What elements of the CATS approach are the easiest and hardest to achieve?
- i) What is the evidence that CATS is reaching the poor?
- j) Do the sanitation facilities constructed under CATS programs meet the minimum criteria for an improved sanitation facility? NB: Joint Monitoring Program standards are to be used as a globally comparative indicator; conformity to national standards, if different, can also be assessed.

- k) Are there additional unintended consequences (either positive or negative) that have actually appeared and that can be logically linked to CATS?

Data quality [referring to routine monitoring and periodic review moments]

- a) What data is being reported within CATS programs? [For this section, the questions refer to both the Certification criteria but also to any other data that are routinely gathered and analyzed]
- b) Are measurements made according to the same standards across different nations?
- c) Are the data reliable at the point of collection? Are data self-reported or independently verified through spot checks/surveys?
- d) What data is being aggregated at various levels, especially where estimates of progress toward national and global goals are calculated?
- e) Are the data treated according to JMP or other good practice standards at various levels of consolidation?
- f) What additional information is gathered through evaluations to complement that addressed through routine monitoring and periodic review moments.
- g) Are the data gathering strategies aware of and adequately trying to capture unintended consequences?

- B. **Effectiveness Objective:** To determine the key social and technical factors for success (or failure) and the key adaptations to context.

Note: Evidence to answer the questions in Sections B, C, and D will come from different programming settings. Where there is a common practice across settings, it is important to stress the similarity. Where there are substantial variations in practice, the advantages and disadvantages of the variants should be noted.

Key Questions:

Program Initiation/Triggering/Community Inclusion & Bypass

- a) What information needs to be collected to determine if CATS is potentially an appropriate strategy for a program setting?
- b) On what bases are decisions to proceed or not to proceed with a CATS program being taken? Such bases might include but not be limited to meeting low cost targets, achieving a targeted best health outcome, being easiest to scale etc.
- c) Is there more or less a standard sequencing/phasing that can be projected and planned for?
- d) What needs to be completed or set in motion prior to engaging with the target communities, both for the mobilization phase and for phases to follow?
- e) How has CATS been introduced to target communities?
- f) How voluntary has community acceptance of the initiative been? In situations where it has been less voluntary, is the same level of social mobilization included?
- g) Under what conditions do implementing programs bypass communities or stop work in them in the mobilization phase?
- h) What follow-on work is done to prepare the bypassed/dropped communities for future engagement?
- i) Once the triggering actions begin, how long does it typically take to complete that phase and how long to really become ODF?

Activating Positive Reinforcement through 'Social Norm' Approaches

- a) Are the CATS programs employing the 'Social Norms' approach? [The Social Norms approach encourages the community to set standards of behavior for its members who then are expected to abide by them, with peer pressure and social expectation assuring adherence rather than the

policing function of government service providers. Social norms strategies attempt to link the normative beliefs with an empirical behavioral expectation that can be monitored]

- b) What is the social norm about the practice of open defecation in ODF communities and how has it changed from before the CATS intervention?
- c) Which triggering approaches (or mix of approaches) appear to best engage community interest and commitment? Are there methods that show consistent success in eliciting the communal standards and social norms expectations?
- d) Is adequate attention paid to the poorest and to other potentially excluded elements of the community and society? How are their views heard and valued?
- e) What is the importance of community monitoring/peer pressure on reaching an open defecation free community?

Defining the Intervention

- a) What elements of CATS are universal across all contexts and should be considered the 'core'?
- b) What elements of CATS are optional? Under what circumstances have programs decided to include them or not? Attention is particularly sought concerning when hand washing with soap is bundled into the program and when it is not.
- c) What are the key adaptations needed to different ecological contexts?
- d) Whether for gender or for other social differences (e.g. race, caste), is CATS implemented with appropriate adaptation to the social contexts?
- e) What has been the experience with linking the CATS intervention with non-WASH interventions (e.g. vaccination activities)? If there have been instances, under what conditions are there positive or negative synergies?

Policy Settings and Partnerships

- a) What have been the major policy settings in which CATS has been implemented [e.g. mass roll out from the center versus piloting and spread from local settings]? What are the observed adaptations to the policy settings?
- b) Who have been the implementing partners and what have been their roles in CATS [e.g. community members, NGOs, government staff, private entrepreneurs]
- c) For the different types of partners, where do they seem to have comparative advantages and disadvantages? NB: If there are very different types/entities of government counterparts. Therefore, analysis of advantages and disadvantages can include dis-aggregate by types of government partners, if relevant.
- d) Has the private sector proven to have any steady role in CATS programs? What has helped or hindered the private sector to support CATS objectives?
- e) Looking below the level of organizations, are there consistent personal characteristics that should be sought among social mobilizers or other persons involved in CATS?

