Part 1 – Using Diagnostics
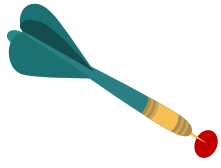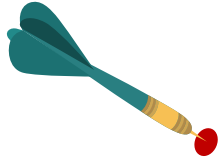
1.7 Applying City Service Delivery Assessments
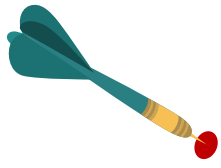
Inclusive urban sanitation - Capacity development for consultants

Learning objectives

- Describe the main elements of a City Service Delivery Assessment and how it relates to the project process
- Describe the structure of questions used to develop a CSDA scorecard, indicate relevant sources of data, and calculate and aggregate scores
- Explain how the output can be used to support discussions with stakeholders on the non-technical aspects of sanitation services provision

The City Service Delivery Assessment (CSDA)

- Sanitation project development cycle
- CSDA – easy to develop and understand
- From assessment to prioritisation and planning
- Service Delivery Action Framework (SDAF)

How to develop a CSDA

Guided practice (Group work)

Where City Service Delivery Assessments (CSDA) fit into project development cycle

The enabling environment

Policies and **Coordination mechanisms** to deliver citywide inclusive sanitation

Institutions with clearly defined **Roles, Accountability mechanisms** and **Incentives**

Legal and **Regulatory** framework, backed by **Monitoring** and **Enforcement**

Communication with service users to understand needs and promote services

ENABLING ENVIRONMENT

Planning and **Financing systems**, including smart **Subsidy mechanisms**

Skills and **Capacity** to deliver services, in both public and private sectors

1.7-5

The enabling environment

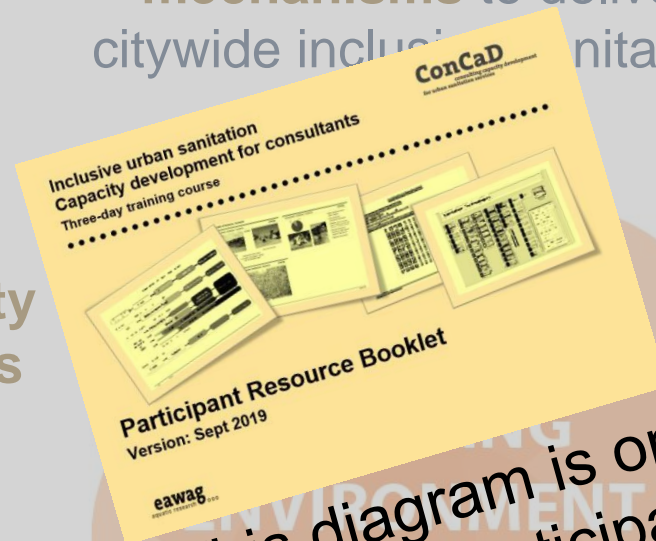**Policies** and **Coordination mechanisms** to deliver citywide inclusive sanitation

Institutions with clearly defined **Roles, Accountability mechanisms** and **Incentives**

Legal and **Regulatory** framework, backed by **Monitoring** and **Enforcement**

Communication with service users to understand needs and promote services

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Skills and **Capacity** to deliver services, in both public and private sectors

Inclusive urban sanitation
Capacity development for consultants
Three-day training course

ConCaD

Participant Resource Booklet
Version: Sept 2019

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This diagram is on page 4 of Participant Resource Booklet.

The enabling environment in the project process

City Service Delivery Assessment

Pre-concept Advocacy

Scoping Data collection

Project concept

Project implementation

Infrastructure and Services
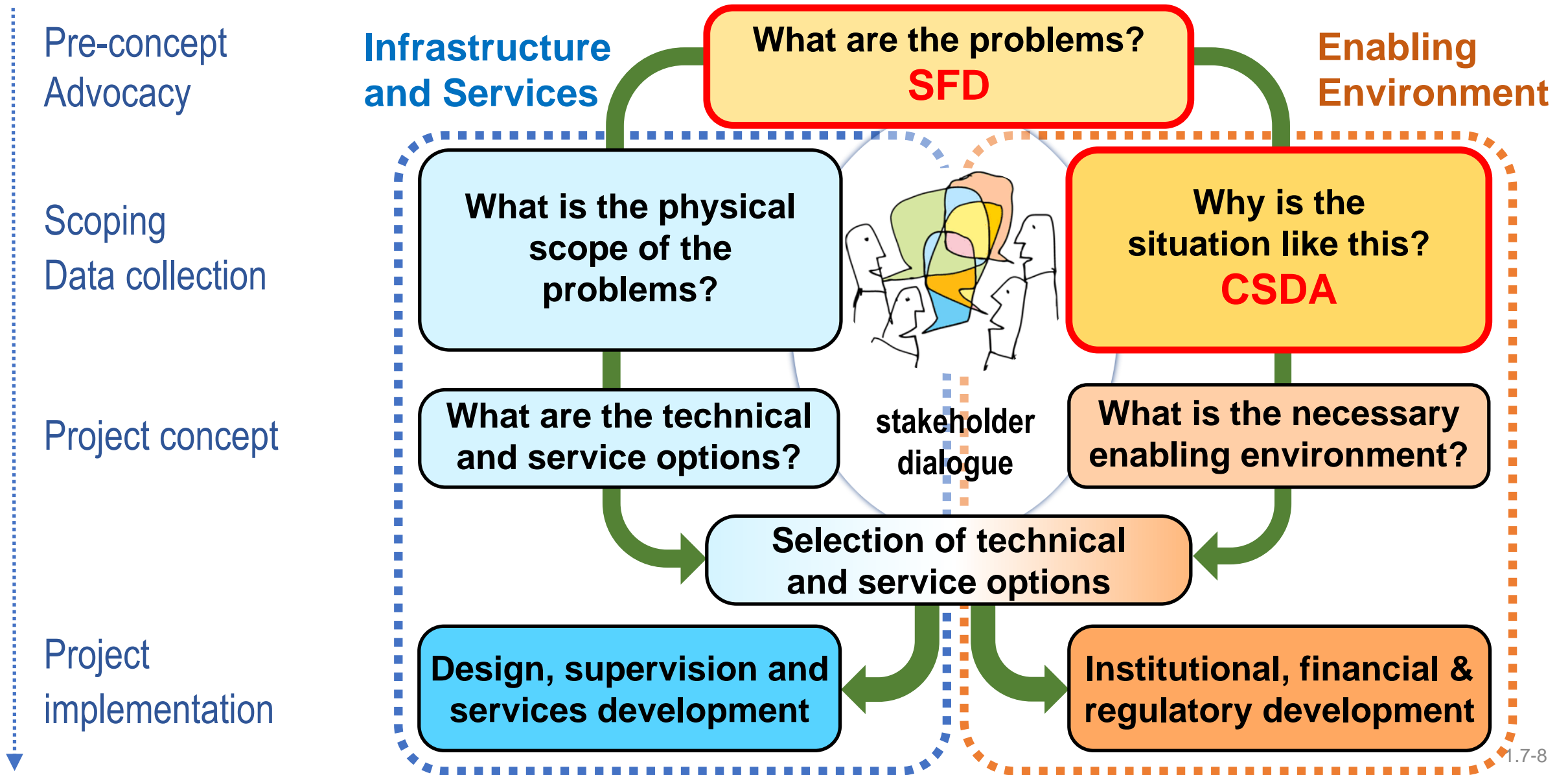
Enabling Environment

What are the problems? SFD

What is the physical scope of the problems?

