

CLTS Rapid Appraisal Protocol (C-RAP)

A tool for rapid assessment of the practice of CLTS at scale



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Acronyms

AO	Administrative Officer
CLTS	Community-led total sanitation
C-RAP	CLTS Rapid Appraisal Protocol
CC	Community consultant
CAO	Chief administrative officer
DPHO	District public health officer
DHI	District health inspector
FGDs	Focus group discussions
INGOs	International non-governmental organisations
KII	Key informant interview
M&E	Monitoring and evaluation
MOH	Ministry of Health
MOW&E	Ministry of Water and Environment
NGO	Non-governmental organisation
NL	Natural leader
ODF	Open defecation-free
SOP	Standard operating procedure
SSI	Structured/semi-structured interview
VIPP	Visualisation in participatory planning
WASHBAT	Water and Sanitation Hygiene Bottleneck Analysis Tool
WSSCC	Water Supply and Sanitation Collaborative Council
WASH	Water, sanitation and hygiene
UNICEF	United Nations International Children's Emergency Fund

1. WHAT IS CRAP?

CLTS Rapid Appraisal Protocol (CRAP) is a diagnostic tool to review the quality and effectiveness of CLTS programming in a country. The participants include a diverse range of stakeholders at the national, sub-national (region or district) and community levels, engaged in participatory appraisal process of the national CLTS programme including action plans to scale up CLTS across the country.

CRAP Pillars: PAGE 6 CRAP Dashboard: PAGES 11-14

2. WHY WAS CRAP DEVELOPED?

The success of CLTS in triggering communities for collective behaviour change has been a global phenomenon. However, achieving scale in a planned, coordinated and consistent manner to move beyond scattered ODF villages towards generating ODF districts, regions and nations has been challenging. Furthermore, wide variations have been found in the quality of implementation, rolling out and outcomes across different countries. The CRAP tool aims to set a common basic standard for CLTS processes at scale and brings together essential elements for quality scaling up.

Process: PAGES 7-10

3. WHO CAN USE THIS GUIDE?

Sanitation practitioners, policy and decision makers from the government, non-government organisations, donor agencies, bi-lateral and multi-lateral organisations, researchers, academicians and anyone interested and engaged in scaling up CLTS to achieve sustained outcomes would find this guide useful.

Methodology: PAGES 17-26

4. WHEN SHOULD CRAP BE USED?

CRAP should ideally be used in a country sanitation programme in which CLTS has been implemented for a minimum of two years and has demonstrated some degree of success.

Selection Criteria: PAGES 15-16

5. WHERE IS CRAP IDEALLY USED?

In countries where there is a felt need to scale up the limited success of nation-wide coverage of sanitation, this tool will help in assessing what is required to take CLTS to scale with quality.

Country examples: PAGES 27-37

6. HOW COULD CRAP BE INTEGRATED AS PART OF A NATIONAL CLTS PROGRAM?

CRAP tool can be institutionalised in a national sanitation programme by involving all key sanitation actors as active analysts in its implementation: to understand the health and status of CLTS, and identify key drivers to develop a roadmap for an ODF nation.

1. Introduction

Since its emergence in 1999-2000, community-led total sanitation (CLTS) has spread exponentially to more than 70 countries. Experiences from different countries demonstrate a wide variation in the quality and scale of CLTS implementation. This has necessitated the development of a simple, tool with a methodology that is easy to administer in order to achieve a common basic standard for CLTS implementation across the globe. The CLTS Rapid Appraisal Protocol (C-RAP) was developed for use by agencies implementing CLTS at scale.

C-RAP is a diagnostic tool to assess the status and quality of CLTS by reviewing the present practice of CLTS at national, sub-national (regional/district) and community levels in a quick and comprehensive manner, using participatory approaches. It provides process and outcome analysis involving stakeholders at different levels, in order to assess:

- i. The enabling environment and appropriate institutional perspectives
- ii. Human resource capacity to steer quality implementation at scale
- iii. Stakeholder understanding and execution modalities of the CLTS process.

At the functional level these components of the CLTS philosophy are translated through six key strategic pillars spanning across different administrative levels (national, regional and local) and addressing scale in terms of geographic coverage and multiplicity of actors involved. The six key pillars of the C-RAP tool are described below.

National Status and Quality of CLTS					
Policy, Roadmap and Directives	Financial Planning and Budgeting	CLTS Protocol/ Guidance/ Standards	Partnerships, Capacity and Leadership	Monitoring and Coordination	Post-ODF Sustainability



2. C-RAP Tool Pillars

1. Policy, Roadmap and Directives

This pillar provides understanding about the presence of an enabling environment and the institutional support essential to implement CLTS and take it to scale in a given country. Key questions seek to discover: whether CLTS is part of national rural sanitation policy, whether the policy is translated into an operational roadmap and whether political buy-in and leadership at all levels are in place to drive CLTS at different levels of governance.

2. Financial Planning and Budgeting

Pillar two explores the existence of adequate financial resources and planning processes to enable CLTS to translate from national strategies into operational plans at different administrative levels. In the context of decentralisation, this pillar can highlight issues of process, capacity and disbursement that may be affecting programming at the regional or local level.

3. CLTS Protocol

This pillar reviews the quality of the national CLTS protocol in place and whether it is harmonised across partners and applied consistently in the country during triggering, verification and certification processes, with due consideration for regional specificities.

4. Partnerships, Capacity and Leadership

Pillar four is designed to determine whether an adequate number of actors is in place, with sufficient capacity and the convergence essential to achieving the national reach and quality needed for a successful CLTS programme.

5. Monitoring and Coordination

This pillar probes the systematic capturing of process, outcome and impact data at various levels (clear alignment from district to region to national level) to feed into the national monitoring system. It looks at how data is coordinated and organized across various levels to provide feedback for CLTS programming and leadership.

6. Post ODF Sustainability

The final pillar captures information related to sustainability of open defecation-free (ODF) behaviour-change and facilities created, such as: the extent of private sector involvement, consideration and promotion of low-cost appropriate technologies, accessibility of sanitation products/materials and the role of natural leaders (NL) and community consultants in advancing social norms with distinct and clearly visible health outcomes.

3. C-RAP Tool Process

The C-RAP tool is designed to be administered at three distinct levels in any country. The first level of analysis is national, after which the tool is applied at the sub-national (regional or state level) depending on the administrative structure of the country. The final level of application is the community level.

Administering the C-RAP tool at these three distinct layers of governance and administration is centred on a few key objectives:

First, it aims to understand the extent to which an enabling environment for CLTS implementation and scaling-up has been ensured at all levels by all actors involved.

Second, it assesses the extent and ways in which the conceptualisation of an ODF nation at the national level has been translated into guidelines and transformed into action at the regional and local levels.

Third, it aims to validate the implications of CLTS processes at the community level. Consultations with community members provide an indication of how effective and sustainable the implementation process is at the community level and its resulting impact.

Fourth, it focuses on understanding the processes of scaling-up quality CLTS that have evolved in a given country.

The C-RAP tool application process involves five distinct steps:



Step 1: Pre-Visit Preparations

The C-RAP application process begins before the appraisal team arrives in the country of intervention. Before travel, the appraisal team needs to collect information and data relevant to the appraisal and carefully plan meetings and field visits with the country office. The pre-visit preparation stage is critical, as the quality of the C-RAP application and outcomes depend on how well the ground has been set for the application when the team arrives in the country. The schedule of activities that the appraisal team should conduct at this stage includes:

- 1- Contact requesting agency or government ministry to discuss application of the tool. Share a technical note outlining the tools key features, objectives and processes prior to arrival in country.
- 2- Request data from the country office or ministry that can support the visit and provide a good overview of country programme status/objectives and contextualization. This may include, but is not limited to: national sanitation strategy documents, ODF protocol, mapping of partners, sanitation sector assessments/evaluations, WASHBATs that have been conducted in the last five years, information on budgeting and allocations to sanitation, performance data of the CLTS program by regions/districts. This material may be complemented by literature reviews prior to arrival. When feasible, it is advisable to obtain secondary data/information prior to the country visit.
- 3- Develop a plan of action for applying the C-RAP. Have discussions with the country team and identify the regions to be visited, with the aim of obtaining a good sampling of both high- and low-performing regions. Ensure that enough time is allocated for national-level consultations, regional travel, consultations at the community level and a debriefing session at the end. It is important to consider travel time between areas. A sample agenda is provided in Annex 1.
- 4- Select and agree on dates with the country team. The in-country team should set up meetings with national, regional and community level actors prior to the arrival of the appraisal team in the country. The appraisal team should clearly describe the desired profile of participants for the meetings and consultations.

Arrive in-country, meet with stakeholders group to provide an overview of the weeks itinerary and objectives.

Step 2: National Consultations

It is essential that the first level of consultations is held with national stakeholders. Firstly, this provides the appraisal team with an overview of the countrys sanitation situation and highlights some of the key issues and challenges to be explored at subsequent consultations. Secondly, it is important to seek buy-in and endorsement for the tools application from top-level decision- makers and to gain their cooperation and assistance in organising key meetings, if required.

National-level analysis includes:

- 1- Endorsement meeting with the minister to inform the highest-level decision-maker in the country about the C-RAP tool methodology, establish political and bureaucratic buy-in for the exercise and obtain high-level commitment to take it forward.
- 2- Inter-ministerial consultation (government stakeholders) to understand the lead institutions role and focus in tackling the countrys sanitation problems and the mechanisms for convergence among ministries to achieve sanitation goals.
- 3- Multi-stakeholder consultation (government and non-government stakeholders) to assess the perspectives and recommendations of different actors in relation to the six pillars of C-RAP.

After collecting relevant data at the national level, the appraisal team moves to the next level of appraisal: which is the sub-national level. The final selection of regions or districts to be included could either be decided at the initial stage or could emerge from the national consultations.

Step 3: Sub-national (Regional /District) Consultations

The regional, or district, level analysis consists of three steps:

- 1- Conducting structured/semi-structured interviews with the head of the regional government, to understand how national policies are reflected at the regional level and how they are incorporated into regional plans and guidelines.
- 2- Conducting key informant interviews (KII) or interactive discussions with select persons or teams, such as regional CLTS focal persons or regional monitoring and evaluation (M&E) team members, to collect information on technical/specialised issues.

Facilitating stakeholder consultations through focus group discussions (FGDs) with regional actors, which could involve government representatives, political leaders, traditional and cultural leaders, NGO leaders, private sector actors etc.

Step 4: Community Consultations

The exercise at the sub-national level concludes with the selection of two villages for community-level interactions (ideally, one being an ODF community and the other non-ODF). This step calls for interaction with community members and household visits.

Application of the C-RAP tool ends with a feedback and way forward workshop at the national level.

