

SFD Promotion Initiative

SFD Review Procedure Instructions & guidelines for SFD authors and reviewers

Effective: November 2017

SFD Promotion Initiative

sustainable
sanitation
alliance

giz Deutsche Gesellschaft
für Internationale
Zusammenarbeit (GIZ) GmbH

On behalf of



Federal Ministry
for Economic Cooperation
and Development


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SFD Review Procedure, Effective: November 2017

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List of abbreviations

FGD	Focus Group Discussion
KII	Key Informant Interview
NGO	Non-Governmental Organization
SFD	Shit Flow Diagram

1. Introduction

This document, the Review Procedure, presents the procedure to review an SFD report for users who want to receive feedback on the SFD reports they prepared, regarding the credibility and transparency of assumptions made.

This process is compulsory for publishing SFDs on the SFD Webportal as it represents the Quality Control Mechanism of the SFD Promotion Initiative (SFD PI).

This document is divided into four parts:

- [Part 1. User's Checklist](#), **checklist for authors** preparing an SFD report and SFD graphic.
- [Part 2. User's self-assessment of data sources used and brief description of the procedure](#), describing the **user** self-assessment of data sources to assess the quality and credibility of the sources used.
- [Part 3. Review process](#), providing guidance for the **reviewer** of the SFD narrative report to control and improve the quality of reporting.
- [Part 4. Practicing the Procedures – Examples](#), showing the **application** of the self-assessment and the reviewers guidance (“Checklist”) questions in terms of an example.

The aim of the Review Procedure is to ensure transparency of credibility of SFD Reports by evaluating the credibility of the sources used to develop the SFD (Report and Graphic). The SFD PI team wants to ensure that all SFD reports pass a review procedure, similarly to a paper submitted to a scientific journal, to ensure that all reports uploaded to the webpage of the project meet some basic criteria and are of high quality.

This procedure is an opportunity to have your SFD report reviewed by a team of experts and is obligatory, in case you would like to publish the results of your work to the SFD Webportal, making it available to the general interested public. The review process is carried out by the SFD PI team and anonymous external reviewers. This review procedure follows five steps and is outlined in Figure 1.

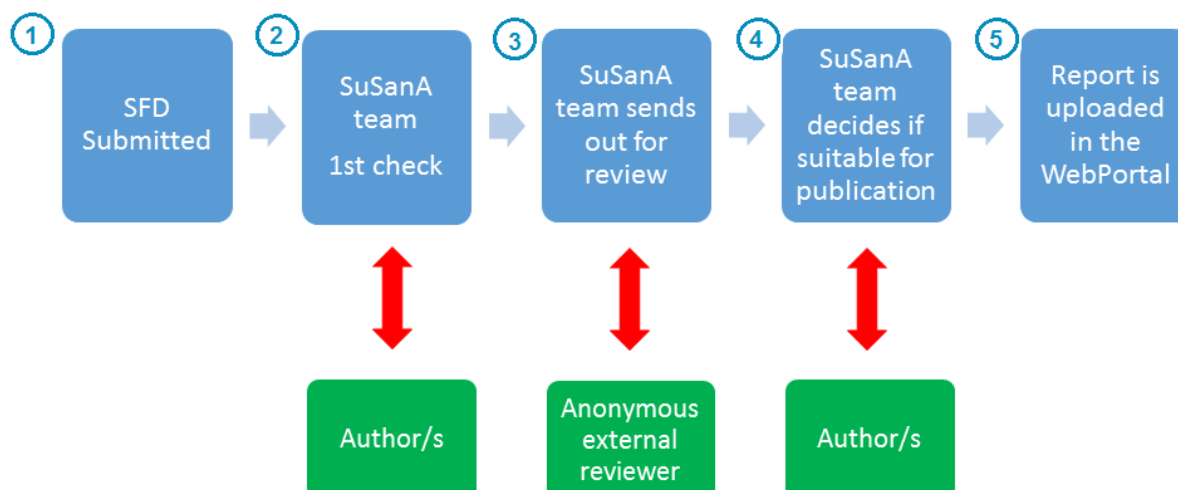


Figure 1. Outline of the steps to carry out the review procedure in order to publish a SFD report to the SuSanA Webportal.