Why is the situation like this? CSDA

stakeholder dialogue

What are the technical and service options?

What is the necessary enabling environment?

Selection of technical and service options

Design, supervision and services development

Institutional, financial & regulatory development

1.7-8

CSDA – easy to develop and understand

- Examines current status of enabling environment

- Helps stakeholders discuss and prioritise the areas for development

But

- Discuss scores with stakeholders first, to avoid possible negative reactions to "red lights"

CSDA uses simple traffic light reporting system

| Poor | Developing | Good |

City Service Delivery Assessment (CSDA)

A structured assessment, diagnosing institutional barriers to service delivery

$$

✓

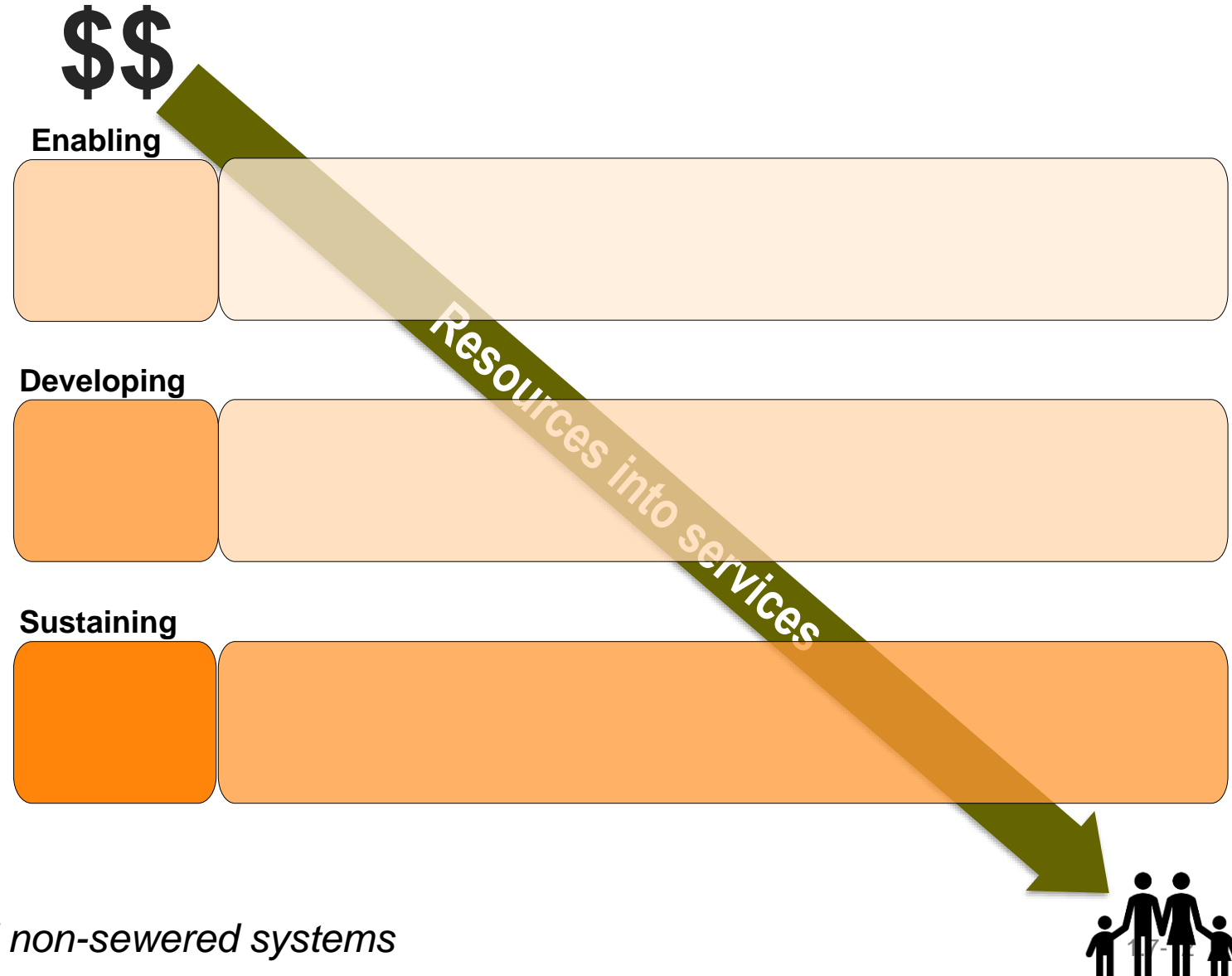Resources into services

City Service Delivery Assessment (CSDA)

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aquatic research

A structured assessment, diagnosing institutional barriers to service delivery

– Asks objective questions about sewerage and FSM service delivery mechanisms

$$

Enabling

Developing

Sustaining

Resources into services

* Separate CSDAs prepared for sewered and non-sewered systems

City Service Delivery Assessment (CSDA)

eawag
aquatic research

A structured assessment, diagnosing institutional barriers to service delivery

– Asks objective questions about sewerage and FSM service delivery mechanisms

$$

Enabling
- Policy
- Planning
- Budget

Developing
- Expenditure
- Equity
- Outputs

Sustaining
- O&M
- Expansion
- Service outcomes

Resources into services

* Separate CSDAs prepared for sewered and non-sewered systems

City Service Delivery Assessment (CSDA)