Step 5: Reporting and Feedback Session at National Level and Way forward

The appraisal team presents their findings and analysis from all three levels of consultations to national stakeholders. The findings are presented through a dashboard that identifies key strengths and areas for improvement and presents key recommended actions. The session ends by identifying next steps and recommendations for remedial action.

4. C-RAP Dashboard

PILLARS	NATIONAL	SUB-NATIONAL/REGIONAL					
	Indicators/ Key parameters	Indicators/Key parameters					
Policy, Road map and Directives	Is there strategy and political buy-in to drive CLTS?						
	<p>Is CLTS in the national sanitation policy, along with requisite directives/guidelines? (1)</p> <p>Is there a national roadmap with target, timelines and milestones? (1)</p> <p>Is there a clear lead ministry for rural sanitation? (1)</p>	<p>Is CLTS reflected in regional sanitation strategy documents/policy and does it conform to the national policy/strategy? (1)</p> <p>Is there a regional roadmap/plan with target, timelines and milestones? (1)</p> <p>Is there a functional consultative institutional platform and institutional leadership for rollout? (1)</p>	0-1	1-2	2-3	0-1	1-2
Financial Planning and Budgeting	Is financial planning and resourcing of CLTS adequate/realistic?						
	<p>Is there a government budget line for national rural sanitation programming? (1)</p> <p>Does the budget allocated at national level correlate to the national rollout/roadmap plan? (1)</p> <p>Is the budget allocation for rural sanitation used for CLTS activities? (1)</p>	<p>Is there a sub-national/regional plan consistent with the national plan? (1)</p> <p>Is the sub-national/regional budget for sanitation sufficient to fund planned CLTS activities? (1)</p> <p>Is there a system of consolidating budgets from different partners at sub-national level? (1)</p>	0-1	1-2	2-3	0-1	1-2
CLTS Protocol	Is there one agreed upon CLTS protocol applied consistently nation-wide?						
	<p>Is there one national ODF protocol that has been endorsed by the national government? (1)</p> <p>Does the protocol cover all relevant aspects including post-ODF aspects? (1)</p> <p>Is the protocol followed by all CLTS partners in country? (1)</p>	<p>Is the national protocol (verification/certification/definition) well understood and adopted by sub-national/regional authorities? (1)</p> <p>Is there a clear, scalable and accountable (viz. third party) verification and certification process in play at this level? (1)</p> <p>Does the region have requisite capacity to carry out certification without reasonable delay and/or is there is no substantial backlog of certification tasks in the region? (1)</p>	0-1	1-2	2-3	0-1	1-2
Partnerships, Capacity and Leadership	Are partnerships, capacity and leadership sufficient to sustain the programme?						
	<p>Are sufficient partnerships in place at national level to reach targeted communities across the country with CLTS? (1)</p> <p>Is there a functional coordination mechanism among various partners to share resource/capacity? (1)</p> <p>Are master trainers in place with requisite training materials/guidelines at national level to support training efforts? (1)</p>	<p>Are functional partnerships in place at regional level to share resources/capacity across partners? (1)</p> <p>Are there sufficient numbers of trained master facilitators to support CLTS implementation? (1)</p> <p>Is there evidence of leadership emerging from formal/informal actors to take CLTS to scale with quality? (1)</p>	0-1	1-2	2-3	0-1	1-2

PILLARS	NATIONAL			SUB-NATIONAL/REGIONAL		
	Indicators/ Key parameters			Indicators/Key parameters		
Monitoring and Coordination	How is information captured and used for programmatic coordination?					
	Is there a comprehensive functional monitoring system linking local-regional and national information? (1)			Is there a functional monitoring system linking local and regional monitoring to national inputs? (1)		
	Is there consistency between the data collected and the national CLTS protocol? (1)			Are monitoring indicators consistent with national ODF protocol? (1)		
	Is monitoring data fed back into coordination platforms/other levels as applicable/ available? (1)			Is monitoring data fed back into coordination platforms/other levels as applicable/ available? (1)		
	0-1	1-2	2-3	0-1	1-2	2-3
Post ODF Sustainability	Are mechanisms in place to ensure sustainability of behaviours and facilities post-ODF?					
	Is post-ODF sustainability addressed as part of national ODF strategies? (1)			Is a process/system of participatory technology development, institutional capacity building (e.g., via research or academic institutions) in place for improved sanitation support? (1)		
	Are national-level efforts being made to engage the private (formal/ informal) sector in sanitation? (1)			Is there a mechanism for engagement of private (formal/informal) sector? (1)		
	Is there an institutional capacity- building mechanism to support post-ODF research? (1)			Is there an institutional system to support and monitor post-ODF actions? (1)		
	0-1	1-2	2-3	0-1	1-2	2-3

Notes:

- Colours shown are illustrative, in line with total scores achieved against specific indicators and the attached parameters.
- If CLTS is being implemented in urban areas; the relevant lead ministry should also be consulted.
- Community-level reflections are presented in a strengths and weaknesses framework around various pillars, as explained above. The box below suggests issues for focus group discussions in communities. However, these should be kept fluid in order to identify specific issues relevant to the assessment pillars used at the national and sub-national levels.



ISSUES FOR COMMUNITY ANALYSIS OF CLTS IMPLEMENTATION

Policy-to-practice

- i. In the perception of community leaders, do local government authorities understand the importance of CLTS and do they ever refer to achieving the national ODF objectives?**
- ii. Do community leaders understand the shift from toilet construction to collective behaviour change?**

CLTS protocol

- i. Do facilitation teams demonstrate clear understanding of the CLTS process and protocol?**
- ii. Is the average time between triggering to ODF less than three months?**
- iii. Are community members aware of safe sanitation options and means to access information about them?**

Partnership, capacity and leadership

- i. Do target villages have assigned trained facilitators (what is their ratio to the population)?**
- ii. Are there formal mechanisms to engage natural leaders and community consultants in the scaling-up process?**
- iii. Are community leaders aware of the CLTS programme and do they understand its importance?**
- iv. Have traditional/clan/religious leaders been approached to gain support for rollout?**

Monitoring

- i. Is there a community-led monitoring and verification system in place to collect and feed local data into the regional/national monitoring system?**
- ii. Do front-line staff have a clear comprehension of monitoring requirements?**

Post-ODF action

- i. Is there evidence of leveraging collective action to move up the sanitation ladder and for other development benefits?**
- ii. Is capacity building, access to skills/information/materials and low cost design or products to support improved sanitation taking place?**
- iii. Is there a process for engaging traditional authorities to support/enforce ODF as a social norm?**
- iv. Is there a system of post-ODF monitoring and support for upgrading latrines?**

5. Grading Framework of the Dashboard

Each of the six pillars is attributed a total score of 3 at the national and sub-national/regional levels respectively, broken down into a score of 1 for each key enquiry. A score of 1 is given if participants have unanimously (or by a clear majority) given a positive yes response to a question in the dashboard. If likewise, the response is negative no then a score of 0 is given. If opinion is divided or the assessment does not yield a clear yes or no response, then a score between 0 and 1 will be given to the question. The composite score for each pillar is then calculated, and each pillar colour-coded based on the total score achieved, as shown below.

Performance order	Range of scores	Colour code	Indication
High	2-3		Key issues have been addressed well and there is a need to continue the ongoing work and momentum generated.
Average	1-2		Some aspects or actions are inadequate; further strengthening is required.
Low	0-1		Little effort is being made to address key issues; significant action is required.

The final product of a C-RAP application will have scores indicated by level in the form of a colour code, and be presentable as an abbreviated dashboard (as shown below). This provides a rapid snapshot of where the strengths and weaknesses of a national CLTS programme lie (the colours shown are indicative only)

PILLARS	NATIONAL		SUB-NATIONAL/REGIONAL		Total Score
	Indicators	Score	Indicators	Score	
Policy, Roadmap and Directives	Is there an overall strategy and political buy-in and leadership at all levels to drive CLTS?				
		3		2	2.5
Financial Planning and Budgeting	Is financial planning and resourcing of CLTS adequate/realistic?				
		0		0	0
CLTS Protocol	Is CLTS applied consistently across the country, i.e. in verification/certification/definition of ODF?				
		3		2.5	2.75
Partnerships, Capacity and Leadership	Are there sufficient partnerships, capacity and leadership to sustain the programme and are they aligned?				
		1.5		1.5	1.5
Monitoring and Coordination	How well is information captured and used for programmatic coordination?				
		3		1	2
Post-ODF Sustainability	Are mechanisms in place to ensure sustainability of behaviours and facilities post-ODF?				
		1		0	1

KEY POINTS

- ÷∇C-RAP is a tool for appraising a country's implementation of CLTS in a rapid manner, covering national, sub-national and community issues. It is best applied in a country that has been implementing CLTS nationally for at least two years.
- ÷∇The tool is not extractive in nature, but is a qualitative analysis of the status of key building blocks for scaling up CLTS without compromising quality and sustainability.
- ÷∇The C-RAP tool can be applied in a country in approximately one week. The tool is applied with participation by key stakeholders and the process should not become, or be understood as, an external assessment or evaluation.
- ÷∇The findings are presented in a dashboard that identifies the main strengths and areas needing improvement and presents key recommended actions.



6. C-RAP Tool Methodology

The application of the C-RAP tool in any country context, using the six pillars, will provide a clear picture of the overall health and status of CLTS implementation from national policy to local-level implementation highlighting the strengths and weaknesses of both the enabling and implementation environment. The tool is based upon an interactive and participatory consultation process in which most of the data and scoring is based on stakeholders own reflections, with the intended outcome that strengths and weaknesses are identified and awareness is raised during the discussions. The result is a dashboard indicating the strong and weak points of the country programme. This can then be used to inform a feedback workshop with stakeholders to discuss next steps and remedial actions.

6.1. Selection criteria

The countries selected for application of the C-RAP tool should fulfil the following criteria:

- i. CLTS should have been implemented in the country for a minimum of two years
- ii. The country is implementing a significant programmatic intervention on CLTS (covering a few regions).

6.2. Sampling

In a rapid appraisal process, it is not possible to sample every region in a country. In view of the limitations of time and keeping in mind the governance orientation of the tool, a minimum of two sample regions should be selected. This selection should be made by national-level actors based on the regions performance in terms of coverage, numbers of ODF communities, compliance with sustainability indicators, strict adherence to basic ODF criteria and evidence of movement along the sanitation ladder, among others.

Sampling should be planned to include one sample from the top five best-performing regions and another from the five worst-performing regions, using the list provided by the countrys concerned ministry/department. Other regions could be included, based on time allocated for the exercise and ability of various regions to offer specific insights into the national programme rollout. In countries where travelling to two regions is not possible (due to distance, lack of time or other constraints) two districts within one region could be selected as samples representing best-performing and worst-performing districts in the region.