1. To start the review procedure, the SFD user/author is asked to submit the following four documents by either uploading them to the [SFD Helpdesk](#) or sending them [via Email](#)
 - a) The SFD files (json file, including graphic, matrix and selection grid, see below)
 - b) The SFD Report (templates to be found [here](#) (templates for [SFD Report](#) and [SFD Lite](#)))
 - c) The completed [user's checklist](#)
 - d) The [source evaluation tool](#)

Note that the production of the SFD Report, as well as the SFD graphic must be completed by the user according to the methodology available on the [SFD Webportal](#). The SFD Graphic Generator online and offline versions are available [here](#).

2. Then, the SuSanA team will do a first check of the submitted items to see if all information is included as well as perform some tasks, including:
 - Check if the four items comply with the guidelines outlined in the review procedure.
 - A Yes/No decision to continue with the review procedure based on the items submitted by the author/s and the reviewer's checklist.
 - Communicate the author/s this first decision.
 - If Yes, the SuSanA team will produce a first clean report, including (if needed) corrections of formatting, spelling, etc.
3. The SFD report will be sent out for review to an external and anonymous reviewer. The task of the external reviewer will be to complete a scoring rubric and provide overall comments on the quality of the SFD report.
4. Based on the feedback received by the external reviewer, the SuSanA team will make the decision to publish, amend or reject the report. The SuSanA team will also communicate that decision to the author/s.

- If the SFD report is suitable for publication, the SuSanA team will upload it onto the Webportal.

2. User's Checklist

Before preparing an SFD we recommend reading through the ["How to make an SFD"](#) page on the SFD Webportal. There you find a general introduction as well as tutorial videos and the templates for the SFD reports, the source evaluation and the user's checklist.

Before uploading an SFD for review, we request you to answer the following questions and add the answers (and explanations why you may have done things differently from the SFD PI methodology) to your upload-materials on the SFD Helpdesk. A template to be completed can be found [here](#):

General Questions	Answer	Comments
Are all 4 parts of the SFD (SFD Report, json file, SFD Source Evaluation Tool, User's Checklist) provided?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Is your SFD the first produced for the city? a) <i>If not:</i> Are there significant changes in facts and figures? b) <i>If not:</i> Does it enhance the previous report, i.e. has additional primary and secondary data been collected?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
Is the executive summary informative and does it follow the template provided (5 pages maximum)? <i>If not:</i> Please provide a reasonable explanation why.	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Style	Answer	Comments
Is the report written in English? <i>If not:</i> Please indicate the language used	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are international units used as units of measurement? <i>If not:</i> Is this fact explained in the report? (Please indicate the system used)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the report follow the template provided?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are all chapters provided?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Does the report contain the main and necessary facts included (25 pages maximum of writing, excluding annexes)?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Is the table of contents included?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Is there a list of acronyms (if needed) included?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are table headers short, concise and informative and referenced?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are figure legends short, concise and informative and referenced?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are all data sources used to produce the SFD graphic and report referenced according to the template given?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Content	Answer	Comments
Was the SFD methodology used? <i>If not: Are the reasons for the change explained?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
Have you used the terminology as defined in the glossary consistently throughout the report?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
In case of using local terminology to describe sanitation systems, are they clearly defined and explained in the report?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the SFD report include explanations of the SFD Graphic and of all assumptions made?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are all assumptions explained, justified and referenced?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Were surveys carried out for data collection? <i>If yes: Please, include all surveys (including a summary of the methodology) in the corresponding annex.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the report provide information on all stakeholders?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the report include an overview of stakeholders engaged in the process? <i>If not: Please explain why no stakeholder engagement was possible.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

3. User self-assessment of data sources used

3.1. Brief description of the procedure

The self-assessment is a procedure to evaluate the credibility of the data sources used to generate the SFD Graphic. The procedure is described within this chapter.

NOTE: Please note that this procedure to evaluate the credibility of the data sources only applies to the data used to produce the SFD graphic, not the data sources used to describe the service delivery context.

To fulfil the procedure, you can use the “Source Evaluation Tool” which can be downloaded from the SFD Webportal [here](#).