eawag
aquatic research

A structured assessment, diagnosing institutional barriers to service delivery

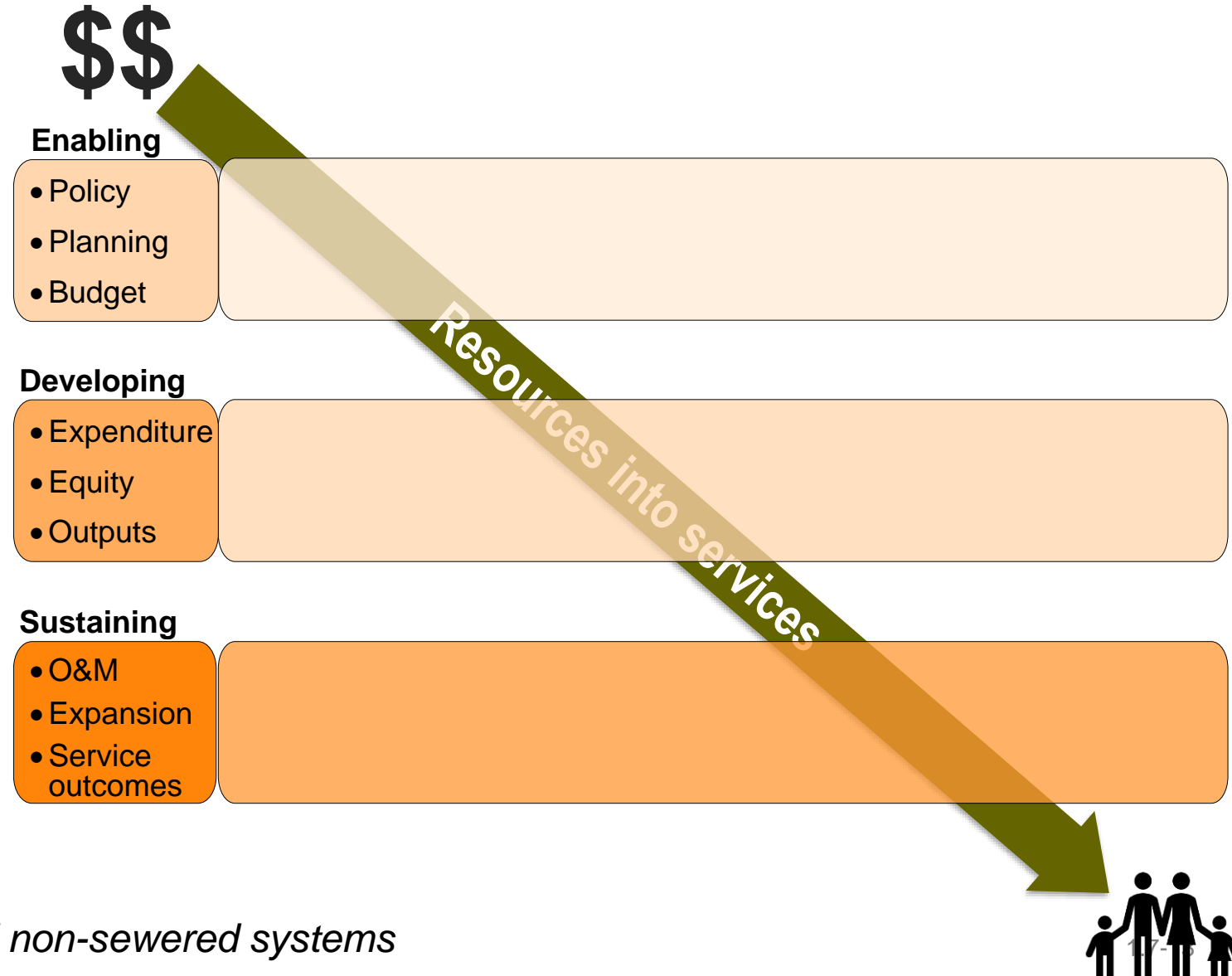- Asks objective questions about sewerage and FSM service delivery mechanisms

- At all stages of the service chain

$$\$\$$$

| | Containment | Emptying | Conveyance | Treatment | Reuse/ disposal |

Enabling
- Policy
- Planning
- Budget

Developing
- Expenditure
- Equity
- Outputs

Sustaining
- O&M
- Expansion
- Service outcomes

Resources into services

* *Separate CSDAs prepared for sewered and non-sewered systems*

City Service Delivery Assessment (CSDA)

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aquatic research

A structured assessment, diagnosing institutional barriers to service delivery

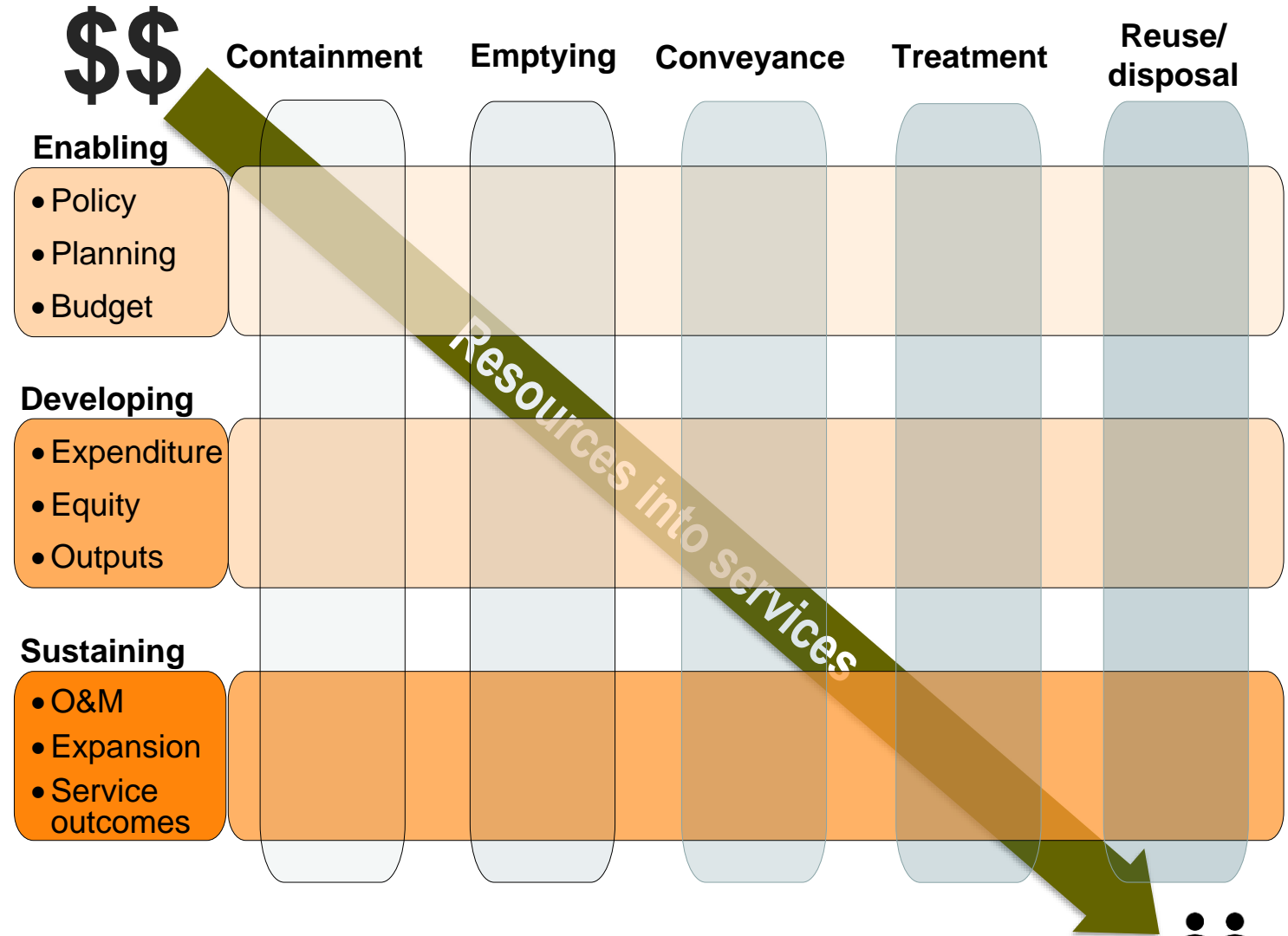- Asks objective questions about sewerage and FSM service delivery mechanisms
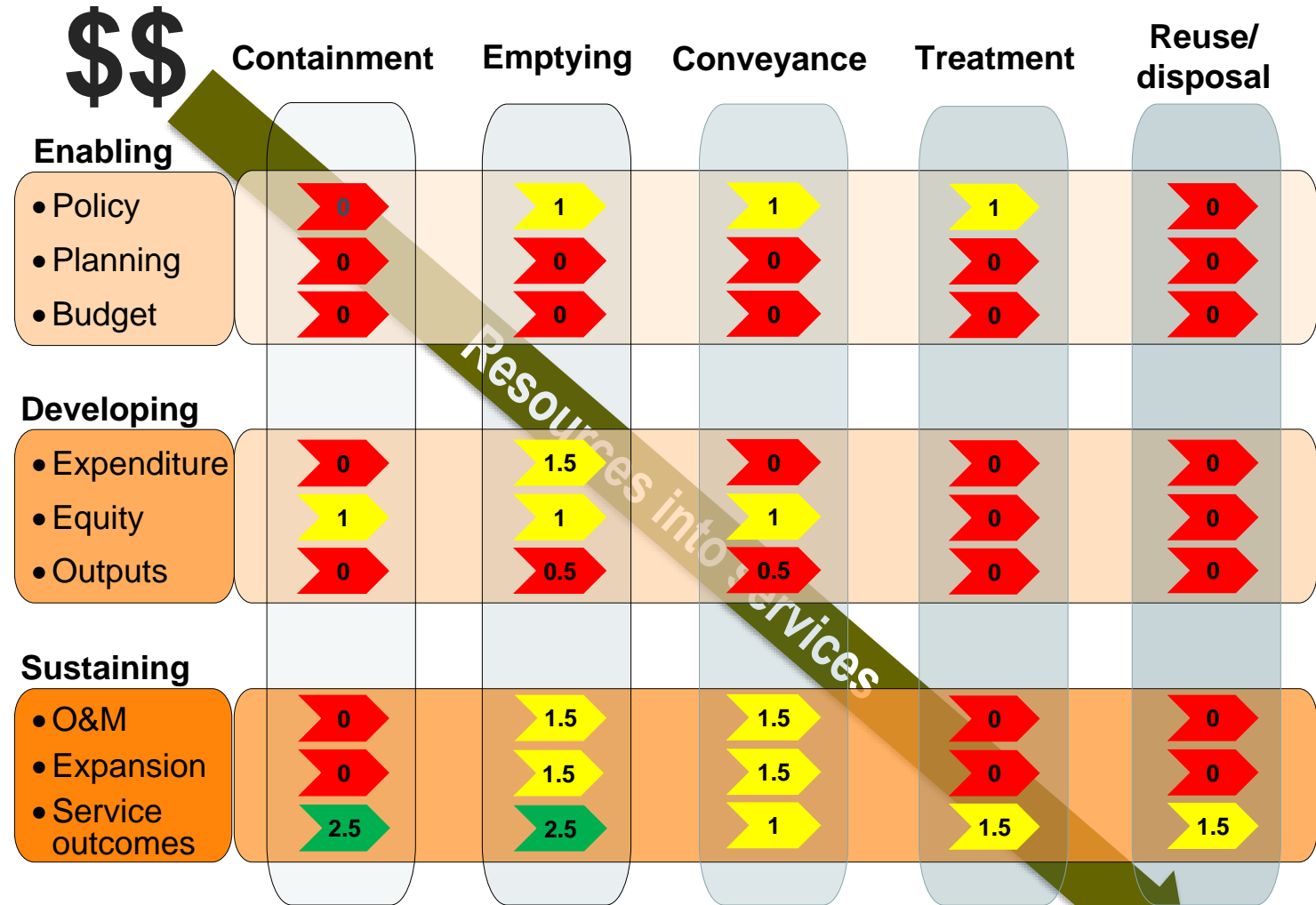
- At all stages of the service chain

