THE CONTEXT: In 2008 UNICEF convened its first global meeting to focus on sanitation issues — and to identify the potential roles it could play as part of the emerging global partnership to address the sanitation crisis. Its focus, in keeping with its core mandate, was to address sanitation concerns, particularly as they impact the lives, health and long-term opportunities in the bottom quintiles of the global population.

That event, which produced the critically important *Essential Elements of Community Approaches to Total Sanitation (CATS)*, became the trigger for a broad and growing range of strategic sanitation interventions, developed and managed by UNICEF leadership and staff, within the context of the WASH Sector and the global development community. The magnitude and diversity of the programmatic interventions that sprung-up from the first meeting also demanded that UNICEF convene a second meeting on sanitation — to review its progress, identify its emerging key issues and concerns, reflect on its core strategic mission, and set its broad course for the next several years.

This second meeting, dubbed CATS +2, was held in NYC, November 2-5 at the House of the Redeemer conference facilities. Twenty-four UNICEF staff (representing five regions: WCAR, ESARO, ROSA, EAPRO, TACRO – and its NYHQ unit) were joined by six guests from other WASH-Sector organizations, in an outsider-facilitated event.

This document is part of the full report on that event. It is the Facilitator’s Report, focusing on the workshop design, process and flow – and identifying reflections and insights of the facilitator related to design, process and emerging ideas. It is organized into five sections:

2. Process-Related Learnings Emerging from CATS +2
3. Possible Roles for UNICEF within the WASH Sector
4. Two Possible UNICEF Offers for the WASH Sector:
   - A Marketing Package for Clients
   - A Global WASH Offer
5. Lingering Questions
1. **MEETING STRATEGY – DESIGN AND ORGANIZATION: PROCESS OVERVIEW**

The meeting was organized in the context of the overall UNICEF strategy to build a ‘community empowerment’ initiative to address local and global sanitation issues, concerns and change dynamics. The facilitation process was, in fact, grounded in the same essential ‘empowerment mindset’ that has shaped the CATS (Community Approaches to Total Sanitation) vision since its inception.

The chosen facilitator has a strong background working with empowerment dynamics, whether in programme development, organizational leadership interventions, or complex meeting facilitation. He has created a facilitation process (including design strategy, and specialized and unique workshop tools), which supports the growth of an empowerment mindset – and uses each meeting to strengthen proactive engagement and participation by all participants.

The facilitation methodology is called **Double Protocol**, because it actively engages the different dynamics of both sides of the human brain, while enabling participants to connect personal learning and growth directly to organizational issues and needs. Four strategic orientations contribute to the overall design plan:

- **Workshop Process and Content Issues are Inextricably Linked**
- **Personal and Group Reflection Permeates and Drives Process**
- **Inclusion, Shared-Ownership, Pro-Active Engagement are Valued Norms**
- **Innovation is a Constant Focus**

Evolving over the past decade, through work within the UN Programmatic Agencies, the **Double Protocol** methodology has developed two additional signature elements that support its empowerment orientation:

- A conceptual and operational understanding that capacity development and capacity building are the ways that development and humanitarian sector organizational leaders best enable their units to add sustainable value and long-term assets and impact to difficult development situations;
- A conceptual leadership-development framework, called Extra Step, that distinguishes the demands of humanitarian and development (HD) leadership from those of the global/private/business sector. (This is necessary since many of the UN Agencies are adopting leadership development strategies too deeply grounded in private sector models.)

While the Private Sector/Business Sector focuses on three core leadership tasks:

1. Set Targets and Strategy – to add value
2. Implement Strategy
3. Benefit from Results

The HD sector must address a critical, and new, **second step** (the extra step)

1. Set Targets and Strategy – to add value
2. **Orient Total Strategy around Capacity Development Demands and Dynamics, so that desired results are defined in terms of partner capacities, outputs, progress and learnings.**
3. Implement Strategy, with a total commitment to Capacity Building
4. Benefit from Results that are once-removed (belonging to the client-system: e.g., government agencies, local communities) and that must be sustained by client-system actions.
2. **PROCESS-RELATED LEARNINGS EMERGING FROM CATS +2**

During the workshop processes, several important learnings were identified by participants that a) describe the importance of UNICEF’s actions and roles within the WASH community; and b) point to expanded opportunities for UNICEF that are grounded in the critical issues now confronting the global sanitation agenda.

