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Stephen Ntow, PHD

# Sanitation Status in Ghana and the role of CSOs in the policy processes

*Baseline Report*

*June 2019*



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Final

## Baseline Report

# Sanitation Status in Ghana and the role of CSOs in the policy processes

Stephen Ntow, PhD.

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## List of Acronyms and Abbreviations

A4WA	Alliance For WASH Advocacy
BCC	Behaviour Change Communication
CLTS	Community-Led Total Sanitation
CONIWAS	Coalition of NGOs in WASH Sector
CSOs	Civil Society Organisations
DACF	District Assembly Common Fund
DLT	District League Table
DPAT	District Assemblies Performance Assessment Tool
EMIS	Education Management Information System
FOAT	Functional Organisation Assessment Tool
EHSD/EHSU	Environmental Health and Sanitation Directorate / Unit
ESP	Environmental Sanitation Policy
ESPA	Environmental Sanitation Service Providers Association
GAMA	Greater Accra Metropolitan Area
GC	Global Communities
GIFMIS	Ghana Integrated Financial Management Information System
GSS	Ghana Statistical Service
IDA	International Development Association
IWMI	International Water Management Institute
KII	Key Informant Interviews
LIUC	Low Income Urban Communities
MLGRD	Ministry of Local Government and Rural Development
MMDAs	Metropolitan Municipal District Assemblies
MLGRD	Ministry of Local Government and Rural Development
MSWR	Ministry of Sanitation and Water Resources
MWRWH	Ministry of Water Resources Works and Housing
NDPC	National Development Planning Commission
NESSAP	National Environmental Sanitation Strategy and Action Plan
NGOs	Non-Governmental Organisations
OD/ODF	Open Defaecation / Open Defaecation Free
OHLGS	Office of the Head of Local Government Service
SDG	Sustainable Development Goals
SESIP	Strategic Environmental Sanitation Investment Plan
UNICEF	United Nations International Children's Emergency Fund
UNDP	United Nations Development Programme
WASH	Water Sanitation and Hygiene
WEDC	Water Engineering and Development Centre
WSP	Water and Sanitation Programme

## Executive Summary

Ghana is a Lower Middle-Income Economy, rich in mineral resources and with a population exceeding 29.6 million<sup>1</sup> (2018). The country is one of the most urbanized countries in Africa. It is estimated that 54.8% of the population in Ghana live in urban areas (Worldometers 2019). The sanitation sector in Ghana is also fraught with inequalities and inequities. The gap between the richest and poorest who have access to WASH is largest in access to basic sanitation (UNICEF/WHO 2017). Further analysis suggest that the brunt of the poor sanitation is borne by the poorest in Ghana. In Ghana, only 14% have access to basic sanitation and about 19% practice Open Defecation (OD). Almost 57% of the population use share latrines – a standard which is below the acceptable levels for promoting safe and effective sanitation. In urban areas, this situation may be due to a high cost of household toilet facilities, which ranges from US\$ 230 to USD 1,000 depending on the technology. Cheaper technology options in existence are yet to meet policy approvals (Mansour et al, 2017). According the Joint Monitoring Platform, there are no figures for schools in Ghana which provide access to “Basic sanitation services.” An estimated 69% of the school populations use “limited sanitation services” - the facilities are improved but may not be usable or not single-sex. It is also reported that 31% of the schools have access to improved sanitation facilities (WHO/UNICEF 2019).

Regular update of data in any development setting essentially inform sanitation & hygiene infrastructure and services planning, implementation and monitoring at all levels. Inadequate data on sanitation & hygiene has therefore been a major inhibiting factor to the sanitation subsector’s progression over the years. In Ghana, WASH sector actors are required to seek the inputs and mandate of beneficiary communities as part of the needs assessment process. The National Development Planning Commission’s guidelines (NDPC 2014) makes this a requirement in the planning process for all development agencies using a wide range of fora. These arrangements include civil society organizations (CSOs).

The sanitation sector in Ghana has many different actors and stakeholders. They include government agencies, private sector providers, community-based organizations, faith-based organizations, non-governmental organizations and CSOs, development partners, bilateral and multilateral organizations. The activities carried out by these actors are not all reported. Where these are reported, it is not always done using the right indicators or passed through the appropriate channels. Agencies operating outside the mainstream government agencies are reported to be the most culpable. This omission does undermine the sanitation policy making process as it is denied rich information necessary to ensure effective policy.

The compilation of this report followed a review of key sector documents and conducted key informant interviews, consultative meetings with major sector actors, and a validation workshop. The central role of local government authorities as agencies entrusted with the primary responsibility for sanitation has been examined, The presents outcomes of a systematic review of landmark sanitation policies, systems for analyzing sanitation data including Basic Sanitation Information System (BaSIS) and the policy formulation platforms such as “NALLAP” and the Mole series, process and active roles CSOs continue to play in Ghana. The importance of various schemes and organizational development tools designed to improve the planning and effective delivery of sanitation services and their limitations such as “FOAT”, “DPA” and “DLT” have been discussed.

The assessment found that that few organizations beside MMDAs are expected could generate data across the entire sanitation value chain. The activities of the organizations present, both government and

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<sup>1</sup> <https://www.worldbank.org/en/country/ghana/overview>



CSOs are limited to the containment of faecal sludge. This may be a fair reflection of the limited span of sanitation services documented and data analyzed to inform policy. It was also found that most NGOs and CSOs collaborate effectively with communities, government agencies in the delivery of sanitation services and plays active roles in formulating sector policies. It identified very inclusive and effective policy platforms and suggests that CSOs do more in reporting outputs and outcomes of WASH programmes with special emphasis on sanitation, through Metropolitan, Municipal and District Assemblies (MMDAs) using approved channels and indicators. The need for NGOs / CSOs to regularly review and continue to work with government at all levels update sector indicators has also been recommended among others.

## **Recommendations**

1. Most sector practitioners will require further capacity building in developing and understanding the different types of indicators.
2. There is the need for sector-wide advocacy and support towards the Government's development of an effective, harmonized and all-encompassing M&E framework for capturing & reporting of sector statistics and performance to users at various levels.
3. WASH sector actors must deepen advocacy towards the speedy establishment of the National Sanitation Authority (NSA) with the integrated performance management information system infrastructure with the Environmental Health & Sanitation Directorate from national through to the district. Currently, there seems to be a gap between EHSD within the MSWR in the Civil Service, Regional and MMDA offices, which are under the Local Government Service, thus making coordination, performance monitoring and evaluation difficult.
4. Support is also required around the institutionalization of M&E focal desks within the Environmental Health & Sanitation Units of MMDAs to capture data on environmental health and sanitation to feed M & E systems and inform MMDA planning and coordination units (PCUs) at the district-levels in real time beyond project-specific systems.
5. There is a need to establish/strengthen structures for active CSOs' participation in the generation and regular submission of data through administrative channels of MMDAs. National-level actors must also coordinate in tracking policy implementation effectively and sustain calls for the revision of WASH policies and other strategic documents including hygiene implementation strategy.
6. Resourcing area/zonal councils remains very critical to ensuring a bottom-up approach in the fight against sanitation.
7. Sector players, including government agencies and CSOs/NGOs have important roles to play in developing the agenda and contents of conversations around the critical sanitation and the broader WASH indicators to be considered in the design and conduct of the 2020 Population and Housing Census(PHC).
8. There are gaps in the generation of sanitation data along the entire sanitation value chain. This should be a priority in the next sector policy document which must attract adequate resources for implementation, monitoring and evaluation. Another area is the institutional sanitation sub-sector there is a lack of data to report across all the parameters.

## **1. Introduction**

The report provides a brief sanitation situation in Ghana, the processes through which sanitation related data or evidence are generated and how these are used to inform or influence policies. It focuses on the role of CSOs/NGOs in generating such evidence and the extent to which due process is followed to achieve this end. It opens with a background information on the sanitation sector, key stakeholders and their roles, the processes of generating data and policy formulations, the types of indicators necessary at various levels used to assess evidence and the various policy making platforms. The report further examines some of the key challenges affecting the major sanitation policy formulating and influencing processes and suggests ways of minimizing any negative effects. It describes various schemes instituted by both government and civil society organizations to promote sanitation and motivate MMDAs to prioritize sanitation programme of local government authorities. The role of CSOs/NGOs in formulating or influencing sanitation policies, the different platforms to influence policy and some of these outcomes have been highlighted.

The report concludes that although CSOs/NGOs play a significant role, their involvement is largely limited to evidence generated from projects, and the meta-data related to this evidence production is not coordinated across civil society. Some of the indicators are disaggregated and not harmonized. This situation is inadequate and will have to be complemented by routine administrative data. The report recommends the need to develop agreed sets of indicators which should be channeled through government's administrative data framework (NDPC, 2013). It also suggests some important measures required of all actors including NGOs/CSOs in the evidence generation processes if they are to inform sanitation policy and to make desired-impact.

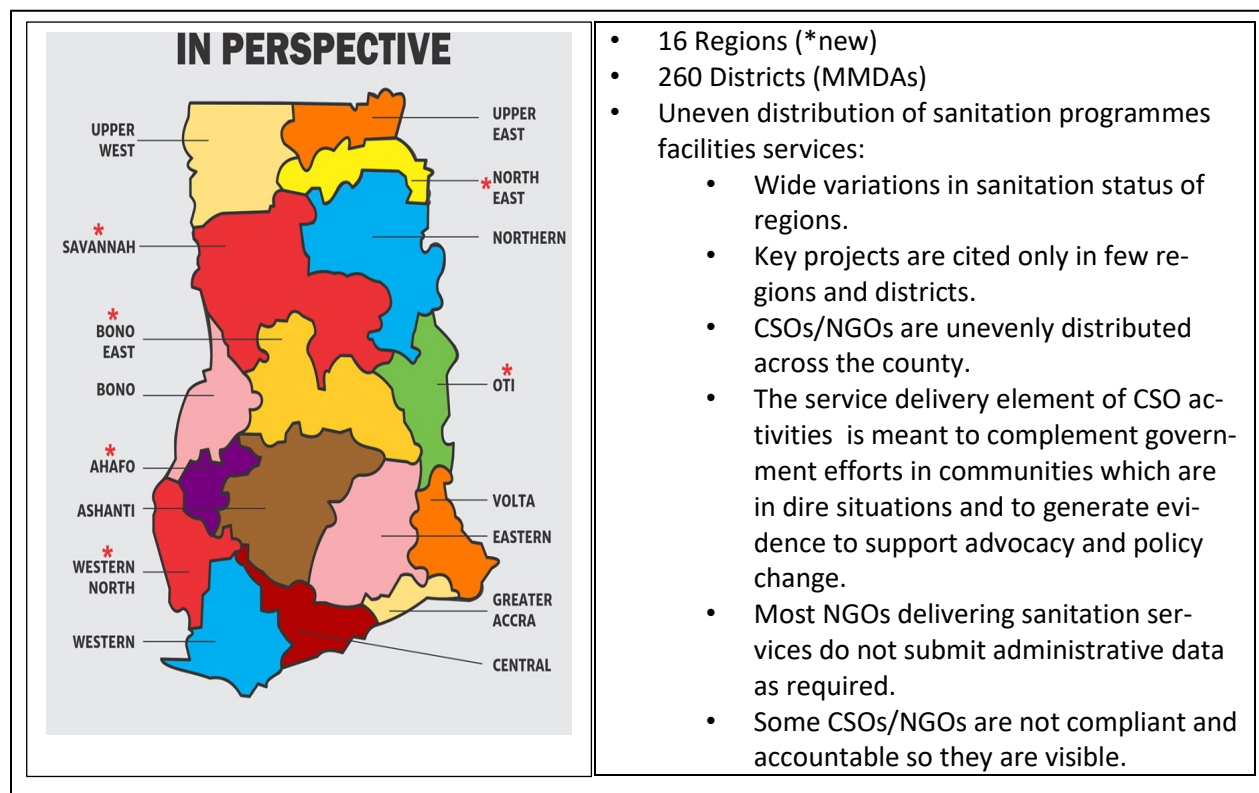
### **1.2 Methodology**

The sources of information leading to the production of this report was largely derived from secondary data. It includes an extensive review of national and international literature, sector documents and project reports that were undertaken to examine the data and information to portray the current sanitation situation in Ghana. This was complemented by primary data from major stakeholders. Seven key informant interviews (KIIs) were solicited from the sanitation policy formulation agencies including: Ministry of Sanitation and Water Resources (MSWR), National Development Planning Commission (NDPC), Global Communities (GC), Ghana Statistical Service (GSS), UNICEF, Coalition of NGOs in the WASH Sector (CONIWAS) and selected private sector actors including SkyFox Limited, MAPLE Consult and Environmental Sanitation Service Providers Association (ESPA). See interview guide attached as appendix 2.

Two working sessions with key sector actors in Ghana were also organized. The first was used to generate some information on the status of sanitation sector indicators used to describe the sanitation performance in Ghana. The second session was a validation workshop organized for representatives of major sector actors to validate a draft version of this baseline report. During this workshop, participants endorsed most of the information gathered and made insightful comments and useful corrections. Most importantly, they provided further information on the range of sanitation data generated and used by their respective organizations.

### 1.3 Background information

Ghana is a Lower Middle-Income Economy, rich in mineral resources and with a population exceeding 29.6 million<sup>2</sup> (2018). Mining has become an important industrial sector of the Ghanaian economy and is a large contributor to domestic revenue and GDP, following the offshore discovery of oil in 2007. As a result of further oil and gas exploration and production, the amount of revenue is expected to increase.



The country is one of the most urbanized countries in Africa. It is estimated that 54.8% of the population in Ghana live in urban areas (Worldometers 2019). Recent urban growth has consistently averaged 3.5%, with some cities experiencing higher levels of growth, ie: 4.8% in Kumasi. Urban boundaries are still being shaped as districts and new municipalities continue to be created.

### 2.2 Inequalities in sanitation

The sanitation sector in Ghana is also fraught with inequalities and inequities. The gap between the richest and poorest who have access to WASH is largest in access to basic sanitation (UNICEF/WHO 2017). Further analysis suggest that the brunt of the poor sanitation is borne by the poorest in Ghana. The culture and practices of some societies are known to deprive some members of families and communities from accessing WASH. Examples exist in Ghana where women in some ethnic groups do not use the same toilets with their in-laws in the same house (WaterAid, 2017). The design of WASH facilities, poverty and deprivation are factors known to reduce or prevent access to WASH services (UNICEF/WHO 2014). Poor sanitation, and hygiene have many other serious repercussions. Children – and particularly girls – are denied

<sup>2</sup> <https://www.worldbank.org/en/country/ghana/overview>

their right to education because their schools lack private and decent sanitation facilities according to UNICEF (2015). It is also estimated that about 20 per cent of the poorest and other disadvantaged populations in low-income countries are likely to be disabled (Jones, H. & Reed, R.A., 2006).

