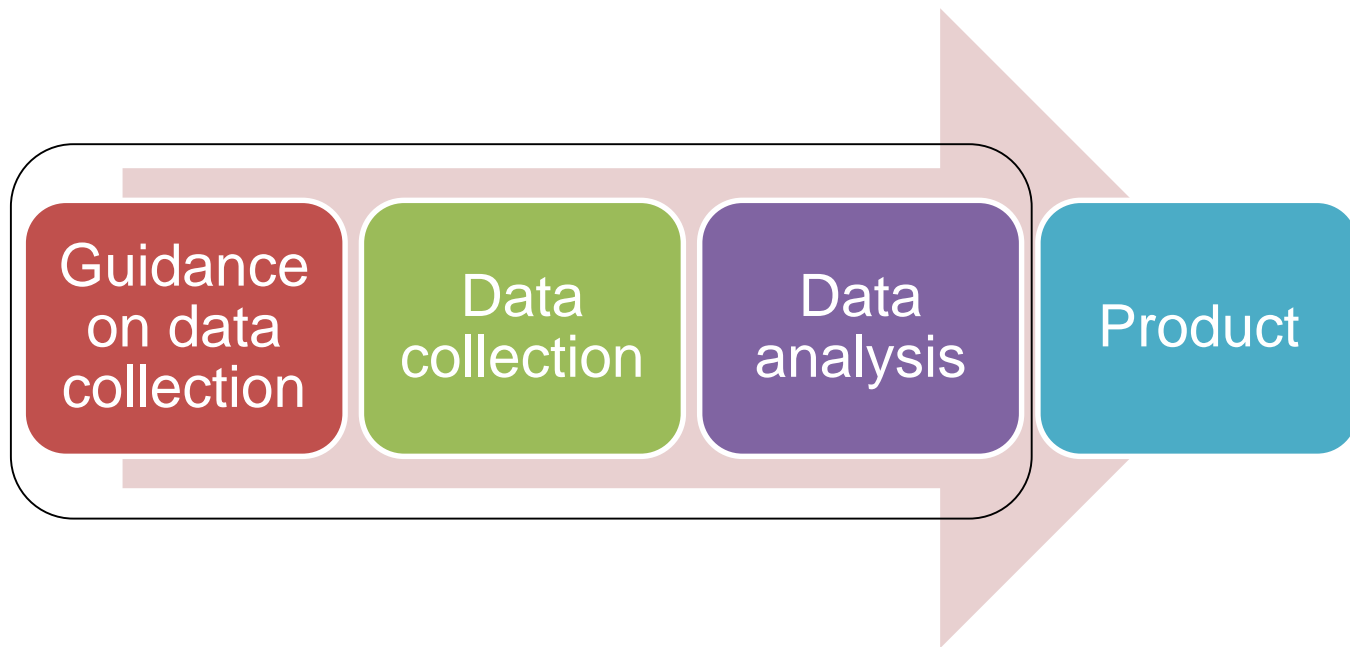


## Methodology for Data Collection- How to Make an SFD

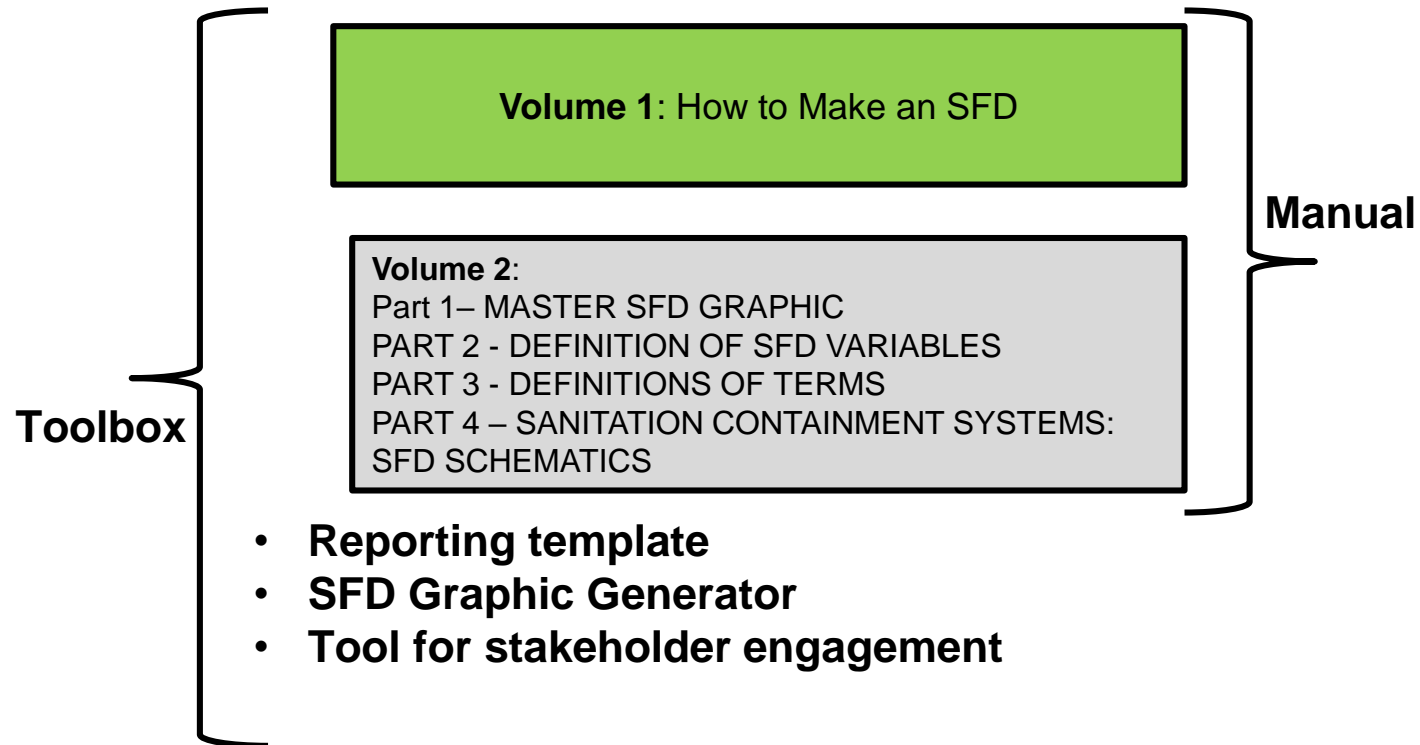


Shantanu Kumar Padhi, Water Programme  
Centre for Science and Environment  
ToT on Preparation of SFD  
Date: 22.06.2017

# What is the SFD Process?



## SFD Production process



- **First identify the stakeholders!**

No.	Stakeholder group
1	City council / Municipal authority / Utility
2	Ministry in charge of urban sanitation and sewerage
3	Ministry in charge of urban solid waste
4	Ministries in charge of urban planning, environmental protection/ health, finance and economic development, agriculture
5	Service provider for construction of on-site sanitation technologies
6	Service provider for emptying and transport of faecal sludge
7	Service provider for operation and maintenance of treatment infrastructure
8	Market participants practising end-use of faecal sludge end products
9	Service provider for disposal of faecal sludge (sanitary landfill management)
10	External agencies associated with FSM services: e.g. NGOs, academic institutions, donors, private investors, consultants

