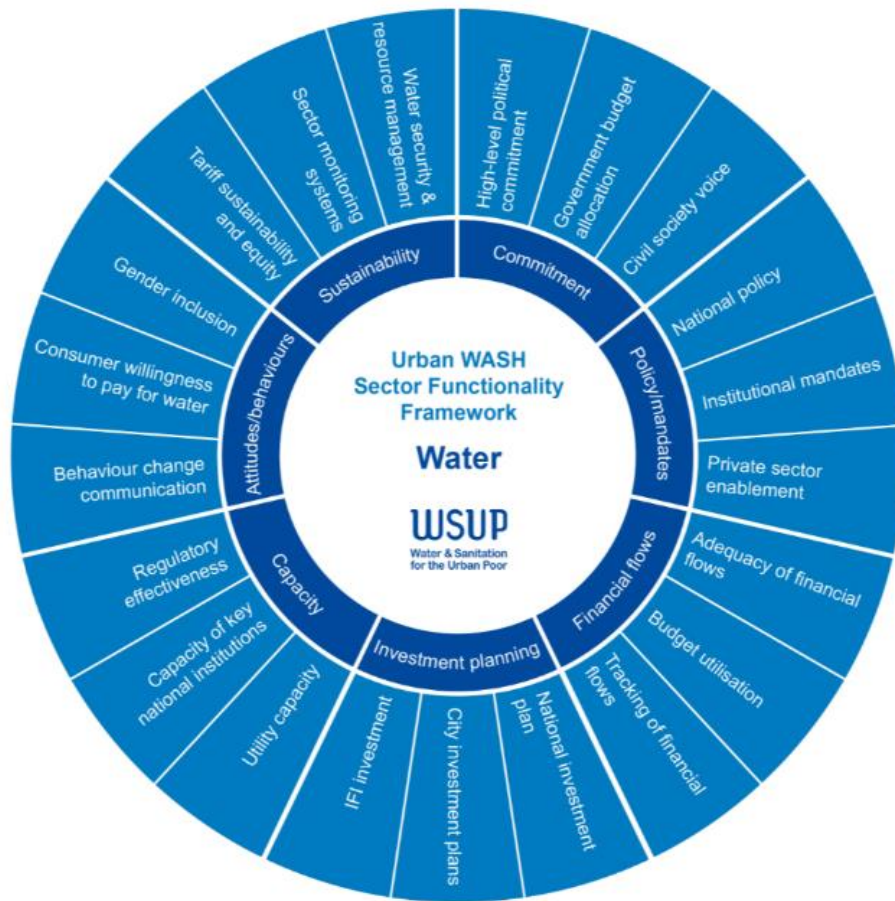


# Sector Functionality Frameworks for Urban Water and Sanitation



# SFF Sanitation – Indicators and guidance

Category	Area	Indicator	High score	Medium score	Low score	Zero score	Guidance
Commitment	<b>High-level political commitment</b>	High-level leaders (president, ministers, and mayors or equivalent) are genuinely committed to universal urban sanitation coverage	Ample evidence of genuine commitment to universal coverage in the sanitation sub-sector	Some evidence of genuine commitment to universal coverage in the urban sanitation sub-sector	Little evidence of genuine commitment to universal coverage in the urban sanitation sub-sector	No evidence of genuine commitment to universal sanitation coverage	Evidence of high level commitment to urban sanitation can take many forms, such as: ministerial speeches, new investment programmes, budget allocations etc. The determination of whether this commitment is genuine is subjective and should be based on your own judgement.
	<b>Government budget allocation</b>	National government allocates public finance sufficient to drive achievement of universal urban sanitation coverage, when balanced with other financing streams	Public finance forms a significant share of urban sanitation financing	Public finance forms a small but growing share of urban sanitation financing	Public finance forms a small share of urban sanitation financing and remains a low priority with government	Very little public finance for urban sanitation, with most funding coming from tariffs and donor transfers or documentation does not allow sanitation expenditure to be identified	The interpretation of "a significant share" will vary depending on the socio-economic status and the 'fiscal space' within a country. In a lower middle income country like Ghana you would expect domestic resources (i.e. public finance) to be a bigger proportion of sector expenditure than low income countries such as Madagascar and Mozambique. The final determination of whether this is a 'significant share' is subjective and should be based on your own judgement.