- Undertaken with stakeholders based on evidence

$$

	Containment	Emptying	Conveyance	Treatment	Reuse/ disposal
Enabling					
• Policy	0	1	1	1	0
• Planning	0	0	0	0	0
• Budget	0	0	0	0	0
Developing					
• Expenditure	0	1.5	0	0	0
• Equity	1	1	1	0	0
• Outputs	0	0.5	0.5	0	0
Sustaining					
• O&M	0	1.5	1.5	0	0
• Expansion	0	1.5	1.5	0	0
• Service outcomes	2.5	2.5	1	1.5	1.5

Resources into services

* Separate CSDAs prepared for sewered and non-sewered systems

City Service Delivery Assessment (CSDA)

eawag
aquatic research

A structured assessment, diagnosing institutional barriers to service delivery

- Asks objective questions about sewerage and FSM service delivery mechanisms

- At all stages of the service chain

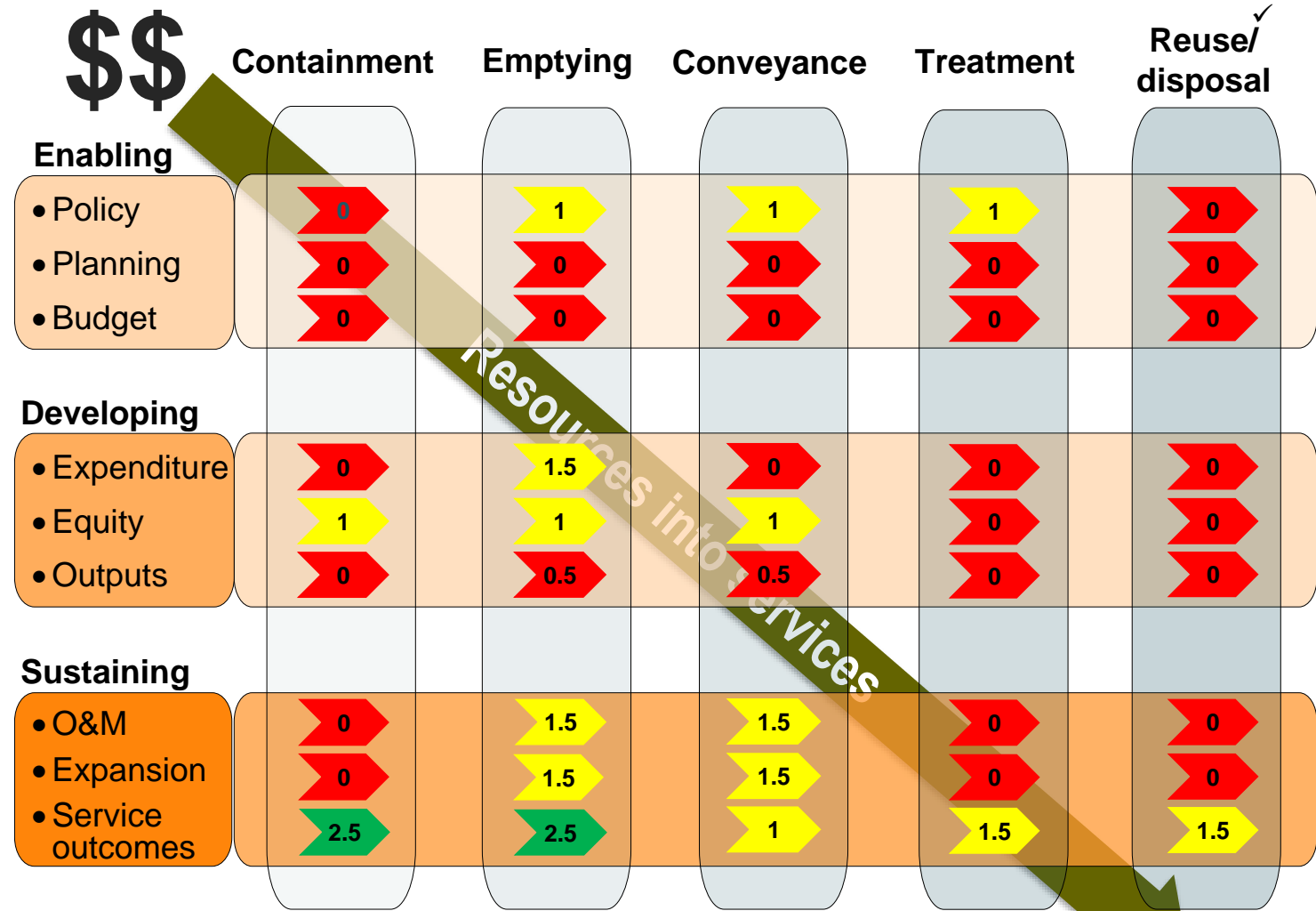- Undertaken with stakeholders based on evidence