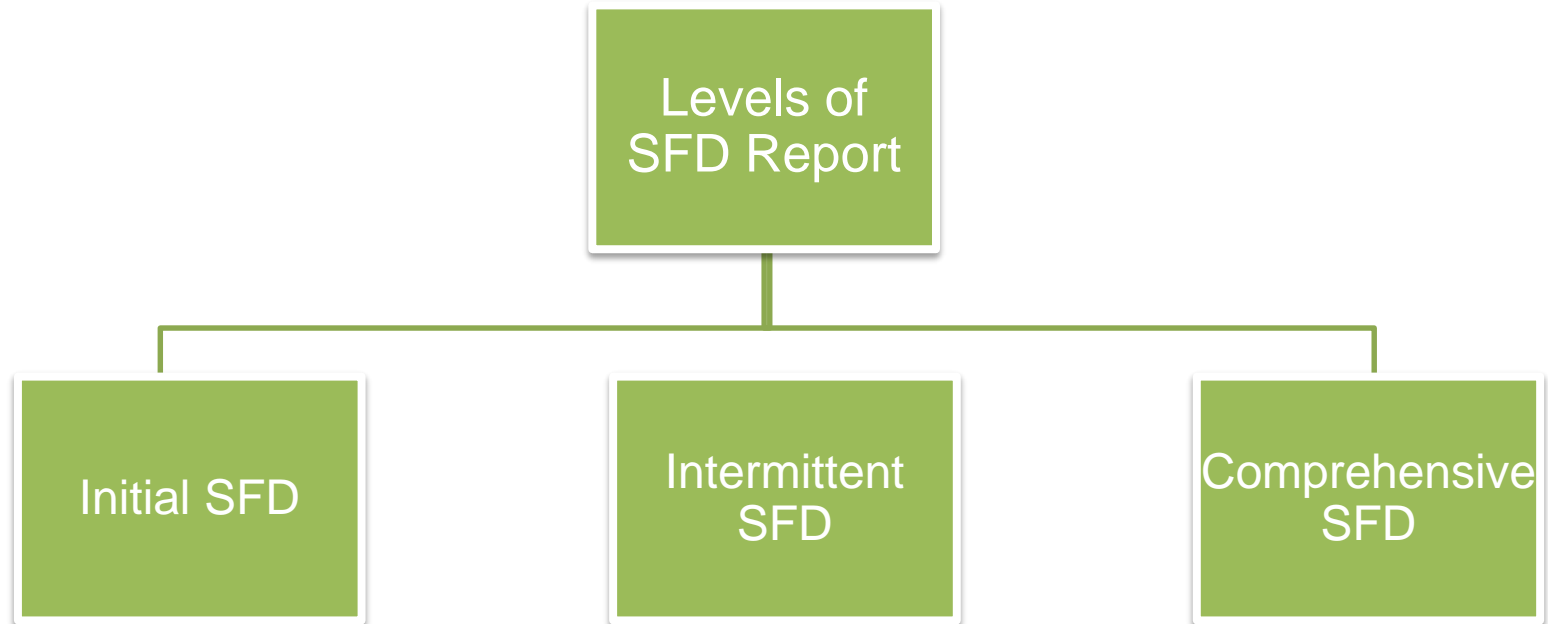
## Main methods adopted for data collection are:

- **Secondary data** : Published and grey literature, government documents, performance reports, DPRs etc
- **Primary data**
  - **Qualitative** data, that can be obtained through, for example:
    - **Key Informant Interviews (KIIs)** – either conducted in person or remotely managed. Key informants may include community leaders and people in charge of different aspects of sanitation in the city
    - **Observation of service provision and facilities** through the sanitation service chain
    - **Focus Group Discussions (FGDs)** with community representatives or service providers

## Questions and data collection methods to analyse the range of sanitation service chain

	System type	Containment	Emptying	Transport	Treatment	End-use/disposal	Possible sources of information
System technologies and methods used in the city	Off-site sanitation: Wastewater direct to sewer (centralised)	Ask the Question What?!					
	Off-site sanitation: Wastewater direct to sewer (decentralised)						
	On-site sanitation: Excreta contained on-site						
	On-site sanitation: Excreta not contained on-site						
	Open defecation						

# Versions of SFD Report



## **SFD Report that can be produced differ on the basis of four main criteria:**

1. The resources required,
2. The extent of data collected,
3. The extent of stakeholder engagement and
4. The depth of data analysis