	<b>Civil society voice</b>	There are clearly defined procedures for informing, consulting with and supporting participation of user groups in planning & implementing urban WASH services	Yes and systematically applied	Yes but not systematically applied in all cases	Yes, but rarely applied	Not defined	A clearly defined procedure for civil society consultation may include: (i) annual or biannual fora at national/city/ward levels where civil society groups can input into planning and budgeting processes and/or comment on budgeting expenditure in these respective areas; (ii) published guidelines (or similar) on how regularly, and by what mean, Urban WASH service providers share service coverage data with the public, and also how the respond to requests from the public for such data; and (iii) published guidelines (-or similar) on how urban WASH services providers respond to consumer complaints on service quality.
Policy & mandates	<b>National policy</b>	A fit-for-purpose national (urban) sanitation policy (or policies) has been agreed by stakeholders and approved by cabinet (either gazetted as part of a national policy or as a standalone policy)	Policy agreed and gazetted for sanitation	Draft policy exists but is not agreed and gazetted	Policy is in development, or is agreed but sufficiently outdated that it does not reflect current government practice	No policy agreed or under development	The indicator seeks to report on the existence of a national <b>urban</b> sanitation policy, or a national sanitation policy with separate and strong consideration of urban areas. Policy frameworks may comprise more than one single policy document, but these should be coherent and well aligned with one another.  "Gazetted" means published in the government gazette or equivalent publication recording the proceedings of a government. A medium may be given if either policy is essentially agreed by key parties but still, for example, with the Council of Ministers and not formally promulgated
	<b>Institutional mandates</b>	Institutional roles of subsector players (ministries, regulatory authority, municipal governments, utilities, etc) are clearly defined and players have sufficient operational decision-making autonomy	Institutional roles defined with autonomy in all aspects including investment planning.	Institutional roles defined with limited autonomy (i.e. with no control over investment planning)	Limited definition of institutional roles	Institutional roles not defined, or conflicting and/or dysfunctional.	In your opinion, and on balance, are the functional roles of urban sanitation sector agencies well defined and operationalised? Functional roles include (i) policy development, (ii) regulation, (iii) financing (development and maintenance expenditure), (iv) service provision, and tend to be spread across various institutions including various government departments, donors, large utilities and other private entities.
	<b>Private sector enablement</b>	Effective systems are in place to encourage private sector involvement in the urban WASH sector	Sub-sector policies and strategies contain specific measures to encourage private sector involvement in urban WASH & these are implemented	Sub-sector policies and strategies contain specific measures to encourage private sector involvement in urban WASH but these are not implemented	Sub-sector policies and strategies emphasise the importance of private sector engagement, but do not contain specific measures to encourage this	Sub-sector policies and strategies do not mention private sector enablement	In your opinion, and based on an assessment of policies and strategies related to the private sector, is the existing policy framework effective at encouraging private sector involvement in Urban WASH. Appropriate policies may include deregulation to facilitate market entry, regulation to build demand, etc.

Category	Area	Indicator	High score	Medium score	Low score	Zero score	Guidance
			effectively	effectively			
Financial flows	<b>Adequacy of financial flows</b>	Financial flows to urban sanitation (from government, user tariffs and IFIs) are sufficient to meet national targets, on average over the past 3 years	Over 90 percent	Over 75 percent	Over 50 percent	Less than 50 percent, or no reliable costing of targets or no data available	Use sector estimates to quantitatively assess (if possible) the adequacy of current levels of investment. If you do not have access to these estimates please use your best judgement to assess investment adequacy.
	<b>Budget utilisation</b>	A high percentage of national government budget commitments earmarked for urban sanitation is utilised (three year average)	Over 90 percent	Over 75 percent	Over 50 percent	Less than 50 percent, or no data available	Use sector expenditure reports (if available and reasonably comprehensive). If you do not have access to these reports please use your best judgement to assess investment adequacy.
	<b>Tracking of financial flows</b>	Detailed budget, expenditure and financial flows data for urban WASH are made publicly available by national and subnational institutions	Detailed budget and expenditure data, and data on total financial flows including household and ODA flows, is made publicly available by national and sub-national institutions	Budgetary data (but not expenditure data) is made publicly available by national and sub-national institutions	Budgetary data is made publicly available at national but not subnational level	Neither budget nor expenditure data is publically accessible at any level	Based on existing financial processes in the urban WASH sector.
