

Integrated Assessment (SFD + CSDA) Questionnaire

Desk Based Assessment

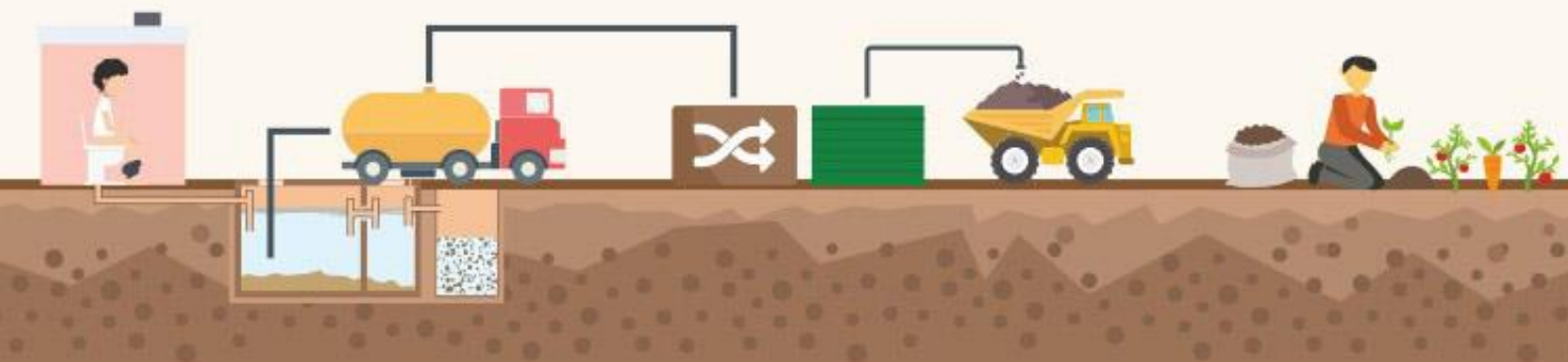


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Shit Flow Diagram

1. Name of the organisation
2. Country
3. Province or state
4. Name of the urban area
5. Population
6. What percentage of the contents of each type of onsite container is faecal sludge?
Septic Tanks: _____
Fully Lined Tanks: _____
Lined tanks with impermeable walls and open bottom; and all types of pit: _____
7. Identify the percentage population dependent on each type of systems to which toilets in your city are connected? (secondary information/key informant interviews)*
8. Identify the total percentage of onsite sanitation systems that is emptied by typology*
9. Identify the total percentage of faecal sludge reaching the treatment plant?*
10. Identify the total percentage of wastewater in open sewer or storm drain system reaching the treatment plants
11. Identify the total percentage of supernatant reaching the treatment plants*
12. What percentage of wastewater in the sewer systems is delivered to a centralised treatment plant?
13. What percentage of wastewater in the sewer systems is delivered to a decentralised treatment plant?
14. Identify the total percentage of faecal sludge delivered to treatment plants, which is treated*
15. Identify the total percentage of wastewater delivered to treatment plants, which is treated*
16. Identify the total percentage of supernatant that is delivered to treatment plants, which is treated*
17. What percentage of wastewater delivered to the centralised treatment plant is treated?
18. What percentage of wastewater delivered to the decentralised treatment plant is treated?

*For these questions, the platform provides a matrix table for entering the input. The matrix comprises of all possible toilet technologies and the potential technologies/systems to which the toilet systems may be connected to. Please refer to the Annex for the matrix template.

