Micro-Planning for CLTS: Experience from Kenya

INTRODUCTION

Micro-planning is a tool often used in the context of decentralisation to guide decisions and to monitor the achievement of objectives. It has been used in a variety of sectors including planning immunization to reach target children as well as in education to reach out-of-school children.

The devolution of sanitation service delivery to county-level in Kenya presented an opportunity to strengthen planning and monitoring of CLTS programming. The Ministry of Health adapted and tested the micro-planning tool in two counties, with technical assistance from UNICEF, and later scaled it up to the entire country covering all of 47 counties. This Field Note presents the steps in micro-planning and discusses the challenges and successes of the process.

KEY POINTS

• Micro-planning is a tool that can support planning and management decisions at lower-levels of devolved government whilst also providing a higher-level snapshot of how a national programme is being translated and operationalized across the country.

• It has been used successfully in a range of sectors including health and education and adapted in Kenya to plan and monitor the ambitious Open Defecation Free (ODF) Kenya initiative.

• Initially micro-planning was tested in two counties by the Ministry of Health with technical assistance from UNICEF and later scaled-up to the entire country covering all 47 counties.

• The resulting plans provide an estimate of cost and needs to achieve ODF for every district/country as well as the processes required i.e. decentralized roadmaps, budgets and plans.

• County public health teams now have a complete database of village sanitation status, which can be used for monitoring progress towards ODF status for each county.

• The Ministry of Health can use the data to report against the country’s eThekwini sanitation targets.

• According to the micro-plans the overall investment required to achieve 100% ODF status in the country is KES 1.5 billion ($168 million).
WHAT IS CLTS MICRO-PLANNING?

CLTS micro-planning is a detailed, point in time assessment of progress towards the target of 100% ODF status in the country. The micro-planning exercise incorporates the critical steps in CLTS implementation in Kenya (see Figure 1). Steps for village-level data collection included: listing names of villages by sub-county, their ODF status and existing implementation partners. A micro-plan was developed for each village in the county, indicating the ODF status as well as plans for scaling up progress.

There are multiple global tools available for planning and monitoring sanitation at the national-level. Figure 2 below shows how micro-planning complements other monitoring and planning tools commonly used in WASH. The main difference is that micro-planning can be used to specifically diagnose a national CLTS programme while many other tools are broader in scope, looking at sanitation or WASH (water, sanitation and hygiene). Micro-planning also extracts detailed information at the village-level, which informs a broader analysis of programming effectiveness and reach. Micro-planning uses the comprehensive information collected from the village-level for planning and monitoring and to help identify critical areas that require strengthening.

“Micro-planning results in a highly detailed and costed plan to achieve ODF status in the county and collectively, by extension, for the whole country to become 100% ODF.”

Figure 1 – Steps in CLTS process in Kenya

Figure 2 – Situating micro-planning with other sanitation M&E tools

<table>
<thead>
<tr>
<th>Global level analyses &amp; monitoring data</th>
<th>National strategy/advocacy &amp; planning</th>
<th>Local planning &amp; monitoring</th>
</tr>
</thead>
<tbody>
<tr>
<td>• UN-Water (GLAAS)</td>
<td>• Multiple Indicator Cluster Surveys (MICS)</td>
<td>• CLTS Rapid Assessment Protocol (CRAP) tool</td>
</tr>
<tr>
<td>• Joint Monitoring Programme (JMP)</td>
<td>• WASH-BAT (Bottleneck Analysis Tool)</td>
<td>• Micro-planning</td>
</tr>
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<td></td>
<td>• Country Status Overview (CSO)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• CLTS Rapid Assessment Protocol (CRAP) tool</td>
<td></td>
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<tr>
<td></td>
<td>• Micro-planning</td>
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</tbody>
</table>
DESCRIPTION OF INTERVENTION

The following process was adopted in the country-wide micro-planning exercise:

1. **Development of micro-planning tool:** The tool - a data collection template and database - was developed by UNICEF in consultation with the officials of Ministry of Health at the national and county-level. The tool was tested in Kitui and Kajiado counties.

2. **Analysis of micro-plan:** The micro-plan of Kitui was analysed and the results used to establish the cost of attaining 100% ODF status in the county, based on unit costs of various activities. The analysis was presented to the County Health Executive of Kitui and other County Health Teams, who confirmed it would be useful for planning and budgeting at county-level.

3. **Refinement of the tool:** The micro-planning tool was further refined based on comments received from the county during the testing and further discussion at the national-level.