Investment planning	<b>National investment plan</b>	There is a national investment plan for urban sanitation which is operational, realistic and pro-poor	National investment plan for sanitation is operational, realistic and pro-poor	National investment plan for sanitation is operational but is not realistic and/or not pro-poor	National investment plan for sanitation is defined, but not operational	No national investment plan for sanitation	An Investment should set out medium-term expenditure plans, using different sources of finance, based on a realistic costing of achieving the targets set out in strategies.  If a current national investment plan exists for sanitation then this will result in a medium score. A high score will be awarded if the respondent believes the investment plan is operational, realistic and pro-poor. Further details of specific comments on the state of the investment plan should be made in the justification / qualifiers section
	<b>City investment plans</b>	Major cities have an investment plan for sanitation which is operational, realistic and pro-poor	All major cities have a sanitation investment plan which is operational, realistic and pro-poor	Most major cities have a sanitation investment plan which is operational, realistic and pro-poor	Some major cities have a sanitation investment plan which is operational, realistic and pro-poor	No major cities have a sanitation investment plan which is operational, realistic and pro-poor	If an investment plan for sanitation exists in all major cities, then this will result in a high score. If 1 or 2 of these major cities do not have a sanitation investment plan then this should result in a medium score .
	<b>IFI investment</b>	Development bank investments in urban WASH are designed and implemented in a manner that ensures pro-poor impact	All major development bank urban WASH projects include a stated objective of serving poor people, and are operating in geographies appropriate to that objective	Most major development bank urban WASH projects have a stated objective of serving poor people, but some do not appear to be doing so in practice	Only a few major development bank urban WASH projects have a stated objective of serving poor people, but these do not appear to be doing so in practice	No major development bank urban WASH programmes include objective to serve the poor	The key thing to consider is whether programmes are operating in a poor-inclusive way. For example, a sewer programme operating in middle-class areas of the city is unlikely to be pro-poor. It is up to respondent to judge.

Category	Area	Indicator	High score	Medium score	Low score	Zero score	Guidance
Capacity	<b>Service provider capacity</b>	Primary urban sanitation service providers (utility or municipal government) has strong technical, operational and strategic capacity that ensures compliance with service delivery mandates	Major service providers generally have sufficient capacity to meet their service delivery mandates	In general, most service providers have sufficient capacity to meet their service delivery mandates - however some key capacity gaps persist	Service providers do not tend to have sufficient capacity to meet their service delivery mandates, although there are some exceptions	No service providers have sufficient capacity to meet their service delivery mandates	In this context we are defining capacity as the capability to undertake assigned functions in an effective manner, this encompasses both skills and resource issues, and also any constraints related to the organisation culture/operational environment.  As such, this indicator should be scored based on your expert view of the capability of the utility, municipal government or both being able to fulfill their functional roles.
	<b>Capacity of key national institutions</b>	Key national-level stakeholders, particularly ministries, have strong technical, operational and strategic capacity	National level stakeholders (- particularly ministries) generally have sufficient capacity to meet their functional responsibilities	In general, national level stakeholders (- particularly ministries) have sufficient capacity to meet their functional responsibilities - however some key capacity gaps persist	National level stakeholders (- particularly ministries) do not have sufficient capacity to meet their functional responsibilities, although there are some exceptions	No national level stakeholder have sufficient capacity to meet their functional responsibilities	In this context we are defining capacity as the capability to undertake assigned functions in an effective manner, this encompasses both skills and resource issues, and also any constraints related to the organisation culture/operational environment.  As such, this indicator should be scored based on your expert view of the capability of the national level stakeholders and particularly ministries in being able to fulfill their functional roles.
	<b>Regulatory effectiveness</b>	A sanitation regulatory framework is in place and effectively implemented by an independent regulator or other effective regulatory agency	Regulatory framework is effectively implemented and breaches are dealt with appropriately	Regulatory framework is implemented but not systematically enforced for either public & private sector	Regulatory framework in place but ignored in practice due to unclear mandate, lack of enforcement or other factors	No administrative body takes responsibility for sanitation regulation	This indicator should be scored based on your view of the current regulatory framework for sanitation (-should one exist), and the evidence the provisions outlined in this framework are institutionalised and being enforced.