City Service Delivery Assessment

Sewered Sanitation Questions

Pillar	Sewered Sanitation questions		Evidence / scoring <i>(across all components of the value chain: water closet, house connection; sewerage; sewage treatment and reuse)</i>	
Enabling: Current policies, planning issues and budgetary arrangements	Policy and legislation	S.1.1 Policy: Is provision of sewerage services (including household connections) adequately supported by an appropriate, widely-known, acknowledged and available national or local policy?	1: Policy is appropriate, widely-known, acknowledged and available 0.5: Policy is appropriate, but not widely-known, acknowledged or available; or exists only as a guideline or strategy without legal force 0: Policy is not available, or inappropriate to the context	
		S.1.2 Institutional roles: Is responsibility for sewerage service delivery clearly assigned to an entity with well-defined roles, responsibilities and mandates?	1: Responsibility clearly assigned to an entity with well-defined roles, responsibilities and mandates 0.5: Responsibility unclear or ambiguous, or roles, responsibilities and mandates poorly defined 0: No entity with well-defined roles, responsibilities and mandates for sewerage exists	
		S.1.3 Legislation / Regulation: Are there national and/or local legislation and regulatory mechanisms for sewerage services, backed by any necessary complementary codes, specifications, schedules etc.?	1: Legislation and regulatory mechanisms are comprehensive, in place and widely publicised 0.5: Legislation and regulatory mechanisms are comprehensive and in place, but not widely publicised 0: Legislation and regulatory mechanisms are inadequate or do not exist	
		Planning and budgeting	S.1.4 Targets: Are service levels and targets for the accessibility of, and connections to, sewerage specified in current approved plans?	1: Service levels and targets are clearly specified and officially adopted
				0.5: Service levels are specified, but targets not stated, or not officially adopted
				0: No reference to service levels or targets

		S.1.5 Budget lines: Are there annual and medium term budget lines for sewerage, including both software, and hardware expansion, operation and maintenance?	1: Annual and medium term budget lines for sewerage exist
			0.5: Annual and medium term budget lines are unclear, poorly defined, or lack adequate software components
	Inclusion	1.6 Planning and budgeting: Is the policy, planning and budgeting process for the provision of sanitation services inclusive, according to the definition agreed with stakeholders?	0: No budget lines for sewerage exist
			1: Inclusion is explicitly considered in policy, and required in the planning and budgeting process
			0.5: Inclusion is mentioned in policy, but not explicitly or weakly required in the planning and budgeting process
			0: There are no inclusion criteria in policy, planning and budgeting process
Delivering: Capacity and financing mechanisms to develop improved services	Funding	S.2.1 Investment plan: Is there an investment plan for sewerage hardware and software, which includes all the components necessary to achieve service level targets (S.1.4) over the medium term?	1: There is an investment plan, which includes all the components necessary to meet targets over the medium term
			0.5 There is an investment plan, which includes some (~50%) of the components necessary to meet targets over the medium term
			0: There is no investment plan, or one that is totally inadequate to meet targets over the medium term
		S.2.2 Adequate funding: Are annual funding allocations for sewerage sufficient to achieve service level targets (S.1.4) and are they used as planned?	1: Funding allocations are sufficient and used as planned
			0.5: Funding allocations are only partially sufficient or partially used as planned
			0: Funding allocations are totally inadequate or not used as planned
	S.2.3 Coordination Are there effective mechanisms for coordination of sewerage investments between donors; donors and government; and within government?	1: Mechanisms exist and they are effective at coordinating investments	
		0.5 There are some partially functional mechanisms	
		0: Mechanisms do not exist, or exist on paper only and are completely ineffective	
	Capacity and outreach	S.2.4 Institutional capacity: Is responsibility for delivery of sewerage services mandated to an adequately	1: The mandated entity is well structured and adequately staffed
0.5: The mandated entity is not well structured or adequately staffed			