4. **Scaling up of micro-planning country-wide:** The micro-planning tool was scaled up country-wide through the following actions:
   - The micro-planning tool and costing template was shared by the Chief Public Health Officer with the county public health officers who were advised to complete the plan in consultation with district public health officers.
   - Workshops on micro-planning were held in all of counties for the county public health officials and CLTS focal points.
   - The National Sanitation Hub team along with UNICEF staff provided technical support to the county teams including on-line support.
   - The county teams shared the completed village micro-plan with the National Sanitation Hub. UNICEF provided technical support in analysing the data available from the micro-plan and developing a County and Country Summary Sheet for decision makers at various levels. (See Figure 3).

### Village micro-planning

The village micro-planning tool incorporates the critical steps in CLTS implementation. The steps for village-level data collection include to:

- List each village by sub-county;
- Identify the person by name who has been assigned to facilitate the CLTS process in the village;
- Identify if the person is trained on CLTS or not;
- Identify the current status of the village in terms of various stages of CLTS towards achieving ODF;
- Name the implementing partners and;
- If it’s an ongoing partnership, indicate the plan for action to complete CLTS steps.

Through this comprehensive data collection process, every county developed a micro-plan for each village in the county, indicating the ODF status as well as plans for scaling up progress.
Achieving Open Defecation Free (ODF) Status in Siaya County

Summary
570 villages (29%) out of 1982 villages in Siaya County have achieved Open Defecation Free (ODF) status. 1043 villages (53%) in Siaya County still need to be reached for triggering. KES 38 million required to achieve 100% ODF status in the County.

Figure 1
District Summary: Journey to ODF

<table>
<thead>
<tr>
<th>District</th>
<th># of villages in the County</th>
<th># of villages triggered (%)</th>
<th># of villages Claimed ODF (%)</th>
<th># of villages verified (%)</th>
<th># of villages Certified (%)</th>
<th>Balance of villages for ODF (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bondo</td>
<td>315</td>
<td>70 (22%)</td>
<td>27 (8%)</td>
<td>27 (8%)</td>
<td>10 (4%)</td>
<td>288 (91%)</td>
</tr>
<tr>
<td>Gem</td>
<td>360</td>
<td>88 (24%)</td>
<td>58 (16%)</td>
<td>58 (16%)</td>
<td>302 (84%)</td>
<td></td>
</tr>
<tr>
<td>Siaya</td>
<td>501</td>
<td>319 (64%)</td>
<td>231 (46%)</td>
<td>102 (20%)</td>
<td>87 (17%)</td>
<td>270 (54%)</td>
</tr>
<tr>
<td>Ugunya</td>
<td>229</td>
<td>133 (61%)</td>
<td>87 (38%)</td>
<td>74 (32%)</td>
<td>31 (14%)</td>
<td>140 (63%)</td>
</tr>
<tr>
<td>Ugogo</td>
<td>247</td>
<td>144 (58%)</td>
<td>43 (17%)</td>
<td>22 (9%)</td>
<td>4 (2%)</td>
<td>204 (83%)</td>
</tr>
<tr>
<td>Rarieda</td>
<td>330</td>
<td>181 (55%)</td>
<td>97 (29%)</td>
<td>55 (17%)</td>
<td>20 (6%)</td>
<td>266 (82%)</td>
</tr>
<tr>
<td>TOTAL FOR SIAYA COUNTY</td>
<td>1982</td>
<td>938 (47%)</td>
<td>570 (29%)</td>
<td>380 (19%)</td>
<td>228 (12%)</td>
<td>1,043 (54%)</td>
</tr>
</tbody>
</table>

Achieving ODF Status in Siaya County
What is needed

Figure 4
Human Resources: Community level facilitation

Figure 5
Existing Partnerships at community level for CLTS Implementation

Observations and Recommended Actions
73% of community facilitators trained.
Reloy of CLTS facilitators assigned for CLTS and they are supported on a 1:2 basis.
Reloy to rationalize distribution of villages among facilitators and monitor human resource for close follow up.

Observations and Recommended Actions
50% of villages have partnership support for CLTS implementation.
Accelerate implementation of CLTS in villages where committed partnership exists.
Number partnerships needed for accelerated implementation.

Figure 6
Financial resources required for County to achieve ODF

<table>
<thead>
<tr>
<th>(# of villages)</th>
<th>Village level activities</th>
<th>Village level activities</th>
<th>Village level activities</th>
<th>Village level activities</th>
<th>Village level activities</th>
<th>Village level activities</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td># of villages triggered &amp; claimed</td>
<td># of villages triggered &amp; certified</td>
<td># of villages to be triggered &amp; certified</td>
<td># of villages to be verified &amp; certified</td>
<td># of villages to be validated &amp; certified</td>
<td>Estimated Budget (KES)</td>
</tr>
<tr>
<td>1</td>
<td>1982</td>
<td>938 (47%)</td>
<td>570 (29%)</td>
<td>380 (19%)</td>
<td>228 (12%)</td>
<td>1,043 (54%)</td>
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</table>

OUTCOME

The County Summary and the Country Analysis of the micro-plan data have been published in a report ‘Realising Open Defecation Free (ODF) Rural Kenya’. The County Summary sheets are presented in the report in a user-friendly format with information consolidated on 2 pages for each county. The consolidated plans and analysis at national-level showed some clear successes and weaknesses in the CLTS process so far. Recommendations for addressing weaknesses in CLTS were included in final version of the plans (see Figure 4).