Attitudes & behaviours	<b>Behaviour change communication</b>	Key institutions including national government, municipal government and utilities attach strong importance to WASH-relevant behaviour change	There is strong institutional recognition of the importance of behavioral factors, and this is effectively translated into practice and implementation	There is strong institutional recognition of the importance of behavioral factors, but this is not consistently translated into practice and implementation	There is some institutional recognition of the importance of behavioral factors, but this is typically not translated into practice and implementation	There is little real institutional recognition of the importance of behavioral factors: WASH is considered to be primarily about engineering	It's important that institutional policies, investments and practices pay strong attention to behavioral (software) factors in WASH, alongside engineering. Such behaviours include, but are not limited to, behaviours around household water storage, latrine cleanliness, safe and hygienic pit emptying practices, avoidance of garbage disposal to pits or sewers, avoidance of illegal connection of toilets to open drains, appropriate infant faeces disposal, food hygiene, and handwashing.  This scoring for this indicators should be based on your assessment of whether WASH institutions recognise the importance of these behaviour change (software) factors and the extent to which these are translated into practice and implementation.
	<b>Consumer willingness to pay</b>	Where services are available and affordable, sanitation service use is consistent with broad levels of household income	Nearly all (i.e. more than 90%) of households pay for sanitation services when they are available and affordable	A high proportion (i.e. more than 75%) of households pay for sanitation services when they are available and affordable	Most (i.e. more than 50%) of households pay for sanitation	A minority (i.e. less than 50%) of households pay for sanitation services when they are available and affordable	This indicator requires you to estimate whether nearly all, most, or a minority of households are willing to pay for sanitation services when they are available and affordable. This requires a judgement of whether, for example, a household accessing unimproved sources are doing so because utility services are unaffordable, or if the household is unwilling to pay for them.
	<b>Gender inclusion</b>	The specific water and sanitation needs of men, women and girls are acknowledged and accounted for in policy, guidelines, planning and	National and local planning processes have developed tailored WASH policies, strategies	Gender-based WASH approaches are not consistently included in planning processes and	Gender is acknowledged on the national level but there is no guidance on how it should be	There is no reference to gender in national policy and no institutional understanding of its	This indicator requires you to assess the extent to which the specific WASH needs of men, women and girls are mainstreamed across sector policies, strategies, guideline and ultimately implementation. This will require knowledge of whether national and local policies recognise gender-based WASH needs, and will

Category	Area	Indicator	High score	Medium score	Low score	Zero score	Guidance
		implementation by national bodies and other relevant institutions	and guidelines to meet the water and sanitation needs of women and girls. These are put into practice throughout the sector.	implementation. Gender is acknowledged by service providers but is not a priority or mainstreamed	institutionalised. Gender issues are not acknowledged at the service provider level.	importance. Gender issues are not acknowledged at the service provider level.	also require a judgement of whether or not these needs are being translated into practice and implementation.
Sustainability	<b>On-site sanitation support</b>	Municipal government and/or utilities acknowledge the need to support the faecal sludge management chain	Municipal government provides adequate faecal sludge transfer stations across the city, the sludge from which is safely treated	Municipal government and/or utility provide faecal sludge transfer stations close to some population centres but further transfer stations are necessary	Municipal government and/or utility acknowledge their vital role supporting the faecal sludge management chain but faecal sludge disposal facilities are far from population centres	Municipal government and/or utility assume responsibility for sewered sanitation only and make no provision for on-site sanitation	