		staffed and structured entity?	0: There is no mandated entity, or it is very weak
		S.2.5 Autonomy: Does the entity responsible for sewerage have sufficient autonomy to address identified priorities?	1: Entity has adequate autonomy to function according to priorities
			0.5 Partial autonomy from city authorities or national body
			0: Integral part of the city authority or a national ministry
		S.2.6 Outreach: Are there active programmes promoting sewer connections, behaviour change and community engagement?	1: There are systematic programmes promoting sewer connections, behaviour change and community engagement
			0.5: Some outreach activities are being carried out on an ad-hoc basis
	0: No outreach activities are being implemented		
	Inclusion	2.7 Technology: Are there affordable, appropriate, safe and adaptable technologies available to meet the needs of poor and vulnerable people, according to the agreed definition?	1: There are suitable options available to address the needs of most poor and vulnerable people
			0.5: There are options that address the needs of some poor and vulnerable people, but they are not sufficient or complete
			0: Options available to meet the sanitation needs of poor and vulnerable people are grossly inadequate
2.8 Funding: Are there specific funding mechanisms to support appropriate, safe and adaptable sanitation services to all users, including poor and vulnerable people, according to the agreed definition.		1: There are funds, plans and mechanisms to meet the needs of most people, including the poor and vulnerable	
	0.5: There are funds, plans and mechanisms to meet the needs of some poor and vulnerable people		
	0: There are few or almost no funds, plans and mechanisms to support poor and vulnerable people		
Operating and sustaining	Regulation and cost recovery	S.3.1 Cost recovery: Are sewerage system O&M costs known and fully covered by cost recovery through user fees and/or local taxes or transfers?	1: O&M costs known and revenue adequate to maintain the system well
			0.5: O&M costs known and revenue covers partial O&M, at less than optimum level
			0: O&M costs not known and/or revenue wholly inadequate
	S.3.2 Monitoring: Are there adequately staffed	1: There are adequately staffed institutions which monitor	

		institutions which monitor performance, health and environmental standards for sewerage services?	performance, health and environmental standards
		0.5: There are institutions which partially monitor performance, health and environmental standards	
		0: There is no institution which monitors performance, health and environmental standards	
		S.3.3 Enforcement: Are failures to meet standards for sewerage system performance systematically monitored and sanctions applied where relevant?	1: Performance standards exist, are monitored and sanctions applied
			0.5: Performance standards exist and are monitored, but no sanctions applied
			0: Performance standards (if they exist) are not monitored
	Institutions and service providers	S.3.4 Staffing: Does the entity responsible for sewerage have sufficient qualified staff to undertake adaptive planning of sewerage rehabilitation and expansion?	1: The entity has sufficient qualified staff for adaptive planning of sewerage rehabilitation and expansion
			0.5: The entity has insufficient staff for adaptive planning of sewerage rehabilitation and expansion
			0: The entity has inadequate staff and is unable to undertake adaptive planning for the sewerage system
		S.3.5 Staff development: Does the entity responsible for sewerage have an active staff development programme and incentives to retain workers?	1: The entity has a staff development programme and incentives to retain workers
			0.5: The entity has either a staff development programme or incentives to retain workers, but not both
			0: There is no staff development programme or incentives to retain workers
		S.3.6 Health and Safety: Is the health and safety of sewerage workers adequately protected and monitored?	1 The health and safety of sewerage workers is adequately protected and monitored
			0.5: The health and safety of sewerage workers is partly protected and monitored
0: The health and safety of sewerage workers is not protected or monitored			
S.3.7 Capacity-building: Are there on-going programmes and measures to build the		1: Capacity-building is being implemented according to an agreed plan	

		capacity of the sewerage service provider?	0.5: Limited capacity-building is implemented on an ad-hoc basis
			0: No or very little capacity-building is carried out
	Inclusion	3.8 Growth: Are sanitation services keeping pace with population growth?	1: Sanitation services are expanding significantly faster than population, and the number of people with unsafe sanitation is decreasing
			0.5: Sanitation services are more or less keeping pace with population growth
			0: Population is growing significantly faster than sanitation services, and the number of people with unsafe sanitation is increasing
		3.9 Planning from evidence: Is sanitation data routinely collected, including from poor and vulnerable people, according the agreed definition, and used for planning services?	1: Sanitation data is routinely collected citywide and used for planning services
			0.5: Sanitation data is collected on an ad-hoc basis with incomplete spatial coverage
			0: Sanitation monitoring data is rarely collected
	3.10 Outcomes: Do the city's sanitation systems ACTUALLY provide safe sanitation services for all users, including poor and vulnerable people, according to the agreed definition?	1: Safe sanitation services are affordable and available to all users, including poor and vulnerable people.	
		0.5: Safe sanitation services are available to about half of poor and vulnerable people	
0: Safe sanitation services are not available to many poor and vulnerable people, or this is not known.			