## 2. Sanitation status

In Ghana, only 14% have access to basic sanitation and about 19% practice Open Defecation (OD). Almost 57% of the population use share latrines – a standard which is below the acceptable levels for promoting safe and effective sanitation. In urban areas, this situation may be due to a high cost of household toilet facilities, which ranges from US\$ 230 to USD 1,000 depending on the technology. Cheaper technology options in existence are yet to meet policy approvals (Mansour et al ,2017). It is estimated that about 82% of faecal sludge produced was being emptied, either mechanically or manually. The remaining 18% is being dumped directly into the environment through overflowing latrines or open defecation. According to the WHO/UNICEF (2019) only 19% of Ghana’s population have access to improved hygiene facilities, 26% had limited access more than half of the population – 55% have no hygiene facilities out of which 65% live in rural areas.

About 23% of all Ghanaian children suffer from stunting. Although the percentage of children under five dying from diarrhoea is decreasing in Ghana from 25% (Binka et al, 2011) to 6%, this figure is still unacceptably high (Football for Water Ghana, 2019).

### 2.1 Urban and rural sanitation

In Ghana, sanitation is worse in rural than urban areas. For example, open defecation is 31% in rural areas compared to 8% in urban areas according to the Joint Monitoring Platform (WHO/UNICEF, 2017) as presented in Table 1 below.

Table 1: Sanitation status in Ghana

Sanitation	National	Rural	Urban
At least Basic	14%	9%	19%
Limited (Shared)	57%	45%	66%
Unimproved	10%	14%	7%
Open defaecation	19%	31%	8%

Source: WHO/UNICEF, 2017.

Nevertheless, the challenges in addressing urban sanitation are more daunting due to its historical neglect of systems of data collection. The problem begins with an absence of a clear-cut definition or criteria for delimitation of rural, peri urban and urban areas in Ghana. According to the Ghana Statistical Service (GSS, 2012) an urban area is a community with a population equal or above five thousand (5,000), whilst the Ministry of Water Resources Works and Housing classifies communities of population between 2000 up to 50,000 as rural and covered by the CWSA. There are also communities with less than 50,000 people that are served by GWCL and are thus counted under urban (Mansour et al (2017).

The continuous sprouting of several informal settlements and peri-urban communities in large towns and cities in Ghana are attestations to this assertion, which will require evidence to develop appropriate thresholds and relevant indicators.

From a national perspective, the Medium-Term Development Policy framework, the NDPC (2014), states that at the current rate of urbanization, and possibly population growth, the provision of water and sanitation services is unable to keep pace with demand, especially in urban areas, with the attendant adverse effect on public health. Some of the challenges outlined as underpinning the sanitation situation described above, includes, in part, “inadequate access to environmental sanitation facilities; poor disposal of waste; poor hygiene practices and inadequate hygiene education; weak sector coordination due to fragmentation of sector approaches and procedures; and weak institutional capacities” (ibid, page 81).

A sanitation assessment report issued after studying Low Income Urban Communities (LIUCs) in the Greater Accra Metropolitan Area (GAMA) Water and Sanitation Project, indicates that the difficult sanitation situation in the area results from poverty and high density living in which half of LIUCs’ residents have no option but to use public latrines which are often far from dwellings, sometimes filthy, have foul odours, are sometimes dirty, and have long queues at peak times. They also pay higher prices for this far from ideal service than if they had a latrine at home (Cowater et al, 2013). The same source reports that conditions improved when private management, using a franchise arrangement with the sub-Metros was introduced some years ago and private ownership was encouraged. A survey of 41 public toilets (40% MA franchise and 60% privately owned) in Accra in late 2012 found relatively high prices (0.1 GHC to 0.3 GHC) and seven different toilet systems, which used three temporary holding systems (holding tank, septic tank and drums).

### **Rural sanitation**

In the rural areas, only 9% use at least basic sanitation facilities, 45% use limited shared facilities, 14% use unimproved facilities and 39% resort to open defecation.

### **Institutional sanitation facilities**

According to the Joint Monitoring Platform, there are no figures for schools in Ghana which provide access to “Basic sanitation services.” An estimated 69% of the school populations use “limited sanitation services” - description which indicates that the facilities are improved but may not be usable or not single-sex. It is also reported that 31% of the schools have access to improved sanitation facilities (WHO/UNICEF 2019). The situation is worse in Primary schools where 36% do not have sanitation services. It is estimated that Ghana achieved only 1% improvement in access to toilet facilities in public basic schools, and 2% decline in private basic schools (2013-2017). If this trend continues, it will take the country another 150 years for all basic schools to have access to improved toilet facilities. According to Mansour et al (2017), Ghana needs only US\$147million to provide decent toilet facilities for all public basic schools in the country.

It is estimated that 17% of health care facilities in Ghana have no sanitation facilities (Rural 15% and Urban 19%) and 83% have improved and usable sanitation facilities. Out of this, 85% are located in rural and settings and 81% in the urban (WHO/UNICEF, 2019). Information obtained from the Education Management Information System (EMIS, 2017) indicates that 35% of the 21,438 public basic schools in the country do not have toilet facilities, while 1,631 out of the 9,064 private basic schools in Ghana also have no toilet facilities.

## 2.3 Financing the sanitation sector

Sanitation seems to be inadequately provided for by governments in Ghana for various reasons. The capital cost of providing sanitation services in Ghana in 2011 was estimated at US\$406 million per year (WSP 2011)<sup>3</sup>, of which the government of Ghana expects households to bear part of the cost. In the year 2014, Ghana's sanitation expenditure was at US\$ 11.3 million excluding household contributions. Analysis of Ghana's budget for the year 2017 reveals that out of the estimated equivalence US\$60 million, close to 85% of that amount was provided by development partners. Another source predicts that Ghana will be required to raise about US\$30 billion in total to cover its funding gap of addressing the sanitation needs of the country. Ghana's commitment to the Sanitation and Water for All High-Level commitment to sanitation was 0.5% of GDP (at least US\$ 150 million per annum). However, the bulk of national expenditure (US\$466 million) came from households, mostly for expenditure on pay-per-use public toilet facilities. Ghana is still looking for US\$147million to provide decent toilet facilities for all public basic schools in the country. It is reported that Ghana loses more than US\$290 million a year (WSP, 2012<sup>4</sup>) due to poor sanitation. Funding in the WASH sector is favourably tilted towards urban water which accounts for about 70% of WASH expenditure. Urban sanitation is about 8.5% and rural sanitation 7% (Esseku, 2017).

***“Open defecation costs Ghana US\$79 million per year – yet eliminating the practice would require less than 1 million latrines to be built and used”***  
- WSP (2012)

### **Sanitation is not a national or individual priority**

Sanitation is not prioritized and may be the reason it is underfunded in Ghana. This is reflected in many ways. In the 2017 budget, 255 million Ghana Cedis (almost US\$60 million) was allocated to the new Ministry of Sanitation and Water Resources. Regrettably, out of this amount, 85% is expected to be provided by donors (MoF 2016)<sup>5</sup>.

The political leadership has made explicit pronouncements committing to address sanitation problems but these are not supported with financial provisions in the national budget. All the major political parties, since the 2008 national electioneering period in Ghana had standard sanitation campaign statements and objectives planted their manifestoes. Although the reigns of power have changed, none of the political parties have committed resources to implement the sanitation promises.

Sanitation laws and by-laws are not enforced and at the district levels, most of the MMDAs are yet to enact the relevant by-laws.

## 2.4 Institutional Framework for Sanitation Services

In Ghana, the legislation referencing the highest authority on access to water and sanitation and other social services can be traced to the Fourth Republican Constitution of Ghana - 1992. “The state shall promote just and reasonable access by all citizens to public facilities and services in accordance with law”.

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<sup>3</sup> Source: WSP (2011) <https://www.wsp.org/sites/wsp.org/files/publications/CSO-Ghana.pdf>

<sup>4</sup> Source: <https://www.wsp.org/sites/wsp.org/files/publications/WSP-ESI-Ghana-brochure.pdf>

<sup>5</sup> The 2017 Budget Statement and Economic Policy of the Government of Ghana is also available on the internet: [www.mofep.gov.gh](http://www.mofep.gov.gh)

Until the creation of the MSWR, this mandate was exercised by MMDAs under the supervision of the Ministry of Local Government and Rural Development (MLGRD) and Office of the Head of Local Government Service (OHLGS). Currently, this supervisory responsibility is shared with the MSWR. Within MLGRD, the Office of the Head of Local Government Service (OHLGS), formerly Local Government Service Secretariat) has the responsibility to ensure local authorities are staffed with the qualified personnel and to provide the relevant capacity building for staff to deliver on their mandate. The Environmental Health and Sanitation Directorate (EHSD) is in-charge of policy formulation and implementing sanitation related issues at the national level. Regulatory functions were shared by EHSD, Ghana Environmental Protection Agency (EPA) and the MMDAs, under the oversight of the Ministry of Environment, Science and Technology (MEST). In spite of the elaborate arrangements described above, ‘weakness in governance systems is one of the major reasons behind the difficulties encountered in urban WASH services delivery’ (MWRWH/MLGRD, 2012).

The municipal authorities are the main institutions in charge of sanitation, however, other agencies contribute through policy formulation and regulation as shown below in Table 2.

**Table 2: Summary of Institutional Framework**

Levels	Actor	Role and responsibilities for Urban Sanitation
Policy, Planning, Monitoring and Evaluation.	NDPC	Regulate the decentralized planning system through legislative instruments and guidelines. MMDAs are expected to prepare their Medium Term Development Plans (MTDP) in conformity with the guidelines issued by NDPC. Preparation of MTDPs by MMDAs in conformity with the NDPC is a minimum condition during the assessment of the performance of MMDAs based on Functional Organisational Assessment Tool (FOAT) and currently District Assemblies Performance Assessment Tool (DPAT).
	MoME	Collects and analyse data real-time data within a 20 – point Results Framework which consist of high-level indicators from various ministries for the Office of the President’s office to track outcomes, outputs and milestones derived from the goals set out in the political manifestos. Data is gathered through focal point people in various ministries that have all been trained in M&E through the recent Harmattan school offerings at CLEAR-GIMPA. The MoME Results Framework report is produced bi-annually and is submitted to cabinet for review in which the ministries need to work on addressing the gaps presented by the report but not made available to the public and sector agencies. The ministry also undertakes the following to enhance decision-making: <ul style="list-style-type: none"> <li>• Rapid reviews in October</li> <li>• Spot checks on the data presented by ministries.</li> </ul>
Policy Formulation	MSWR / MLGRD	Overall policy formulation, planning, coordination and harmonisation, monitoring and evaluation of programmes for sanitation through the Ministry of Sanitation and Water Resources. Until 2017, this function resided in the Environmental Health and Sanitation Directorate (EHSD) located in the Ministry of Local government and Rural development. Broadly the various ministries perform functions such as:

		<ul style="list-style-type: none"> <li>• resource mobilization in accordance with policy priorities</li> <li>• routine monitoring of policy implementation processes</li> <li>• periodic data gathering to provide evidence for policy review</li> <li>• policy review, evaluation and impact assessment</li> </ul>
	Institute of Local government Studies (ILGS)	<p>ILGS was established in 1999 was incorporated in 2003 through the enactment of the Institute of Local Government Studies Act, 2003, (Act 647). Undertakes the following:</p> <ul style="list-style-type: none"> <li>• arrange courses, workshops, seminars and conferences for persons engaged in areas of local government</li> <li>• undertake and promote research in local government</li> <li>• develop training materials for members of the Regional Coordinating Councils, District Assemblies and other local government units</li> <li>• provide consultancy and advisory services to the Government, units of local government and any other body that may require those services.</li> </ul>
	OHLGS	<p>Core functions of the local government service include:</p> <ul style="list-style-type: none"> <li>• Technical assistance to District Assemblies and Regional Coordinating Councils to enable the District Assemblies and Regional Coordinating Councils effectively perform their functions and discharge their duties in accordance with the constitution and the Local Government Act,2003 (Act 462)</li> <li>• Organizational and job analysis for the Regional Coordinating Councils and the District Assemblies</li> <li>• Management audits for Regional Coordinating Councils and District Assemblies in order to improve the overall management of the Service</li> <li>• Design and coordinate management systems and processes for Regional Coordinating Councils and District Assemblies</li> <li>• Assist the Regional Coordinating Councils and the District Assemblies in the performance of their functions under the Local Government Act, 2003, (Act 462), the National Development Planning (Systems) Act, 1994, (Act 480) and under any other enactment.</li> </ul>
Service provision	MMDA	<ul style="list-style-type: none"> <li>• Location, construction of public toilets</li> <li>• Award of franchise contract to private operators</li> <li>• Sometimes direct management of Public Toilets with MMDA staff</li> <li>• Monitoring, Evaluation and Learning (MEL), reporting and participation policy influencing / formulation</li> </ul>
	Private service providers, CSOs and NGOs	<ul style="list-style-type: none"> <li>• Construction of public toilets for Municipalities and others</li> <li>• Construction of Household(HH) and Compound toilets</li> <li>• Bidding for management contracts to operate Public Toilets owned by MMDAs</li> <li>• Establishment of Public Toilets to be run as for-profit enterprise in residential and commercial areas</li> </ul>



		<ul style="list-style-type: none"> <li>• Research and publications</li> </ul>
Regulatory Agencies	Environmental Protection Agency	<ul style="list-style-type: none"> <li>• Prepare Standards for effluent discharges</li> <li>• Regulation of against standards</li> </ul>
	EHSU staff of MMDAs	<ul style="list-style-type: none"> <li>Inspection of toilets.</li> <li>Enforcement of EHSD / EPA standards</li> <li>Enact / revise by-laws</li> <li>Sanitation education for household enforcement of sanitation laws</li> <li>Initiation of legal action against unauthorized structures</li> </ul>

**2.5 Other sanitation related policy formulation and implementing agencies**

The policy related government agencies in Ghana are many but those that directly feed into sanitation related policy include:

- National Development Planning Commission (NDPC)
- Ministry of Monitoring and Evaluation (MoME)
- Ministry of Finance (MoF) and Ghana Statistical Services (GSS)
- Ministry of Sanitation and Water Resources (MSWR)
- Ministry of Local Government and Rural Development (MLGRD)
- Ministry of Health (MoH) and Ghana Health Service (GHS)
- Ministry of Education (MoE) and School Health Education Programme (SHEP)
- Metropolitan Municipal District Assemblies (MMDAs)
- Academic and research institutions:
  - Universities: University of Ghana (UG) – School of Public Health (SPH) and Institute of Environmental Science and Sanitation (IESS):
  - Kwame Nkrumah University of Science and Technology (KNUST): PMA2020Ghana,
  - University of Cape Coast (UCC)
  - Ghana Institute of Management and Public Administration (GIMPA)
- Specialized agencies Research
  - Council for Scientific and Industrial Research (CSIR)
  - International Water Management Institute (IWMI)
  - Ghana Standard Authority (GSA)
  - IMANI Ghana

**2.6 Context of evidence informing the sanitation sector**

Regularly updated data systems in any development setting essentially inform sanitation & hygiene infrastructure and services planning, implementation and monitoring at all levels. Inadequate data on sanitation & hygiene has therefore been a major inhibiting factor to the sanitation subsector’s progression over the years.