	<b>Sector monitoring systems</b>	Urban sanitation monitoring system regularly measure service levels and equity through surveys and administrative data	Major sector monitoring system(s) and sample surveys collect information on sanitation service levels and equity dimensions (spatial and wealth) in a comprehensive manner and report on these annually	Major sector monitoring system(s) and sample surveys collect information on sanitation service levels and equity dimensions (spatial and wealth) but the information is not comprehensive and/or is not reported regularly	Major sector monitoring system(s) do no collect data on sanitation service levels or equity	Major sector monitoring system(s) are fragmented and rarely updated	If the urban sanitation monitoring system is comprehensive it should account for all (or nearly all) people living in the urban area and not just those that are covered by the utility or major service providers. Relevant service level and equity indicators that could be collected, and the tools used to collect them, are listed below and should be used to guide the scoring of this indicator  (i) (sample survey) Access and use of basic sanitation services, disaggregated by sewered and non-sewered and reported as: % of urban areas, % region, % of city, % by quintile (ii) (facility assessment) Quality and safety of institutional and public facilities - % of facilities which meet quality and safety standard: i.e. % which are hygienically safe to use (clean, no insects, limited odour) (iii) (routine monitoring / sample survey) Targeted data collection on ODF status and basic sanitation service coverage in low-income areas
	<b>Climate resilience</b>	Sanitation facilities built with consideration of the increasing climate variability, its risks and impacts.	Building regulations for sanitation infrastructure are climate change-resilient and enforced in practice so both planned and existing infrastructures is capable of dealing with expected climate change impacts	Building regulations for sanitation infrastructure include provisions to attenuate climate change impacts which are efficiently followed	Building regulations for sanitation infrastructure include provisions to attenuate climate change impacts but they are not followed in practice.	Building regulations for sanitation infrastructure make no provision for risks associated with climate change leading to infrastructure which is vulnerable to these impacts.	Sanitation facilities are highly sensitive to storm surge, sea level rise and flooding. Wastewater collection and treatment facilities are often situated at the lowest point possible to leverage gravitational pull, but they can therefore easily be inundated by water level rise. Lower stream flows during drought periods limit the effectiveness of receiving water bodies to dilute pollution and higher temperatures can cause more frequent algal blooms and increased pathogen content.  Use your expert judgement to assess the extent to which sanitation infrastructure adaptations are mainstreamed within current building codes and guidelines and are being translated into practice and implementation

# SFF Water – Indicators and guidance

Category	Area	Indicator	High score	Medium score	Low score	Zero score	Guidance
Commitment	<b>High-level political commitment</b>	High-level leaders (president, ministers, and mayors or equivalent) are genuinely committed to universal urban water coverage	Ample evidence of genuine commitment to universal coverage in the urban water sub-sector	Some evidence of genuine commitment to universal coverage in the urban water sub-sector	Little evidence of genuine commitment to universal coverage in the urban water sub-sector	No evidence of genuine commitment to universal water coverage	Evidence of high level commitment to urban water can take many forms, such as: ministerial speeches, new investment programmes, budget allocations etc. The determination of whether this commitment is genuine is subjective and should be based on your own judgement.
	<b>Government budget allocation</b>	National government allocates public finance sufficient to drive achievement of universal urban water coverage, when balanced with other financing streams	Public finance forms a significant share of urban water financing	Public finance forms a small but growing share of urban water financing	Public finance forms a small share of urban water financing and remains a low priority with government	Very little public finance for urban water, with most funding coming from tariffs and donor transfers	The interpretation of "a significant share" will vary depending on the socio-economic status and the 'fiscal space' within a country. In a lower middle income country like Ghana you would expect domestic resources (i.e. public finance) to be a bigger proportion of sector expenditure than low income countries such as Madagascar and Mozambique. The final determination of whether this is a 'significant share' is subjective and should be based on your own judgement.
	<b>Civil society voice</b>	There are clearly defined procedures for informing, consulting with and supporting participation of user groups in planning & implementing urban WASH services	Yes and systematically applied	Yes but not systematically applied in all cases	Yes, but rarely applied	Not defined	A clearly defined procedure for civil society consultation may include: (i) annual or biannual fora at national/city/ward levels where civil society groups can input into planning and budgeting processes and/or comment on budgeting expenditure in these respective areas; (ii) published guidelines (or similar) on how regularly, and by what mean, Urban WASH service providers share service coverage data with the public, and also how they respond to requests from the public for such data; and (iii) published guidelines (-or similar) on how urban WASH services providers respond to consumer complaints on service quality.