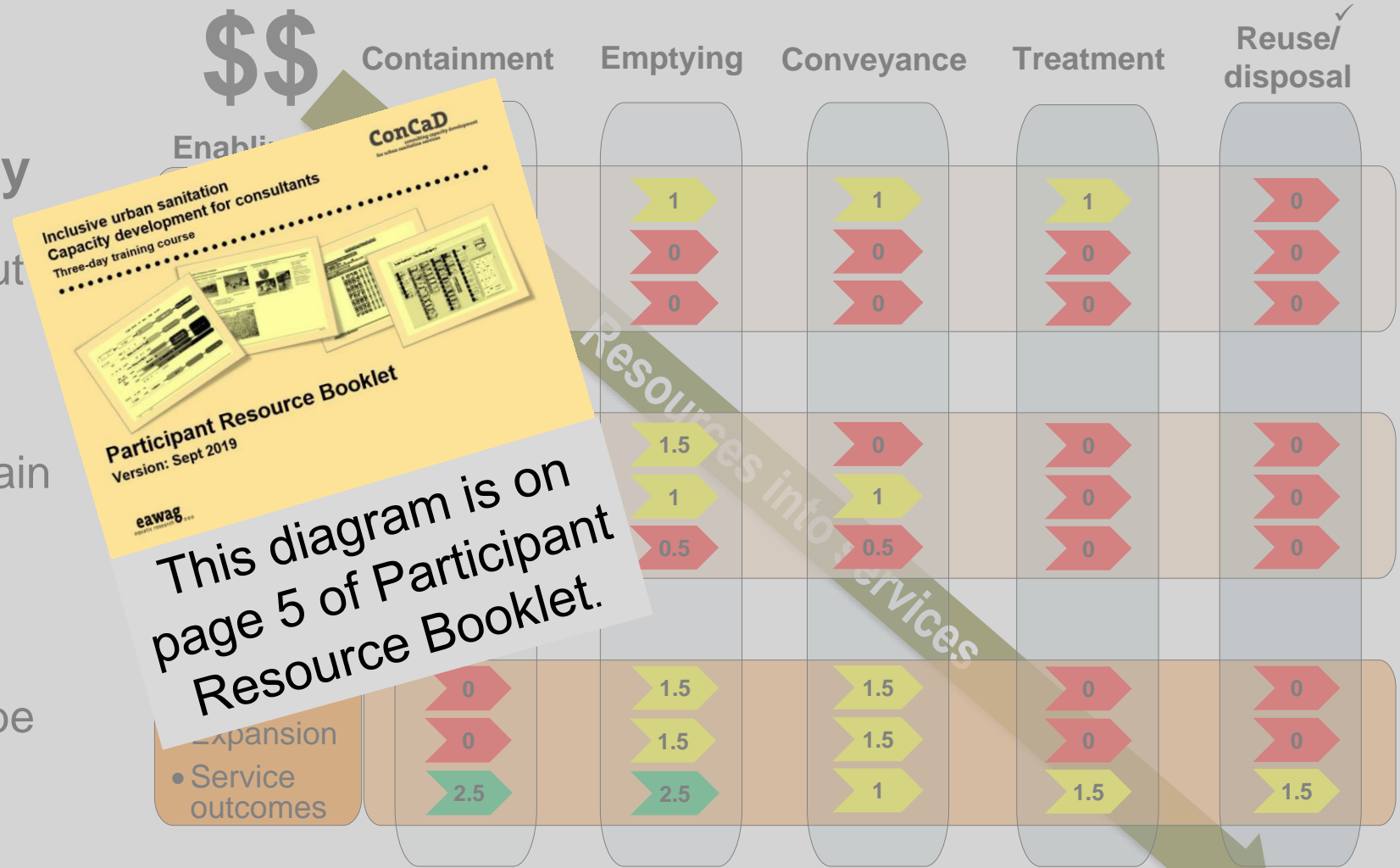- Underlying questions should be adapted to the local context

$$\\$$$

	Containment	Emptying	Conveyance	Treatment	Reuse/disposal ✓
Enabling					
• Policy	0	1	1	1	0
• Planning	0	0	0	0	0
• Budget	0	0	0	0	0
Developing					
• Expenditure	0	1.5	0	0	0
• Equity	1	1	1	0	0
• Outputs	0	0.5	0.5	0	0
Sustaining					
• O&M	0	1.5	1.5	0	0
• Expansion	0	1.5	1.5	0	0
• Service outcomes	2.5	2.5	1	1.5	1.5

Resources into services

Separate CSDAs prepared for sewered and non-sewered systems

City Service Delivery Assessment (CSDA)

