Small-scale Sanitation System (SSS)

Program Evaluation Framework & Survey Development

About this Knowledge Brochure

This brochure includes some key learnings from the SANIMAS evaluation process that are interesting and relevant for SANIMAS stakeholders and other sanitation sector practitioners.

The development of an effective & comprehensive SSS evaluation framework and supporting surveys are time-consuming and challenging processes.

To support future development of similar evaluation methodologies in the sanitation sector, in Indonesia and globally, this brochure provides summary examples, and lessons learned, of the development process of the main components for:

1. Governance Review (GR)
2. Service Delivery Review (SDR)

The practical working steps and the final results of the evaluation framework development, and supporting surveys and tools, are presented, as a working example, in a downloadable excel file.

Target Audience

The main target audience for this brochure are national-level Indonesian government stakeholders who work on urban sanitation development and policymaking.

However, the information may also be useful for sub-national government stakeholders, and other interest groups, such as international organisations, NGOs, associations, and the private sector, in Indonesia and globally.

What is SANIMAS?

Since the early 2000s, the Indonesian government has implemented important policy interventions and made significant investments to increase sanitation access across the nation, especially in the area of community-based decentralised small-scale sanitation systems (SSS).

The SANIMAS, or 'Community-Based Sanitation' (Sanitasi Berbasis Masyarakat) approach offered the Indonesian government a sanitation service option that had not been used anywhere else at scale before. The approach provides technical and institutional assistance to poor urban communities to develop sanitation infrastructure, which targets 50 to 200 households in urban areas; and includes decentralised SSS, for the collection and treatment of domestic wastewater, or a combination of SSS and a toilet block (MCK).

By the end of 2019, almost US $1 billion has been invested through six key SANIMAS programs with various funding sources including the Indonesian government, the World Bank, the Asian Development Bank (ADB), and the Islamic Development Bank (IsDB). Through these programs, 21,832 SANIMAS decentralised SSS were built, serving an estimated 6 million people, and MoPWH was responsible for implementing 97% of them.

The SANIMAS Independent Evaluation

The Indonesian government, IsDB, Bill & Melinda Gates Foundation (BMGF), and other stakeholders recognised that the sanitation sector had been rapidly evolving over the last 20 years. Due to this fact, it was agreed to conduct a decentralised waste-water management and sanitation sector assessment; and to seek comprehensive recommendations for Indonesia's approach, with a special focus on SANIMAS as one approach for decentralised SSS.

In June 2020, Dalco Point was engaged by the Technical Assistance Hub in South Asia to carry out the 'Independent Evaluation of SANIMAS model as an approach for providing decentralised sanitation'. This evaluation aimed to assess the success and limitations of the SANIMAS approach; to assess the lessons learned from the IsDB and the other SANIMAS investment programs; and assess the feasibility of introducing an updated SANIMAS or a next phase of the program as a sustainable approach for providing decentralised sanitation in future sanitation access investments.

The main output of the evaluation was the final evaluation report which includes a review of the successes, challenges, and opportunities for expanding SANIMAS approaches; and integration of SANIMAS into a more City-Wide Inclusive Sanitation (CWIS) approach. It also provides 15 specific recommendations for an improved scope, financing, and coverage for upscaling more sustainable SANIMAS investments in the future.

Download Final Report

The downloadable file contains the following tools and development steps:

Tools & Steps	Description
GOVERNANCE REVIEW: Governance survey framework	This 'GR survey framework' links assessment objectives to indicators and interview questions for semi-structured key-informant interviews which produce qualitative data.
SERVICE DELIVERY REVIEW: Logframe development	*Initial logframe* The 'SDR Initial logframe' presents the logframe of the sanitation project under investigation and the discussion points related to the objectives and performance indicators. *Adapted logframe* The 'SDR Adapted logframe' contains a logframe with the original objectives from the 'initial logframe' and the final adapted PIs
SERVICE DELIVERY REVIEW: Evaluation framework	The 'SDR Evaluation framework' takes the 'SDR Adapted logframe' further by defining the PIs through two sub-dimensions and investigation parameters with their respective response options and response option scores.
SERVICE DELIVERY REVIEW: Investigation tools	The five worksheets 'SDR Interview Beneficiaries', 'SDR Interview KPP', 'SDR Interview Operator', 'SDR Field observations', and 'SDR Interview LG officials' contain the exact structure of the investigation tools linked to the evaluation framework.

TIPS on how to adapt the methodology to any SSS evaluation:

01 Clarify investigation boundaries (i.e. geography, program, timeframe, inclusion of governance aspects, technical aspects, gender, and social inclusion aspects, etc.).

02 Define research questions and objectives.

03 Adapt the governance survey framework to local structures and conditions. Consider the additional use of a quantitative tool that may allow scoring and bench marking across different regions or government departments.

04 Base evaluation on existing project logframe and as much as possible use existing Performance Indicators (PI) - make sure PIs fulfill SMART criteria (specific, measurable, achievable, relevant and time-bound) and cover the essential elements for successful governance of community/small scale sanitation:

- Functioning Technology
- Sustaining Demand
- Effective management (by community)
- Sustainable (community) financing
- Functioning maintenance (by community)

TIPS on how to adapt the methodology to any SSS evaluation:

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Link investigation parameters to the logframe and make sure to:

- Align PIs, PI subdimensions, survey parameters: ensure a clear and defensible line from parameters to PIs
- Avoid double-counting: try to not duplicate parameters that could be seen as relevant in the assessment of various PIs, assign them to only the most relevant PI - in certain cases this may not always be possible
- Focus on what matters: use only PI subdimensions that assess performance and survey parameters and responses that distinguish between performance outcomes
- Ensure ease of use: aim for operationally meaningful language in parameters and responses
- Account for uncertainty: include a full range of responses (including 'not relevant') & score responses based on their meaning for that parameter. For example, a response of 'don't know' is scored 'poor' when inquiring about regular income, but 'caution' when inquiring about cultural acceptability

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Restructure parameters into structured or semi-structured interviews and field observation forms and use existing online tools for survey and data management (e.g. Google Forms & mWater) - follow best practice principles for data quality assurance - e.g. reduce data input mistakes through skip-logic and predefined input characteristics, test submitted survey data for consistency, outliers, and plausibility.

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Develop data evaluation tools with appropriate programs (EXCEL, SPSS, stata, R, etc.) to calculate evaluation scores, averages, and charts required for the discussion and presentation of the results.

- Identify parameters that have a strong influence on system sustainability and which should therefore be given a stronger weight during evaluation and calculation of averages (e.g. inactive operator or severe building structure problems) see section B 4.1 on 'indicators of system failure and probable system failure' in the final evaluation report for more details.
- Decide which data aggregation levels and presentation tools - i.e. tables and diagrams - are required for result presentation and discussion
- Calculate averages and aggregate data accordingly
- Consider data triangulation and plausibility testing to ensure and demonstrate adequate data quality

Online Resources

Download Excel Framework & Tools

Learn more about online tools for survey and data management, see mWater example:

https://portal.mwater.co/#/

Username: Guestaccess TA Hub
Password: Guestaccess_TA_Hub_XX

Go to 'surveys' and to 'viewable by me', 6 surveys will be listed."