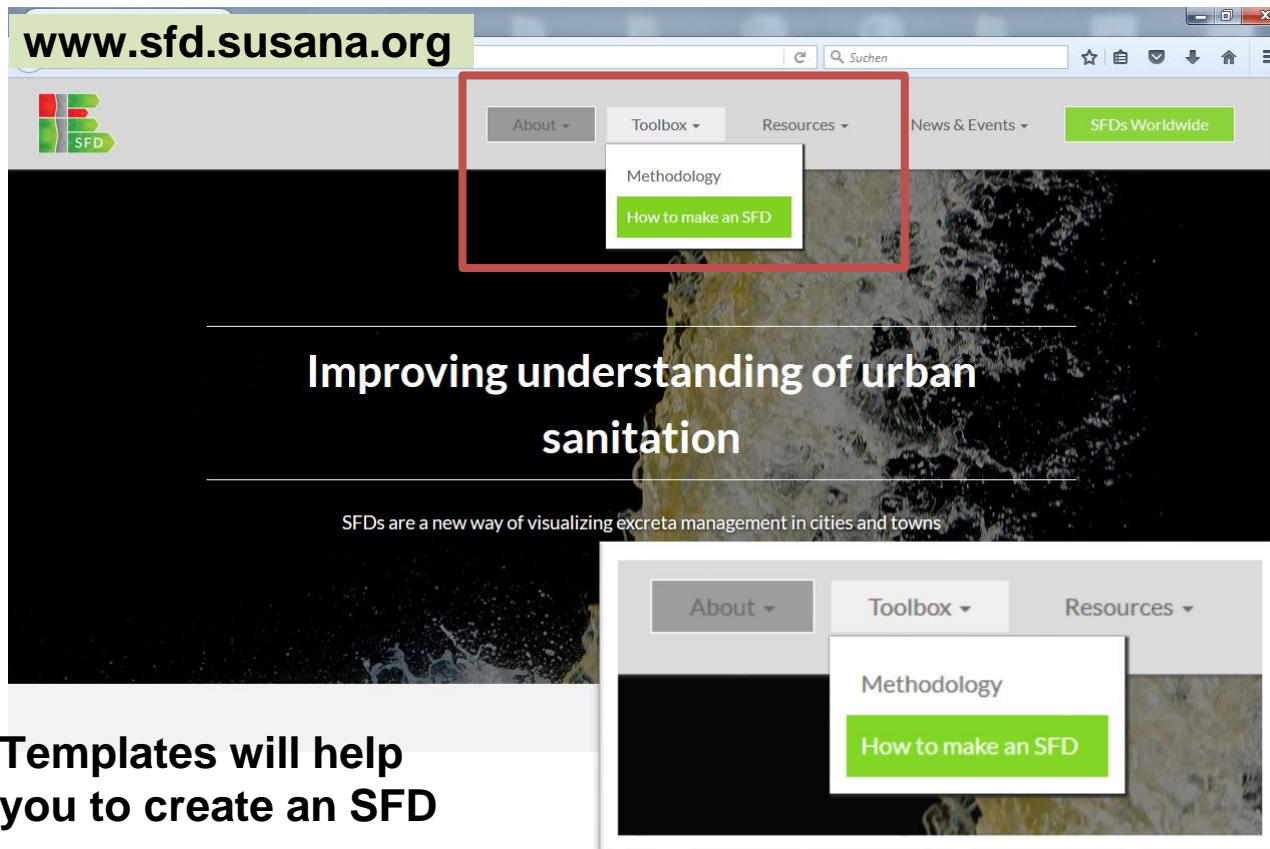


## Data requirements and recommendations for different types of SFD Report

Enabling environment to service delivery	Data collected at all stages of the service chain: containment to end-use or disposal	Possible sources of data (primary and secondary)	Initial	Intermediate	Comprehensive
Policy, legislation and regulation	<b>Policy:</b> To what extent is provision of sanitation services enabled by appropriate, acknowledged and available policy documents (National/Local or both)?	Policy documentation	✓	✓	✓
	<b>Institutional roles:</b> To what extent are the institutional roles and responsibilities for sanitation service delivery clearly defined and operationalized?	Policy / strategy documents	✓	✓	✓
		Existing reports	✓	✓	✓
		KIIs with lead institutions	If collected	If collected	✓
	<b>Service provision:</b> To what extent do the policy, legislative and regulatory framework enable investment and involvement in sanitation services by appropriate service providers (public or private)?	Policy / strategy documents Existing reports KIIs with public and private institutions	✓ ✓ If collected	✓ ✓ If collected	✓ ✓ ✓
	<b>Standards:</b> To what extent are norms and standards for each part of the sanitation service chain systematically monitored and reported?	Existing reports KIIs with lead institutions	✓ If collected	✓ If collected	✓ ✓
Planning	<b>Targets:</b> To what extent are there service targets for each part of the sanitation service chain in the city development plan, or a national development plan that is being adopted at the city level?	City/national development plans KIIs with city authorities	×	Include if data is collected	✓ ✓
	<b>Investment:</b> How much was invested in sanitation services in the last investment plan and how much has been incorporated into the next approved investment plan? What has been achieved as a result of the last level of investment (including investing in human resources, Technical Assistance, etc. as well as infrastructure)?	City investment plans Investment plans of donors, private sector, etc. KIIs with lead institutions	×	Include if data is collected	✓ ✓ ✓
Equity	<b>Choice:</b> To what extent is there a range of affordable, appropriate, safe and adaptable technologies for sanitation services available to meet the needs of the urban poor?	KIIs with lead institutions	×	Include if data is collected	✓
		Observations	×	Include if data is collected	✓