This sampling methodology will help to understand and assess the key factors, processes and mechanisms that are working well and those that need improvement at the sub-national level. Learnings from a region or district will point to both region- or district-specific challenges and broader issues that need to be addressed at the national level.

6.3. Duration

The number of days required for the appraisal could range from five to seven, depending on the distances to be covered and other factors. For example, if there are security concerns, samples need to be selected so that the regions can be accessed safely and the appraisal completed within the given time-frame.

6.4. Appraisal team

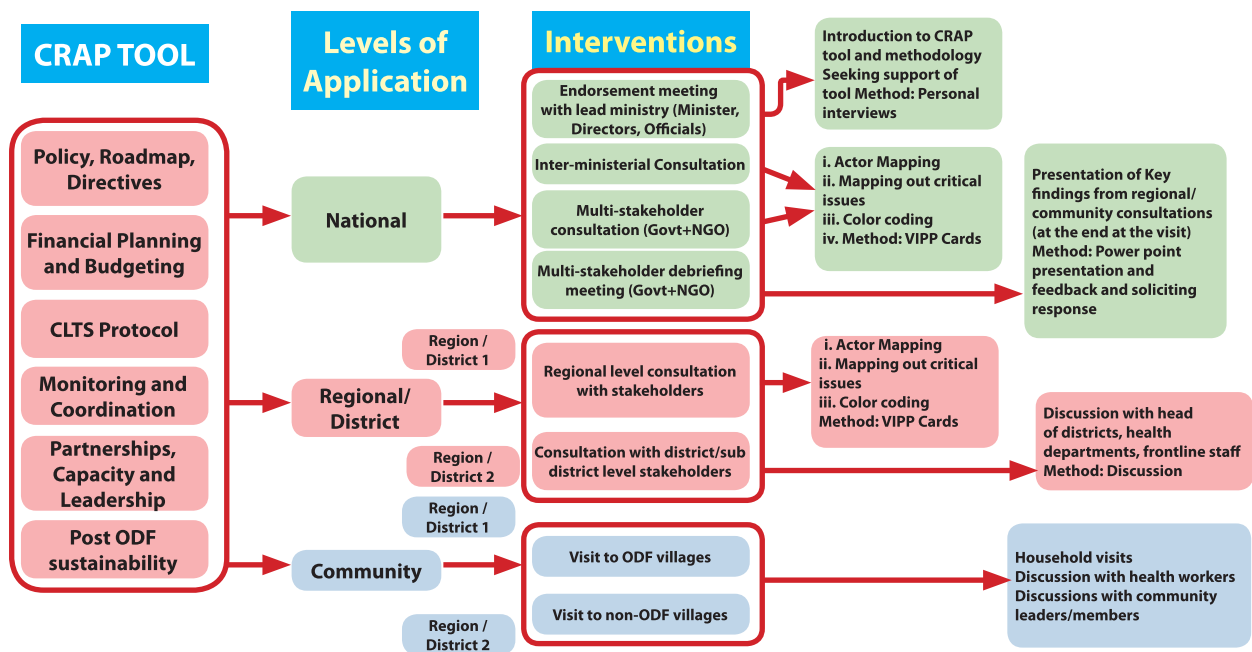
The team should be comprised of two external persons and two or three from the (in-country) implementing agency/s. These persons must have a thorough understanding of all three dimensions of CLTS: the critical role of an enabling environment for implementing quality CLTS, the need to build appropriate capacity to steer CLTS implementation at scale and a clear understanding of stakeholder analysis and execution modalities of CLTS tools and processes. These persons must have a strong command over and experience with facilitating participatory exercises. Being proficient in the local dialect is a must; in-country team members should fulfil these criteria.

6.5. Methods of data collection

Relevant information, data and nuances related to CLTS will be elicited through participatory and interactive means. For each area of enquiry, data will be collected through primary or secondary sources or both, depending upon the nature of the enquiry.

- i. Primary sources of data collection:
 - a. Structured/semi-structured interviews (SSIs) with key informants
 - b. Focus group discussions
 - c. Participant observation
 - d. Small- group discussions and large group presentations for triangulation
- ii. Secondary sources of data collection:
 - a. Policy documents
 - b. Websites
 - c. Research papers (country studies, baseline reports, census reports, survey findings)
 - d. Newspaper clippings
 - e. Key informant interviews/Presidential or PMs public address (in newspapers, TV etc.)
 - f. Donor reports by UNICEF or others

6.6. Step-by-Step Methodology of Consultation Processes



The figure above illustrates the consultations to be held at the three levels of application, the processes involved and the tools and methods to be used for each process, as detailed in this section.

A. National-level Consultations

1. Profile of Participants

Ministers or heads of concerned ministries or departments such as sanitation, water/rural development/health, bilateral and multilateral agencies, national and international NGOs, donor representatives, relevant government officials (mainly institutional coordination committee members, if any), members of networks and national CLTS champions.

2. Process Steps

The process involves facilitation at three different levels, ideally performed in a sequential manner:

- 2.1. Endorsement meeting with the minister of the lead ministry (could also involve other important institutional leads)
- 2.2. Inter-ministerial consultation involving representatives of major ministries
- 2.3. Meeting with all national stakeholders and actors including government, NGOs and donors.

2.1. Endorsement meeting with the minister

The objective of this meeting is to inform the country's top decision-maker about the C-RAP tool and its methodology, establish political and bureaucratic buy-in for the exercise and obtain commitment from the highest authority to take it forward. During this meeting, the facilitator should draw attention to the magnitude of the sanitation crisis in the country and aim to understand her/his vision and ideas regarding community empowerment strategies for solving this crisis and achieving improved sanitation in the country.

The process involves:

1. Setting up a meeting with the minister well in advance. Confirm the exact venue and time for the meeting.
2. Selecting the visiting team carefully, ensuring that each member has a shared understanding of the objectives of the meeting.
3. Ensuring that the facilitator has a good understanding of the national sanitation picture and is well-prepared with talking points to facilitate the discussion. The meeting should end on a positive note, with the Minister endorsing the need for C-RAP implementation and committing to take forward the outcomes of the assessment.



2.2. Inter-ministerial consultation (government stakeholders)

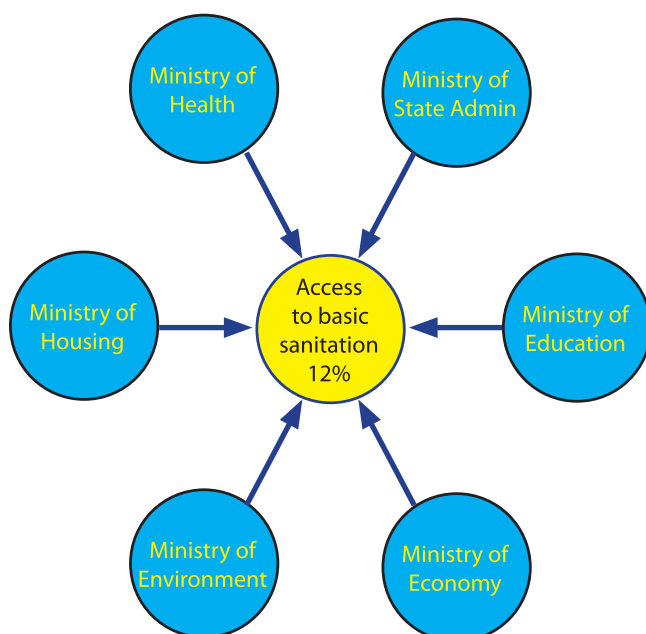
The objective of this consultation workshop is to understand the lead institutions role and strategy for tackling sanitation issues in the country and the convergence mechanisms established among different ministries to achieve the sanitation goal.

This consultation involves the following steps:

1. Set up a half-day workshop involving the focal persons from all relevant ministries.
2. All relevant ministries must be given notice of the workshop well in advance, and notified of its time and venue, to ensure maximum participation. The lead ministry should take the initiative to convene this meeting.
3. The facilitation team starts the workshop by introducing themselves, followed by introductions from the rest of the group members. Then the lead facilitator should start the discussion by describing the current status of access to basic sanitation, using a flipchart and drawing a circle in the centre with the percentage of those with access to basic sanitation inside the circle.
4. The first exercise is Actor Mapping. Ask participants to identify the top five ministries responsible for sanitation in the country. Put the names that emerge from the group in circles around the one in the centre. Draw arrows from each of these circles to the centre circle, depicting how each ministry is associated with the sanitation outcome in the country. [See illustrative figure below.]
5. Ask the group to rank these ministries in the order of each ones contribution toward taking sanitation forward, and note the names of the top three contributing ministries on the flipchart.
6. The second exercise is the Critical Issues Mapping: Ask the group to brainstorm and recommend three critical interventions that each of the three lead ministries could undertake to improve the countrys sanitation situation.
7. Depict the outcome of the group discussion visually, either by writing down the recommendations directly on the flipchart next to the name of the ministry or by writing it on individual cards and pasting them next to the respective ministry.
8. It is also useful to ask the group if they feel that any important ministries were left out from taking responsibility for sanitation in the country.
9. In the end, the group should come up with an inter-ministerial action agenda including a department-specific action plan, inter-department coordinating mechanism and ways to mainstream this into national planning and budgeting processes. The focus should be on converging all national efforts to achieve ODF.

Recommendations emerging from a non-threatening brainstorming session such as this can pave the way for a collaborative approach to addressing sanitation challenges.

Example: An interactive consultation exercise held with the inter-ministerial group in Mozambique using C-RAP facilitators



2.3. Multi-stakeholder consultation (government and non-government stakeholders)

The objective of this meeting is to gather diverse views from different ministries and key sanitation actors operating at scale in the country and to assess their perspectives in relation to the six pillars. This will help to understand the mechanisms in place, challenges in coordinating priorities and efforts across different ministries and the impact of the current system on sanitation achievements in the country. The consultation is also aimed at assessing the understanding, commitment and resource capacity of different sanitation actors (such as NGOs and international agencies) operating in the country in relation to CLTS and their alignment with national policies and protocols.

The consultation is designed as a reflective exercise to encourage the diverse actors to brainstorm on how key aspects of policy and practice could be streamlined and strengthened to enhance coordinated efforts and collaborative partnerships among diverse actors, in order to expand coverage and scale-up quality of CLTS implementation to achieve national ODF target and milestones.