The micro-planning exercise has brought a degree of accountability among UNICEF partners and other sanitation actors. Specifically the exercise has clearly shown what has been done in each village compared to what was previously reported by the district, NGO or at national-level. Prior to the exercise there was confusion as to what resources were allocated to which villages for CLTS activities. The roles of different actors in the CLTS process has since been clarified.

Launch of CLTS micro-plan by the Governor of Kitui County
The micro-planning exercise gave stakeholders essential information on progress on the CLTS road map as well as identifying gaps and resource needs to reach full ODF in all the counties. These findings are summarized below.

- Limited spread of CLTS across the country: Out of total of 59,915 villages in the country, 9,126 village (15%) have been triggered and 3,956 (7%) have claimed ODF (see Figure 4); 18 countries are yet to achieve a single ODF village; 8 counties have not yet started to implement ODF.

- Geographic disparity in programme implementation: Out of the 10 best performing counties only 4 had programme implementation spread across all districts.

- Gaps in triggered villages achieving ODF status: 43% of triggered villages have reached ODF claim – this requires improved quality of triggering as well as follow-up.

- Immediate attention is needed to the verification and certification process. Only 65% of villages that claimed ODF status were verified, only 50% are being certified.

- There is a need for more Government and NGO partnerships for CLTS. Only 27% of villages have partners. (see figure 5)

- There is a need to strengthen follow-up mechanisms and closely monitor the efforts and results as well as to ensure adequacy of human resource deployment to support CLTS.

- According to the micro-plans the overall investment required to achieve 100% ODF status in the country is KES 1.5 billion (US$168 million).
LESSONS LEARNED

- Micro-planning is an effective tool to bring different actors together to collaborate on CLTS.
  - The micro-planning exercise produces comprehensive data but was a resource intensive process requiring considerable financial, human and transport resources. Other, ‘lighter’ diagnostic tools may be more feasible such as the CLTS Rapid Assessment Protocol (CRAP).
  - Some counties needed considerable support from UNICEF and the National CLTS Hub. The online support facility was very valuable for this.
  - The clear evidence of progress and gaps for each county was an effective motivator for sanitation professionals but it was difficult to maintain momentum after the initial micro-planning exercise. There is a need for regular follow-up and encouragement to keep county teams motivated to take action on CLTS road maps.
  - The micro-plans provide a powerful advocacy tool for sanitation.
  - The exercise came at a time when newly formed county governments were developing budgets. The micro-plans provided accurate planning and budgeting figures that enabled the county health department to allocate resources from the county for CLTS activities. This was also an opportunity to raise the profile of sanitation within the new county health plans.

Raising the profile of sanitation

Micro-planning was carried out alongside a World Bank/WSP sanitation benchmarking exercise, which ranked the counties according to their sanitation performance.

Both the micro-plans and the sanitation benchmarking were presented at a national sanitation conference in March 2014 (with over 200 participants). County Public Health Teams were proud of the results of the planning exercise and enthusiastically presented their results to their peers. This was an important step in raising profile of sanitation and the work of public health staff within local health teams who are often marginalized within the health systems in African countries.

The same conference presented the figures from the World Bank/WSP assessment of the economic cost to the country of poor sanitation and hygiene ($365 million each year) which was compared with the cost of achieving 100% ODF ($168 million) providing a powerful argument for investment in CLTS.
NEXT STEPS

- Counties have developed plans and budgets to address the key bottlenecks in CLTS implementation.

- The existing data provides a baseline for 2013 against which progress towards ODF status can be monitored over time through repeating the micro-planning exercise.

- The village micro-plan is to be used as a planning and monitoring tool by the county and sub-county health teams and updated at regular intervals to help them fulfill reporting requirements within the Health Management Information System.

- UNICEF is supporting county governments and national government to establish monitoring systems for reporting against MDGs and eThekwini targets using micro-planning data.
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This Field Note is part of the UNICEF Eastern and Southern Africa Sanitation and Hygiene Learning Series, designed to improve knowledge of best practice and lessons learnt in sanitation and hygiene programming across the Region. The series has been funded by the Bill & Melinda Gates Foundation in support of improved knowledge management in the sanitation sector.

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- Small towns sanitation
- Mobile-enabled sanitation and hygiene programming
- Regional supply chains for sanitation
- Sanitation marketing
- Handwashing with soap

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