## Templates





**Templates will help  
you to create an SFD**



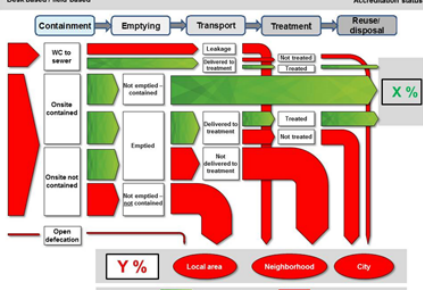

# Report template (doc)

- Cover Page
  - provides the 'formal' frame of the report
- Executive Summary
  - presents the key outcomes of the assessment on 4 pages
  - is not a stand-alone component
- Main Part: Detailed report
  - includes all information collected in the process
  - should not be longer than 20 pages
- Appendix
  - provides additional details (Stakeholder, SFD Diagram, QAQC)

## Front pages

<p><b>Shit-Flow-Diagram</b></p> <p>City Name Country</p> <p>Status (Final / Draft) Report</p> <p>Chosen Level</p> <p>Information on dates (production, last update)</p> <p>This SFD Report was created through field-based research by organization name.</p> <p>Date of production: Last update:</p>	<p>SFD Report City, Country, 2015</p> <p>Produced by: Authors' names</p> <p>Information on author(s) and organisation</p> <p>@Copyright The tools and methods for SFD production were developed by the SFD Promotion initiative and are available from: <a href="http://www.sfd-report.org">www.sfd-report.org</a>. All SFD materials are freely available following the open-source concept for capacity development and non-profit use, as long as proper acknowledgement of the source is made when used. Users should always give credit in citations to the original author, source and copyright holder.</p>
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# Executive Summary

Executive Summary	City Name Country Name	Produced by: Organization												
<p><b>1. The Diagram</b></p> <p>City name and date of production Desk based / field based</p>  <p>Replace the diagram by right clicking on the image and selecting 'change picture'</p>														
<p><b>2. Diagram information</b></p> <p>Desk or field based:</p> <p>Clearly whether the SFD was done from desk or from field.</p> <p>Produced by:</p> <p>Put the name(s) of the organization that produced the SFD, if applicable, you can acknowledge support of people who contributed to the production of the report but are not necessarily partners; e.g. produced by XXX, with support / close collaboration / inputs from XXX.</p> <p>Collaborating partners:</p> <p>Put the names of all collaborating partners/ organizations here. In the instance that there are no collaborating partners, delete this section.</p>														
<p><b>3. General city information</b></p> <p>Mention in brief general information on the geographical context, focusing on:</p> <p>City boundaries (which boundary was chosen for the SFD and why. Particularly important if it differs from the political/administrative boundaries)</p> <p>Population (focus particularly on variances of population through diurnal population and seasonality)</p> <p>Important spatial features (population density, informal housing arrangements etc.)</p>														
<p><b>4. Service delivery content</b></p> <p>The chapter on the service delivery content should always start at the top of page 2.</p> <p>A brief analysis of the city's service delivery content should go here, including:</p> <p>Provide an overview of each step in the sanitation service chain with a particular focus on positive characteristics and on gaps hindering effective service delivery. You may want to structure the text along the following topics:</p> <p>Highlight key aspects</p> <p>For desk-based studies, this would be: Policy, legislation and regulation (with reference to the stakeholder overview);</p> <p>For field-based studies, this would be: Policy, legislation and regulation, Planning, Reducing Inequity, Outputs and Expansion (again, with reference to the stakeholder overview);</p> <p>Service outcomes sub-section with break-down along the service chain, highlighting key points about containment, emptying, transport, treatment, end-use / disposal – referring to the SFD diagram to keep the narrative short.</p> <p>Conclusions that are being drawn from the service delivery content description/analysis</p> <p><b>5. Service outcomes</b></p> <p>Provide a brief overview on technologies and methods used for different sanitation systems through the sanitation service chain; this should be focused on positive/negative highlights, which mainly contribute to the percentages on the SFD (details will be given in detailed report). For example: A high percentage of on-site sanitation technologies that don't contain faecal sludge.</p> <p>The risk of groundwater contamination could be discussed. For example, the use of groundwater for drinking purposes above a certain percentage results in a high percentage of red arrows if systems do not contain faecal sludge.</p> <p>When using bullet points they should look as follows:</p> <ul style="list-style-type: none"> <li>• Bullet point one</li> <li>• Bullet point two</li> </ul>														
<p>enabling environment for sanitation service delivery should go here focusing on:</p> <p>The regulatory framework and who is responsible to implement and control service delivery.</p> <p>You may want to include a table with the key stakeholders for service delivery (example given below). Information from the 'Stakeholder tracking tool' can be used, however, the detailed stakeholder analysis should go to the detailed report.</p> <table border="1"> <thead> <tr> <th>Key Stakeholders</th> <th>Institutions / Organizations /</th> </tr> </thead> <tbody> <tr> <td>Public Institutions</td> <td>e.g. City Council, Ministry of Health, Ministry of Local Government etc.</td> </tr> <tr> <td>Non-governmental Organizations</td> <td>e.g. NGO, CBO, Faith-based Organizations</td> </tr> <tr> <td>Private Sector</td> <td>e.g. private employers</td> </tr> <tr> <td>Development Partners, Donors</td> <td>XXX, YYY, ZZZ</td> </tr> <tr> <td>Others</td> <td>Academia</td> </tr> </tbody> </table> <p><b>Table 1: Title (Source/Institution and year)</b></p> <p>If using bullet points they should look as follows:</p> <ul style="list-style-type: none"> <li>• Bullet point one</li> <li>• Bullet point two</li> <li>• Bullet point three</li> </ul> <p>If you are going to be inserting images at any point in this document they should be placed in alignment with the correct column. The width should not exceed that of the column itself. An example follows:</p>  <p><b>Figure 1: Image title (Source: Person/Institution and year)</b></p> <p>Make sure texts and pictures do not overlap.</p>			Key Stakeholders	Institutions / Organizations /	Public Institutions	e.g. City Council, Ministry of Health, Ministry of Local Government etc.	Non-governmental Organizations	e.g. NGO, CBO, Faith-based Organizations	Private Sector	e.g. private employers	Development Partners, Donors	XXX, YYY, ZZZ	Others	Academia
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Others	Academia													