Currently, there is limited information on salient sanitation and hygiene indicators at the various levels to form a basis for dialogue and need-driven sanitation & hygiene infrastructure/services provision by MMDAs, CSOs, development partners as well as investments by potential entrepreneurs, investors and financial institutions. These have, in most cases, culminated in needless duplications; the planning and

implementation of sanitation and hygiene services being carried out without evidence (administrative data) and not being tailored to the needs of the citizenry and realities on the ground (A4WA, 2019).

### 3. Sources of data and evidence which influence sanitation policies and activities

Most actors in the WASH sector are required to seek the inputs and mandate of beneficiary communities as part of the needs assessment process. The National Development Planning Commission's guidelines (NDPC 2014) makes this a requirement in the planning process for all development agencies including CSOs. This is expected to be carried out through the MMDAs as part of the planning and reporting processes. A summary of approaches used to generate data and evidence to influence sanitation policies in Ghana include the following:

- Annual public hearing of plans and priorities developed by MMDAs as directed by NDPC and reported by MMDAs. These are open fora organised to solicit views and ask communities to participate in prioritizing development options.
- Programme/project reports issued by I/NGOs and CSOs in and outside the country.
- Evaluation reports (Formative, Pilots, Mid-term/End-term, Outcome and impact). The frequency and number of evaluations are dependent on the range of programmes and their duration. Copies are often submitted to government as legal or governance requirement for CSOs. Beneficiaries of such reports include MMDAs, central government agencies and CSOs or their benefactors.
- Annual, Half and quarterly reports (Issued by most sector stakeholders including (Govt & CSOs). These are often made available on demand and submitted to key stakeholders.
- International conventions and publications (WEDC conference)
- Administrative edicts and by-laws (Pay as you use shared toilet facilities). Information from these sources are reported via government administrative processes. The extent to which these are analysed and used for decision making varies among the MMDAs.
- Research results (Reports presented at Mole series and platforms).
- National and project surveys. Examples include MICS and DHS,
  - Multiple Cluster Indicator Survey (MICS)<sup>6</sup>: The Ghana Multiple Indicator Cluster Survey (MICS) 2011, the fourth of its kind, is a nationally representative sample survey of households, women aged 15-49 years, children aged 0-5 years and men aged 15-59 years. In addition to applying the customized version of the MICS4 Questionnaires, an enhanced Malaria Module and Biomarker (for Anaemia and parasitemia in children aged 6-59 months) was included (GSS et al, 2011).
  - Demographic and Health Survey (DHS): The 2008 Ghana Demographic and Health Survey (GDHS 2009) is a national survey covering all ten regions of the country. The survey was designed to collect, analyse, and disseminate information on housing and household characteristics, education, maternal health and child health, nutrition, family planning, gender, water and sanitation, knowledge and behaviour related to HIV/AIDS. The previous survey was carried out in 1988.
- Policy briefs issued by sector actors including government agencies, private sector, NGOs and CSOs.

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<sup>6</sup> [file:///C:/Users/Stephen%20Ntow/Desktop/Desktop%209/GMEF/Dede%20-%20Sanitation%20Policy/Ghana\\_MICS\\_Final.pdf](file:///C:/Users/Stephen%20Ntow/Desktop/Desktop%209/GMEF/Dede%20-%20Sanitation%20Policy/Ghana_MICS_Final.pdf)

- Monitoring reports generated from various sources including BaSIS and DevInfo (Refer section 5.2)

### 3.1 Key stakeholders and actors in the sector

In Ghana, the sanitation sector has many different actors and stakeholders, some which have been mentioned below. They include:

### 3.2 Development Partners

Development Partners (DPs) are either International Financial Institutions (IFIs), bilateral and multilateral agencies capacity to mobilize financial and materials resources from outside the country for purposes of supporting the various sectors including the sanitation sector. The DPs who have shown interest in the sanitation sub-sector have changed over time depending on their development agenda. The principal players in terms of financial commitments in the sanitation sub-sector in Ghana include:

1. IFIs	2. Bilateral	3. Multilaterals
<ul style="list-style-type: none"> <li>• International Development Association (IDA).</li> <li>• World Bank Group.</li> <li>• African Development Bank (AfDB). Etc</li> </ul>	<ul style="list-style-type: none"> <li>• Government of Canada.</li> <li>• Germany (KfW and GTZ).</li> <li>• DANIDA.</li> <li>• UK (DFID) etc</li> <li>• USA (USAID), etc</li> </ul>	<ul style="list-style-type: none"> <li>• UNDP</li> <li>• UNICEF</li> <li>• WHO</li> <li>• UN Habitat</li> <li>• etc.</li> </ul>

### 3.3 International NGOs

Those listed below are amongst the very active agencies in the WASH sector. Many of these provide WASH services and advocacy roles. The advocacy and policy influencing roles have often been performed as collective responsibilities through CONIWAS. Information on individual or organisational – focused policy influencing activities are often not put in the public domain. They are affiliated to international entities and contribute to realising the WASH development agenda in Ghana. They include;

- Catholic Relief Services (CRS).
- Global Communities (GC)
- WaterAid
- Oxfam
- IRC
- World Vision International
- SNV
- CDD
- Water and Sanitation for Urban Poor (WSUP)
  - Plan International

### 3.4 Non-Governmental Organisations / Civil Society Organisations

Local Non-Governmental Organisations (NGOs) and Civil Society Organisations (CSOs) which are actively engaged in the sanitation sub-sector include international and local entities as well as advocacy groups

and networks. They play critical roles in the delivery of WASH. Most of these organizations are made up of international, national and local Non-Governmental Organisations NGOs and some CBOs. Some of these are these organizations are part of a formal entity Coalition of NGOs in Water and Sanitation Sector (CONIWAS). Another example of an NGO/CSO network in Ghana is called the Alliance for WASH Advocacy (A4WA). Together, these NGOs/CSOs deliver sanitation services at all levels through collaboration between relevant government institutions. They are involved in programme planning, implementation and through delivery at all levels – community, district and national. Most of these organisations, plan, implement, monitor and evaluate WASH programmes. Some of the NGOs have also developed capacity to engage and undertake advocacy projects.

Some of the major, NGOs are registered legal entities and work closely with the MMDAs. Their activities are known to the local government authorities and their reports are captured in records of the authorities. The activities of most local NGOs are funded in many ways. They include partnership arrangements funded by INGOs, funding from external agencies, mostly Foundations, central and local government projects in the form of contracts and grants. Examples of the major local NGOs in the sanitation Sector OF Ghana include the following:

No.	Name	Core Activities	Locations/Region
1	Professional Networks (ProNet)	WASH in Schools, WASH,	Greater Accra, Central Region, Volta Region
2	Afram Plains Development Organisation (APDO).	WASH, School WASH, Community Development, etc.	Upper East Region, Northern Region, Volta, Eastern and Oti Regions.
3	ProNet – North	WASH, Community Development, WASH in School.	Upper West, Northern and Upper East.
4	NewEnergy	WASH, Community Development, Micro-Finance, Agriculture.	Northern Region
5	ORAP	WASH	Eastern Region, Ashanti and Central region
6	EDSAM	Building Construction, WASH,	Volta Region.
7.	SIRDA	WASH, Community Development, WASH in Schools	Northern and Upper Region.
8.	HUPREF	Gender and Development, Community Development, WASH and Urban Sanitation.	Volta, Central, Volta and Greater Accra Region.
9.	LINKS	WASH and Community Development.	Volta, Oti and Greater Accra
10.	Wunzalugu	Community Development and WASH,	Northern Region

### 3.5 Private sector providers

The private sector has played key roles to complement the public sector and communities. Its role in the sector has traditionally been limited to the supply of goods and services even though there is great potential in improving efficiency and creating accessibility through partnership (PPP) arrangements. Private sector involvement in sanitation has been very limited to particularly construction of facilities. Individual

districts contract them in the construction of facilities based on the procurement laws. The examples of private sector organisations in the sanitation sector of Ghana include:

- Environmental Sanitation Service Providers (ESPA)  
ESPA is an association of entrepreneurs engaged in an umbrella body of private waste contractors into Environmental Sanitation and Waste Management in the areas of Solid, Liquid, Recycling and Landfill Management among others. The objective of ESPA is to develop a coordinated response of all activities of the service providers in waste management and environmental sanitation. Key activities include:
  - Policy Advocacy for the formulation and promoting policies and laws, creating an enabling environment for the private sector to thrive.
  - Mobilize funding through national and multinational organizations to help provide machinery and capacity building for members.
  - ESPA claims they serves as an interface between governmental bodies, non-governmental bodies, foreign embassies, development partners and our members.

ESPA currently has a membership of over 2,500 members across the 16 Regions of Ghana. ESPA has presence in all the MMDA's. The members include: 800 Liquid waste contractors who collect over Liquid waste treatment 2000 cubic meters (200 trips by the trucks for treatment, re-use and disposal. Most of ESPAs



**Fig 1: Picture showing some of the activities undertaken by members of ESPA – Photo Credit - ESPA**

activities are known to the MMDAs but do not necessarily report appropriately to the MMDAs. As a result most of their activities are not fully captured in the national data. There some service providers who do not belong to ESPA. Such entrepreneurs do not report their activities to the MMDAs. Other services provided by members of ESPA include 105 Door-to-door services solid waste contractors, 5 Landfill operators, 27 Recycling unit operators, Over 1,500 Small scale informal sector waste collectors in the Greater Accra Metropolitan Area and 21 Janitorial and Industrial Waste. There is little evidence that their activities as adequately captured and reported in all the MMDAs they operate and may need to be supported or pressured comply in all cases to ensure their activities and related data are appropriately captured and analysed to aid decision making at all levels. ZoomLion Limited and Dakora Ventures Limited are examples of the Sanitation and Waste management holding company with several subsidiaries active in the sanitation sector and who operate under the

umbrella organisation ESPA..

- Consultants:  
There are private consulting firms in who provide services to the core sanitation sector entities. The range of services they provide include; research, project assessments, pilot projects, SkyFox Limited, TREND, WHS, Colan Consult, TBS, WASHealth Solutions and Waste Care Limited and Johns Hopkins University (JHU) and others.

#### 4. Policy formulation platforms

In Ghana, there are several policy and advocacy platforms. Some are regular platforms and other special platforms meant to address specific sanitation or WASH related issues. For purposes of this assessment, a short list has been presented to cover both regular platforms and one-off events. The process recorded active participation of CSOs, NGOs and government agencies. They include;

Regular platforms:

##### **National/Local**

- Mole Conference series  
This is a series of conferences organised annually. Initially this was supported by WaterAid and its local WASH implementing partners in Ghana. Currently, the Mole series are organised under the auspices of CONIWAS. The conferences attract high level government officials, political functionaries, technocrats, traditional leaders, development partners, major sector donors, NGOs, CSOs, academia and the general public. It is one of the biggest WASH policy making and dissemination forum.
- National Level Learning Alliance Platform (NLLAP)  
The NLLAP is a WASH sector multi stakeholder platform with the overall goal of improving sector learning and dialogue. It is hosted by the Ghana WASH Resource Centre Network (RCN). The platform offers learning and sharing opportunity for sector players as one of the practical approaches to improving sector engagements/sharing with the long term aim of achieving a knowledge driven WASH sector that delivers quality and sustainable services in Ghana. NLLAP meetings are organized and facilitated by the Ghana WASH Resource Centre Network (RCN), and takes place on the last Thursday of every month but depending on the line-up of learning products generated and ready for dissemination the frequency is increased. Several lessons have been shared on this platform as the first step in the process of promoting learning and policy directions. The process of establishing RCN originally started in October, 2002 with series of investigative studies which informed decisions on priority activities by Community Water and Sanitation Agency (CWSA) in association with TREND Group, WaterAid (Ghana) and IRC.
- Sanitation stocktaking forum (Annually by EHSD/ MSWR)  
Sanitation Stocktaking Forum (STF) is annual platform hosted by the EHSD/MSWR to assess progress made in the sanitation sector. The forum was started in 2004 with support from UNICEF Ghana with a primary aim of taking stock of efforts put into mobilising the sector to achieve ODF in Ghana. Currently, the aims have been broadened to include sharing lessons, promoting initiatives that are likely to improve performance in the sector, promote efficient technologies and approaches. It attracts government sector agencies, NGOs/CSOs and CBOs, practitioners and academia. It has since become a national platform for promoting learning across the sector, promote or introduce appropriate policies and national best practice in the sector.
- Annual performance review conferences  
Until recently, the annual sector review has been spearheaded by the government (CWSA) with support from development partners in Ghana. It used to be an annual platform was meant to assess collect performance in the WASH sector and the leadership

role of government actors. It has been used to mobilize the resources need to deliver WASH infrastructure and services in Ghana. Key issues discussed in such It has since 2007 ceased to be the broad and regular multi-stakeholder sector platform. The diminutive functions of the sector review conferences have been passed on and it is currently undertaken by development partners (DPs) on a very low scale in terms of number of participants.

- Selected platforms for disseminating FOAT/DLT/DPAT reports.  
The use of special schemes to motivate MMDAs was intensified in Ghana with the establishment of FOAT under the MLGRD. The annual FOAT measured and rewarded the extent of compliance of MMDAs to the regulatory and legal framework within which they perform their functions. Subsequently, other schemes discussed in section 8.3.1). Together, these schemes assessed and motivated MMDAs to effectively deliver their core mandates. Although the FOAT and other schemes of its kind are not necessary limited to sanitation related performance issues, the various platforms chosen by the MLGRD to disseminate findings have been hugely patronized by stakeholders to achieve various advocacy goals. Participants include; development partners, CSOs, NGOs, traditional leaders and other pressure groups.
- Development Partners (DPs) Forum (Every Quarter or more when needed).