- C. **Efficiency Objective:** To define the set of financial and managerial factors that achieve or hinder the attainment of maximum efficiency/value-for-money

Basic Program Economics:

Note: This section refers to the implementation period up until the point that the program is considered 'completed' or 'established'. In fact there are subsequent costs, which are briefly asked about in the Sustainability questions later on.

- a) What are the cost items that are incurred within the different phases? This should include direct and indirect costs, and monetized and non-monetized costs.

- b) What are the principal cost drivers that program managers should be routinely monitoring? NB the costs should not only be those that the managers must manage but also the costs to households or participants.
- c) What has it cost to attain the results seen in different contexts?
- d) Is it possible to create generic standard cost predictions in some contexts (e.g. \$ cost per thousand persons added to coverage; \$ costs to increase coverage by X%?). If so, what are the standard costs where they can be calculated?
- e) Is there evidence of cost trade-offs, especially between higher investments in the implementation period leading to lower costs in the sustainability phase?
- f) Are there any efficiencies of scale? At what scale do they appear? Are there any CATS aspects that have been so expensive that they have inhibited going to scale?
- g) Where do the cost burdens fall? How do these costs vary over time for the different stakeholders?
- h) How burdensome are the costs that are shouldered by various stakeholders compared to their resources?
- i) On what basis are involved organizations compensated for their work—e.g. by effort or by achieving ODF status, etc?
- j) Have the payment/contracting procedures created inappropriate incentives or any sort?
- k) Have the programs used financial incentives or subsidies in any way? If so, how have they used them and what have been the consequences? [NB: Subsidies are direct relief of costs that the communities or families would otherwise have incurred, whereas incentives are additional ties to the core program. The co-provision of safe water services with CATS should be considered as an incentive, not as an optional program element].

Spontaneous Diffusion [Indirect Spread]

- a) Is there evidence of spontaneous diffusion of the CATS approach or of elements of CATS? [Spontaneous diffusion is the unplanned expansion of the intervention through the action of onlookers that decide to replicate it as they understand it in their own contexts, without programmatic support]
- b) If there is evidence, what elements of CATS seem to diffuse fastest and furthest? Which groups tend to pick it up? Which parts of CATS if not all are most often picked up?
- c) What are the consequences of spontaneous diffusion in terms of the total impact of the CATS program? When areas that have adopted CATS elements spontaneously are formally brought into the program, do they have the same success rate as the earlier communities?
- d) What measures, if any, can and should be built into the program design to support indirect spread (diffusion)

Enabling Environment/Strategic Division of Labor/Scaling up

- a) What are the elements of the enabling environment—i.e. the large scale institutional framework--needed to authorize and support CATS in a nation and at scale? [Likely aspects include getting a formal policy decision to initiate CATS; designating one or more lead technical agencies; developing institutional capacity for at scale management; and adequate budget allocations].
- b) In which ways has UNICEF worked to ensure a satisfactory enabling environment? What have been the key goals and strategies employed?
- c) Which internal and external stakeholders have been key allies in creating the enabling environment? What have been the costs to these strategic partners?
- d) What were the costs of achieving a proper enabling environment, and what are the costs of maintaining it [e.g. periodic reviews, evaluations, ensuring building central level capacities endure over time]?
- e) What have been the main bottlenecks for scaling up CATS programmes?

- f) How much do implementing partners working at the field level that are not strategic partners benefit from this effort by strategic partners?

D. **Sustainability Objective:** To understand what is required to improve the long term adherence to the new behaviors; to understand if sanitation facilities constructed under CATS programs meet the minimum definition of an improved sanitation facility that hygienically separates human waste from human contact.

Adherence to ODF Practices:

- a) What is the evidence for continued adherence to ODF practices after certification?
- b) Which of the elements rated in the certification process appear to be the hardest to sustain?
- c) What percentage of households and communities appear to abandon ODF practices?
- d) What percentage of households and communities intensify their commitment to positive sanitation practices by adopting additional positive behaviors or moving to higher quality latrines?
- e) Does sustainability/adherence vary by context in any systematic way? In particular, does sustainability vary according to whether enrollment in the program was voluntary or not?
- f) What are the stated and other potential reasons for regressing to OD practices?