Here is a brief list that highlights some of the more provocative ideas:

- **UNICEF as Equity Advocate.** UNICEF now has (and has earned) a powerful, unique role both as convener and focal point for the engagement of individuals in the lower population quintiles, so that they have an equitable opportunity (and daily need/responsibility) to benefit from sanitation inputs.

- **UNICEF and Social Norms Change.** Strategies to change existing social norms within targeted communities are starting to resonate in the WASH sector. For example, they suggest new ways to focus on ‘ODF slippage’ concerns. UNICEF is perceived as being able to play a powerful role in turning these new insights into programmatic drivers in sanitation ventures.

- **Applied Tipping Point Theory.** Related to the changing of social norms, Tipping Point Theory – as a proactive, strategic intervention – appears to offer smart ways to engage diverse populations in ‘change thinking’.

- **UNICEF and the Supply of Sanitation Facilitators.** A steady supply of facilitators and change agents needs to be developed within the WASH sector. These individuals must be skilled at empowerment strategy, and must be able to convene and nurture complex partnerships that include government, private sector, NGOs, local communities, donors. Developing such a core leadership cadre may be particularly suited to UNICEF.

- **Empowerment Beyond Sanitation.** This facilitation/change agent role could evolve as an ‘aspirational’ role, attracting new, emerging leaders (including women, government officials, young people and school children). The role also has the power to grow, by augmenting the impact of development partnerships, moving them ‘beyond sanitation’ to become the basis for local community empowerment. This could make the sanitation initiatives the trigger for a wide-range of additional development actions, over time.

- **UNICEF WASH Agenda.** Four issues generated consistently high participant-interest throughout the workshop process, providing the basic framework for group deliberations, including thinking about key next steps:
  - **Equity in Sanitation:** Both Advocacy and Programme Delivery.
  - **Monitoring & Evidence-Based Analysis,** particularly related to ODF reporting – about both achieved status and slippage.
  - **Development of a Viable Business Model** (and the private sector actors needed to implement it) to support sanitation entrepreneurs.
  - **Determining the Best Role/s for UNICEF** within the WASH sector.

These issues were identified by the outside guests, when they were asked to reflect on the UNICEF role options within the WASH sector. It was widely agreed that UNICEF has a unique mindset and commitment in the sanitation crisis – and that it must advocate for its values and mission, and demonstrate how they can be affirmed in global sanitation programmes and policy.
3. **POSSIBLE ROLES FOR UNICEF WITHIN THE WASH SECTOR**

The next iteration of the UNICEF Role within the WASH sector was a priority focus of workshop deliberations. It became increasingly clear that UNICEF is uniquely positioned and oriented to take on essential tasks that can anchor broad, productive action. Several key conceptual and programmatic insights were identified that can (and should) contribute to the decisions about UNICEF’s best role choices:

- **Facilitating Inclusive Sanitation Partnerships**, with regional/local variation.
- **Creating Identity Networks** that broker all stakeholders into a new, shared and proactive ‘we’ – around total community sanitation strategies.
- **Leading the Evolution of ‘Sanitation Marketing’** – so that it becomes a broad, proactive framework for sanitation initiatives across all quintiles.
- **Fostering Innovation** – and the Spread of sanitation ideas/strategies.
- **Keeping the Bottom Quintiles in Focus** in terms of all sanitation initiatives.
- **Shifting ‘brand ownership’ related to the ‘Essential Elements’** from UNICEF to the larger WASH sector, so that they become an agreed upon policy framework and guideline.
- **Identifying and Linking to Other Tools** that may not have emerged in relationship to Sanitation Marketing, but that have the potential to increase impact. For example, WFP’s Vulnerability Mapping tools.

4. **TWO POSSIBLE UNICEF OFFERS FOR THE WASH SECTOR:**

Here are two facilitator-driven idea-sketches that highlight both critical tasks and immediate opportunities related to WASH sector needs and UNICEF’s potential impact. The first describes a broader sanitation marketing concept; the second addresses a pivotal global need related to sanitation marketing success.