#### **International**

- Sanitation and Water for All (SWA) / Spring Forum (Annually).
- Menstrual Hygiene Management Week (MHM week)
- World Toilet Day (WTD) (Annually)
- World Water Day (WWD) (Annually)

#### **• Special one-off events**

- End of project conferences  
CSOs/NGOs often organise events to disseminate end of project information and learning products with the view to influencing policies or sector practices. Sometimes these serve only as publicity stands or create opportunities to meet key policy makers of representatives of such policy institutions.
- Match-making meetings.  
These are special meetings organised for very small groups to introduce new ideas or discuss specific aspects of existing sector policy issues. The outcome of such meetings often feed into ongoing themes or to clarify issues. These are often not made public.
- Technology fairs / Special “Market place” events  
Some organisations have organised events to promote particular technologies which have the potential of passively impacting the sector. The most recent event is the launch of “Digni-Loo”. A formal event meant to outdoor an on-site toilet made of reinforced plastic. There are many other examples of this type of event on the fringes sector conferences including Mole conference series.

- SDG Implementation Coordination Committee (GSS, 2017).  
In Ghana, a platform has been established to provide technical support to the implementation and monitoring of the common platform for setting national SDG indicators. The platform is meant to develop and streamline relevant sector indicators to make them easy to effectively track progress especially the indicators that measure SDG targets. This multi-stakeholder committee with cross-government representation as well as members from Civil Society Organisations (CSOs), the private sector, and academia, is chaired by the National Development Planning Commission (NDPC). Ghana Statistical Service (GSS) preside over the Committee and acts as the data champion for the SDGs at the national level.
- Direct consultation and sponsorship of Govt agencies (MLGRD and MSWR)  
CSOs/NGOs have had the opportunity directly support or facilitate the sector ministries to participate in some important workshops and conferences. The purpose has been to ensure that these key agencies gain access to important information or share in experiences that will enable them take decisions in favour of the sector in Ghana. Without such support, it feared the government entities may not be empowered enough to act timeously. Organisations such as UNICEF, WaterAid and IRC have played these roles in the past. This example is not suggesting that such actions are always taken in the interest of the sector.

## **5. Sanitation sector indicators**

The performance of the water, sanitation and hygiene (WASH) sectors of a country depends on a wide range of enabling factors and indicators. UNICEF (2014) suggests a minimum for monitoring the sanitation sector. These criteria and indicators can be adopted and applied to different sanitation settings. See appendix 1 for a set of enabling factors and related indicators for monitoring progress. At the end of the MDG era and the emergence of the SDGs, the need to select or adopt new sets of indicators has become a crucial issue. To address this challenge, several measures and initiatives have been adopted by various countries.

### **5.1 Reported data generation and use**

Within the context of assessing and determining sanitation indicators, participants at a stakeholder's workshop held on April 29th, suggested various indicators which influence or are likely to influence policy. These and others gathered from secondary sources have been compiled and presented in appendixes 4 and 4a. In addition to inputs from the workshop participants, a synthesis from the two sources of data have been compiled and presented in table 3. The set of indicators in the table 3 seeks to cover key activities along the sanitation value chain and some management functions performed by local government authorities and CSOs. Participants suggested that it was enough to address the essentials along the value chain and did not immediately need to add more. The indicators are already in use by various government agencies mentioned in identified in a matrix presented in Appendix 4b.



**Table 3: Proposed Sanitation Indicators**

Performance Objectives	Key Performance Indicators
1. Improve access to basic sanitation, especially by the poorest and most vulnerable groups	1.1) Proportion of people with sustainable access to improved sanitation facilities / services (% of poor, vulnerable, children, women, persons living with disability). 1.2) % of Institutions (esp. schools) with improved sanitation 1.3) # of people engaged in open defecation.
2. Improve WASH (sanitation)-related behaviours in the district/population.	2.1) % of communities attained open defecation free status. 2.2) % of population practicing a number of hygiene behaviours including hand washing with soap at critical moments, Household water treatment and safe storage etc. ( <i>definition includes liquid waste facility, its use and its maintenance</i> )
3. Effective liquid waste management facilities installed and maintained	3.1) Availability of liquid waste treatment plants 3.2) % of liquid waste treated and disposed.
4. Capacities of local government strengthened to provide sustainable services on liquid and solid waste management.	4.1) # of Regional Chief Directors with job descriptions (JDs) containing sanitation responsibilities duties and appraised per year. 4.2) # of updated DESSAPs integrated in MTDP reflected in MMDA's budget. 4.3) # MMDAs with disaggregated sanitation budget 4.4) # MMDAs with disaggregated sanitation expenditure reports. 4.5) Existence and use of MIS on sanitation for reporting. 4.6) Sanitation and related bye-laws gazetted and enforced. 4.7) Citizen satisfaction score on sanitation services provided by MMDAs,

Further analysis of the information supplied by the organisations at the May 30<sup>th</sup> workshop in relation to whether they produced or used evidence linked to each of these indicators in Table 3, revealed that there were more data users than generators. Few organisations beside MMDAs are expected to generate data across the entire sanitation value chain. However, the municipal authorities at the workshop did report that their activities covered the entire chain. The activities of the organisations present, both government and CSOs are limited to the containment of faecal sludge. This may be a fair reflection of the limited span of sanitation services documented and data analysed to inform policy. Many more organisations which used sanitation related data than those who generated data. The organisations involved in direct sanitation service delivery are more likely to generate and use the data. The organisation involved in policy influence and formulation processes, such as CONIWAS, WaterAid and SkyFox Limited, are those likely to use data as policy products. The matrix has been presented as appendix 8 and the detailed list as appendix 8a.

### 5.1.1 Indicators and types of data

It is reported that most of the sanitation sector's policies depend on survey and project data instead of administrative data. This does not allow the realization of all potentials available to enrich the policy process and represents missed opportunities. GSS sources state that administrative data systems are going to be key in producing SDG indicator data<sup>7</sup>. According to GSS (2017), not only is it cheaper to collect than

<sup>7</sup> [http://webdeploy.statsghana.gov.gh/docfiles/SDGs/Data%20and%20the%20SDGs%20in%20Ghana\\_Final2.pdf](http://webdeploy.statsghana.gov.gh/docfiles/SDGs/Data%20and%20the%20SDGs%20in%20Ghana_Final2.pdf)

survey data, it is also more timely, frequent and can produce far more detailed data than is possible from censuses and surveys. It was acknowledged by sector stakeholders at the validation workshop that some of the existing sanitation generation systems are project-specific and often limited in the range of data and geographical spread.

## **5.2 Existing systems for collation and analysis of sanitation data**

The list of existing systems for processing and analyzing sanitation data are many but they are project inspired. Indeed, almost all INGOs and local NGOs have M&E systems designed to fit and meet their project or organizational requirements. These organizations are however, expected to feed their outputs or results into key M&E systems promoted by government entities although these may be supported by some Development Partners (DPs). Most prominent among those mentioned at the stakeholders' workshop and supported by records from the sanitation sub-sector have been mentioned below.

- **BaSIS,**  
Basic Sanitation Information System (BaSIS) is the lowest-cost technology ensuring hygienic excreta and sillage disposal and a clean and healthy living environment both at home and in the neighbourhood. BaSIS is a decentralised M&E sanitation system developed to aid in the implementation of the CLTS (Community-Led Total Sanitation) at both sub-national and national levels. The system is basically built to populate data collected from approved sources based on some sanitation index in the form of maps, charts and tables. BaSIS, on varying levels of usage would easily aid policy makers, governments, investors in decision-making. As the system presents to users a more-visualized approach to viewing sanitation data, further analysis could as well be carried out properly.
- **DiMES**  
District Monitoring and Evaluation System (DiMES). Established by the CWSA, DiMES is a useful tool for capturing relevant sector data at community level, including information on water and sanitation facilities from drilling works through to subsequent functionality. The tool can be used to gather information on both rural and urban systems yet to be adopted and adapted to link portals with other software including BaSIS towards a universal application status. It is anticipated that with the move towards a sector-wide approach (SWAp). Sources attributed to CWSA suggested that this will be the choice of tool in the next few years (WSP 2010). The project strengthened the national ICT infrastructure by linking different ICT systems for monitoring (CWSA's DiMES, Akvo's FLOW and SkyFox' SMS-based system for tracking functionality and ordering spare parts) and by ensuring interoperability of the systems. It is reported that DiMES will improve reliability of data so that districts and national government will have the necessary data to inform sector policy choices, programming, better targeting and investment decisions to solve problems with water service provision.
- **Expanded Sanitary Inspections, Compliance Management and Enforcement**  
The Expanded Sanitary Inspections, Compliance Management and Enforcement (ESICOME) programme was initiated in 1999. It is re-introduction of post-independence sanitary inspection and enforcement of bye-laws. The new scope seeks to reinforce public health education methods that were adopted from the late 1970's which has not improved environmental sanitation behaviour with the necessary sanctions for non-compliance of bye-laws. The current scope of the data on the platform is baseline data collection done for residential, hospitality, educational institutions, markets, lorry parks and other public places for all local government authorities in the Greater Accra Region. Under the ESICOME, Environmental Health Officers (EHOs) are to

identify nuisances, educate households on the sanitation services being rendered by their respective assemblies, ensure abatement of nuisances and compliance to sanitation laws and adoption of acceptable behaviour.

ESICOME has been migrated onto a digital platform called ESICAP under a World Bank project called Greater Accra Metropolitan Area (GAMA). The project seeks to equip sanitation inspectors with ICT tools to aid in evidence-based inspection reporting. This platform was developed with support from the World Bank under the GAMA project to provide WASH data for all the urban dwellers and premises. ESICAP is a pilot project which began in 2017. The GAMA project started with a high-level stakeholder consultations. Many technical assessment, concepts and designs were also tested. A baseline sanitation assessment of low-income urban communities (LIUCs) in selected peri urban and informal communities in the Greater Accra Metropolitan Area (Cowater et al, 2013). The many different assessments partly informed the setting up and implementation of the GAMA project. The GAMA sanitation project in Ghana is an outcome of this initial assessment expected to establish a basis for generating relevant data for tracking progress in the urban sanitation sector of Ghana. A brief summary of the GAMA project is provided in text box overleaf.

## GAMA SANITATION AND WATER PROJECT FOR GHANA

The GAMA Sanitation and Water Project for Ghana is World Bank grant of US\$150 million to support the Government of Ghana's efforts to increase access to improved sanitation and improved water supply in the GAMA, with emphasis on low-income communities and to strengthen management of environmental sanitation in the GAMA. The project has four components.

- Provision of environmental sanitation and water supply services to priority low-income areas of the GAMA. The objective of this component is to increase the access to environmental sanitation and water supply services in low-income areas of the GAMA with a strong focus on liquid sanitation. This component also includes the development and implementation of a hygiene and sanitation behaviour change campaign targeted at low-income households, and a major learning and dissemination effort aimed at informing a large-scale institutionalized approach to upgrading sanitation in low-income communities.
- Improvement and expansion of the water distribution network in the GAMA. The objective of this component is to improve and expand the water distribution network in order to provide piped water to the targeted people living in low-income communities in the GAMA. This component will also support the acquisition and installation of water meters and other equipment, as well as the provision of services, aimed at improving water demand management and reducing nonrevenue water.
- Planning, improvement, and expansion of GAMA-wide environmental sanitation services. The third component is planning, improvement, and expansion of GAMA-wide environmental sanitation services. The objective of this component is to develop integrated GAMA-wide plans for liquid and solid waste management and drainage and to finance critical elements to improve the collection, treatment, and disposal of wastewater and septic sludge. Under this component, the project will work closely with the International Finance Corporation.
- Institutional strengthening of municipal, metropolitan and national institutions. This component is to strengthen institutions of the GAMA, especially the waste management departments, to be accountable and responsible. It involves capacity building of staff members of the various institutions, stakeholders' training, reviewing of by-laws of the MMAs and other activities.

### 5.3 Policy processes and the dynamics in the sanitation sector

The policy formulation processes were reported to have been largely inclusive, participatory and iterative in Ghana to the extent possible. According to the National Development Planning Commission its policy framework *"was prepared through a participatory process, involving public and private sector agencies, civil society groups, and Local Government agencies, using the mechanism of Cross Sectoral Planning Groups"* (NDPC 2014, Page 2). The same can be said about most of the key sanitation sector policies some of which have been listed in subsequent sections. Most of the policies had massive involvement and inputs from CSOs and NGOs. Key sanitation policies and other WASH sector policies examined have also been mentioned. Most of the examples mentioned above were influenced by project outcomes and reports

with limited routine data and reporting processes, although these will normally be considered as the exceptions.

#### **5.4 The process**

Beyond data collection, processing and presentation, not much data are rigorously analyzed in the sanitation sector on a routine basis across the country. Data is sometimes not collected from all regions or districts (A4WA, 2019); deadlines for submission of data are usually not met and; Policy decisions are sometime not based on data generated, thus not providing the incentive to report appropriately. As a result, most of the M&E systems mentioned above are reported to be underutilized.

#### **5.5 Dynamics in the sanitation sector**

According to some key informants, the policy processes have relied on both formal and informal process. The sanitation policy formulation processes and the dynamics have not always been predictable. Original advocacy plans have sometimes not delivered the desired results and there is a need to constantly review the different policy influencing approaches and stance based on the quality of evidence and timeliness of information available to the actors. The issues were sometimes built around key persons in formal positions and the selecting the right moments. It is always dependent on the urgency, availability of data and levels of vested interests. The major advocacy approaches have tended to slide along a continuum of strategies including those listed below:

- **Confrontational**  
The engagement between CSOs and government to abandon privatization of the WASH sector, which was later described as private sector participation (PSP) in WASH in Ghana lasted more than 3 years and was mostly confrontational in the initial stages. The Water Policy (2007) suffered more confrontations than many WASH sector policies although there moments of consultation and consensus.
- **Consultative**  
The consultative processes in advocating for sanitation issues has played a major role in the formulation of many sanitation policies in Ghana. The formulation of the Environmental Sanitation Policy (2010) and the NESSAP (2010) relied mostly on the consultations but not without some confrontations and other approaches.
- **Consensus**  
Although there are several moments of consensus building in many of the sector policies, the processes have not been without disagreements. All sector documents and policies have had good moments of harmony and agreements between CSOs and government agencies.
- **Threats of non-compliance / non-cooperative**  
The use of threats and withdrawal from policy engagement processes often caused anxieties both within government and CSOs. The period prior to establishing the WASH sector network and formal launch of CONIWAS was characterized by these strategies and techniques from both sides – government and CSOs.