Policy & mandates	<b>National policy</b>	A fit-for-purpose national water policy (or policies) has been agreed by stakeholders and approved by cabinet (either gazetted as part of a national policy or as a standalone policy)	Policy agreed and gazetted for water	Draft policy exists but is not agreed and gazetted	Policy is in development, or is agreed but sufficiently outdated that it does not reflect current government practice	No policy agreed or under development	The indicator seeks to report on the existence of a national <b>urban</b> water policy, or a national water policy with separate and strong consideration of urban areas. Policy frameworks may comprise more than one single policy document, but these should be coherent and well aligned with one another.  A medium may be given if either policy is essentially agreed by key parties but still, for example, with the Council of Ministers and not formally promulgated
	<b>Institutional mandates</b>	Institutional roles of subsector players (ministries, regulatory authority, municipal governments, utilities, etc) are clearly defined and players have sufficient operational decision-making autonomy	Institutional roles defined with autonomy in all aspects including investment planning.	Institutional roles defined with limited autonomy (i.e. with no control over investment planning)	Limited definition of institutional roles	Institutional roles not defined, or conflicting and/or dysfunctional.	In your opinion, and on balance, are the functional roles of urban water sector agencies well defined and operationalised? Functional roles include (i) policy development, (ii) regulation, (iii) financing (development and maintenance expenditure), (iv) service provision, and tend to be spread across various institutions including various government departments, donors, large utilities and other private entities.

Category	Area	Indicator	High score	Medium score	Low score	Zero score	Guidance
	<b>Private sector enablement</b>	Effective systems are in place to encourage private sector involvement in the urban WASH sector	Sub-sector policies and strategies contain specific measures to encourage private sector involvement in urban WASH and these are being implemented effectively	Sub-sector policies and strategies contain specific measures to encourage private sector involvement in urban WASH but these are not being implemented effectively	Sub-sector policies and strategies emphasise the importance of private sector engagement, but do not contain specific measures to encourage this	Sub-sector policies and strategies do not mention private sector enablement	In your opinion, and based on an assessment of policies and strategies related to the private sector, is the existing policy framework effective at encouraging private sector involvement in Urban WASH. Appropriate policies may include deregulation to facilitate market entry, regulation to build demand, etc.
<b>Financial flows</b>	<b>Adequacy of financial flows</b>	Financial flows to urban water services (from government, user tariffs and IFIs) are sufficient to meet national targets, on average over the past 3 years	Over 90 percent	Over 75 percent	Over 50 percent	Less than 50 percent, or no reliable costing of targets or no data available	Use sector estimates to quantitatively assess (if possible) the adequacy of current levels of investment. If you do not have access to these estimates please use your best judgement to assess investment adequacy.
	<b>Budget utilisation</b>	A high percentage of national government budget commitments earmarked for urban water services is utilised (three year average)	Over 90 percent	Over 75 percent	Over 50 percent	Less than 50 percent, or no data available	Use sector expenditure reports (if available and reasonably comprehensive). If you do not have access to these reports please use your best judgement to assess investment adequacy.
	<b>Tracking of financial flows</b>	Detailed budget, expenditure and financial flows data for urban WASH are made publicly available by national and subnational institutions	Detailed budget and expenditure data, and data on total financial flows including household and ODA flows, is made publicly available by national and sub-national institutions	Budgetary data (but not expenditure data) is made publicly available by national and sub-national institutions	Budgetary data is made publicly available at national but not subnational level	Neither budget nor expenditure data is publicly accessible at any level	Based on existing financial processes in the urban WASH sector.
<b>Investment planning</b>	<b>National investment plan</b>	There is a national investment plan for urban water which is operational, realistic and pro-poor	National investment plan for water is operational, realistic and pro-poor	National investment plan for water is operational but is not realistic and/or not pro-poor	National investment plan for water is defined, but not operational	No national investment plan for water	An Investment plan should set out medium-term expenditure plans, using different sources of finance, based on a realistic costing of achieving the targets set out in strategies.  If a current national investment plan exists for water then this will result in a medium score. A high score will be awarded if the respondent believes the investment plan is operational, realistic and pro-poor. Further details of specific comments on the state of the investment plan should be made in the justification / qualifiers section

Category	Area	Indicator	High score	Medium score	Low score	Zero score	Guidance
	<b>City investment plans</b>	Major cities have an investment plan for water which is operational, realistic and pro-poor	All major cities have a water investment plan which is operational, realistic and pro-poor	Most major cities have a water investment plan which is operational, realistic and pro-poor	Some major cities have a water investment plan which is operational, realistic and pro-poor	No major cities have a water investment plan which is operational, realistic and pro-poor	If an investment plan for water exists in all major cities, then this will result in a high score. If 1 or 2 of these major cities do not have a water investment plan then this should result in a medium score .