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aquatic research

A structured assessment, diagnosing institutional barriers to service delivery

- Asks objective questions about sewerage and FSM service delivery mechanisms

- At all stages of the service chain

- Undertaken with stakeholders based on evidence

- Underlying questions should be adapted to the local context

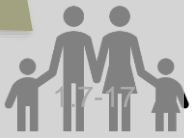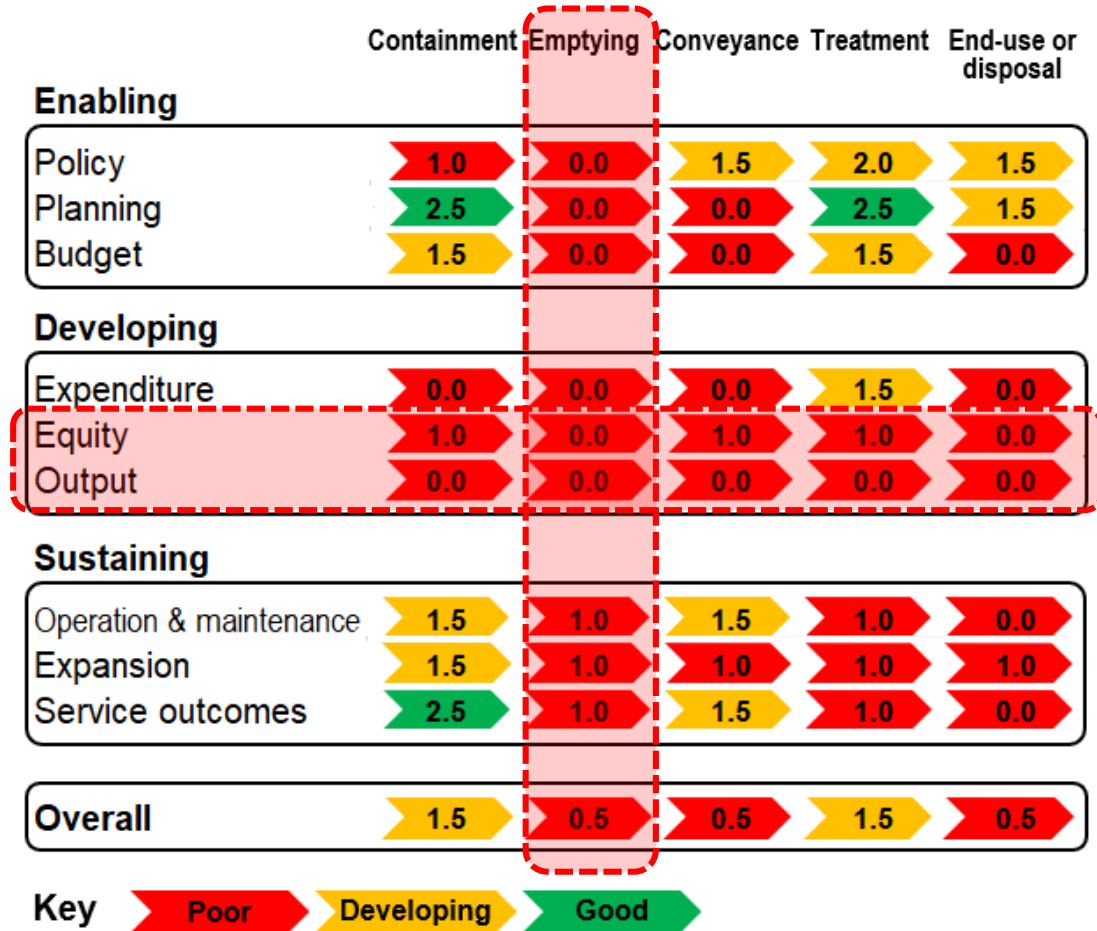** Separate CSDAs prepared for sewered and non-sewered systems*

$$

	Containment	Emptying	Conveyance	Treatment	Reuse/ disposal
Enabli...		1	1	1	0
		0	0	0	0
		0	0	0	0
		1.5	0	0	0
		1	1	0	0
		0.5	0.5	0	0
	0	1.5	1.5	0	0
Expansion	0	1.5	1.5	0	0
• Service outcomes	2.5	2.5	1	1.5	1.5

Resources into services

Inclusive urban sanitation
Capacity development for consultants
Three-day training course

ConCaD

Participant Resource Booklet
Version: Sept 2019

eawag

This diagram is on page 5 of Participant Resource Booklet.

From assessment to prioritisation and planning

Building on CSDA findings:

– Hold stakeholder discussions to define priorities

– Identify actions in priority areas, using…

Service Delivery Action Framework

– Set of recommended actions tailored to the current enabling environment

– Based on experience and good practice

Service Delivery Action Framework

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aquatic research

- Focused on components of the enabling environment
- Building from current status as shown in the CSDA
- Three levels of action

Basic actions
Getting started with improving sanitation

Intermediate actions
Building on existing foundations

Consolidating actions
Focused on sustainability and downstream actions

More red in the CSDA...   **...more green**

- **This tool is currently being updated in the light of experience**
  - Some questions will change
  - Second set of questions on sewerage to be added

- **However, the basic principles will still apply:**
  - Systematic and objective questions
  - Addressing the three pillars (enabling, developing, sustaining)
  - At all stages of the sanitation service chain
  - Based on evidence and interviews with stakeholders
  - Producing a simple graphic to support stakeholder debate
  - Leading to recommendations on priority actions

How to develop a CSDA

Steps towards a CSDA
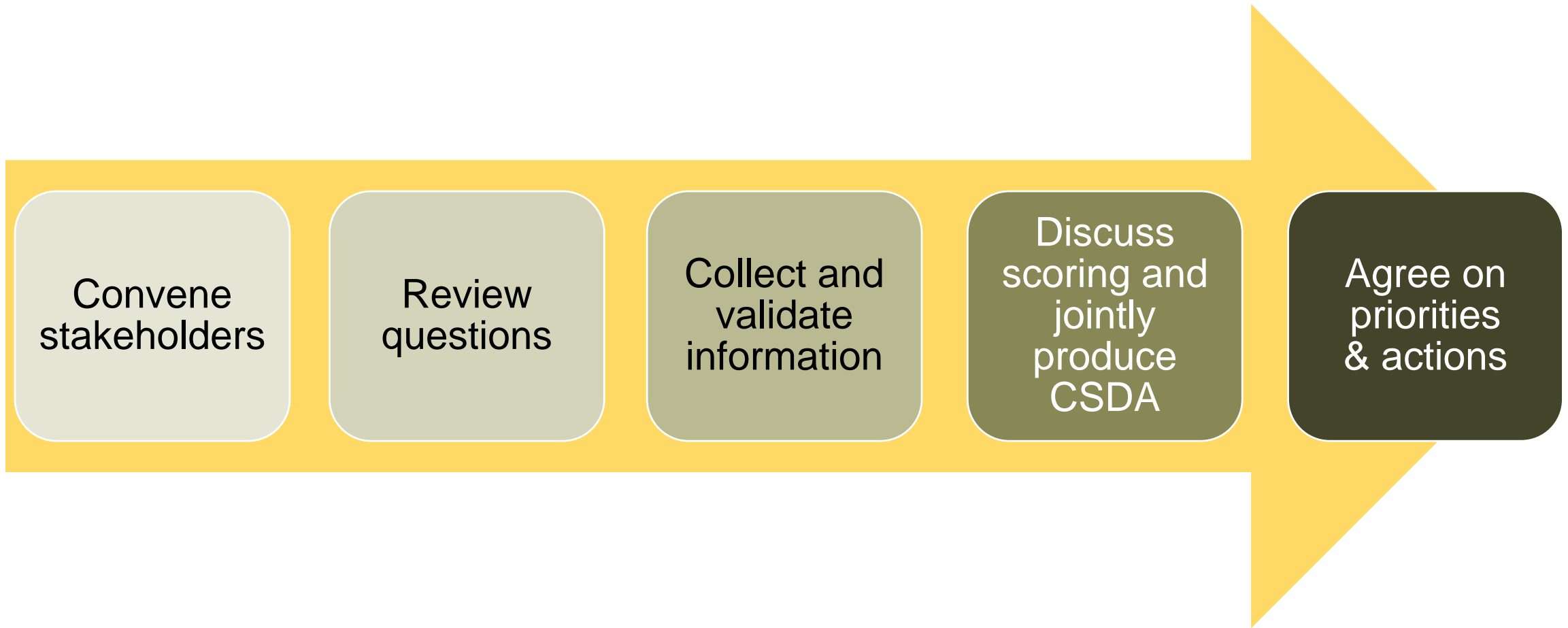
Convene stakeholders → Review questions → Collect and validate information → Discuss scoring and jointly produce CSDA → Agree on priorities & actions