Some of the tools deployed in influencing policy include:

- Advocacy: Preparing communities to be well vested and presenting issues to government through such traditional leaders and opinion leaders.
- Lobbying: Meeting parliamentarians or members of Select Committees ahead of the formal discussions.
- Legal / petitions (Mobilizing individuals and interest groups to pursue legal options.)
- Budget tracking
- Public show of support and demonstrations through the issuance of position papers, press releases and other mass media discussions.

## **5.6 Policies issued through massive NGO/CSO involvement and inputs**

A list of key and recent documents has been provided and discussed below. These are policies whose very existence were largely driven by or received massive inputs from NGO/CSO in sanitation sector of Ghana. There were also instances where they simply mobilized human resources to influence the policy making process. Some of the policies have been presented in the next paragraphs and Table 4 provides a summary of various agencies and actors who supported different policy and strategy documents.

### **5.6.1 Environmental Sanitation Policy (2010)**

It contains short to medium term sanitation framework, institutional arrangements, range of technology options, anticipated outcomes and alternatives. Most of its contents are focused on; proper waste disposal (including excreta), food hygiene, control of infectious disease, fly and rodent control placing responsibility on both individual and the communities. Ensuring good sanitation is therefore the responsibility of all citizens, communities, private sector enterprises, NGOs and institutions of Government. The document recognizes the need to provide inclusive sanitation services, especially to protect the vulnerable, women, and children Allocates responsibilities between ministries and local governments. Promotes private sector participation (PSP) and NGOs' involvement in the delivery of sanitation services. It acknowledges the challenge of urban sanitation (including excreta management, referred to as 'liquid waste') and the lack of planning. It makes households responsible for financing their own household facilities but did not clearly articulate the other components in the sanitation value chain will be adequately provided and financed. Also missing is elaborate monitoring and evaluation mechanism for assessing progress. The document is currently outdated, and measures have been initiated to commission a new draft. The process will require active engagement of CSOs/NGOs.

### **5.6.2 National Environmental Sanitation Strategy and Action Plan**

The National Environmental Sanitation Strategy and Action Plan (2010) is a response to the need to refocus attention on environmental sanitation in Ghana and provide clear strategies and actions which will guide implementation by Metropolitan, Municipal and District Assemblies (MMDAs). It is a follow-up to the updated Environmental Sanitation Policy within the new framework of national planning that requires comprehensive sector policies and strategic plans and investment costs. **NESSAP** presents as much information as was reported by the MMDAs on the state of the environmental sanitation infrastructure and services. It defines resources required and implementation packages covering all the components of environmental sanitation (ESP 2010; Mansour et al 2017). It also recognizes communal and public toilet facilities will continue to be an important aspect of excreta management for some time to come. It proposes franchising the management of public toilets and the provision of cesspit emptying services by private operators. The policy mentions the need for appropriate low-cost treatment and disposal facilities for

faecal sludge. Existing records do not suggest that this need has been adequately budgeted for by government. Some of the projects implemented were provided for by DPs.

### **5.6.3 Strategic Environmental Sanitation Investment Plan**

Strategic Environmental Sanitation Investment Plan (2010) provides further details of funding requirements of NESSAP and provides the framework for allocating estimated funding-gaps for projected improvements by 2015. It therefore provides the basis for MMDAs to commence incremental improvements for all aspects of environmental sanitation that can be measured and tracked towards Government of Ghana's vision of achieving middle-income status by 2020. The NESSAP in addition serves as a useful reference as it presents background information from different sources and detail analysis for incremental service improvement options for the various components of environmental sanitation. The document provides a financing plan for implementing the NESSAP. It proposes an increase in the annual allocation of the DACF to MMDAs to fund their financing gaps (from 7.5% to 15%) and reserves the ear-marked amount for environmental sanitation (including solid waste) programmes. SESIP proposes the establishment of a national revolving fund for household sanitation to be managed by microfinance institutions. The implementation of this strategy has been constrained by inadequate funds and little limited successes reported by micro-financial institutions.

### **5.6.4 WASH BCC Strategy for Urban sub-sector (2011)**

The WASH/Behaviour Change Communication (BCC) strategy was developed with support from Global Communities (GC), an international NGO consultation and collaboration with Government agencies and other CSOs. It provides very useful tools for conducting a contextual analysis of urban WASH situations in Ghana, designing, planning and implementing BCC interventions with special focus on urban and peri-urban areas, key behaviours and various audiences, and monitoring BCC activities for effect. Until the publication of the WASH/BCC strategy, hygiene receives only mere mention in all the policy documents. The situation remains dire since substantial impact on reductions in water and sanitation related behaviours can be made through a comprehensive policy and strategy. The absence of a policy and guidelines to facilitate effective delivery of hygiene promotion services is a serious gap in the sector which will not allow both rural and urban areas to derive optimum benefits from investments made in sanitation projects.

### **5.6.5 Guidelines for Targeting the poor and Vulnerable for Basic Sanitation**

The Guidelines for Targeting the Poor and Vulnerable for Basic Sanitation Services in Ghana (2018) was issued with support from Global Communities (GC) to provide detailed information and processes for reaching the poor, vulnerable and marginalized sections of the Ghanaian population. The document is an outcome of deliberate efforts meant to ensure inclusivity in the delivery of basic sanitation services. The document provides a basic definitions and terminologies, a brief analysis of sanitation situation in Ghana, the purpose for focusing on the poor, analysis of the sanitation sector and the performance of some sector policies, guiding principles, methods of identifying the vulnerable and the institutional arrangements, technology options, roles of key stakeholders including beneficiary communities, M&E arrangements and report, learn and feed the lessons into improving practice and policy review. The document ends with a suggested approach to financing the scheme to ensure its sustainability. There no evidence that this has been systematically implemented and assessed to determine the outcomes or income.

### 5.6.6 Rural Sanitation Model and Strategy

Rural Sanitation Model and Strategy (2012) is a district handbook for scaling up CLTS, hygiene and sanitation marketing in Ghana supported by UNICEF. The document seeks to build on all positive elements and outcomes of the CLTS processes of creating demand for sanitation. It situates the poor sanitation within a wider context and consideration of multiple factors at play. It describes the institutional framework meant to deliver the strategy at all levels – national, regional, district and community (MLGRD/EHSD, 2012). To achieve the desired outcomes, the RSMS proposes and implementation overview and a projected cost over a five- year period. RSMS has five pillars through which the strategy will be implemented after which period, it is reported that arrangements are underway to assess the RSMS. The pillars include:

- Pillar 1: Build the enabling environment
- Pillar 2: Strengthen Capacity
- Pillar 3: Create Demand
- Pillar 4: Facilitate Supply
- Pillar 5: Monitoring and Evaluation

The implementation and outcomes of RSMS is yet to be determined to derive lessons to guide the policies directions in the sector.

A summary of the policies, key sector actors involved in the development processes and the different platforms used are presented in table 4 and 5.

**Table 4: Record of Government and CSO Engagements in Sanitation Policy Development**

Policy/Issue	Main Sponsoring Agency	Sector Ministry / Agency	Source of Evidence	Stakeholders	Expected Outcomes
Annulment of 5% Capital cost contribution by rural communities (2009)	CONIWAS	Govt of Ghana / MLGRD	Project data, Research/ survey and Case studies.	CSOs, NGOs, Private Sector. etc.	Policy Annulled as requested by CSOs.
Environmental Sanitation Policy. (2010)	WaterAid / WEDC	MLGRD	Project data, Research, and Case studies.	CSOs, NGOs, etc.	Successfully revised 1999 Sanitation policy.
Rural Sanitation and Model & Strategy (2012).	UNICEF	MLGRD	Project data and Research. Consultation and consensus building.	CSOs, NGOs	RSMS Issued to guide implementation of rural sanitation.
NESSAP 2010	EKN	MLGRD	Research and operational, project data.	Research, Modeling, Case studies	NESAP was issued to provide strategic directions.
WASH BCC Strategy for Urban sub-sector (2011).	Global Communities	MLGRD	Research and operational data.	Research	Broad guidelines for planning and implementing BCC in urban areas was issued.



Pro-poor Guidelines (2018).	Global Communities	MSWR	Research and case studies.	CSOs, NGOs	A tool for targeting the poor to access basic sanitation issued.
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**Table 5: A summary of major platforms used to influence selected sector policies**

Platforms	Hosts	Audiences	Frequency	Effects / outcomes
National Learning Alliance Platform	IRC	Sector organisations and policy makers	Weekly	Validate issues, Generate Learning products.
Mole conference	CONIWAS	GoG, CSOs, Private sector, Peer-performance review accountability, etc	Annually	Learning, Mobilization, Advocacy and policy influence.
Sanitation Stock-taking	MSWR/EHSD	Academia, Sector organisations, Entrepreneurs practitioners, and policy makers.	Annually	Learning, Collaboration and technology fair.
Sector Review and planning Conferences	GoG / Development Partners	Performance Review	Bi-Annual	Performance review and accountability. Policy review,
Development Partners' (DPs) Forum	DP Leads	DPs and INGOs	Quarterly	Performance review and accountability. Policy influence, resource issues.
Others Special purpose platforms. CSOs platform	Various agencies	Depends on who will be affected or benefit from the theme	-	-

## 6. Prioritization of existing sanitation policy platforms

As part of the validation processes of the baseline information, participants of key sector players identified, assessed and prioritized the most important platforms for purposes of influencing planning and direction setting. Out of 8 important platforms mentioned below, four were shortlisted and assessed by a group of sector stakeholders that are active in most of these platforms.

**Table 6: Prioritization of sanitation policy influencing platforms in Ghana**

Platform	Responsible Entity / Host	Group 1	Group 2	Group 3	Total	Comments
• Mole Conference	CONIWAS	30	25.5	26	81.5	1 <sup>st</sup> Priority
• Sanitation Stocktaking Forum	MSWR	31	22.5	26	79.5	2 <sup>nd</sup> priority

• National Level Learning Alliance Platform	CWSA, IRC, WaterAid Ghana and TREND.	24	19	26	69	3 <sup>rd</sup> Priority
• National WASH Technical Working Group	MLGRD/MSWR	23	15	17	55	4 <sup>th</sup> Priority
<b>Other platforms not assessed</b>						
• Development Partner's (DPs) Forum	Development Partners	-	-	-	-	-
• Sector Review Conference.	DPs / GoG	-	-	-	-	-
• National Water and Sanitation Technical Working Group (Various Groups and Committees)	GoG	-	-	-	-	-
• Influencing Political Party Manifesto with Sanitation Contents	CONIWAS	-	-	-	-	-
• Special Policy and Advocacy Workshops	Multi-stakeholders	-	-	-	-	-
• Mass media campaigns.	CONIWAS/ NGO/CSOs	-	-	-	-	-

At the end of the assessment and with the aid of a six-point-criteria (presented in Appendix 5), the Mole Conference Series emerged as the most influential in shaping sanitation policies and strategies in Ghana. It was suggested that NLAP be linked to the Mole Conferences as the platform for improving data collection and use of evidence between the various conferences. See details in Table 6.

## 7. Major considerations during the assessment (Workshop Outputs)

According to workshop participants, key considerations which influenced the assessment and prioritization of the different platforms mentioned above include following:

- **Mole Conference Series**
  - It has good leadership arrangements and it is a very structured platform with clear goals.
  - They often deliver policies and strategies
  - Information dissemination is often limited to the conference duration
  - It is donor funded with limited assistance.
  - It is driven by CONIWAS - a credible network.
  - It has a good performance record and secretariat to continue with activities beyond conferences.
  - President attends the forum to address important sector issues.
  - Has maintained momentum for over 30 years.
  - Facilitation is very good.
  - 5 Platform for success in influencing policy.
  
- **Sanitation Stocktaking Forum**
  - Very focused on sanitation related issues and has a multi-sectoral team of organisers.
  - It mostly focused on rural sanitation strategies.

- Frontline staff at the lower levels of implementation in the sector do not seem to understand the issues.
  - It depends on external support agencies.
  - Its over reliance on external funding affects its choice of venues.
  - It has high contents and influence on pro-poor issues.
  - It is opened to ministry, the DPs, NGOs, Academia
  - Well attended (have to pay to attend people have to take care of their accommodation
  - People are very clear on what they are coming for.
  - Top level national sector practitioners-they know what they are doing, but down into the district level, many don't understand the model at lower level.
  - The Mole Conference is convened annually so it needs NLAP as the sub-group to maintain the momentum, but it depends availability of resources.
- **National Learning Alliance Platform**
    - Consistent, active and able to disseminate information regularly
    - It is a very well-regulated platform.
    - Have access to data but does not focus on skills of its members.
    - Has a secretariat but little financial resources to run its operations effectively.
    - Hosted by IRC a credible organization.
    - Ensure timely delivery of outputs and sends out regular reminders.
    - Most national sector issues are discussed on this platform.
    - Link NLAP with Mole conference as the platform for influence
- **National Technical Working Group on Sanitation**
    - Its membership and agenda are WASH related.
    - Discussions are often not transparent.
    - Composition of its membership are high calibre personnel.
    - Often led by the sector ministry.
    - The group has not met in a very long time.
    - Share long term goals, members are made up of WASH – focused organizations.

### **7.1 Key lessons learnt from NGO/CSO policy engagements**

Drawing on information gathered from both primary and secondary sources, the validation workshop yielded useful lessons to guide future interventions and for other networks within or outside Ghana (including contents of table 7). Without any order or prioritization, they include:

1. The recognition that data and or evidence is vital for all types of CSO/NGO engagements in policy influencing processes.

2. The use of both formal and informal approaches have been very useful in addressing the engaging the government entities and the individuals leading the process. CSO reporting the special occasions like funerals, alumni meetings and relationships, weddings ceremonies and in recent times, WHATSApp platforms and email lists to build good relationships and to enhance collaboration at all levels. Most institutions organized end of year review meetings and parties, other times CSOs sponsored government officials to attend do courses to foster relationships. The short breaks and informal “discussions over coffee and beer with high ranking officials” is reported as have worked well by some CSO representatives. Together, these made it easier to build trust which is necessary to engage during formal meetings.

*“Indeed, it took more time to rebuild such relations. Sometimes they were completely lost ...”*

*“we need to always ask what is in it for others and strive to work along those lines be necessary ... in sliding along the continuum of confrontation through collaboration”*

- CSO activists.

3. The use of avoidable confrontations in the early days of CONIWAS has sometime created mistrust, contempt which impaired relations that too a lot of time to build. These often resulted in deadlocks and breakdown in communications.

4. Key stakeholders stated that the need to meticulously map out stakeholders and assess the needs and aspirations of other stakeholders is important.

5. Capacity building is essential for NGOs/CSOs to influence sector policies. Beyond the evidence, CSO actors need to understand the issues, learn how to use credible evidence and be able to play by the rules of engagement. It has been reported that there are situations where inadequate capacity negatively affected the core issues. These have tended to limit the extent of engagement with government actors on WASH related policies.