	<b>IFI investment</b>	Development bank investments in urban WASH are designed and implemented in a manner that ensures pro-poor impact	All major development bank urban WASH projects include a stated objective of serving poor people, and are operating in geographies appropriate to that objective	Most major development bank urban WASH projects have a stated objective of serving poor people, but some do not appear to be doing so in practice	Only a few major development bank urban WASH projects have a stated objective of serving poor people, but these do not appear to be doing so in practice	No major development bank urban WASH programmes include objective to serve the poor	The key thing to consider is whether programmes are operating in a poor-inclusive way. For example, a sewer programme operating in middle-class areas of the city is unlikely to be pro-poor. It is up to respondent to judge.
<b>Capacity</b>	<b>Utility capacity</b>	Major urban utilities have strong technical, operational and strategic capacity that ensures compliance with service delivery mandates	Major service providers generally have sufficient capacity to meet their service delivery mandates	In general, most service providers have sufficient capacity to meet their service delivery mandates - however some key capacity gaps persist	Service providers do not tend to have sufficient capacity to meet their service delivery mandates, although there are some exceptions	No service providers have sufficient capacity to meet their service delivery mandates	In this context we are defining capacity as the capability to undertake assigned functions in an effective manner, this encompasses both skills and resource issues, and also any constraints related to the organisation culture/operational environment.  As such, this indicator should be scored based on your expert view of the capability of the utility, municipal government or both being able to fulfill their functional roles.
	<b>Capacity of key national institutions</b>	Key national-level stakeholders, particularly ministries, have strong technical, operational and strategic capacity	National level stakeholders (- particularly ministries) generally have sufficient capacity to meet their functional responsibilities	In general, national level stakeholders (- particularly ministries) have sufficient capacity - however some key capacity gaps persist	National level stakeholders (- particularly ministries) do not have sufficient capacity, although there are some exceptions	No national level stakeholder have sufficient capacity to meet their functional responsibilities	In this context we are defining capacity as the capability to undertake assigned functions in an effective manner, this encompasses both skills and resource issues, and also any constraints related to the organisation culture/operational environment. As such, this indicator should be scored based on your expert view of the capability of the national level stakeholders and particularly ministries in being able to fulfill their functional roles.
	<b>Regulatory effectiveness</b>	A water services regulatory framework is in place and effectively implemented by an independent regulator or other effective regulatory agency	Regulatory framework is effectively implemented and breaches are dealt with appropriately	Regulatory framework is implemented but not systematically enforced for either public & private sector	Regulatory framework in place but ignored in practice due to unclear mandate, lack of enforcement or other factors	No administrative body takes responsibility for water regulation	This indicator should be scored based on your view of the current regulatory framework for water (-should one exist), and the evidence the provisions outlined in this framework are institutionalised and being enforced.



Category	Area	Indicator	High score	Medium score	Low score	Zero score	Guidance
Attitudes & behaviours	<b>Behaviour change communication</b>	Key institutions including national government, municipal government and utilities attach strong importance to WASH-relevant behaviour change	There is strong institutional recognition of the importance of behavioral factors, and this is effectively translated into practice and implementation	There is strong institutional recognition of the importance of behavioral factors, but this is not consistently translated into practice and implementation	There is some institutional recognition of the importance of behavioral factors, but this is typically not translated into practice and implementation	There is little real institutional recognition of the importance of behavioral factors: WASH is considered to be primarily about engineering	It's important that institutional policies, investments and practices pay strong attention to behavioral (software) factors in WASH, alongside engineering. Such behaviours include, but are not limited to, behaviours around household water storage, latrine cleanliness, safe and hygienic pit emptying practices, avoidance of garbage disposal to pits or sewers, avoidance of illegal connection of toilets to open drains, appropriate infant faeces disposal, food hygiene, and handwashing.  This scoring for this indicators should be based on your assessment of whether WASH institutions recognise the importance of these behaviour change (software) factors and the extent to which these are translated into practice and implementation.