The steps involved in undertaking this consultation are:

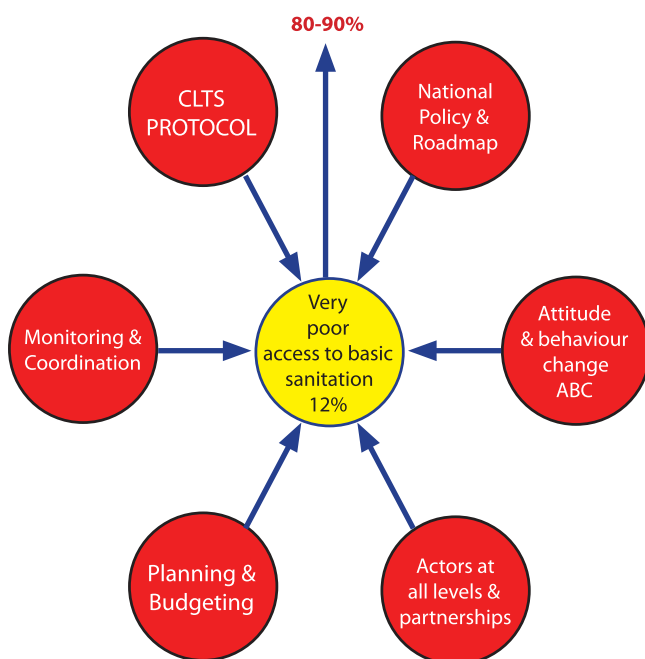
1. Organise a half-day workshop with a wide set of actors, including government and non-government stakeholders (such as donors, international NGOs etc.) giving prior notice of the meeting, its time, venue and agenda.
2. The first exercise is Actor Mapping. The facilitator puts a flipchart paper on the wall and draws a circle at the centre writing ODF country (e.g., ODF Uganda) inside the circle.
3. The facilitator then asks the group to name key actors involved in sanitation activities in the country and those who are instrumental (even if not currently involved) for achieving ODF status.
4. The names mentioned by the group are written around the centre circle, connecting each actor to the centre. For example, key actors mentioned by the groups could be ministries of health, environment or finance, as well as faith-based organisations, private sector entities, academia, media, WASH bodies and other institutions.
5. Once all the names are written out, the group is asked to pick the three actors most important for becoming an ODF country and to think about their present engagement with the overall sanitation agenda and identify what is missing. Facilitators distribute VIPP cards and ask each person to list them, putting each idea on a separate card. Once the cards are complete, they are stuck on the flipchart and read out, and participants are given some time to reflect on and make observations.
6. This is followed by the second Critical Issues Mapping exercise. The facilitator highlights the countrys access to sanitation by writing the figure (X %) in a circle in the centre of a flipchart. The facilitator then asks the group: To move the sanitation situation ahead from X% (present status) to Y% (target), what changes must happen in the macro-environment? Alternatively, the group could also be asked to reflect on the key/critical issues that require attention to achieve ODF status.
7. The group is given some time to reflect on this. The facilitator distributes VIPP cards and asks each person to write only one idea on each card. After the group has written down their ideas, each card is read out and the ideas are categorised and grouped under the six main pillars of the C-RAP tool (the facilitator should write out the names of the six pillars on VIPP cards beforehand for use in this exercise).
8. Once all the cards are on the wall, grouped under the six main pillars, the facilitator introduces the three sub-questions under each pillar (see Dashboard section). Each question is written out on a VIPP card and pasted under its respective pillar. Further, the ideas solicited from the group are organised under each of these questions for each pillar.
9. For example, the three sub-questions under the pillar are: (i) Are sufficient partnerships in place at national level to reach targeted communities across the country with CLTS? (ii) Is there a functional coordination mechanism among various partners to share resource/capacity? (iii) Are master trainers in place with requisite training materials/guidelines at national level to support training efforts?
10. The ideas written by participants on VIPP cards are sorted under each of these questions under the respective pillar.

11. The facilitator then introduces the third exercise: Colour Coding. The facilitator hands each participant three colour cards green, yellow and red. The group is asked to reflect on how the country is performing on each of the issues required to achieve ODF status.
12. The facilitator reads aloud the issues under each of the three questions for all six pillars, and asks participants to colour code them by raising one of the colour cards for each question: Green for the issue that they think is satisfactory, Yellow for the issue that they think requires improvement and Red for matters that they think are unsatisfactory.
13. During this exercise, the facilitator leads a discussion on the issues that are working well in the country and those that need urgent attention. The idea is to let the participants speak about why they think something is or is not working.

This process is ideal for involving all participants and encouraging deep reflection on the critical issues to be addressed to achieve ODF.

In cases where time is a major constraint an alternative process could be used:

1. Highlight the country's access to sanitation by writing the figure (X %) in a circle in the centre of a flipchart. The facilitator should ask the group - In order to move the sanitation situation ahead from X% (present status) to Y% (target), what changes must happen in the macro environment?
2. Solicit views from the group and group them under the six C-RAP pillars as they emerge. Note down the names of the six pillars in circles around the one in the centre of the flip chart paper. Draw arrows from each circle to the centre circle, depicting how each of the thematic areas impacts sanitation outcomes in any country.



3. Divide the group into six teams and assign each one a thematic topic (the six C-RAP parameters). Ask each team to come up with recommendations on what could be done to significantly improve their respective thematic area.
4. Give each team a flipchart paper and ask them to prioritise the three most important action points from their discussions and display it on the chart paper for presentation and discussion with the larger group.
5. After this, each small group would make a presentation highlighting the key points discussed in their group. These action points, along with inputs from the larger group, would be consolidated as the outcome of the meeting.

ADDITIONAL POINTERS:

- There may be more than one ministry/department responsible for the country's sanitation programme. In such cases, it is advisable to interact with heads of both the ministries, together or separately based on the situation.
- When appropriate, inter-ministerial consultations and multi-stakeholder consultations may be merged.

B. Sub-national Consultations

The sub-national level is the level of administration below the national level. There are usually many sub-national levels in a country, and the national administrative structure is likely to include multiple tiers, ranging from regions to communities, but differing from country-to-country. For example, in Ethiopia and Uganda regions constitute the sub-national level, and are further divided into districts. In Kenya, the sub-national level is the county; in Mozambique, it is the province; in Nigeria, it is local government areas and in Madagascar it is communes. This presentation refers to all levels below the national-level as regional.

Ideally the C-RAP design involves the application of the tool at two sub-national levels, for example two regions – one among the best-performing and the other among the worst-performing. At times, because of distances to be covered or time constraints, visits to two separate regions may not be possible. In such cases, one region can be selected, within which two districts could be chosen for the appraisal fulfilling the criteria of being among the best- and worst-performing districts.

1. Profile of Participants

At regional consultations, discussions should begin with the highest decision-making authority of the region. This could be the regional minister (as in Ghana), governor (as in provinces of Mozambique) etc. Generally, these are the administrative heads of the region and the point of convergence for all line ministries at the regional level. Consultation with these authorities and their officers sheds light on the importance placed on sanitation and whether it is understood as isolated from other interventions or as a cross-cutting, integrated development intervention.

Inter-institutional coordination at the regional level can be clarified by exploring issues such as which actor is contributing what and how much, coverage strategy, utilisation of resources and mechanisms for scaling-up. More importantly a good participatory, interactive consultation will reveal the regions forward and backward linkages (with the national level above and the community level below) in terms of CLTS/sanitation. This will help the C-RAP implementation team to clearly understand how the regional authority is placed in the context of the overall national roadmap, and how it supports community efforts to become the first ODF region in the country. Regional heads of the ministry/department mainly responsible for implementing sanitation in the country should certainly participate. In addition, any organisation (bilateral, multilateral, INGO) implementing sanitation activities in that region should be part of the consultation process.

It may also be useful to invite the national-level contact person responsible for the region to accompany the team. The highest authority of the sub-regional entity concerned with sanitation should be briefed about the process and tool to obtain his/her buy-in. The department heads would include those concerned with sanitation programming and implementation (such as Environmental Health and Sanitation departments, Public Health departments and departments of Water and Sanitation).

2. Process Steps

Since visits are to be made to two regions, it is advisable to divide the facilitation team into two groups, with each group conducting the appraisal in each of the two regions. This process involves the following steps:

- 2.1. Endorsement meeting with the head of the regional government.
- 2.2. Consultation with all regional stakeholders and actors including government, NGOs and donors.
- 2.3. Meetings with select technical staff

2.1. Endorsement meeting with head of regional government

This involves conducting structured/semi-structured interviews with the head of the regional government, and will help to understand how national policy issues reflect at the regional level and how they have been incorporated into regional level plans and guidelines.

2.2. Multi-stakeholder consultation at the regional level

The objective of this consultation is to engage key stakeholders involved in the implementation of CLTS and other sanitation activities in a process of reflection, brainstorming and open discussion of the status of sanitation in their respective regions/districts and what more could be done to enhance the quality of implementation and outcome of sanitation in their areas. The consultation could include: regional government representatives, line officers from the departments of health, water and other related ministries; NGOs operating in the region; religious and faith-based organisations; regional traditional and cultural leaders; community-based organisations, donor representatives and private sector actors.

The steps required for this consultation are the same as those for the multi-stakeholder consultation conducted at the national level. The three key tools for this participatory and reflective exercise are:

⇒ Actor Mapping

⇒ Critical Issues Mapping

⇒ Colour Coding

2.3. Meeting with select regional-level technical staff

Identify personnel from the technical teams within the region or districts who are the drivers of CLTS implementation, such as regional CLTS focal persons or regional M&E team members to collect information on technical/specialised issues.

ADDITIONAL POINTERS:

- For ease of implementation of the C-RAP tool at the regional level, it is advisable to bring actors from the regional and sub-regional (district) level to one convenient place. This group interaction will need to be facilitated very skilfully to achieve the desired objectives.
- If C-RAP is being applied only in one region, after the regional level consultation two districts within the region should be identified. Within each district, two communities one ODF and another non-ODF would be selected for the next round of (community-level) interactions. The facilitation team should split into two groups, and visit one district each. Interested participants in the consultation should be invited to join each group.
- If C-RAP is being applied in two separate regions, the facilitation team forms sub-groups at the outset, conducting a regional-level consultation in each region, followed by community interactions in one district.

C. Community Consultations

Community-level interactions are aimed at understanding the forward and backward linkages of programme implementation, from the national to the regional level and down to the community level. This is the stage at which the impact of the processes, mechanisms and activities rolled out by national and regional teams becomes visible. Consultations with community members provide an indication of how effective and sustainable the implementation process is on the ground. Thus sufficient time must be allowed to understand the unique aspects of rolling out CLTS and the checks and balances required for ensuring quality scale-up. Each of these sessions might take about half a day (4-5 hours); therefore refreshments should be provided. In other words, the consultation should be considered as a mini-workshop.