6. Transparency and accountability, whether real or perceived are essentials to building credibility for CSO-government engagements. A key informant hinted that there was a government official who crowded much of the time during every encounter with CSOs/NGOs to discuss perceived lack of transparency and accountability. These diverted attention from the real issues and slowed down progress towards the real issues.

The lessons learnt and measures required of CSOs to apply these lessons would make optimum impacts if it is discussed within the broader context of decentralization in Ghana. The next section explains the local governance context of Ghana where the mandate for the delivery of sanitation services belongs. The section describes various tools and schemes which have been used to stimulate effective implementation of sanitation programmes at both national and local government levels.

## **8. The key role of local government authorities in delivery of sanitation services**

The fourth Republican Constitution (1992), the highest law in Ghana and the Local Government Act (2016) mandates MMDAs to undertake various functions including health and sanitation among other development priorities. The government through the Ministry of Local Government and Rural Development (MLGRD) sets the policy framework for the development of local communities and oversees the performance of local administrations – Metropolitan, Municipal and District Assemblies. Until the creation of the Ministry of Sanitation and Water Resources in 2017, the MLGRD was also responsible for formulating environmental sanitation policy. With decentralisation the role of the ministry is to facilitate the implementation of water and sanitation interventions at the district level. Environmental Health and Sanitation Directorate (EHSD) has been moved to the new ministry but must directly liaise with departments at the regional and district level responsible for environmental sanitation promotion. Collaboration with EHSD is critical for the successful implementation of sanitation promotion activities at the district and community levels.

### **8.1 MMDAs WASH Strategies**

Most MMDA Medium-Term Development Plan (MTDP) and Municipal/District Environmental Sanitation Strategy and Action Plans (M/DESSAPs) and programmes follow the National Development Planning Medium Term Development Planning Commission (NDPC) guidelines and these are drawn largely from templates in the Ghana Shared Growth and Development Agenda Medium Term Development Agenda (NDPC, 2014). The MTDPs have different segments on water and sanitation but these are fragmented and placed in different segments of the documents thus making it difficult to articulate WASH issues in a coherent manner. It also does not lend WASH issues to a common framework for coordination, monitoring and evaluation. In all the MMDAs, waste management responsibilities on a routine basis attracts more than a proportionate share of the MMDAs' resources and attention for basic sanitation. The document deals generally with WASH issues and sometimes lack relevant details on IWRM, Hygiene, HWTS, treatment and re-use of faecal sludge.

### **8.2 Participation in District Assembly Processes**

All stakeholders have the opportunity to participate in development activities at local government levels. This is provided in Article 40 of the Local Government Act (2016) states “A District Assembly shall enable the residents and other stakeholders in the district to participate effectively in the activities of the District Assembly and the sub-district structures of the District Assembly”. This includes CSOs and individuals. However, most NGOs and CSOs do not adhere to directives requesting them to operate and report their activities through the MMDA framework provided by NDPC. It reported that some of the NGOs are rogue entities which are not accountable and transparent. Others lack the capacity to plan, implement and submit timely reports. Some CSOs have also reported stifling delays in dealing with or working with MMDAs. The results are that, the necessary data is not submitted at the district levels where these will help take decisions. The sector thus misses the opportunity to access data to track process and for policy making.

### **8.3 Incentives to engage MMDAs in evidence-based sanitation advocacy**

It has been observed that sanitation in both rural and urban areas in Ghana have not received as much attention to turn the situation around (WSP, 2011). Several efforts have since been made by both government CSOs and NGOs, which are actively involved in advocacy. Some of the activities were directed at

MMDAs whose primary responsibility it is to ensure equitable and sustainable development including the provision of sanitation to the populations they serve.

To ensure that MMDAs are sufficiently incentivised to perform, several schemes have been set up to motivate local government authorities (Assemblies). Among the priority areas identified for MMDAs to perform effectively include; the need to identify and implement sanitation programmes. These schemes have since become the vehicles through which development agencies including CSOs make relevant inputs to stimulate development initiatives by local government authorities in Ghana.

Three important schemes have been mentioned and discussed below. The choice of schemes was based on the importance placed on it by government and whether it contained sanitation related elements and attracted the active engagement of citizens, CSOs and NGOs. The shortlist includes:

1. Functional and Organisational Assessment Tool (FOAT).
2. District Assemblies Performance Assessment Tool (DPAT).
3. District League Table (DLT).

### 8.3.1 Functional and Organisational Assessment Tool

The Government of Ghana through the MLGRD, as part of its efforts to improve the performance of the District Assemblies in terms of efficiency, accountability and delivery of basic community services introduced a performance base grant system in 2008<sup>8</sup>. Under the system, the District Assemblies are assessed on agreed indicators on a yearly basis using the Functional Organisational Assessment Tool (MLGRD 2014) and the results used as a disbursement criteria by the District Assemblies Common Fund (DACF). Table 7 contains the assessment criteria including one on environmental sanitation management (ESM) with one of the lowest values (6 out of 100) which suggests that sanitation is not such a high priority. Others have argued that its inclusion alone indicates some level of priority. CSOs/NGOs may have made a case for sanitation to be allotted some more points under the new scheme – DPAT. A detailed set of indicators supporting item 6 – ESM are presented in box 1.

Table 7: FOAT Performance Indicators

Performance Measures	Maximum Score
1. Management and Organisation	10
2. Transparency, Openness and Accountability	11
3. Planning System	18
4. Human Resource Management	5
5. Relationship with sub-district structures	3
6. Financial Management and Auditing	20
7. Fiscal Capacity	20
8. Procurement	7
9. Environmental Sanitation Management	6
<b>10. Total</b>	<b>100</b>

Box 1: Ghana's ODF Indicators 2014<sup>9</sup> as described in DLT performance measurement

<sup>8</sup> [https://www.publication\\_dpat\\_i\\_2016\\_results\\_-feb\\_2019\\_including\\_new\\_mmdas](https://www.publication_dpat_i_2016_results_-feb_2019_including_new_mmdas)

<sup>9</sup> [https://www.communityledtotalsanitation.org/sites/communityledtotalsanitation.org/files/ODF\\_checklist\\_Ghana.pdf](https://www.communityledtotalsanitation.org/sites/communityledtotalsanitation.org/files/ODF_checklist_Ghana.pdf)

No visible signs of human excreta within the community (total absence of faecal matter that is visible to the eye or able to be accessed by houseflies, including faeces in toilet facilities, chamber pots, surrounding bushes/shrubs, refuse dumps, etc).

All community members, including children, dispose of their faecal matter in an acceptable manner that does not perpetuate faeco-oral disease transmission. “Acceptable manner” in this content means that faeces should:

- Be covered
- Not accessible to flies, rodents and other animals
- Not stored in polythene bag
- Should be put in the latrine

### 8.3.2 DPAT

District Assemblies Performance Assessment Tool (DPAT) is a diagnostic instrument for assessing the performance of MMDAs and for determining the allocation of the District Assembly Common Fund (DACF). This was introduced in 2018 by the Ministry of Local Government and Rural Development to replace FOAT. The tool has become one of the key determinants for assessing all statutory funds<sup>10</sup> earmarked for development programmes by MMDAs under the District Assemblies Common Fund (DACF). The scheme is reported to become part of criteria to access funds for urban development programme of MMDAs according to a media sources reporting the Minister of MLGRD. The broad components and details of the components and criteria of DPAT has been provided in Table 8.

The 1992 Constitution of Ghana made provisions for District Assembly Common Fund (DACF) under which the Fund receives at least 5% of national revenue. Funds are shared among all District Assemblies based on a formula approved by the Parliament, including indicators on health, education, water (excluding sanitation) services and tarred road coverage. In 2013 and 2014, about 50 percent of the total amount for the Common Fund was allocated for ‘direct transfer’ to the Assemblies.

[www.commonfund.gov.gh/](http://www.commonfund.gov.gh/)

Table 8: DPAT Assessment Criteria

Criteria	Values
Management, Coordination, Monitoring and Evaluation	7
Functional capacity in Planning	7
Financial Management and Auditing	30
Procurement	10
Accountability, Transparency, and Participation	9
Social inclusion and Service Delivery	7
Environment and Climate Change	9
Capacity Building	5
Sanitation	11
Local Economic Development	5

<sup>10</sup><https://www.modernghana.com/news/916332/mps-urged-to-team-up-with-mmdces-to-satisfy-requirement-for.html>

<b>Total</b>	<b>100</b>
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The high level of importance attached to this scheme can be deduced in various public statement issued by persons in government including one attributed to the Minister of Local Government and Rural Development (MLGRD) and leaders of CSOs in Boxes 2 and 3.

*Box 2: “The release of grants to the Participating assemblies will be based on the success in the DPAT Assessment, Urban Population of the Assembly and Scoring high on Urban Performance Benchmarks covering: Urban Planning and Services, Urban Economic Development and Competitiveness, Building and maintaining Sustainable Urban Systems and Efficient Urban Infrastructure Delivery”*

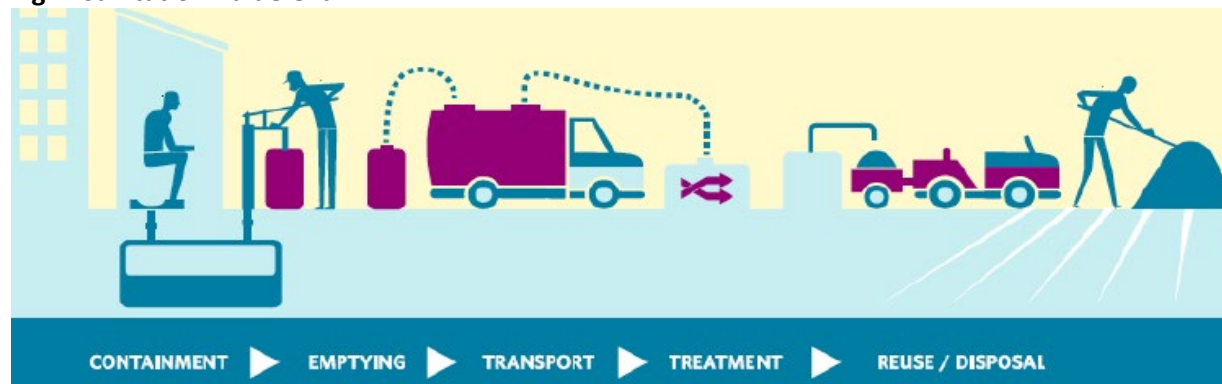
- Hon. Alima Mahama, Minister- MLGRD

*Box 3: CONIWAS will “create a platform to highlight the impacts of integrity, social accountability and monitoring on sector performance. The conference will retain its usual focus on knowledge sharing and advocacy and will devote about 60% of the period to sharing lessons on trends”*

- Martin Dery, Chairman, Coalition of NGOs in the WASH Sector (CONIWAS)

The DPAT has a sanitation component with performance measurement (PM) value of 11 out of 100 points which is higher than the value in FOAT. It also makes provision for assessing performance along the entire sanitation value chain described in fig 1 – from containment through treatment and re-use of materials.

**Fig 1: Sanitation Value Chain**



**Source:** Curled from Adams et al (2016) Page 30.

DPAT has an integrated set of indicators which combines, Planning (annual and medium terms as indicated in DESSAP, budgeting, Expenditure returns/reporting, Inclusivity, M&E, Reporting to the highest level of MMDAs, Waste Management and liquid waste. Refer Appendix 6 for detailed sanitation related performance indicators for details. A critical analysis suggests there are limitations and risks in combining Waste Management and Liquide Waste which together accounts for a maximum score of only 3 out of the 11 maximum points allocated to sanitation. Given that most of the activities along the sanitation value chain in Ghana are performed by the private sector, and much of their activities are not reported through the administrative data of local government authorities, it is feared that most of the 3 maximum points allocated to sanitation will be taken up by waste management issues which are already attractive to political leaders at all levels. However, if the MMDAs use appropriate financial and accounting software such as



GIFMIS<sup>11</sup>, and can generate disaggregate sanitation related budget and expenditure, then the DPAT is likely to make a more positive impact than the previous schemes. The scheme, like others, has been designed to accept reviews and revisions based on lessons and recommendations previous assessments. This provides opportunities for all stakeholders to engage appropriately and make relevant inputs to improve the sanitation components of DPAT. Despite the excellent intentions for setting up DPAT, there are some limitations that may need to be addressed to improve its impact on sanitation. The role of NGOs/CSOs in addressing these challenges is important. They include the following:

1. The maximum score for the sanitation component of DPAT is almost insignificant relative to the total of 100 points. It is also negligible if it is considered in the light of the wider context of poor status of sanitation in Ghana and the fact that sanitation contributes to achieving all the other development agenda including the improving food security, health and wellbeing (United Nations, 2018).
2. The absence of specially constituted technical teams with experts to effectively review and analyse sanitation related data during the assessment of MMDAs is palpable gap that must be filled. For example, the link between MTDP on sanitation, DESSAP, plan, budget, expenditure and sanitation facilities does not necessarily lead to realising sanitation objectives. It is also not an obvious linear development process. Short of any interventions by CSOs/NGOs, the analysis and outcomes of the DPAT assessment teams are likely to remain at superficial levels - simply reporting inputs and outputs. The important issues of sustainability, equity and efficiency are the essentials needed to achieve the ultimate in achieving a decline in WASH related diseases. It also leads to increased and sustained girl-child enrolment at all ages and good academic performance in schools (UNICEF, 2015).
3. There is need for an objective and innovative use of results from DPAT assessments in positive ways. For example, in situations where an MMDA does not have arrangements to transport and treat faecal sludge, such MMDAs should not only lose points. It must also trigger the creation of an investment account created with a proportion of subventions disbursed from DACF and made to attract both technical support and private sector investment in a Public-Private-Partnership (PPP) arrangement for sustainable sanitation project which can span the entire sanitation value chain. In its current state, MMDA which are unable to meet the national average or fulfil minimum condition will only be provided with capacity building grants. This arrangement is punitive but not supportive. The role of NGOs and CSOs in advocating for a change is crucial if they are able generate and use quality data effectively.