	<b>Consumer willingness to pay for water</b>	Where mains water connections are available, water service use is consistent with broad levels of household income	Nearly all (i.e. more than 90%) of households pay for water services when they are available and affordable	A high proportion (i.e. more than 75%) of households pay for water services when they are available and affordable	Most (i.e. more than 50%) of households pay for water services when they are available and affordable	A minority (i.e. less than 50%) of households pay for water services when they are available and affordable	This indicator requires you to estimate whether nearly all, most, or a minority of households are willing to pay for water services when they are available and affordable. This requires a judgement of whether, for example, a household accessing unimproved sources are doing so because utility services are unaffordable, or if the household is unwilling to pay for them.
	<b>Gender inclusion</b>	The specific water and sanitation needs of men, women and girls are acknowledged and accounted for in policy, guidelines, planning and implementation by national bodies and other relevant institutions	National and local planning processes have developed tailored WASH policies, strategies and guidelines to meet the water and sanitation needs of women and girls. These are put into practice throughout the sector.	Gender-based WASH approaches are not consistently included in planning processes and implementation. Gender is acknowledged by service providers but is not a priority or mainstreamed	Gender is acknowledged on the national level but there is no guidance on how it should be institutionalised. Gender issues are not acknowledge at the service provider level.	There is no reference to gender in national policy and no institutional understanding of its importance. Gender issues are not acknowledge at the service provider level.	This indicator requires you to assess the extent to which the specific WASH needs of men, women and girls are mainstreamed across sector policies, strategies, guidelines and ultimately implementation. This will require knowledge of whether national and local policies recognise gender-based WASH needs, and will also require a judgement of whether or not these needs are being translated into practice and implementation.
<b>Sustainability</b>	<b>Tariff sustainability and equity</b>	Tariff systems ensure commercial viability of utilities while maintaining affordability for low-income consumers.	Tariff systems are designed to enable the commercial viability of utilities while maintaining affordability for low-income consumers	Tariff systems are designed to enable a level of cost recovery for utilities while maintaining affordability for low-income consumers	Tariff systems are designed in a way that compromises either the commercial viability of the utility or affordability for the low-income consumer	Tariff systems compromise both commercial viability of the utility and affordability for the low-income consumer	Any payment for water services has to be based on the principle of equity, ensuring that these services, whether privately or publicly provided, are affordable for all, including socially disadvantaged groups. Equity demands that poorer households should not be disproportionately burdened with water expenses as compared to richer households.

Category	Area	Indicator	High score	Medium score	Low score	Zero score	Guidance
	<b>Sector monitoring systems</b>	Monitoring systems regularly measure service levels and equity through surveys and administrative data	Major sector monitoring system(s) collect information on service levels and equity dimensions (spatial and wealth) in a comprehensive manner and report on these annually	Major sector monitoring system(s) collect information on service levels and equity dimensions (spatial and wealth) but the information is not comprehensive and/or is not reported regularly	Major sector monitoring system(s) do not collect data on service levels or equity (e.g. only basic indicators like coverage)	Major sector monitoring system(s) are fragmented and rarely updated	<p>If the urban water monitoring system is comprehensive it should account for all (or nearly all) people living in the urban area and not just those that are covered by the utility or major service providers. Relevant service level and equity indicators that could be collected are listed below and should be used to guide the scoring of this indicator</p> <ul style="list-style-type: none"> <li>(i) Improved water coverage (% of urban areas, % region, % of City, % by quintile)</li> <li>(ii) Quality (bacteriological, physical and chemical parameters)</li> <li>(ii) Quantity (LPCD or per household)</li> <li>(iii) Non revenue water (% of water production)</li> </ul>
	<b>Water security and resource management</b>	Water resources are managed in an integrated and climate-resilient manner enabling sustained and universal water security	Water resources are managed within an Integrated Water Resources Management approach accounting for the hazards and impacts of climate change	Policies and mechanisms have been agreed and put into practice to tackle unsustainable use and management of water resources, leading to improved water security prospects	Although policies and mechanisms to mitigate impact on water security have been agreed, these have not been implemented and water resource use remains unsustainable.	There is no water resource management strategy, leading to misuse of water resources which depletes and/or pollutes sources compromising water security	Climate change is stressing groundwater supplies due to the increasing precipitation rates and extraction rates. Urban water systems must meet the demands of expanding industry needs and rapid population growth. An IWRM approach promotes the coordinated development and management of water, land and related resources in order to maximize the resultant economic and social welfare in an equitable manner without compromising the sustainability of vital ecosystems.