1. Profile of Participants

Household members, local leaders, village elders, traditional chiefs, natural leaders, members of formal/informal institutions (e.g., village committee, womens groups, religious groups, societies)

2. Process Steps

Interactions at this level should include three steps:

1. FGDs with community members, natural leaders and the village committee to understand from the community their perceptions of sanitation and ODF, the CLTS processes implemented in the village, the post-triggering activities undertaken to achieve ODF, the timeline within which ODF was achieved and so on. It is also important to understand the post-ODF activities planned by the community to sustain their status.
2. KIs with natural leaders, community consultants and village elders to understand issues related to innovations, quality control and technological improvements.
3. Household visits to observe the sanitation facilities built by the community and the hygiene practices in place, such as handwashing.

These exercises should be facilitated in a fully participatory manner, with a focus on identifying potential improvements and ways to enhance the pace of coverage. The approach should avoid efforts to extract information or produce a conclusive evaluation.

For guidelines on how to facilitate sessions at the community level, please refer to Annex 5.

ADDITIONAL POINTERS:

- The two community-level consultations (one in an ODF community and the other in a non-ODF community) could either be facilitated simultaneously by two different groups of facilitators or could be done one after the other, depending upon the time available and other logistics.
- Arrangements must be made in advance to inform the community about the visit. It is essential to ensure maximum participation from community members.
- Facilitating these sessions in communities requires good facilitation skills, thus it is important that members of the appraisal team have experience in facilitating triggering exercises in villages.

D. Debriefing and Feedback Session

The dashboard and analysis are fed back into the multi-stakeholder group, culminating in identification by key stakeholders of future action emanating from application of the C-RAP tool and agreement to take such action.

1. Profile of Participants

This group would consist of key ministry officials and sanitation actors operating at a national scale. It would be ideal to include in this consultation many of the key participants from the national stakeholder workshop held at the beginning of the C-RAP exercise. Taking the findings from the field back into the national stakeholder group will help these actors get a better sense of the strengths of the country programme and the gaps emerging between their initial understanding and perceptions of the programme and realities on the ground. It is also important to have key national stakeholders from both government and non-government organisations at this consultation to achieve consensus on a way forward and actions to be taken by different actors.

2. Process

1. C-RAP appraisal team reports on all observations and findings from the different levels of consultations in a comprehensive manner, through a power point presentation
2. Findings are analysed and presented to the group, highlighting the strengths and weaknesses of the programme
3. Appraisal team puts forward recommendations for the country team and facilitates an open discussion among the stakeholders present.

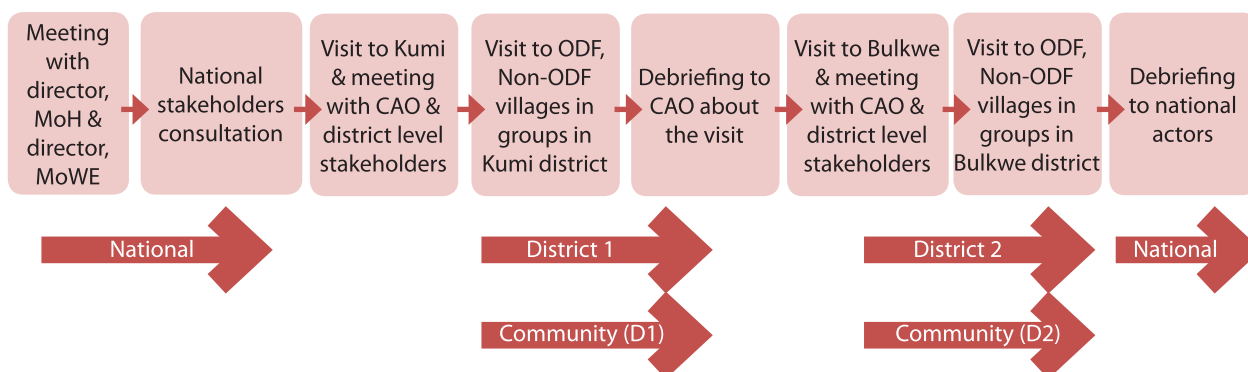


7. Country Examples of C-RAP Application

The C-RAP tool was field-tested in four countries during its methodological development: Ethiopia, Kenya, Mozambique and Uganda. The tool has therefore gone through a process of evolution over the last two years. This section provides a snapshot of the activities and processes conducted, findings that emerged and scoring format of the sanitation situation that unfolded in these countries at the time of the appraisal. In each sub-section illustrations from different countries have been indicated.

7.1. Sequence of Activities

The figure below shows the sequence of consultations held during the C-RAP exercise in Uganda.



7.2. Processes, Tasks and Methods

The table below elaborates on the processes facilitated by the C-RAP appraisal team in Uganda.

Levels of intervention	Process	Tasks	Methods used
National	Endorsement meeting with key ministries responsible for sanitation	Meetings with key decision-makers: -Assistant Commissioner, Environmental Health Division, Ministry of Health - Commissioner, Ministry of Water & Environment	Structured/semi-structured interviews
	Multi-stakeholder Consultation	Half-day workshop with key national stakeholders from government and non-governmental organisations (participants included: Assistant Commissioner, Environment Health Division, MOH; Environment Health Officer from the MOW&E, and representatives from several NGOs: SNV, World Vision, International Lifeline Fund, Living Water International, Plan International, IRS International (National Coordinator, WSSCC), GOAL and WaterAid)	-Actor Mapping -Critical Issues Mapping -Colour Coding
	De-briefing and validation exercise at the end of the C-RAP application	Reporting and analysis of findings and observations, presentation of recommendations and discussion of way forward	-Power-point presentation -Open group discussions



Levels of intervention	Process	Tasks	Methods used
Sub-national /Regional	Endorsement meeting with regional head/ department heads	Individual meetings with: - Chief Administrative Officer - District Public Health Officer -Sub-County administrative officer in one district	Structured/semi-structured interviews
		Individual meeting with: - CAO - District Health Inspector (DHI) in one district	Structured/semi-structured interviews
	Multi-stakeholder consultation	Half-day workshop with stakeholders in one district Half-day workshop with stakeholders in second district (Participants at both consultations included health inspectors, health assistants, water officers, NGO staff and others.)	-Actor Mapping -Critical Issues Mapping -Colour Coding
	Debriefing meetings	Discussion of workshop learnings and way forward with CAO of one district	One-to-one meeting
Community	Visit to OD and ODF villages in two districts	Meeting with village chairpersons	Semi-structured interviews
		Interaction and discussions with the community members and village committee	-Focus group discussion -One-on-one meetings
		Inspection of sanitation situation in villages	-Household visits -Transect walk

7.3. Observations and Findings:

As an example, observations and findings from one country application are described below:

7.3.1. National and Regional Consultations

PILLARS	NATIONAL	DISTRICT
	Observations/Findings	Observations/Analysis
Policy, Roadmap and Directives	Is there strategy and political buy-in to drive CLTS?	
	<ul style="list-style-type: none"> ○ National policy for sanitation exists, but incorporates multiple approaches ○ Mixed approaches lead to divided focus and mixed policy messages. Translation of policy messages on the ground is also confusing ○ Policy guidelines for implementation exist but no national ODF strategy and roadmap is in place to achieve ODF nation ○ Project-based roadmap and plans need to be harmonised into a national roadmap/target/timeline ○ Policy guidelines not uniformly implemented by different actors 	<ul style="list-style-type: none"> ○ Annual plan under the district development plan developed but affected by inadequate budgets, affecting resource allocation ○ Partners not fully aware of policy guidelines, hence no uniform implementation strategy on the ground ○ Absence of district-level roadmaps, targets and timelines
Financial Planning and Budgeting	Is financial planning and resourcing of CLTS adequate/realistic?	
	<ul style="list-style-type: none"> ○ Inadequate funds for universal coverage and sufficient resource allocation ○ Focus limited to project-funded districts ○ Where funds for sanitation exist, inadequate budget line for CLTS ○ Again, no defined activity plan for CLTS funds 	<ul style="list-style-type: none"> ○ Funding does not define clear activity budget line for focused CLTS intervention or planned area coverage ○ Budgeting is only for CLTS triggering processes; compromising other stages of CLTS (pre-triggering, post-triggering follow up and post-ODF activities) ○ No clear mechanism for coordinating budgets and plans of different operating partners in the district

PILLARS	NATIONAL	DISTRICT
	Observations/Findings	Observations/Analysis
CLTS Protocol	Is there one agreed upon CLTS protocol applied consistently nation-wide?	
	<ul style="list-style-type: none"> ○ Guidelines exist but no national protocol has been endorsed by the government ○ There is a common lack of understanding of processes and outcomes by different actors at different levels ○ Guidelines are not properly disseminated ○ Guidelines are not followed by all actors/partners ○ A verification process is in place but implementation and verification are carried out by same party/ministry ○ Certification is not undertaken by an independent third-party ○ Lack of capacity (resources/ skills) to carry out verification processes 	<ul style="list-style-type: none"> ○ National guidelines for achieving ODF are understood and applied differently at the district level; no standardised district guidelines/ protocols ○ Verification is carried out by the district teams who are also the implementers; no third-party certification process in place ○ No mechanisms in place to monitor activities and processes against guidelines
Partnerships, Capacity and Leadership	Are partnerships, capacity and leadership sufficient to sustain the programme?	
	<ul style="list-style-type: none"> ○ Inter-sectoral partnerships exist but need to work in a more harmonised and coordinated manner ○ Need to create more capacity to implement CLTS ○ CLTS approach needs to be understood and followed uniformly by all actors ○ No functional mechanism in place to coordinate the activities and resources of all partners ○ Emphasis is on project implementation; no clear accountable leadership at national level to steer ODF progress nationally across all districts 	<ul style="list-style-type: none"> ○ Capacity to implement CLTS exists but it is not enough; need more master trainers ○ Inadequate understanding of all four stages of the CLTS process, monitoring and verification guidelines by implementing teams ○ Partnerships with local leaders yet to be developed for organic scaling up e.g., natural leaders ○ No functional mechanisms to harmonise the activities and resources of implementing partners

PILLARS	NATIONAL	DISTRICT
	Observations/Findings	Observations/Analysis
Monitoring and Coordination	How is information captured and used for programmatic coordination?	
	<ul style="list-style-type: none"> ○ Data collection mechanism in place but data collection is inadequate; linkage from district to national is not clear and data available is fragmented ○ Annual reporting mechanism in place by line ministries (water, health), but progress reported is rarely integrated in planning/ resource allocation ○ M&E done through joint sector reviews however not adequate feedback given to stakeholders ○ No national data compiled district wise data - available on CLTS implementation or ODF progress 	<ul style="list-style-type: none"> ○ Coordination platform is used to share information from the district to national level, but doesnt allow enough sharing of experience ○ Coordination, monitoring and feedback systems need to be strengthened ○ Monitoring data not fed back into coordination and sharing platforms; weak district-national linkage ○ Insufficient capacity of district coordination committee to ensure coordination and related roles, especially in harmonisation of plans/ approaches
Post-ODF Sustainability	Are mechanisms in place to ensure sustainability of behaviours and facilities post ODF?	
	<ul style="list-style-type: none"> ○ Post-ODF strategy and activities not built into the policy, planning, budgeting process ○ Currently no focus or budget available to implement post-ODF activities ○ Natural leaders and local leaders involved in the CLTS post- triggering process, but no systematic plan to engage them in post-ODF activities 	<ul style="list-style-type: none"> ○ No shared mechanism for post- ODF ○ No mechanism to engage natural leaders/traditional leaders in post-ODF activities