**Create a ‘Total Personal Sanitation Marketing Package’ – for Lower Quintiles**

*LifeStyle:* Become Modern, with Pride, Dignity and Action
*It’s not just the mobile phone you want and need…*

*Better Life:* Share the Importance of ODF: Personal, Family, Community

*Extra Resources:* Win support and opportunities for your community

*Imagine:* Everybody You Love… Delighted and Hopeful, with a better future

Partner roles: WASH sector; NGOs, UN: UNHAS, WHO, WFP, UNDP, +

**The UNICEF Global Offer:** we will prepare, and help you sustain, ‘Sanitation Marketing Facilitators’

- **Good Facilitation** is essential for the necessary Total Sanitation Partnerships
  - ‘Empowerment Thinking’ is in place; it now must be taken to scale
  - Sanitation Partnerships will flounder without leadership/facilitation
  - Total Sanitation Strategies need a Regional Focus, with local nuances
- **The WASH sector needs a development initiative that produces 150-250 Trained Facilitators** over the next two years. Individuals able to guide the next generation of Sanitation Marketing initiatives, and extended community development.
- **UNICEF can mobilize the best ‘facilitation’ thinking and resources, and launch two or three demonstration projects in key WASH sector regions**
LINGERING QUESTIONS: BEYOND CATS +2

Major questions, that must be continuously addressed, emerged during the workshop. Here is a starter-listing that identifies some of the most important concerns that must be explored by UNICEF Country Office, Regional and HQ staff. The list is meant to be ‘alive’ and changing.

- How does UNICEF strategize its emerging role within the WASH sector and the broader development community?
- What does the WASH sector now look like? What does it need?
  - Inventory: Map the WASH sector assets
  - Explore the WASH sector’s urge is to accelerate impacts… with both quality and equity
  - Focus on Evidence-based Monitoring and Development
  - Identify areas where the WASH sector faces the dangers of ‘too rapid success’
- What are the Key Axes for CATS +2? What does the next iteration of UNICEF sanitation work hinge around?
- What untapped but real internal UNICEF resources (e.g., units, tools, networks…) exist that should be engaged in Sanitation Marketing?
- How does UNICEF most effectively ‘de-brand’ the Essential Elements?
- What is UNICEF’s best role option related to ‘social norm changing’?
- How does UNICEF create ‘buzz’ around ‘social norm changing’?
- How does UNICEF ensure that specific entities are included in the next iteration of Sanitation Partnership strategy?
  - Partner Governments – and their roles
  - Emerging, local private sector/entrepreneurs
  - Innovative NGOs; Facilitating NGOs
  - Donor Community
- How are such Sanitation Partnerships effectively facilitated?
- How can UNICEF help provide innovative strategy/supports for lower quintiles?
- How can UNICEF engage highly visible partners to make the sanitation focus in the Lower Quintiles ‘sexy’… ‘doable’? For example,
  - WFP on food
  - WHO on medicine
  - UNHAS on delivery
  - NGOs on innovation, supply-marketing…
- How can UNICEF help Government Agency staff become functional leaders in scaling up sanitation initiatives?
- How does UNICEF mobilize local/global media?
- How does UNICEF help focus needed investments?
- Is addressing people as ‘customers, consumers’ (not ‘beneficiaries’) smart?
  - Does it help move to a more effective ‘partnership’ concept?
  - What is the goal: consumer economy? Or sustainable community?
  - Are they linked?
• Is ODF necessarily a 100% Target?
• What is the real ODF tipping point? (compare the ‘5 windows’ discovery)
• Is 100% ODF a legitimate ‘demand side’ goal?
• What happens with 50%, with 75%... with XXX%?
• Is there a phasing dynamic… a tipping process?
• Are there multiple tipping points in Sanitation Marketing dynamics?
  o Initial concept intro
  o Post Slippage – return to pro-active implementation
  o What else does ODF Tip – and is this powerful information?
    ▪ Vaccinations?
    ▪ Nutrition?
    ▪ School participation?
    ▪ Sanitation facilitators need to know this kind of information
• How does the ‘supply side’ market understand the 100% ODF?
  o Low-hanging fruit; mobile phone links; sales groups (Xmas Clubs)?
  o Competitions to create ODF strategies?
  o What are ODF ‘slippage’ issues related to?
• Is ‘latrine making/management’ a viable business? What is the business model?
  o What examples of unexpected entrepreneurial impact exist?
    ▪ Local Sanitation Product makers, within the WASH community
    ▪ The ‘Cardboard Mogul’ in China
• What are the implications of the fact that UN and its programme agencies, including UNICEF, are not ‘real’ business organizations?