Reinforcement

- g) What reinforcement practices are used in CATS programs? How often are they planned for initially versus emerging as responses to observed problems?
- h) Which reinforcement activities and what level of intensity seem to be optimal to ensure continued adherence?
- i) What are the cost factors that play a role over the medium and long term after the implementation phase is over?
- j) What arrangements appear to work or not work in ensuring that cost factors do not become a problem leading to ODF abandonment?

Annex 2: List of products related to this evaluation

All evaluation products can be found at http://www.unicef.org/evaldatabase/index_CATS.html

- Country case study report India
- Country case study report Mauritania
- Country case study report Mozambique
- Country case study report Nepal
- Country case study report Sierra Leone
- Consultants' final evaluation report (as delivered)
- Evaluation Brief
- Management Response

Annex 3: Key informants (semi-structured interviews)

Semi-structured interviews have been conducted with 10 key informants:

- Clarissa Brocklehurst (independent consultant)
- Cristina Bicchieri (Professor, University of Pennsylvania)
- Sandy Cairncross (London School of Hygiene and Tropical Medicine)
- Robert Chambers (Institute for Development Studies)
- Barbara Evans (Senior Lecturer, University of Leeds)
- Kamal Kar (independent consultant)
- Eduardo Perez (Lead Sanitation Specialist, Water and Sanitation Program)
- Andy Robinson (independent consultant)
- Sharon Roose (Sanitation Specialist, Plan Netherlands)
- Peter van Maanen (independent consultant)

Annex 4: Overview of institutional arrangements in the five countries surveyed

	Institutional arrangements at the central level and nature of UNICEF support	Partnerships with regional and local authorities	Partnerships with other implementing partners at the local level	Partnerships with other key actors
Mauritania	CLTS implementation is ensured by the National Directorate of Sanitation at the central level and the Regional Directorates for Hygiene and Sanitation at the regional level. This institutional arrangement reinforces CLTS ownership at all levels and is one of the key strengths of the approach despite the absence of a specific legal framework and formal partnership with UNICEF. This institutional setup encounters a number of problems relating to its functionality, and effective participation in decision-making.	At the regional level, Regional Monitoring Committees operating under the authority of local authorities monitor CLTS implementation at field level. These committees are composed by representatives of various decentralized state services (education, health, etc.), representatives of local radios, and religious organisations. Despite a lack of resources, their role in CLTS ownership and roll out is instrumental.	UNICEF does not implement CLTS directly through its own staff but through coordinators (one by Wilaya), supervisors and facilitators who are working under the leadership of the Regional Directorates of Hygiene and Sanitation. Local NGOs may only be involved by providing facilitators.	Involvement of actors coming from other sectors such as education, local radios, religious leaders and organisations, and health has been instrumental in ensuring CLTS implementation in Mauritania. Religious leaders have a great role to play in terms of community sensitisation and buy in.
Mozambique	Responsibility for sanitation sits within the Department for Water and Sanitation (DAS) of the National Water Directorate (DNA), within the Ministry of Public Works and Housing (MOPH). UNICEF maintains a good level of institutional relations with the DNA at the national level (and at Provincial level through the DPOPH).	Although the field collaboration between implementing partners and local government agents is enabling good institutional engagement at this level (government Localities and Districts), there is a reduced presence of UNICEF staff at field and District level.	Implementing partners (IPs) have been selected by UNICEF to roll out CLTS. They are local or national NGOs or firms specialized in community mobilization who signs a Programme Cooperation Arrangement (PCA) by which they agree with UNICEF on the way to implement the programme. This type of partnership approach enables significant presence at field level without UNICEF having to source too many of their own staff, as well as strengthening the extent of local capacity.	
Sierra Leone	Responsibility for sanitation sits within the Environmental Health and Sanitation Division of the MoHS. There is consensus among	Engagement of District-level government partners has been strong, with clearly	UNICEF does not implement CLTS directly through its own staff, but through Programme Cooperation Agreements with	