7.3.2. Observations from Community Consultations

A sample of observations following community visits and consultations in one country is provided below:

STRENGTHS	WEAKNESSES
<ul style="list-style-type: none"> A. Front-line trained facilitators to support CLTS B. Strong coordination between the health department, village leaders and village health teams leads to collective behaviour change C. Both men and women are engaged in the change process D. Increased consciousness about environmental cleanliness among communities E. Community bylaws/norms set by community members to monitor themselves and achieve ODF F. Formation of village committee for post-triggering follow up G. Households are identified by the community to provide support and ensure adherence to ODF H. Gradual upgrading of toilet facilities (super structure/squat holes) I. Use of Tippy-Tap and focus on handwashing; efficient use of water J. Children trained to use toilets (using a suitably sized hole) and regular disposal of children faeces into toilets is adhered to. 	<ul style="list-style-type: none"> ○ Conversion time from triggering to ODF varies from under three months to almost three years ○ Inadequate understanding in community of faecal-oral contamination and ODF criteria, which might impact sustainability ○ Need for technical support to communities during post-triggering and post-ODF phase to explore safe and sustainable options (e.g., in flood-prone areas) ○ Mechanism to engage natural leaders need to be encouraged in all ODF villages. Currently dependent on individual facilitator capacity. ○ Lack of third-party certification contributes to dilution of norms ○ Insufficient involvement of local bodies in ODF and post-ODF processes



7.3.3. Scoring Box

At both national and sub-national level consultations, facilitators use the Colour Coding method, facilitating a discussion among participants colour-grading each of the six pillars, based on prior discussion of the key enquiries for each pillar.

Example of scores that emerged from a national consultation in one country for guidelines on grading refer section 5

C-RAP Pillars (National level)	Sub-questions (Section 4)	Green	Yellow	Red	Score	
		(# of participants who voted)				
Policy, Roadmap, Directives	i	12			1	3
	ii	12			1	
	iii	12			1	
Financial Planning and Budgeting	i	8	1	3	0	1.5
	ii	9	3		1	
	iii	4	8		0.5	
CLTS Protocol	i	11	1		1	2.5
	ii	11	1		1	
	iii	6	6		0.5	
Partnerships, Capacity, Leadership	i	2	10		0.5	1.5
	ii		12		0.5	
	iii	2	10		0.5	
Monitoring and Coordination	i	12			1	2
	ii		12		0.5	
	iii	1	11		0.5	
Post-ODF sustainability	i		2	10	0	0.5
	ii		2	10	0	
	iii	7	5		0.5	

Scores from a regional consultation in the same country

C-RAP Pillars (National level)	Sub-questions (Section 4)	Green	Yellow	Red	Score	
		(# of participants who voted)				
Policy, Roadmap, Directives	i	10			1	2
	ii	6	4		0.5	
	iii	4	6		0.5	

Financial Planning and Budgeting	i	6	4		0.5	2
	ii	2	3	5	0	
	iii	2	4	4	0.5	
CLTS Protocol	i	6	4		0.5	1.5
	ii	6	4		0.5	
	iii	4	6		0.5	
Partnerships, Capacity, Leadership	i	4	6		0.5	1.5
	ii	4	6		0.5	
	iii	4	6		0.5	
Monitoring and Coordination	i	8	2		1	2
	ii	4	6		0.5	
	iii	6	4		0.5	
Post-ODF sustainability	i			10	0	1
	ii		4	6	0.5	
	iii		3	7	0.5	

Final Dashboard

PILLARS	NATIONAL		SUB-NATIONAL/REGIONAL		Total Score
	Indicators	Score	Indicators	Score	
Policy, Roadmap and Directives	Is there an overall strategy and political buy-in and leadership at all levels to drive CLTS?				
	3		2		2.5
Financial Planning and Budgeting	Is financial planning and resourcing of CLTS adequate/realistic?				
	1.5		2		1.75
CLTS Protocol	Is CLTS applied consistently across the country; i.e., in verification/certification/definition of ODF?				
	2.5		1.5		2
Partnerships, Capacity and Leadership	Are partnerships, capacity and leadership sufficient to sustain the programme and are they aligned?				
	1.5		1.5		1.5
Monitoring and Coordination	How is information captured and used for programmatic coordination?				
	2		2		2
Post-ODF Sustainability	Are mechanisms in place to ensure the sustainability of behaviours and facilities post-ODF?				
	0.5		1		0.75

7.3.4. Summary of Recommendations

Recommendations from one country application are reproduced below; they were shared with national stakeholders on the final day of the C-RAP exercise.

PARAMETER	NATIONAL	DISTRICT
Policy Roadmap and Directives	<ul style="list-style-type: none"> ○ National policy must clearly articulate a uniform CLTS approach to guide focused planning, resource allocation and action on the ground ○ Project-based roadmap and plans should be harmonised into a national roadmap with clear vision and leadership to achieve an ODF country ○ National roadmap must incorporate district plans with ODF strategy, clear targets and timelines 	<ul style="list-style-type: none"> ○ CLTS should be reflected in district plan and strategy ○ District-level roadmaps should be prepared for all districts - not only project-funded districts - to optimise the resources and efforts of all partners ○ Proper dissemination of policy guidelines by local government to all partners with enforcement measures
Financial Planning and Budgeting	<ul style="list-style-type: none"> ○ Dedicated budget line for sanitation with clearly defined activity plan for CLTS activities ○ Budget support from various partners to be reflected in the overall country and district budget planning 	<ul style="list-style-type: none"> ○ District plan to be prepared for achieving district ODF with clear budget provision for CLTS activities within sanitation budget ○ Budget allocation to create adequate capacities - master trainers/natural leaders and for implementing the entire CLTS process ○ A system for consolidating budgets from different partners is needed
CLTS Protocol	<ul style="list-style-type: none"> ○ Nationally endorsed ODF protocol to be developed, articulating clearly the CLTS process steps, ODF definition and monitoring, verification & certification procedures ○ Dissemination of protocol at various levels ○ Mechanisms for ODF certification by third party and the cost to be budgeted 	<ul style="list-style-type: none"> ○ Build capacity in districts to carry out verification and certification processes ○ ODF declaration in the form of display boards etc.
Partnerships, Capacity and Leadership	<ul style="list-style-type: none"> ○ Strengthen coordination mechanisms: <ul style="list-style-type: none"> ▪ Coordinate activities of all partners ▪ Develop joint action plans to feed into the national roadmap ▪ Invest in creating more master trainers; all front-line facilitators should undergo standard CLTS training ▪ Develop a training plan for enhanced understanding of CLTS approach in its entirety and not as just a triggering tool to create demand ○ Capture and proactively disseminate best practices 	<ul style="list-style-type: none"> ○ Develop coordination mechanisms to harmonise actions of all partners at district level - to optimise coverage and resources ○ Involve both formal and informal leaders and institutions ○ Ensure availability of sufficient number of trainers and facilitators

PARAMETER	NATIONAL	DISTRICT
Monitoring and Coordination	<ul style="list-style-type: none"> ○ Develop a robust monitoring system that captures process, time series data reflecting partners from all districts ○ Dissemination of data collected/ feedback to be given ○ Mechanisms to strengthen inter-ministerial coordination and ministries to come together to formulate collective strategies 	<ul style="list-style-type: none"> ○ Need for harmonised CLTS MIS at district level ○ Monitoring indicators should be consistent with protocol ○ Mechanism must be in place for process monitoring
Post-ODF Sustainability	<ul style="list-style-type: none"> ○ Policy and protocol should have post-ODF strategy and define post- ODF activities, which must be monitored and tracked for implementation ○ Natural leaders and other local leaders must be trained to facilitate post-ODF activities; e.g. sanitation ladder processes ○ Technology options for upgrading should be available ○ Best practices and ODF stories to be shared through media and other channels to strengthen social norms 	<ul style="list-style-type: none"> ○ Post-ODF agenda needs to be integrated into district development plans ○ A systematic process for engaging natural and traditional leaders is needed ○ Mechanism for participatory technology development ○ Systematic and sequential engagement of private sector

IN COMMUNITIES

- Support natural leaders to strengthen collective action and reach out to neighbouring villages
- Technology issues to be addressed (flood areas/child friendly/differently abled)
- Standardised verification and certification process to be put in place
- Utilise village forums and village leaders effectively

Recommendations presented on the last day of the C-RAP exercise are broad guidelines based on the six pillars and the key enquiries for each. Strengths and weaknesses are highlighted based on the essential components required for scaling up CLTS interventions, as guided by the pillars. National teams are encouraged to flesh out the broad recommendations further and systematise the results within the country context.

8. Concluding Points

1. The tool is quite effective and useful for highlighting key strengths and weaknesses in the implementation of CLTS in a country, from the national to the sub-national level, including communities.
2. The effectiveness of the tool emerges when it is not implemented as an externally driven extractive methodology, but rather jointly carried out in partnership with the government and key sanitation stakeholders in the country. The joint exercise leads to more openness by all actors involved in examining the present sanitation scenario objectively. It also results in ownership of the findings and recommended actions.
3. As the duration of the exercise is short (approximately seven days), involving implementation of the tool at three administrative levels and incorporating feedback at every stage, the C-RAP appraisal team should be equipped with background knowledge of the country programme before the exercise begins. The team must obtain relevant documentation on programme implementation from the country office team, prior to the visit, to gain overall understanding of the programme and carry out validation during consultations and one-on-one meetings.
4. The C-RAP appraisal team must discuss and plan with the country office the logistical aspects of their visit prior to their arrival in the country. The time required for consultations/visits should be carefully considered and the country team should take travel time and local commitments into consideration.
5. The C-RAP appraisal team must meet prior to undertaking the exercise to decide on the role each person will play during the exercise. The team should have a thorough knowledge and understanding of CLTS and other participatory methodologies. The team must also be conversant with VIPP methodology.