Non-Sewered Sanitation Questions

Pillar	Non-sewered sanitation questions	Evidence / scoring <i>(across all components of the value chain: toilet, pit, septic tank; emptying & transport; sludge treatment and reuse)</i>
Enabling: Current policies, planning issues and budgetary arrangements	Policy and legislation	N.1.1 Policy: Is use of non-sewered sanitation services enabled by an appropriate, widely-known, acknowledged
		1: Policy is appropriate, widely-known, acknowledged and available
		0.5: Policy is appropriate, but not widely-known, acknowledged or available; or exists only as a

		and available national or local policy?	guideline or strategy without legal force
			0: Policy is not available, or inappropriate to the context
		N.1.2 Institutional roles: Is responsibility for non-sewered sanitation service delivery clearly assigned to institution(s) with well-defined roles, responsibilities and mandates?	1: Responsibility clearly assigned to institution(s) with well-defined roles, responsibilities and mandates
			0.5: Responsibility unclear or ambiguous, or roles, responsibilities and mandates poorly defined
			0: No institution(s) with well-defined roles, responsibilities and mandates for non-sewered sanitation exists
		N.1.3 Legislation / Regulation: Are there national and/or local legislation and regulatory mechanisms for non-sewered sanitation, backed by any necessary complementary codes, specifications, schedules etc.?	1: Legislation and regulatory mechanisms are comprehensive, in place and widely publicised
			0.5: Legislation and regulatory mechanisms are comprehensive and in place, but not widely publicised
			0: Legislation and regulatory mechanisms are inadequate or do not exist
		Planning and budgeting	N.1.4 Targets: Are service levels and targets for non-sewered sanitation specified in current approved plans?
	0.5: Service levels are specified, but targets not stated, or not officially adopted		
	0: No reference to service levels or targets		
	N.1.5 Budget lines: Are there annual and medium-term budget lines for non-sewered sanitation, including both hardware and software?		1: Annual and medium term budget lines for non-sewered sanitation exist and include hardware and software
0.5: Annual and medium term budget lines are unclear, poorly defined, or lack adequate software components			
0: No budget lines for non-sewered sanitation exist			
Inclusion (Carried over from left)	1.6 Planning and budgeting: Does the policy, planning and budgeting process address inclusive sanitation services, according to the	1: Inclusion is explicitly considered in policy, and required in the planning and budgeting process	
		0.5: Inclusion is mentioned in policy, but not explicitly or weakly required in the planning and budgeting process	