	<p>UNICEF's national-level partners that the creation of a Sanitation Directorate within MoHS will help to raise the political profile of sanitation within the Ministry and GoSL at large, such that the capacity and resource requirements can be built beyond the life of donor-funded programmes. The strong partnership between UNICEF and MoHS will need to be continued as this new arrangement becomes established.</p>	<p>defined roles and responsibilities identified through the District Health Management Teams (DHMTs – responsible for planning, organizing and monitoring health provision), as well as – to a lesser extent – District Councils and the Chieftdom structures.</p>	<p>the 43 local NGOs. This is a good way to build the national capacity and keep the implementation cost at reasonable level, while limiting the presence of UNICEF at field level. UNICEF has also established a network of 8 Monitoring Partners (local NGOs appointed for the sole purpose of monitoring the quality of work of the IPs). This arrangement supports both the attainment of programme outcomes, as well as the quality of the implementation process.</p>	
<p>India</p>	<p>CATS is operating under an institutional arrangement which is in adherence to the Governance structure in the country (Central, Federal State, District plus a three tier Panchayat Raj Institutional (Local Self Governments). UNICEF plays a critical role in building the capacity of National and District Governments.</p>	<p>Partnerships and modalities of partnerships and UNICEF support varies from states to states in India. In Madhya Pradesh, UNICEF has helped the local authorities to develop a Clean Village School Award scheme, as well as the guidelines for staff engagement and training. In Rajasthan, a tripartite arrangement (district' administration, village and non-governmental organizations) helped addressing the issue of community mobilization and ensuring supply chain.</p>		<p>The sanitation program also calls for engagement of other stakeholders like the non-governmental organizations, village level institutions, private agencies, civil society organizations, other governmental departments such as health, education, and women and child development.</p>
<p>Nepal</p>	<p>Department of Water Supply and Sewerage under the Ministry of Urban Development oversees the country's sanitation-based operations. Within the Department, National WASH Coordination Committee has been set up which coordinates relevant ministries, and UN agencies including UNICEF. UNICEF works within the framework of government and strengthens the role of such Coordination Committees at national, district and village level. UNICEF supports government notably through the development of policies, standards, and guidelines.</p>	<p>The National Committee is extended to the district level as District WASH Coordination Committee and to the village level as Village WASH Coordination Committee. These mechanisms enhance cooperation among political leaders, education office, local administration, local NGOs and forest users groups</p>		<p>Private sectors' role grew critical in making physical infrastructure available for toilet installations, overcoming financial challenges at the local level, and in distribution system by making materials available easily and efficiently.</p>

Annex 5: Analysis of methodological limitations

To capture the diversity of this evaluation and to explore both its qualitative and quantitative dimensions, the evaluation team has deployed a set of complementary tools. This section analyses the limitations encountered in the deployment of this methodology.

9.1.1 Literature review

Around 180 documents covering 39 countries out of the 58 countries where CATS programmes are being implemented were received and analysed, varying in number, categories of document (academic documentation, technical guidelines, national evaluations, multiple countries evaluations, fact sheets, national policies, etc.), source (internal or external to UNICEF) and coverage of relevant issues for each country. Documentation has been mainly collected by UNICEF Headquarter with support from UNICEF Country Offices.

Due to the large number of documents, the evaluation team focused on two different sets of documents: the academic literature and the documentation produced by UNICEF. Consequently, the literature review may have missed lessons learned and findings from other organizations implementing CATS programmes. However this limitation has been addressed by the evaluation team during field visits where other stakeholders implementing CATS programmes have been interviewed and specific documentation was collected and analysed as well as through the semi structured interviews and the online survey.

Literature review was completed during the field visits in the selected countries. However the information available was variable depending on the country reflecting different level of CATS maturity and underlining the challenges of knowledge management at the country level. In addition, in some countries most of the documentation available was in draft form. In such cases, the evaluation team attempted to mitigate this limitation by exchanging with UNICEF CO and implementing partners to check the accuracy of information.

9.1.2 Case studies

Country selection

The selection of countries for the case studies was done through a matrix based on information provided by UNICEF. The data used to populate the matrix were data provided by UNICEF CO to UNICEF HQ; in some cases data were insufficient or incomplete which might have affected the final score. However this limitation was taken into account throughout the selection process by the evaluation team who has systematically completed the missing information when possible by using other reliable sources of information.

Six main criteria against which the consultant team has scored each country have been established (maturity of CATS; country ownership; quality of data available; recent evaluations; scale of CATS implementation; familiarity of the team with the country; and a more practical criterion, namely security). The criteria have been weighted according to their importance and relevance. The weighting proposed by the evaluation team as well as the criteria, although as objective as possible, may be subject to discussion.