ANNEX

Annex 1: Sample Agenda

Pre-visit activities:

-Desk review of relevant reports and documents

-Communication with relevant actors at all levels and confirmation of meetings (by UNICEF or host organisation)

Days	Level of intervention	Profile of meetings/ stakeholders	Objectives of the visit
Day 1	Arrival of facilitation team in country		
Day 2 (a.m.)	National consultations	Meeting with the host country team Country Rep/Country Director, WASH chief, WASH team	<p>Presentation of C-RAP tool: broad parameters, protocol, methodology</p> <p>Setting of expectations/ objectives for the rest of the week</p> <p>Discussion of the activity plan for the week ahead</p> <p>Discussion and agreement on selected Regions/Districts to be visited</p>
Day 2 (p.m.)		Endorsement meeting with the minister of lead ministry or any other considered relevant	<p>Explain objectives of the visit</p> <p>Brief overview of C-RAP tool</p> <p>Understand the national sanitation situation (policy, roadmap, budgets)</p>
Day 3 (a.m.)		Inter-ministerial half-day workshop (representatives from lead ministry and all other relevant ministries)	<p>Under role of each ministry, inter-ministerial coordination mechanisms</p> <p>What is working? What is not? What could be improved? Changes to be made? Who will do what?</p>
Day 3 (p.m.)		Half-day workshop with national non-governmental stakeholders (donor agencies, implementing partners) along with relevant government stakeholders	<p>Same as above, plus:</p> <p>Understanding individual actors strategies and convergence with overall national ODF vision</p>

Days	Level of intervention	Profile of meetings/ stakeholders	Objectives of the visit
Day 4 (a.m.)	Regional and district level consultations	Travel to selected region Endorsement meeting with administrative heads of the region	Endorsement meeting Explain C-RAP tool; understand district status Agreement on districts/villages to be visited (invite participation by regional authorities)
Day 4 (p.m.)		Half day consultation workshop involving regional and district level actors government and non-government actors (try to involve the heads of as many districts as possible)	Understand regional plans/roadmap/ timelines, forward/backward linkages with the national plan and functional and institutional arrangements to operationalise it, capacity strength and budgets, roadmap, different actors involvement, coordination strategies, functional mechanisms to provide support to front-line staff etc.
Day 5 (a.m.)		Travel to two districts within the region and meet with district heads (The facilitation team will be divided into 2 groups. Each group will visit 1 district each)	Endorsement meeting Explain C-RAP tool; gain understanding of the districts sanitation status in detail
Day 5 (p.m.)	Community consultations	Visit to select villages within each district by each group field visits, meetings with natural leaders, community members	Field visits to ODF and non-ODF villages (invite a few national/ regional/district-level stakeholders to join team on these visits)
Day 6	Debriefing sessions	After community visits, meeting with the district head for a debriefing	Share findings from the field
		Both facilitation groups assemble and before leaving the region, meet with regional heads for a debriefing	Share findings from the field
		Return to HQ and prepare for next days workshop	
Day 7 (Morn)		Half-day workshop with national stakeholders to summarise the visits and findings from consultations at the national, regional/ sub-regional and local levels	Debriefing the team on the findings of the visits and consultations Presenting the overall scenario of CLTS/ sanitation at national/regional/local levels Presenting an analysis of strengths/gaps/ opportunities for CLTS implementation and brainstorming on way forward
Day 7 (p.m.)		Meet with the host organisation team	Debriefing and strategizing on way forward, setting up of follow-up plan and timelines
Day 8	Facilitation team leaves the country		

Annex 2: Checklist for Appraisal team

S. No	Pillars	Qualifiers for Key Enquiries	Sources of enquiry
1	Policy, Roadmap and Directives	Whether policy is agreed by the legislature of country	Secondary data
		Whether it is just a departmental order subject to override by another government order	Secondary/primary
		Policy shows the universality of application across the length and breadth of the country	Secondary/primary
		Road map is endorsed by concerned ministry of the country	Secondary/primary
		Roadmap has the approval of the competent body/authority	Secondary/primary
		Evidence of agreement of all concerned sanitation actors must be available, whether in the form of ratification, departmental order, MoU, joint resolution, etc.	Secondary (but could be obtained after personal interactions)
		Evidence of regional conformity to policy: could be a state policy document in harmony with national policy document, policy directives for the region, etc.	Secondary
		Evidence of regional roadmap as a follow-up to (or resulting from) the national road map	Primary
		Consistency between national and regional road maps	Primary
		Regional roadmap also backed by actor conformity; e.g., in the form of ratification, government order, joint resolution, etc.	Secondary/primary
		At the local level check the targets and timeframe	Primary
		Does the local level implementation team have a clear modus operandi (only CLTS approach, or part CLTS and part subsidy approach or only behaviour change element of CLTS then construction, inappropriate sequencing of sani-market etc.) for their entire operational area.	Primary
		Evidence of concrete change in the status quo due to roll-out of this new policy (if applicable)	
		Policy and national roadmap is backed by appropriate budget	

S. No	Pillars	Qualifiers for Key Enquiries	Sources of enquiry
2	Planning and Budgeting	Check the area covered with respect to number of districts and regions	Secondary/primary
		Check whether there is cluster ODF approach or a haphazard coverage approach	Primary
		Check the pattern of implementation: Is it patchy, dotted or is there an area saturation approach in place? (Area saturation approach refers to coverage of ODF locations, sub-locations, districts, regions etc.)	Primary
		List the districts and regions that are not covered	Primary
		List the district and regions that do not have a clear plan	Primary
		Map all the donor, bilateral, multilateral, NGO and government funding flowing into the country for CLTS action	Primary
		Plot the funding pattern based on geographic distribution and national/regional plan	Primary
		Check for existence of a collective mechanism for a budget pool with contributions from all major actors for certain activities (e.g., capacity development, knowledge management, media campaign)	Primary
		Is funding availability based on seasonal specificities and action plans at different levels?	Primary
		Check for a concrete fund disbursement code (if any), such as stipulated time, release protocol etc., in case of government funding	Primary
		Check whether there is a clear planning protocol and schedule in place involving all actors (this may involve timing with respect to submission of plan, mechanism of arriving at plan, ratification of plan at appropriate level prior to submission, etc.)	Primary
3	CLTS Protocol	National protocol has space for regional specificities (e.g., natural disasters, security issues etc.	Secondary
		Is the set protocol is very rigid, failing to take into account the need for regional adaptation?	Secondary/primary
		Check whether or not the protocol and targets kill the spirit and underlying values of community-led total sanitation (allowing the community to decide and offering choices rather than technological prescriptions)	Secondary/primary
		Check whether the protocol creates opportunities for community actors (e.g., natural and traditional leaders) to play important roles.	Secondary/primary
		The institutional arrangement is well-articulated and arrangements include space for implementation, review, feedback and corrective measures.	Secondary/primary
		Observations of community-level processes across all four stages of CLTS implementation	Primary

S. No	Pillars	Qualifiers for Key Enquiries	Sources of enquiry
4	Partnerships, Capacity and Leadership	Presence of coordinating bodies such as: inter-agency coordination committee (Kenya), programme coordinating mechanism (GSF countries), national institutional coordination committee, regional institutional coordination committee, district institutional coordination committees etc. (Ghana)	Secondary/primary
		Wider conformity and participation by sanitation actors including multilateral and bilateral agencies, NGOS, sanitation networks in such forums.	Primary
		Evidence of regular meeting and joint actions (if any); e.g., working groups in Kenya addressing various sanitation themes.	Primary
		Evidence of collective pooling and exchange of human resources to complement each others action.	Primary
		Mechanism for sharing of learnings among all actors, such as CLTS knowledge hub in Kenya, CLTS portal in Ghana	Primary
		Is there a window for strong involvement by informal actors, (champions from political and bureaucratic sphere, traditional leaders, natural leaders etc.) at appropriate levels of governance?	Primary
		Is strong collaboration visible across all administrative and political hierarchy levels (nation, state/region, sub-region/district etc.)?	Primary
		Is there a healthy ratio between number of ODF communities and number/availability of trained facilitators (proxy indicator of quality of human resources involved in facilitation)	Primary
		Time elapsed from date of triggering to date of ODF (ideally one-to-three months, but realistic time frame must be considered based on regional specificities)	Primary
5	Monitoring and Coordination	Is there a smooth information flow across layers of information collection; e.g., local to regional and national level?	Primary
		The system must be user-friendly and data collection and collation complications are minimal.	Primary
		The M&E system can generate customised information for decision making at different levels.	Primary
		The M&E system is in line with the feasible technological option at a given country context.	Primary
		The M&E system captures both process and outcome results, such as demographic data, coverage date, ODF compliance data and health outcome data.	Primary
		The M&E system can cater to field verification requirements effectively and efficiently.	Primary
		There is dedicated finance, and an adequate number of trained human resources to manage the M&E system.	Primary
		The process verification is alive to the basic ODF criteria, i.e. no excreta outside, toilets are fly- proof and hand-washing with soap or ash.	Primary

S. No	Pillars	Qualifiers for Key Enquiries	Sources of enquiry
6	Post-ODF Sustainability	Evidence of private sector engagement for participatory technology development and provision of technology options to people from different income brackets.	Secondary/primary
		Systematic recording of technological innovations at community level; e.g., improved pit latrine for handicapped people in Kenya, improved san plat made of silica in Madagascar, etc.)	Secondary/primary
		Systematic engagement and dissemination of relevant technological advice to the community as and when required.	Primary
		Transfer of technical skills (such as masonry) training in many countries	Primary
		Many natural leaders are acting as community consultants and providing support to other villages.	Primary
		A clear plan is in place regarding ensuring access to materials and services required for different technological options available for people from different income brackets.	Secondary/primary
		There is systematic recording and sharing of critical unintended outcomes with communities, which act as reinforcing factors for continued motivations. (For example, impact on agriculture and forest produce collections in Madagascar, labour markets in Bangladesh etc.)	Secondary/primary
		Evidence (if any) of effective convergence of various government programmes and schemes with ODF communities, especially health and hygiene programmes.	Secondary/primary
		Effective involvement of local institutions (health centres, schools etc.) to keep the sanitation and hygiene behaviour-change message alive.	Primary