## Content:

The Diagram | Diagram information | General city information  
 Service delivery content | Service outcomes | Overview of stakeholders  
 Credibility of data | Process of the SFD development | List of data sources

## Detailed report

### Table of Content

1	City context.....
2	Service delivery context description/analysis ## delete as required.....
2.1	Policy, legislation and regulation.....
2.1.1	Policy.....
2.1.2	Institutional roles.....
2.1.3	Service provision.....
2.1.4	Service standards.....
2.2	Planning ## include only for field-based assessment.....
2.2.1	Service targets.....
2.2.2	Investments.....
2.3	Reducing inequity ## include only for field-based assessment.....
2.3.1	Current choice of services for the urban poor.....
2.3.2	Plans and measures to reduce inequity.....
2.4	Outputs ## include only for field-based assessment.....
2.4.1	Capacity to meet service needs, demands and targets.....
2.4.2	Monitoring and reporting access to services.....
2.5	Expansion ## include only for field-based assessment.....
2.5.1	Stimulating demand for services.....
2.5.2	Strengthening service provider roles.....
3	Service Outcomes.....
3.1	Overview.....
3.2	SFD Matrix.....
4	Stakeholder Engagement.....
4.1	Key Informant Interviews.....
4.2	Focus Group Discussions ## does not apply for desk-based assessment.....
4.3	Observation of service providers ## does not apply for desk-based assessment.....
5	Acknowledgements.....
6	References.....

### Table of Content

1. City context
2. Service delivery context description / analysis
3. Service Outcomes
4. Stakeholder Engagement
5. Acknowledgements
6. References



# Template for Diagram (png)



The SFD Promotion Initiative recommends preparation of a report on the city context, the analysis carried out and data sources used to produce this graphic.  
Full details on how to create an SFD Report are available at: [sfd.susana.org](http://sfd.susana.org)

# Stakeholder Tracking

- Tracking of engagement
  - Date of Engagement
  - Purpose of Engagement
  - Summary of outcomes

SFD Promotion Initiative

sustainable  
sanitation  
alliance

**giz** Deutsche Gesellschaft  
für Internationale  
Zusammenarbeit (GIZ) GmbH

On behalf of



Federal Ministry  
for Economic Cooperation  
and Development

  
**UNIVERSITY OF LEEDS**

 **WORLD BANK GROUP**  
Water

 **wsp**  
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sanitation program

**WEDC**

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aquatic research ooo

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Sanitation, Water and  
Solid Waste for Development

**BILL & MELINDA  
GATES foundation**