Components of the CSDA

Pillar	Indicator	Questions in the framework
Enabling	Policy	Policies, institutions, regulation
	Planning	Targets, investment plans
	Budget	Coordinated budgetary mechanisms
Developing	Expenditure	Adequacy of expenditure
	Equity	Availability of options, inclusion of poor
	Output	Quality and growth of service capacity
Sustaining	Maintenance	Cost recovery, monitoring of standards
	Expenditure	Marketing, service provider development
	Equity	% excreta managed, services to poor

Example CSDA question and scoring criteria

| Question	Containment	Emptying	Cconveyance	Treatment	End-use / disposal	Score and Indicator
Policy: Is provision of FSM services enabled by an appropriate, acknowledged and available policy document (national, local or both)?						**1** Policy is appropriate, approved (or in draft form), acknowledged and available **0.5** Policy is appropriate, approved (or in draft form), but not clearly acknowledged or available **0** Policy is not available, or inappropriate to the context

Example CSDA question and scoring criteria

Question	Containment	Emptying	Cconveyance	Treatment	End-use / disposal	Score and Indicator
Policy: Is provision of FSM services enabled by an appropriate, acknowledged and available policy document (national, local or both)?	0	0.5	0.5	0.5	0	**1** Policy is appropriate, approved (or in draft form), acknowledged and available **0.5** Policy is appropriate, approved (or in draft form), but not clearly acknowledged or available **0** Policy is not available, or inappropriate to the context

Example CSDA question and scoring criteria

Question	Containment	Emptying	Cconveyance	Treatment	End-use / disposal	Score and Indicator
Equity: To what extent do the city's FSM systems ensure adequate services for low-income communities?	1	0.5	0.5	0	0	**1** Hygienic FSM services are affordable and available in low-income communities **0.5** Hygienic FSM services are partially available in low-income communities **0** Hygienic FSM systems are hardly available at all in low-income communities

Aggregation of question scores into indicator values

Number of questions in each indicator		Containment	Emptying	Cconveyance	Treatment	End-use / disposal
CSDA Pillars and Indicators						
Enabling	Policy	3	3	3	3	3
	Planning	2	2	2	2	2
	Budget	1	1	1	1	1
Developing	Expenditure	1	1	1	1	1
	Equity	2	2	2	2	2
	Output	2	2	2	2	2
Sustaining	Operation & maintenance	2	2	2	2	2
	Expansion	2	2	2	2	2
	Service outcomes	2	2	2	2	2
Total		**17**	**17**	**17**	**17**	**17**

Sources of evidence

- Policies, laws, regulations, by-laws.

- Census and household surveys
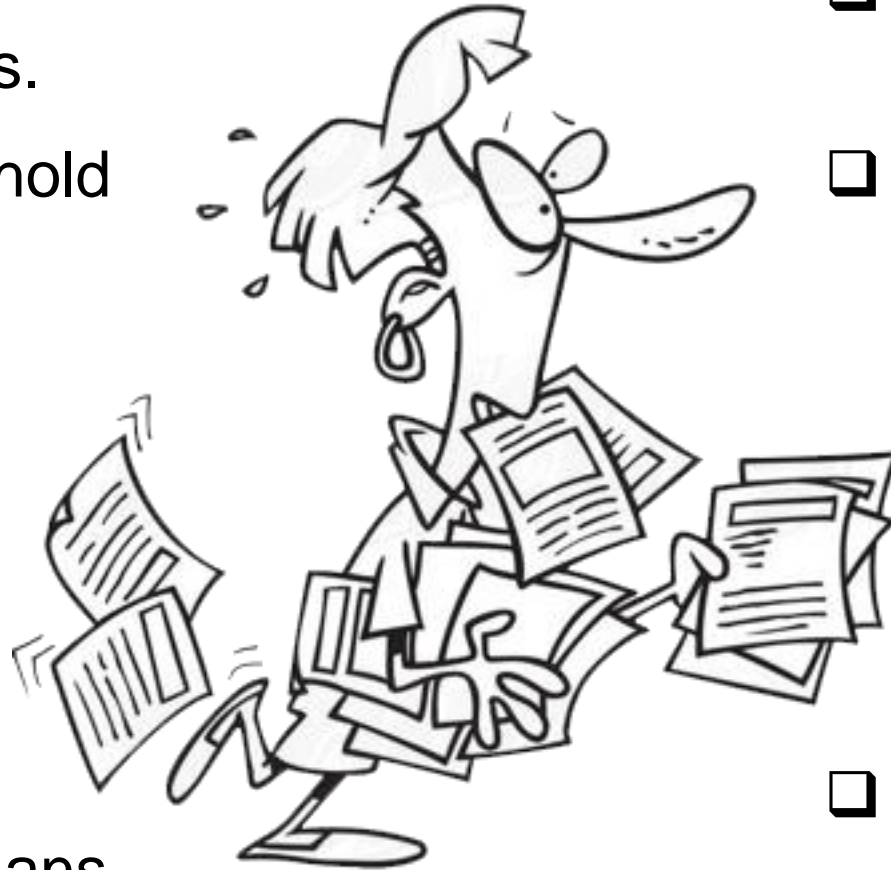
- Government, City annual, mid-term plans

- Utility annual treatment operational reports

- Ministry of Finance reports, budget expenditure reviews ✓
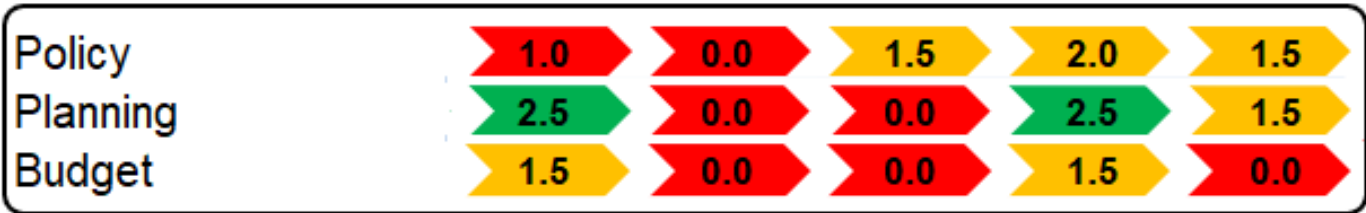
- Regulator and audit reports

- Development partner and NGO reports

- Key informant interviews and focus group discussions
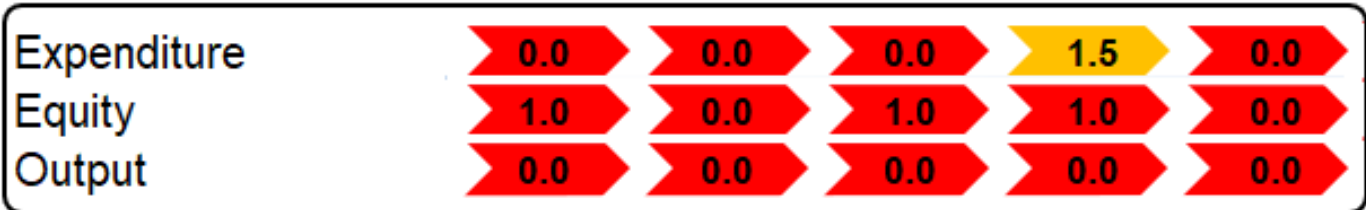
Indicator scores normalised to form a CSDA