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<sup>11</sup> GIFMIS - Ghana Integrated Financial Management Information System

### 8.3.3 The District League Table

District League Table (DLT) is a CSO-led scheme which provides a multi-sectoral, integrated assessment of how Ghana is developing across 216 Districts in 2017 (currently 260 districts). According to UNICEF and CDD (2017), the objectives of the District League Table (DLT) include the need to increase social accountability for improved development in Ghana. This is expected to be achieved by making available and tracking essential information on wellbeing across the entire country at the District level. The criteria for assessing performance has six broad components including, Education, Sanitation, Rural Water, Health, Security and Governance. The criteria are favourably tilted towards rural elements than urban. It draws its sanitation inputs from the FOAT. It is however expected to switch to the DPAT which currently replaces the FOAT. A critical analysis of the DLT scheme suggests it requires further improvements in the set of criteria to increase its emphasis on sanitation. The tool can then become a lot easier for CONIWAS and the other CSOs to use as a tool for advocating for more resources for sanitation programmes for MMDAs. The DLT 2017 report proposed a more responsive set of indicators for the disbursements under the DACF. This position, according to UNICEF/CDD has been recognized by a Parliament's Select Committee on Local Government and Rural Development. It also known that some community leaders have used DLT reports to stimulate discussions on development issues at community levels (UNICEF/CDD, 2017).



With its current appeal and ability to reach key policy influencing institutions and stakeholders, the DLT should be adopted and further developed into a more robust instrument to produce evidence meant to influence DPAT and related development agenda at all levels – national, district and community levels. The realization of this objective will hinge partly on the CSOs/NGOs' ability to generate and or use data to influence various schemes and tools including the DPAT. Some of the immediate concerns which CSOs/NGOs should address include;

- Absence of visible leadership in addressing sanitation situation and lack of commitment by political leadership beyond rhetoric.
- Inadequate and erratic flow of funds meant for sanitation programmes.
- Paucity, duplication and poor quality of sanitation and related data.
- Delays in updating or revising sanitation policy and the lack of a comprehensive strategy for hygiene, a core component of WASH.
- Some CSOs/NGOs' non-compliance to submitting data through MMDAs.

## 9. Challenges

Some of the factors directly responsible for the low performance of the sanitation sector has been provided in the opening sections of this report. Below, are factors related to poor data generation and where there is little evidence available to improving the policies and strategies in the sanitation sector of Ghana.

The Alliance for WASH Advocacy (A4WA, 2019) presented a summary of the key issues, some of which are highlighted below. They include:

1. The monitoring and evaluation component of the sanitation sector has been largely project-based and led by major agencies such as UNICEF, World Bank, WaterAid, and WHO with little collaboration to produce a nation-wide status of events. This splintered approach has not often resulted in unhealthy competitions for Government's attention. The dotted sector M&E systems among various agencies has not helped the situation. (Examples include CWSA's DiMES, EHSD's MInteSSA and BASIS (with UNICEF support), ESICOME and ESICAP – under the GAMA project are but a few examples.
2. Environmental Sanitation Policy has not been updated despite rapid and significant changes in the sector. Although the policy has long gone past its expiry date, it is yet to be replaced. The MSWR hinted that process has just been initiated to review and revise the ESP (2010) which still make references to MDGs and not the SDGs in the year 2019.
3. Weak linkages between policy and implementation of sanitation interventions. This can largely attribute to the absence of disaggregated and regular flow of administrative data necessary to guide sanitation policy.
4. Knowledge gaps exist in respect of performance monitoring & evaluation at the district levels to allow for the effective measurement and work towards International & National Development Agenda (i.e. Sustainable Development Goals, Water Sector Strategic Development Plan).
5. Lack of dedicated M&E structures (human & logistical) to drive the management of sanitation within the government machinery (from national through to the district levels) has contributed to depleting capacities in government's capacity to respond appropriately.
6. Weak linkages between the various national-level policy frameworks (i.e. Medium-Term Development Plans (MTDP), National Environmental Sanitation Strategy and Action Plans (NESSAP), District Environmental Sanitation Strategy and Action Plans (DESSAPs) is major factor. The absence of harmonized planning and reporting templates for the measurement of similar environmental sanitation performance monitoring indicators is a contributing factor.

## **9.2 Recommendations**

9. Most sector practitioners will require further capacity building in developing and understanding the different types of indicators. They also need regular fora and platforms to discuss and harmonize approaches beyond organisations and projects. It is also to strengthen institutional capacity to implement M&E at the MMDA level.

10. There is the need for sector-wide advocacy and support towards the Government's development of an effective, harmonized and all-encompassing M&E framework for capturing & reporting of sector statistics and performance to users at various levels.
11. WASH sector actors must thus deepen advocacy towards the speedy establishment of the National Sanitation Authority (NSA) with the integrated performance management information system infrastructure with the Environmental Health & Sanitation Directorate from national through to the district. Currently, there seems to be a gap between EHSD within the MSWR in the Civil Service, Regional and MMDA offices, which are under the Local Government Service, thus making coordination, performance monitoring and evaluation difficult.
12. The demand for a National Sanitation Fund (NSF) by key sector stakeholders is important and should be aligned with advocacy for the NSA given its propensity to ensure the availability of funds to support comprehensive national sanitation sector and robust monitoring and evaluation (M&E) at all levels.
13. Support is also required around the institutionalization of M&E focal desks within the Environmental Health & Sanitation Units of MMDAs to capture data on environmental health and sanitation to feed M & E systems and inform MMDA planning and coordination units (PCUs) at the district-levels in real time beyond project-specific systems.
14. There is a need to establish/strengthen structures for active CSOs' participation the generation and regular submission of data through administrative channels of MMDAs. They must also be part of the participatory approaches for district and community-level planning and accountability platforms provided by NDPC to ensure that sanitation or WASH infrastructure & services are maintained at optimal levels.
15. National-level actors must coordinate in tracking policy implementation effectively and sustain calls for the revision of WASH policies and other strategic documents including hygiene implementation strategy.
16. Resourcing area/zonal councils remains very critical to ensuring a bottom-up approach in the fight against sanitation.
17. Sector players, including government agencies and CSOs/NGOs have important roles to play in developing the agenda and contents of conversations around the critical sanitation and the broader WASH indicators to be considered in the design and conduct of the 2020 Population and Housing Census(PHC).
18. There are gaps in the generation of sanitation data along the entire sanitation value chain. These are found in all sub-sectors including the gap created by the absence of a comprehensive hygiene behaviour change policy and guidelines to facilitate effective delivery of hygiene promotion services, will need to be addressed. This should be a priority in the next sector policy document which must attract adequate resources for implementation, monitoring and evaluation. Another area is the institutional sanitation sub-sector there is a lack of data to report across all the parameters.

#### **9.4 Conclusions and validation**

At the end of the validation workshop which reviewed the baseline report, sanitation stakeholders present, explicitly affirmed their willingness and ability to engage in further actions to improve the sanitation policy process. They also asked CONIWAS to play an active role and declared GMEF in playing a crucial role as a partner for driving the M&E component forward and to help sanitation in sharpening its advocacy data. Other institutions were also identified and assigned the responsibility to collaborate and to ensure the decisions taken are carried out. They include GSS, DPs, INGOs, NDPC, Academia, private sector including WASHealth Solutions, MAPLE Consult and other consulting groups.

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Appendix 1: Enabling factors and indicators at national level

<b>Enabling Factor</b>	<b>Indicator</b>
Legal framework	A legal framework exists that includes the human right to (rural) sanitation, and pro-poor and socially inclusive policies
Policy	Rural sanitation and hygiene policy, containing national service norms, equity aspects and future adaptation requirements, is approved by cabinet and used by stakeholders
Targets	Rural sanitation targets in the Poverty Reduction Strategy Paper (PRSP) or national development plan are realistic and specifically mention poor and vulnerable groups
Social norms	Social norms and national leaders (e.g. government leaders, ministry staff, religious leaders, personalities) provide enabling environment for improved sanitation and hygiene practices
Institutional leadership	Institutional roles for rural sanitation and hygiene are clearly defined and put into operation, with leadership provided by a government agency with the appropriate capacity
Stakeholder coordination	Government has a programmatic sector-wide approach to rural sanitation and hygiene, with donors harmonized and supporting implementation of the rural national sanitation plan
Investment plan	National investment programme for rural sanitation and hygiene is operational, realistic, pro-poor and based on needs assessment; it considers a range of options and has been validated by range of stakeholders
Programming	Annual (or multi-year) work plans for rural sanitation and hygiene are developed, reviewed, implemented, and evaluated based on the available budget
Annual review	An annual review monitors rural sanitation and hygiene performance and activities completed, with participation from stakeholders, to enable setting of new targets and undertakings
Sector and service monitoring	Monitoring systems regularly measure service levels, use and functionality, reflecting international (WHO/UNICEF Sanitation Monitoring Toolkit 15 of Joint Monitoring Programme) as well as national coverage definitions
Analysis of equity	Periodic analysis by government or civil society organizations assesses equitable service outcomes of rural sanitation and hygiene programmes, and whether equity criteria set by government have been applied in funding decisions
Budget and expenditure adequacy	Financial flows to rural sanitation and hygiene are sufficient to meet national targets, and include software costs, maintenance funds, disaster risk management and climate change.
National budgeting and accounting structure and coverage	Budget and expenditure data show separate values for rural sanitation and hygiene, poor/vulnerable groups, domestic spending and official donor investment
Budget utilization	High percentage of domestic budget and official donor commitments earmarked for rural sanitation and hygiene is utilized
Decentralization	Decentralized authorities are guided and supported in playing their roles

Promotion and scaling up sanitation services	Tools for promoting rural sanitation and hygiene have been specifically adapted before being used at scale through a national programme
Private sector development	A private sector development and partnership programme for rural sanitation is led by a capacitated government programme
Supply-chain and services	A national supply-chain for sanitation equipment, pit emptying, and hygiene services meets rural households needs in terms of both availability and price

**Source:** UNICEF, Water, Sanitation and Hygiene Bottleneck Analysis Tool (WASH-BAT), Methodology Description. Accompaniment to the WASH-BAT in Excel and to be used in conjunction with the Software User Manual, September 2013.

**Appendix 2: Guide for Key Informant’s interviews used this baseline**

Issues	Responses	Comments and follow-up issues
<b>Part 1:</b>		
What are the sources of data which informs government (Development /Fiscal/ Housing) policy?		
What are the sources of Government data/evidence used to formulate sanitation policy?		
How often are these data collected?		
How are they processed and used?		
What has sustained these variables/units?		
How much of the reports are analysed?		
<b>Part 2:</b>		
What are the terminologies used in your units/departs to inform sanitation policy?		
What are some of the core sets of indicators?		

### Appendix 3: District League Table's Indicators

Sector	Indicator	Measurement	Source	Year	Target
Education	District BECE pass rate	% of pupils that passed their BECE (average of the 4 subjects pass rates).	EMIS (GES)	2015/16	100%
Sanitation	Community certification for Open Defecation Free.	% of communities that are certified ODF.	Environmental Health and Sanitation, Ministry of Sanitation and Water Resources.	2016	100% of communities are certified ODF.
Rural Water	Coverage of rural water supply (only in Districts with any rural population)	% of rural population covered by a rural water supply system	CWSA	2016	100%
Health	Skilled attendant at delivery	% of expected deliveries attended by skilled personnel	DHIMS (GHS)	2016	100%
	Institutional new-born mortality at facility	Proportion of new-borns (under 28 days old) dying in a health facility (represented as a scale of the percentage of deaths of 1000 live births)	DHIMS (GHS)	2016	100% (the negative of this indicator is used, so that 100% is the target)
Security	Coverage of police services	Proportion of population per police officer	Ghana Police	2016	1 per 500 People
Governance	FOAT Performance	Measures Score FOAT Performance	Measures Score DDF/FOAT	2014	100%

**Source:** DLT 2017 Final Report, Page 3.

#### Appendix 4: List of Indicators gathered from the April Workshop in Accra and secondary sources

##### Rural (Group 2)

- Indicators to measure the **use** of these facilities
- **Collection, transportation and treatment** ( Number of houses with facilities/households that need collection and transport)
- Measures of safety and adequacy of the transport faecal sludge.
- Treatment: Availability of treatment facilities and for re-use.

##### (Group 3)

- % of liquid waste generated per capita (defined or re-defined).
- % of household and practice of basic sanitation.
- Number of households with or without access to sanitation by technology / Disaggregated data on access to sanitation.
- % of persons with adequate knowledge on availability and access to appropriate sanitation technologies.
- % of sludge treatment and re-use.

##### Urban (Group1):

- Mode of grey water disposal.
- Mode of excreta disposal.

##### (Group 4):

- % of household access to toilets.
- Indicators to measure % of persons living with disability and marginalised groups with access/use safe sanitation
- Types of transport and cost of transporting faecal sludge.
- % of sludge treated by type of treatment.

#### **NDPC's Sanitation indicators**

Expanding coverage of improved sanitation Services (NDPC, 2015)

1. Percentage with access to improved sanitation
2. Proportion of solid waste properly disposed of (major towns and cities)
3. Proportion of population engaged in open defecation (currently one out of five).

#### **Indicators from other sources:**

Outcome indicators:

- Population using safely managed sanitation services (SDG 6.2)
- Population with a basic handwashing facility at home (SDG 6.2)
- Access to dedicated handwashing station (PMA 2020Ghana)

School sanitation and hygiene Indicators (UNICEF 2016)

- Proportion of schools with a basic sanitation service
- Proportion of schools with a basic hygiene service
  - Proportion of schools with improved toilets that are in use and single-sex.
  - Proportion of schools with handwashing facilities, water and soap.

#### Appendix 4a: Key Performance Indicators for Delivery of Sanitation (Basic)

Rural Sanitation Model and Strategy (RSMS Advocacy in Ghana) Compiled and Edited by Stephen Ntow, PhD.