After completion of the matrix, a final score was automatically attributed to each possible country. Considering that all different UNICEF implementation regions had to be represented in the final sample, a pre-selection was proposed to UNICEF. Final selection has been made by negotiation and exchanges between the evaluation team and UNICEF HQ. Capacity and willingness of UNICEF CO to support the evaluation during country visits have also been key factors while making the final selection.

Lastly, it was decided to add one African francophone country selected from Chad, Niger, Mauritania, Togo or Madagascar. Mauritania has been proposed by UNICEF HQ. The consultant is confident that the selection process preserved the representativeness of the countries finally selected for the case studies.

Case study methodology

The case study methodology was based on an extended visit to a relatively small sample of sites where CATS programmes are being implemented (the target was to visit between 4 and 5 communities per country), which provided opportunities for collecting and validating qualitative data. However, it provided no basis for statistical inference. Selection criteria for the field visit selection were intended to assure coverage of different contexts, but were not intended to create a properly representative or stratified sample. It is particularly true in the case of India which is a very large country. Selection criteria were namely:

- CATS “longevity” in order to gather evidence of long-term outcomes;
- Sites that were proven to be challenging in terms of CATS implementation because of geological / environmental issues, because of the presence of strong under-privileged groups, because of cultural specificities, etc.;
- Possibility for the consultant to capture various modalities of CATS implementation;
- More opportunistic considerations regarding logistical issues.

In all countries the UNICEF CO played some part in the selection of villages to be visited. However, even if during the selection process of sites, the above criteria have been proposed by the evaluation team and taken into account by UNICEF CO and their implementing partners, there is a risk that the sample includes mostly sites or communities where CATS programmes are more successful.

The evaluation did attempt to assess overall efficiency of CATS programmes; however it was particularly difficult to do so due to the lack of financial data at country level.

9.1.3 Online survey

The online survey was developed using the key questions from the evaluation matrix developed in the inception report. It was designed to cover all the evaluation dimensions and aimed at collecting quantitative data from a wider audience compared to other tools (webinars, semi structured interviews). This tool also helped to ensure that common information was collected for from most of the countries where CATS programmes are active. Overall, the online survey provided good quality data as 218 persons from 45 different countries responded. Yet, some limitations have been identified by the evaluation team:

- In a very limited number of cases, questions have been misinterpreted by the respondents. Data collected through these questions have been used with extreme care by the evaluation team. Detailed analysis of complementary questions helped identify the source of the misunderstanding and draw suitable conclusions;
- The online survey was targeted to individuals and was not designed to get an “organization wide viewpoint”. In addition, it was dedicated to UNICEF staff as well as non-UNICEF respondents (government, strategic and implementing partners, etc.) invited by UNICEF CO staff, based on their knowledge of CATS. Therefore the results cannot be considered representative of the situation of a country and some minor inconsistencies have been identified in a given country;
- The survey included more than 50 questions. Some respondents complained about the length of the survey and did not complete the whole questionnaire. This limitation has been taken into account by the evaluation team by systematically indicating the number of respondents for each specific question used in the report;
- Unbalance in terms of geographical representation has been identified as some countries where CATS programmes are fairly new have been over represented while other large countries with a certain longevity of CATS programmes had only a few respondents. This limitation has been taken into account by the evaluation team by systematically disaggregating data to make sure of the reliability of data.

9.1.4 Webinars

Two webinars in English and French on the sustainability of CATS programmes and the inclusion of social norms into CATS programmes were initially planned. These virtual meetings targeted only UNICEF staff and aimed at gathering quantitative data from a wide range of countries. Priority was given to countries that were not visited by the team.

However the webinar on social norms has not been held in French as only a few UNICEF staff got connected to the session which has been postponed once. Therefore, the result is a stronger representation of English-speaking countries in the qualitative data collected and among the concrete examples provided by participants.

9.1.5 Semi structured interviews

In total 11 semi-structured interviews with individuals, mostly non-UNICEF and with regional or global expertise and with in-depth knowledge and experience of CATS concept, have been conducted. Due to time constraint the consultant have been as selective as possible in the selection of respondents. Only respondents with excellent knowledge and strong expertise with regard to sanitation, CLTS or CATS were selected.

While it was initially planned to use the same template for all interviews, conversation guidelines were actually adapted depending on the background / specific area of expertise of each expert. In addition while it would have been preferable to conduct interviews face-to-face, they have been conducted by phone or Skype for very practical reasons.

Due to the limited number of respondents, semi-structured interviews were only analysed using qualitative methods (identification of key topics and content analysis).