- Clear and easily understood graphic

- Tool for collaboration

- **Red arrows** Priority areas for deeper analysis and action

- **Yellow arrows** Areas to build on and improve

- **Green arrows** Doing well, focus elsewhere

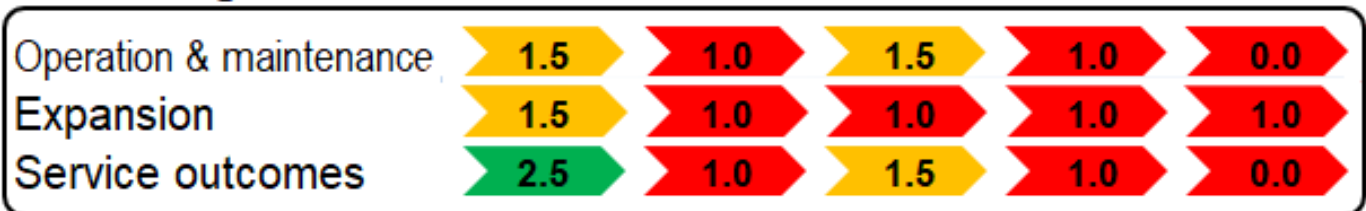|	Containment	Emptying	Conveyance	Treatment	End-use or disposal
Enabling					
Policy	1.0	0.0	1.5	2.0	1.5
Planning	2.5	0.0	0.0	2.5	1.5
Budget	1.5	0.0	0.0	1.5	0.0
Developing					
Expenditure	0.0	0.0	0.0	1.5	0.0
Equity	1.0	0.0	1.0	1.0	0.0
Output	0.0	0.0	0.0	0.0	0.0
Sustaining					
Operation & maintenance	1.5	1.0	1.5	1.0	0.0
Expansion	1.5	1.0	1.0	1.0	1.0
Service outcomes	2.5	1.0	1.5	1.0	0.0
Overall	1.5	0.5	0.5	1.5	0.5

Separate CSDAs for sewered and non-sewered systems

Service Delivery Action Framework - example

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		Basic *Getting started with improving sanitation*	**Intermediate** *Strengthen what exists*	**Consolidating** *Full chain sustainable services*
National	Policy, legislation and regulation	• Review national sanitation policy and ensure FSM is included • Review regulatory framework around the protection of public health & environment	• Set norms / standards for public health and environmental protection • Establish legal basis for regulation of FSM services	• Require local regulation and its enforcement • Develop a policy/regulatory framework to incentivize treatment and re-use options
	Institutional arrangements	• Review institutional arrangements for sanitation – ensure FSM is included • Identify an institutional framework for FSM with clear roles and coordination	• Establish institutional framework for FSM with defined roles and coordination mechanisms • Establish institutional roles for fecal sludge treatment and re-use options	• Strengthen institutional framework to enhance service outcomes, with fully implemented roles and coordination • Consider (dis)incentives for improved FSM
	Planning, M & E	• Build awareness of FSM in national	• Establish monitoring framework for service standards	• Strengthen monitoring of all services
Local	Legislation and enforcement	• Review/establish byelaws, ensuring they address on-site systems and FSM services	• Strengthen byelaws and their enforcement • Introduce regulation of service providers • Incentivize disposal at recognized sites	• Regulate pollution of receiving waters • Penalties for indiscriminate FS dumping • Enforce use of emptiable facilities
	Institutional arrangements	• Review institutional arrangements for sanitation – ensure FSM is included • Identify local institutional framework for FSM	• Establish local institutional framework for services – with roles defined and agreed • Establish roles for FS treatment • Consider (dis)incentives for improved FSM	• Strengthen institutional roles for managing improved FS management, including treatment facilities and re-use options • Implement (dis)incentives for improved FSM
	Planning, monitoring and evaluation	• Conduct area-based, gender and pro-poor focused diagnostic studies • Develop plans, finance & institutional needs • Plan and design FS treatment options	• Establish revenue streams • Refine and implement local service plans • Establish monitoring and evaluation (M&E) of service standards	• Introduce plans to enhance treatment capacity and re-use arrangements • Strengthen M&E of treatment and re-use arrangements against service standards
	Promotion	• Stimulate customer demand/ WTP for FSM	• Disseminate public FSM services information	• Stimulate market demand for re-use of FS
	Capacity and TA	• Identify capacity gaps and required TA • Promote appropriate private sector services • Implement measures for safer disposal of FS currently dumped in the environment	• Promote/support development of improved, emptiable containment facilities • Strengthen role of service providers • Pilot scheduled desludging/ transfer stations	• Consolidate/expand services based on outcome of pilot studies • Build/rehabilitate FS processing plants and develop business models for re-use of FS

1.7-31

CSDA – Practice in sub-groups

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Group work 1.7-1
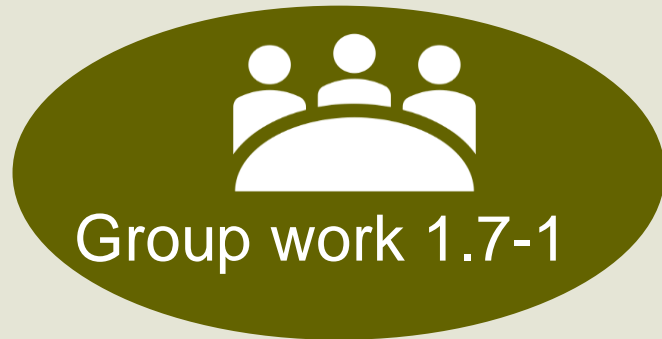
25 mins — Click here to start timer

– Divide each table into three sub-groups (a group of one is OK).

– Each sub-group to do one CSDA "pillar".

– Using the evidence in Participants Resource Booklet (yellow cover), pages 6 to 11, apply the evidence and score each indicator. Scoring guide is on pages 12-15 in the Participants Resource Booklet (yellow cover).

– One person at each table should input the scores for the sub-groups into the spreadsheet on the ConCaD flash drive (../Session materials/1.7 CSDA).

– The final output is on second tab in spreadsheet.

Note: You may not complete the task, but you will all experience how the tool works.

FSM Toolbox, 2019 The FSM Toolbox uses the CSDA to structure its assessment of the 'Enabling ecosystem' (enabling environment).

FSM Diagnostics for Service delivery in urban areas, 2016 These documents all include the CSDA and SDAF:

FSM Diagnostics: Summary overview Summary of lessons learned from developing countries and from applying the diagnostic and decision support tools in five cities.

FSM Diagnostics: Tools and guidelines Presentation of the diagnostic and decision-support tools and how to use them with examples. Identifies policy recommendations for FSM service delivery as part of an urban sanitation services program design guideline.

FSM Diagnostics: Data Collection Instruments Instruments to support data collection. Includes formats, e.g. household survey questionnaire and associated protocols, instruction manual and methodology. They will need adaptation for each city.