Objectives	Key Performance Indicators	Responsibility	Source / Methods
1. Improve access to basic sanitation, especially by the poorest and most vulnerable groups	<ul style="list-style-type: none"> <li>Proportion of people with sustainable access to improved sanitation facilities / services (% of poor, vulnerable, children, women, persons living with disability).</li> <li>% of Institutions (esp. schools) with improved sanitation</li> <li># of people engaged in open defecation</li> </ul>	<ul style="list-style-type: none"> <li>MoF</li> <li>NDPC</li> <li>GSS</li> <li>MLGRD /LGSS/ MMDAs</li> </ul>	<ul style="list-style-type: none"> <li>Survey</li> <li>Annual Reports</li> <li>Survey</li> <li>Records ion volumes</li> </ul>
2. Improve WASH (sanitation)-related behaviours in the district/population.	<ul style="list-style-type: none"> <li>% of communities attained open defecation free status.</li> <li>% of population practicing a set of hygiene behaviours including hand washing with soap at critical moments, Household water treatment and safe storage etc.</li> <li>definition includes liquid waste facility, its use and its maintenance</li> </ul>	<ul style="list-style-type: none"> <li>MoF</li> <li>NDPC/MLGRD</li> <li>SHEP / MoE/MMDA</li> <li>MLGRD/LGSS, UNICEF</li> <li>UNICEF/GSS</li> </ul>	<ul style="list-style-type: none"> <li>MoE/SHEP reports</li> <li>Survey</li> </ul>
3. Effective liquid waste management facilities installed and maintained	<ul style="list-style-type: none"> <li>Availability of liquid waste treatment plants</li> <li>% of liquid waste treated and disposed.</li> </ul>	<ul style="list-style-type: none"> <li>MoF</li> <li>NDPC</li> <li>LGSS</li> <li>MLGRD/ EHSD</li> <li>MoF</li> <li>EHSU / MMDA</li> </ul>	<ul style="list-style-type: none"> <li>MMDA/EHSU reports</li> <li>ODF validation reports</li> <li>Survey</li> </ul>
4. Capacities of local government strengthened to provide sustainable services on liquid and solid waste management.	<ul style="list-style-type: none"> <li># RCD/Reg CD/DCDs with JDs containing sanitation responsibilities duties and appraised per year.</li> <li># Updated DESSAPs integrated in MTDP reflected in MMDA's budget.</li> <li># MMDAs with disaggregated sanitation budget</li> <li># MMDAs with disaggregated sanitation expenditure reports.</li> <li>Existence and use of MIS on sanitation for reporting.</li> <li>Sanitation and related by-laws gazetted and enforced.</li> <li>Citizen satisfaction score on sanitation services provided by MMDAs,</li> </ul>	<ul style="list-style-type: none"> <li>MoF</li> <li>NDPC</li> <li>LGSS</li> <li>ILGS</li> <li>MLGRD</li> <li>MSWR/EHSU</li> <li>MMDA</li> </ul>	<ul style="list-style-type: none"> <li>ILGS (FOAT / DPAT)</li> <li>LGSS</li> <li>EHSU</li> </ul>

**Appendix 5: Key Criteria for Assessing Government and CSO Platforms for Advocacy and policy Influence**

CRITERIA	Yes / points (1 -5) <sup>12</sup>	Comments
<b>1. Shared long-term goals</b> - stakeholders share the same goals.		
<b>2. Practices and policies</b> -stakeholders have standardised data collection practices and policies that feed into the platform.		
<b>3. Capacities</b> - Platform members have access to information, and proper knowledge and skills to analyse and use this information.		
<b>4. Resources</b> - the platform has sufficient financial resources to operate effectively.		
<b>5. Leadership</b> - members accept and trust platforms leadership.		
<b>6. Facilitation and Communication</b> - the platform is effective in the organization of meetings and mobilization.		
<b>7. Platform Success in Influencing Policy</b> - the platform has influenced decision-making at the regional and national level.		

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<sup>12</sup> 1 = Lowest & 5 = Highest

**Appendix 6: Sanitation Component of the DPAT<sup>13</sup> Performance Measures (PMs) - DPAT I (2016) INDICATORS**

PMs Functional Area	Indicators	Information source, Assessment basis and Scoring	Means of Verification	Max Score	Score
9. Sanitation Sub-total Score	9.1 Development and Update of the District Environmental Sanitation Sub-Sector Strategy and Action Plan (DESSAP)	<p>From the DCD obtain a copy of the DESSAP and Annual Action Plan</p> <p>If provision was made for DESSAP activities in the Assembly's 2016 Annual Action Plan and approved Composite Budget for implementation, score 1</p> <p>If 75% of the DESSAP activities in the Action Plan were implemented, score 1</p> <p>If DESSAP has been updated, score 1</p> <p>(National Environmental Sanitation Policy 2010 National Environmental Sanitation Strategic action Plan , NESSAP, 2010)</p>	Annual Work Plan and approved Composite Budget for implementation of DESSAP	3	
	9.2 Expenditure on Sanitation	<p>From the DCD receive the district's 2016 Annual Financial Statement.</p> <p>If the total expenditure on sanitation activities from IGF is at least 10% of the total IGF expenditure, score 3, else score 0.</p> <p>** What will constitute sanitation activities.</p>	Annual Financial Statement	3	

<sup>13</sup> Source: Curled from MINISTRY OF LOCAL GOVERNMENT AND RURAL DEVELOPMENT. District Assembly Performance Assessment Tool (DPAT). OPERATIONAL MANUAL. 1st cycle Baseline year: 2016 Implementation year: 2018 Expected Disbursement year: 2018



		<ul style="list-style-type: none"> <li>- Activities and programmes on Solid Waste Management. This includes collection, haulage or transportation, disposal or treatment or reuse.</li> <li>- Activities and programmes on Liquid Waste Management and Drain Cleansing. This includes containment, collection/sewerage, transportation /conveyance, disposal or treatment or reuse</li> <li>- Activities on food hygiene and safety - Activities on sanitation legislation and enforcement management</li> <li>- Promotion and sensitisation activities - Capacity Building, M &amp; E, Data Management</li> </ul>			
	9.3 Submission of Comprehensive Annual Report	<p>From the DCD obtain a copy of the Annual Report on Sanitation Activities.</p> <p>If the Annual Monitoring and Evaluation Data Report is available and was submitted to the DCD by 28th February 2017, score 2;</p> <p>(National Environmental Sanitation Policy 2010 National Environmental Sanitation Strategic action Plan , NESSAP, 2010).</p>	Annual report on sanitation	2	
	9.4 Progress made in improved sanitation and waste management	<p>From DCD receive copies of the 2015 and 2016 Annual Report.</p> <p>If evidence of 5 percent increase in household toilet exist score 3, if not score 0. (National Environmental Sanitation Policy 2010 National Environmental Sanitation Strategic action Plan, NESSAP, 2010).</p>	Annual Report	3	

**Appendix 7a: Summary of data generated by stakeholders at workshop held on May 30<sup>th</sup> in ACRA, Ghana.**

Organisation Govt/NGO/CSO	Project	Geographical Spread	Timeframe	Mode of Data collection
1. GAMA Project	1. GAMA Sanitation Project	Municipal Area	3 year	Submission quarterly reports.
	2. Update of MESSAPs	Municipal Area	3 Months	Every four years
	3. Gazette bye-laws	Municipal Area	3 Months	Update of bye-laws
2. Waste Care	GAMA sanitation/toilet component.	Metropolitan Area	Weekly	Electronic data collection.
3. People's Dialogue	4. WASH in Schools latrines	Ashiaman /GAMA	2016 – 2019	Counting numbers
4. World Vision International.	Ghana Integrated WASH Project	Nation-wide		Quarterly reports, Evaluations, Survey reports.
5.ESPA	Lavenda Hill	National (Urban)	Monthly routine	Reports and field vision
6. SEND Ghana	People for health (1.3) and (4.2)	20 districts in 7 regions “	One off event	Registration list and reports
			Annually	Townhall and community meetings.
7. WaterAid Ghana	WASH for Public Health	2 Regions 3 districts.	Quarterly, half-year and annually	Reports
8.Global Communities	WASH for Health	6 Regions in 14 Districts	Weekly	Captured on ODK.

**Appendix 7b: Summary of data used by stakeholders**

1. Name of Organisation	2. Name of Project	3. How is data for this indicator analyzed used for decisions	4. How often for you use
1. Ga West MA	Waste treatment Plants	Determine what quantities can be treated and plan plant and maintenance schedules.	Monthly.
2. Star Ghana	Local governance and decentralization.	Counts from reports	Quarterly.
3. A4WA	Policy Advocacy	Through report	Continuous.
4. ProNet	WASH in Schools (Central Region)	Collect data from Assembly staff	Monthly.
5. TREND	GAMA	Field visits to triangulate	As often as data is available.
6. IRC, UG / IESS	SCCH in 14 MMDAs	Types of facilities.	When there is need for new data. Build Capacity, Operations and maintenance Issues.
7. ESPA	Lavenda Hill	Basic Excel Computation.	Monthly and quarterly.
8. WaterAid-Ghana	WASH for Public Health	Reporting requirements and proposal development.	Quarterly, Half-year, Annually.
9. SEND -Ghana	People for Health (4.2) (4.3)	Number of inputs, % of allocation and use	Annual
10. Global Communities	WASH for Health (W4H)	Progress of project, planning and proposal development through Excel computation and analysis.	Annually
11. CONIWAS	General WASH Advocacy and policy Influence.	Analysed for advocacy purposes.	Quarterly and Annually
12. WVI	Ghana Integrated WASH Project	Analysed and used for programme planning and resource mobilization.	Annually.

**Appendix 8: Matrix of types of data generator and use by stakeholders**

Name of Organisation	1. Indicators for Improved access to basic sanitation especially by the poorest and most vulnerable groups (46)		2. Improve WASH (sanitation)-related behaviours in the district/population (29).		3. Effective liquid waste management facilities installed and maintained (19)		4. Capacities of local government strengthened to provide sustainable services on liquid and solid waste management (36).		Comments
	Generate	Use	Generate	Use	Generate	Use	Generate	Use	
NDPC		X		X		X		X	
GSS	X		X		X	X			
A4WA		X		X					
Star Ghana		X						X	
GC	X	X	X	X			X	X	
SKYFox		X		X		X		X	
CONIWAS		X		X		X		X	
WVI	X	X	X	X	X	X	X	X	
TREND		X		X		X		X	
Waste Care	X	X		X		X			
ESPA		X			X	X		X	
GWMA	X	X	X	X	X	X	X	X	
SEND Ghana	X						X	X	
WaterAid Ghana	X	X	X	X					
MAPLE Consult		X	X				X		
UNICEF	X								
ProNet		X	X	X		X			
UG/IESS		X		X		X			
People's Dialogue	X		X						
IRC						X	X	X	
WASHealth Solutions		X		X		X		X	
<b>Totals</b>	10	17	8	13	4	12	4	9	

## Appendix 8a: List of sanitation indicators generated and used by stakeholders

### 1. Improve access to basic sanitation, especially by the poorest and most vulnerable groups.

Indicator	Data Generation	Data Use
<b>1.1 Proportion of people with sustainable access to improved sanitation facilities / services (% of poor, vulnerable, children, women, persons living with disability).</b>	Institute for Environment and Sanitation Studies (IESS) Water Aid Ghana Peoples Dialogue Global Communities World Vision Ghana Ghana Statistical Services (GSS) Waste Care Association Urban Baseline Survey	STAR Ghana Institute for Environment and Sanitation Studies (IESS) Alliance for WASH Advocacy (A4WA) Water Aid Ghana TREND Sky Fox Pro Net Global Communities NDPC World Vision Ghana CONIWAS Waste Care Association
<b>1.2 % of Institutions (esp. schools) with improved sanitation</b>	Water Aid Ghana Global Communities World Vision Ghana Urban Baseline Survey GWMA	CONIWAS Water Aid Ghana Global Communities Pro Net TREND Waste Care Association World Vision Ghana Sky Fox Environmental Service Providers Association (ESPA) GWMA
<b>1.3 # of people engaged in open defecation</b>	GWMA SEND Ghana Water Aid Ghana Global Communities World Vision Ghana GSS Urban Baseline Survey	GWMA Water Aid Ghana Global Communities World Vision Ghana Pro Net TREND Waste Care Association CONIWAS Sky Fox NDPC

### 2. Improve WASH related behaviours in the district/population.

Indicator	Data Generation	Data Use
<b>2.1 % of communities attained open defecation free status.</b>	Global Communities Pro Net Water Aid Ghana World Vision Ghana	CONIWAS A4WA Waste Care Association Sky Fox

	Institute for Environment and Sanitation Studies (IESS) People's Dialogue GWMA	Global Communities Pro Net Water Aid Ghana World Vision Ghana NDPC TREND Institute for Environment and Sanitation Studies (IESS) GWMA
<b>2.2 % of population practising a number of hygiene behaviors including hand washing with soap at critical moments, Household water treatment and safe storage etc. (definition includes liquid waste facility, its use and its maintenance)</b>	Global Communities Water Aid Ghana Urban Baseline Survey GSS GWMA	Pro Net Sky Fox Waste Care Association Global Communities Water Aid Ghana TREND CONIWAS GWMA

### 3. Effective Liquid waste management facilities installed and maintained.

Indicator	Data Generation	Data Use
<b>3.1 Availability of liquid waste treatment plants</b>	World Vision Ghana GSS Environmental Service Providers Association Environmental Service Providers Association (ESPA) Zoom Lion Ghana GWMA	World Vision Ghana CONIWAS Pro Net Environmental Service Providers Association (ESPA) IRC Sky Fox Waste Care Association Institute for Environment and Sanitation Studies (IESS) GWMA
<b>3.2 % of liquid waste treated and disposed.</b>	GWMA GSS World Vision Ghana Environmental Service Providers Association Environmental Service Providers Association (ESPA)	GWMA TREND Ghana NDPC World Vision Ghana CONIWAS Waste Care Association Environmental Service Providers Association Environmental Service Providers Association (ESPA)

### 4. Capacities of local government strengthened to provide sustainable services on liquid and solid waste management.

<b>Indicator</b>	<b>Date Generation</b>	<b>Data Use</b>
<b>4.1 # RCD/Reg CD/DCDs with JDs containing sanitation responsibilities duties and appraised per year.</b>	CONIWAS MAPLE	Waste Care Association Environmental Service Providers Association (ESPA) Sky Fox Institute for Environment and Sanitation Studies (IESS) CONIWAS
<b>4.2 # Updated DESSAPs integrated in MTDP reflected in MMDA's budget.</b>	MAPLE SEND Ghana GWMA	CONIWAS Sky Fox Water Aid Ghana TREND GWMA Waste Care Association SEND Ghana NDPC
<b>4.3 # MMDAs with disaggregated sanitation budget</b>	MAPLE CONIWAS Water Aid Ghana GWMA	NDPC CONIWAS Water Aid Ghana SEND Ghana GWMA
<b>4.4 # MMDAs with disaggregated sanitation expenditure reports.</b>	MAPLE CONIWAS Water Aid Ghana IRC	NDPC CONIWAS Water Aid Ghana IRC Sky Fox Waste Care Association
<b>4.5 Existence and use of MIS on sanitation for reporting.</b>	World Vision Ghana Water Aid Global Communities	World Vision Ghana Water Aid Global Communities CONIWAS Sky Fox GWMA
<b>4.6 Sanitation and related bye-laws gazetted and enforced.</b>	MAPLE IRC World Vision Ghana Water Aid IRC GWMA	World Vision Ghana Water Aid TREND Environmental Service Providers Association (ESPA) IRC CONIWAS GWMA
<b>4.7 Citizen satisfaction score on sanitation services provided by MMDAs,</b>	MAPLE CONIWAS GWMA	Environmental Service Providers Association (ESPA) STAR Ghana Waste Care Association/ CONIWAS