Annex 3: Sources of information for national consultations

Parameters	Lines of enquiry	Method of enquiry	Respondents/ Participants/Source	Time of information collection
Policy and Leadership	CLTS in national sanitation policy / national roadmap/ lead agency/ targets for ODF	Literature review/ interaction with country office or ministry prior to visit.	Policy documents	Prior to appraisal visit
	Institutional collaborations and mechanisms backing national roadmap	FGDs	-Members of coordinating body -National stakeholders	During appraisal exercise
		KII	-Preferably one donor and one implementing agency	During appraisal exercise
Financial Planning and Budgeting	Plan and budget line for rural sanitation/CLTS	Literature review/ interaction with CO prior to visit/FGD	-Members of coordinating body -National stakeholders	Prior to visit/during appraisal exercise
	Unit costs of one ODF village in accordance with plan and budget	Literature review/ interaction with CO prior to visit	-Members of coordinating body -National stakeholders	During appraisal exercise
		KII		During appraisal exercise
	Systems and mechanisms for efficient budget disbursement	FGD	-Members of coordinating body -National stakeholders	During appraisal exercise
		Key Informant Interview	Head of Department	During appraisal exercise
	Integration of regional plans and budgets into the national plan	FGD	Members of coordinating body National stakeholders	During appraisal exercise
		KII	Head of Department	During appraisal exercise
CLTS Protocol	Existence of common ODF protocol	Literature review/ interaction with CO prior to visit	CLTS Protocol	Prior to appraisal visit
		KII	Head of Department	During appraisal exercise
	Has the ODF protocol been shared and validated by other sector partners?	FGD	Sector coordination group lead	During appraisal exercise
		FGD	-Members of coordinating body -National stakeholders	During appraisal exercise

Parameters	Lines of enquiry	Method of enquiry	Respondents/ Participants/Source	Time of information collection
Partnership, Capacity and Leadership	Sufficient partnerships at national level?	FGD	-Members of coordinating body -National stakeholders	During appraisal exercise
		KII	Head of Department	During appraisal exercise
	Presence and availability of master trainers?	FGD	-Members of coordinating body -National stakeholders	During appraisal exercise
		KII	Head of Department	During appraisal exercise
	Existence of functional coordinating body involving all partners	FGD	-Members of coordinating body -National stakeholders	During appraisal exercise
Monitoring and Coordination	Comprehensive monitoring system linking local-regional-national information and its functioning	Interactive discussions	M&E team	During appraisal exercise
Post-ODF Sustainability	Is post-ODF sustainability part of national ODF strategy?	-Interaction with CO prior to visit -Literature review		Prior to visit
		KII	Technical lead (CLTS focal point)	During appraisal exercise
	Institutional capacity building for post-ODF research	FGD	-Members of coordinating body -National stakeholders	During appraisal exercise
	Engagement of private and informal sectors	KII	Head of department	During appraisal exercise

Annex 4: Sources of information for Regional Consultations

Parameters	Lines of enquiry	Method of enquiry	Respondents/ Participants/ Source	Time of information collection
Policy, Roadmap and Directives	Is CLTS mentioned in regional sanitation strategy documents/policy?	FGD	-Regional stakeholders -Regional coordinating members	During appraisal exercise
		FGD	Regional level stakeholders Regional coordinating members	During appraisal exercise
	Regional roadmap with target, timelines and milestones? Clear institutional collaboration and leadership for rollout?	KII	Head of sub-national government (region/ state/ district/county, etc.)	During appraisal exercise
Financial Planning and Budgeting	Is regional budget for sanitation sufficient to fund planned CLTS activities?	-Literature -FGD	Policy, WASHBAT, sector assessment documents	Prior to and during appraisal visit
	Are national and regional plans aligned?	FGD	-Regional level stakeholders -Regional coordinating members	During appraisal exercise
CLTS Protocol	Is the national protocol (verification/certification/definitive) well understood and adopted by regional authorities? Is there a clear, scalable and accountable (i.e., third party or the like) verification and certification process in play at this level?	FGD	-Regional stakeholders -Regional coordinating members	During appraisal exercise

Parameters	Lines of enquiry	Method of enquiry	Respondents/ Participants/ Source	Time of information collection
Partnerships, Capacity and Leadership	<p>Number of facilitators training in past year.</p> <p>Resources/support available to facilitators at regional level.</p> <p>Existence of functional regional partnerships with adequate resources</p>	FGD	-Regional stakeholders -Regional coordinating members	During appraisal exercise
Monitoring and Coordination	Evidence of a process or system linking local and regional monitoring to national inputs.	FGD	-Regional stakeholders -Regional coordinating members	During appraisal exercise
	Consistency with national CLTS protocol and regular updating of data into national system	Interactive discussions	Regional (district/county) M&E Team	During appraisal exercise
Post-ODF Sustainability	<p>Participatory technology development, institutional capacity building (i.e. via research or academic institutions) for improved sanitation support?</p> <p>Engagement of private and informal sector?</p> <p>Evidence of a systematic process to engage traditional leaders?</p> <p>Evidence of a systematic process to engage NLS/CCs as scaling-up actors?</p>	FGD	-Regional stakeholders -Regional coordinating members	During appraisal exercise

Annex 5: Protocol for community visits and facilitation

A. For villages that have been triggered but not yet become ODF

Invite as many men, women and children as possible to a common location at a pre-arranged time. (Refer to basic participation criteria observed for CLTS facilitation in the trainers guide). Start with a brief introduction and explain the purpose of the visit. Facilitate a discussion to recapitulate and capture the memory of community members about participatory exercises that were conducted on the day of triggering, a few months earlier. Ask direct questions to any community member who is interested in responding: what exactly happened, who participated and if any collective decisions were made. If the answer is yes, ask the community members who adhered to the collective decisions to respond by raising of hands.

The first activity involves dividing the group in two: those who have taken initiatives to improve their sanitation situation after the triggering exercises and those who have not.

- Ask each group to stand separately. There should be a clear demarcation space in between the two groups.
- Question both groups about what their feelings in regarding the present situation with sanitation.
- Provoke a discussion among the groups, taking points from their different responses.
- During the discussion, also ask about the current post-triggering monitoring mechanisms and processes followed in the village. It is helpful to visually represent this discussion on an outline map of the village.

After this, dismantle the groupings and facilitate an energizing session to bring the discussion to an end.

The second part of the community interaction involves formal/informal institutional involvement in CLTS processes.

- Ask the gathering to form separate groups based on affiliation/association with formal and informal institutions.
- Once the groups have been formed, ask each group to identify their institutional affiliation vocally.
- Provoke a discussion on how each group is involved or contributing into the process and actions related to CLTS in their communities. Particularly gauge the role of natural leaders or institutions made responsible for attaining the collective behaviour-change objective.
- Finally, bring all the leaders back into the centre of the map and allow them to re-analyse their situation and review their ODF roadmap.
- Thank them for their time and contribution.

B. For villages that are ODF:

- Set a date of visit to the community and organise so that everyone gathers at one location.
- Facilitate a discussion to recapitulate and capture the memory of community members on any participatory exercises that were conducted on the day of triggering, a few months earlier.
- Ask what differences they see now that their community has become ODF compared to when they were non-ODF.
- Ask them how many days it has taken from the date of triggering for the community to become ODF.

- Seek responses from men, women and childrens groups separately to mention what was done in the community from the time of triggering till it became ODF.
- Ask the community who contributed the most (NLs/CCs) and form a separate group to carry out a discussion on challenges, sustainability and the way forward.
- Conduct a transect walk in the village and pay special attention to:
 - Innovations in different toilets
 - The extent of usage
 - Maintenance of the toilet/hand-washing facilities (ensure that the three basic ODF criteria is being met: use of lid, smell-free and fly-proof toilets etc.)
 - Indications of progressing along the sanitation ladder
 - The pattern of handling childrens faeces
 - Any signs of practice of open defecation in the village
 - How animal excreta and other solid waste are being managed
- Involve the local government and other officials who accompany the appraisal team to the community in a discussion at the end of the transect walk. In this discussion, explore if there is any systematic attempt to leverage the ability of ODF communities to support the scaling up of CLTs in the entire region. For e.g. ask how the ODF village is being utilised as a training lab for other non-ODF villages and how the NLs are being utilised as CCs in other communities.
- Take note of any knock-on effects that have taken place because of CLTS implementation.

Annex 6: Guidelines for Data Collection

Structured or semi-structured key informant interviews would mostly be administered to key actors at the national level of enquiry, as most are senior officials who prefer to meet in smaller groups or one-on-one interactions. The appraisal team would need to identify these key actors and seek prior appointments with them. However, this method of data collection could also be used to collect information from key regional or local actors. While semi-structured interviews take the form of an informal chat, the appraisal team would need to be very careful in directing the conversations towards collecting relevant information that would answer questions pertaining to the key areas of enquiry. Interviews are also very useful for corroborating information collected from secondary sources. It should be kept in mind that before beginning the interview, the purpose of the meeting should be clarified and consultation partners should be taken on board as equal members of the investigation process for taking the country's CLTS initiative forward, rather than making them feel that it is a process of extraction by outsiders. In other words, key decision-makers should be inducted into the process with a spirit of equal ownership.

Focus group discussions are to be facilitated at the national, regional level and sub-regional levels. The number of FGDs will vary at different levels, depending upon the availability and number of participants among consultation partners and diversity at a given level (e.g.; in Kenya: county/sub-county/location/sub-location/village. In Madagascar: region/district/commune/ fokontany). Appraisal team members need to decide on their respective roles in advance. Depending on the role distribution, each member of the mission will facilitate an FGD. The key questions relevant for each level to be discussed in FGDs should be selected from the Enquiry Matrix of the Dashboard. The outcome of the FGDs should be summarised and triangulated in respective groups before taking it forward to the next level of consultation. If for some reason, due to paucity of time, the appraisal team cannot conduct separate FGDs for each level, people from two or more levels could be combined and small group discussions could be facilitated by dividing them into small groups. This will be a bit tricky when appraisal team members need to capture perceptions of different focus groups.

FGDs and small-group discussions help to bring a wide range of actors together on the same platform to share common (as well as divergent) viewpoints in an open forum. Key points related to coordination and communication gaps are often revealed in FGDs as actors contradict each other in discussions. This method of data collection also paves the way for dialogue and opens channels of communication among actors for future action.

Participant Observation should be used by team members throughout the appraisal period, while investigating at the national, regional and local levels. It is widely administered at community visits; however, it is also useful to have one team member noting down observations during FGDs and interviews and following up on any key observations made that might lead to important information collection. At the end of the day, team members should also share their observations with each other, as this might lead to interesting and revealing information.

Secondary sources of data collection would mainly form part of the preparatory phase and be used before the investigation begins, so that a fair amount of background information has been gathered before meeting or consulting with key stakeholders. However, the appraisal team will need to refer to secondary sources continuously throughout the different stages of the appraisal to corroborate information being collected from primary sources.



CLTS Rapid Appraisal Protocol (C-RAP)

**A tool for rapid assessment of
the practice of CLTS at scale**

The CRAP tool was developed jointly by CLTS Foundation and UNICEF. This report was jointly prepared by the CLTS Foundation (Kamal Kar, Sisir Kanta Pradhan and Preetha Prabhakaran) and the WASH Section, UNICEF, ESARO (Ann Thomas and Peter Harvey). It was reviewed by Bernard Keraita (WASH Section, UNICEF, ESARO).

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