		definition agreed with stakeholders?	0: There are no inclusion criteria in policy, planning and budgeting process
Delivering: Capacity and financing mechanisms to develop improved services	Funding	N.2.1 Investment plan: Is there an investment plan for non-sewered sanitation hardware and software, which includes all the components necessary to achieve service level targets (N.1.4) over the medium term?	1: There is an investment plan, which includes all the components necessary to meet targets over the medium term
			0.5: There is an investment plan, which includes some (~50%) of the components necessary to meet targets over the medium term
			0: There is no investment plan, or one that is totally inadequate to meet targets over the medium term
		N.2.2 Adequate funding: Are annual funding allocations for non-sewered sanitation sufficient to achieve service level targets (N.1.4) and are they used as planned?	1: Funding allocations are sufficient and used as planned
			0.5: Funding allocations are only partially sufficient or partially used as planned
			0: Funding allocations are totally inadequate or not used as planned
		N.2.3 Coordination: Are there effective mechanisms for coordination of non-sewered sanitation investments between donors; donors and government; and within government?	1: Mechanisms exist and are they effective at coordinating investments
	0.5: There are some partially functional mechanisms		
	0: Mechanisms do not exist, or exist on paper only and are ineffective		
	Capacity and outreach	N.2.4 Institutional capacity: Is responsibility for delivery of non-sewered sanitation services mandated to fully established and appropriately structured institutions?	1: The mandated institutions are fully established and appropriately structured
			0.5: The mandated institutions are not fully established or appropriately structured
			0: There are no mandated institutions, or they are very weak.
		N.2.5 Staffing: Do the mandated institutions have adequate levels of qualified staff to carry out their mandates?	1: The institutions have adequate levels of qualified staff to carry out their mandates
			0.5: The institutions have some qualified staff, but not at adequate levels to carry out their mandates
0: There are no mandated institutions, or they have wholly inadequate staffing levels			
N.2.6 Outreach: Are there active promotion	1: There are systematic programmes promoting safe non-		

		programmes for safe non-sewered sanitation, behaviour change and community engagement?	sewered sanitation, behaviour change and community engagement
			0.5: Some outreach activities are being carried out on an ad-hoc basis
			0: No outreach activities are being implemented
	Inclusion (Carried over from left)	2.7 Technology: Are there affordable, appropriate, safe and adaptable technologies available to meet the needs of poor and vulnerable people, according to the agreed definition?	1: There are suitable options available to address the needs of most poor and vulnerable people
			0.5: There are options that address the needs of some poor and vulnerable people, but they are not sufficient or complete
			0: Options available to meet the sanitation needs of poor and vulnerable people are grossly inadequate
		2.8 Funding: Are there specific funding mechanisms to support appropriate, safe and adaptable sanitation services to all users, including poor and vulnerable people, according to the agreed definition.	1: There are funds, plans and mechanisms to meet the needs of most people, including the poor and vulnerable
			0.5: There are funds, plans and mechanisms to meet the needs of some poor and vulnerable people
			0: There are few or almost no funds, plans and mechanisms to support poor and vulnerable people
	Operating and sustaining	Regulation and cost recovery	N.3.1 Cost recovery: Can non-sewered sanitation service providers cover their full operating costs and make reasonable profits from user fees and/or local revenue or transfers?
0.5: Operating costs partially covered, with minimal profits or service quality compromised			
0: Service providers are sub-standard or very few, because operating costs cannot be covered			
N.3.2 Monitoring: Are there adequately staffed institutions which monitor performance, health and environmental standards for non-sewered sanitation?			1: There are adequately staffed institutions which monitor performance, health and environmental standards
			0.5: There are institutions which partially monitor performance, health and environmental standards
			0: There is no institution which monitors performance, health and environmental standards
N.3.3 Enforcement: Are failures to meet non-sewered sanitation performance standards systematically			1: Performance standards exist, are monitored and sanctions applied
			0.5: Performance standards exist and are monitored, but no sanctions applied

		monitored and sanctions applied where relevant?	0: Performance standards (if they exist) are not monitored
Institutions and service providers	N.3.4 Staffing: Do the institutions responsible for non-sewered sanitation have sufficient qualified staff to undertake adaptive planning and implementation for service expansion?		1: The entities have sufficient qualified staff for adaptive planning of non-sewered sanitation services expansion
			0.5: The entities have insufficient staff for adaptive planning of non-sewered sanitation services expansion
			0: The entities have inadequate staff and are unable to undertake adaptive planning for non-sewered sanitation services
	N.3.5 Staff development: Do the institutions responsible for non-sewered sanitation have active staff development programmes and incentives to retain workers?		1: The entities have staff development programmes and incentives to retain workers.
			0.5: The entities have either staff development programmes or incentives to retain workers, but not both.
			0: There are no staff development programmes or incentives to retain workers
	N.3.6 Health and Safety: Is the health and safety of non-sewered sanitation workers adequately protected and monitored?		1 The health and safety of non-sewered sanitation workers is adequately protected and monitored.
			0.5: The health and safety of non-sewered sanitation workers is partly protected and monitored.
			0: The health and safety of non-sewered sanitation workers is not protected or monitored.
	N.3.7 Private sector capacity-building: Are there on-going programmes and measures to build the capacity of private sector service providers to deliver non-sewered sanitation services?		1: Private service providers are organised and capacity-building is being implemented according to an agreed plan
			0.5: Private service providers are not well organised, and limited capacity-building is implemented on an ad-hoc basis
			0: Private service providers are organised poorly or not at all, and no capacity-building is carried out
	Inclusion (Carried over from left)	3.8 Growth: Are sanitation services keeping pace with population growth?	1: Sanitation services are expanding significantly faster than population, and the number of people with unsafe sanitation is decreasing

			0.5: Sanitation services are more or less keeping pace with population growth
			0: Population is growing significantly faster than sanitation services, and the number of people with unsafe sanitation is increasing
		3.9 Planning from evidence: Is sanitation data routinely collected, including from poor and vulnerable people, according the definition, and used for planning services?	1: Sanitation data is routinely collected citywide and used for planning services
			0.5: Sanitation data is collected on an ad-hoc basis with incomplete spatial coverage or not used for planning
			0: Sanitation monitoring data is rarely collected
		3.10 Outcomes: Do the city's sanitation systems ACTUALLY provide safe sanitation services for all users, including poor and vulnerable people, according to the agreed definition?	1: Safe sanitation services are affordable and available to all users, including poor and vulnerable people.
			0.5: Safe sanitation services are available to about half of poor and vulnerable people
			0: Safe sanitation services are not available to many poor and vulnerable people, or this is not known.

Annexure: Shit Flow Diagram Matrix

	To centralised combined sewer	To centralised foul/separate sewer	To decentralised combined sewer	To decentralised foul/separate sewer	To soak pit	To open drain or storm sewer	To water body	To open ground	To 'don't know where'	No outlet or overflow
No onsite container	Type Here %	Type Here %	Type Here %	Type Here %	High Risk % ----- Low Risk %	Type Here %	Type Here %	Type Here %	Type Here %	Not Applicable
Septic tank	Type Here %	Type Here %	Type Here %	Type Here %	High Risk % ----- Low Risk %	Type Here %	Type Here %	Type Here %	Type Here %	
Fully lined tank (sealed)	Type Here %	Type Here %	Type Here %	Type Here %	High Risk % ----- Low Risk %	Type Here %	Type Here %	Type Here %	Type Here %	
Lined tank with impermeable walls and open bottom	High Risk % ----- Low Risk %	High Risk % ----- Low Risk %	High Risk % ----- Low Risk %	High Risk % ----- Low Risk %	High Risk % ----- Low Risk %	Type Here %	Type Here %	Type Here %	Type Here %	High Risk % ----- Low Risk %
Lined pit with semi-permeable walls and open bottom	Not Applicable									High Risk % ----- Low Risk %

Unlined pit										High Risk %
										Low Risk %
Pit (all types), never emptied but abandoned when full and covered with soil										High Risk %
										Low Risk %
Pit (all types), never emptied but abandoned when full and NOT adequately covered with soil										% Type Here
Toilet failed, damaged, collapsed or flooded	Type Here %	Type Here %	Type Here %	Type Here %	Type Here %	Type Here %	Type Here %	Type Here %	Type Here %	Type Here %
Containment (septic tank or tank or pit latrine) failed, damaged, collapsed or flooded	Type Here %	Type Here %	Type Here %	Type Here %	Type Here %	Type Here %	Type Here %	Type Here %	Type Here %	Type Here %
Open defecation	Not Applicable						Type Here %	Type Here %	Type Here %	Not Applicable