The purpose of this procedure is to produce an annotated bibliography, which would include the following information:

(A) Source: Reference to the source. The user enters the citation of the source.
E.g.: (Peal et al. 2012).

(B) Type: The user chooses the type of source used.

Types of sources are:

1. Municipal, utility or private local service provider records
2. Documented studies
3. Interviews or Focus Group Discussions (FGD)
4. Observation

(C) Credibility of data and information sources: According to different criteria (representativeness, depth of data, confidence, scale and documentation), the user chooses one of three options (scores). The scores available are:

1. Low (value 1)
2. Medium (value 2)
3. High (value 3)

The total score for any single source is calculated as the sum of all individual scores for each criterion. The final value for quality and credibility (poor, medium and high) is provided in each of the types of source and explained in the next section

3.2. Rubric to evaluate the credibility of data and information sources

3.2.1 Municipal, utility or private local service provider records

Types of data: policies, regulations, design documents, legislation, yearly reports, data sheets, licenses, etc. The classification of these data is shown in Table 1.

Table 1. Municipal, utility or private local service provider records

			Score
Representativeness	high	<ul style="list-style-type: none"> ○ Information is up to date, e.g. <1 years old. 	3
	medium	<ul style="list-style-type: none"> ○ Information is 1- 5 years old. 	2
	low	<ul style="list-style-type: none"> ○ Information is >5 years old. 	1
Confidence/ Reliability	high	<ul style="list-style-type: none"> ○ Report contains independently obtained performance data of existing infrastructure. ○ Key stakeholders and/or local external experts are in strong agreement and acceptance. ○ Data confirmed through cross verification multiple data sources. 	3
	medium	<ul style="list-style-type: none"> ○ Report contains information on existing infrastructure. ○ Key stakeholders and/or local external experts agree it is credible. ○ Data confirmed through cross-verification from one additional source. 	2
	low	<ul style="list-style-type: none"> ○ Report contains plans for infrastructure prior to construction. ○ Key stakeholders, and/or local external experts are dubious of data. ○ Information cannot be cross-verified. ○ Data not consistent with other sources. 	1
Documentation	high	<ul style="list-style-type: none"> ○ Data is readily available, verifiable, and easily tracked. ○ Process of data production is documented (i.e. chain of command for lab samples). 	3
	medium	<ul style="list-style-type: none"> ○ Records and data are difficult to accurately collect and verify, but a reasonable method has been followed to estimate it (e.g. number of onsite sanitation facilities in informal settlement). ○ Responsibility for data handling through entire chain of command is not clear, or not adequately documented. 	2
	low	<ul style="list-style-type: none"> ○ Records of poor quality, or not traceable. 	1

The total score for this type of source is calculated as the sum of scores of representativeness + confidence + documentation. Once this total is calculated, the credibility corresponds to values 1 (Poor), 2 (Medium) or 3 (High) according to Table 2.

Table 2. Municipal, utility or private local service provider records ranking

Total Score	Credibility
total ≤ 4	Poor
4 < total ≤ 7	Medium
total > 7	High

3.2.2 Documented studies

Peer-reviewed journal papers, conference papers, grey literature i.e. external and internal reports from organisations, etc. can provide recording and valuable information. The classification of these data sources is shown in Table 3.

Table 3. Documented studies

			Score
Representativeness	high	<ul style="list-style-type: none"> o Cited references are credible and up to date. 	3
	medium	<ul style="list-style-type: none"> o Cited references not the most up to date. 	2
	low	<ul style="list-style-type: none"> o Cited references are not credible and/or out of date. 	1
Confidence/ Reliability	high	<ul style="list-style-type: none"> o Documented studies from highly reputable sources, e.g. peer-reviewed. o Was conducted by professionals with adequate training, expertise, and knowledge of field. o There are no inconsistencies within the reported information. o Explained well, with no uncertainty after reading. 	3
	medium	<ul style="list-style-type: none"> o Article from a reputable organization, but without peer-review. o There are no obvious mistakes within the reported information. 	2
	low	<ul style="list-style-type: none"> o Was conducted by professionals/ organizations exhibiting inadequate knowledge of the field. o There are inconsistencies in the reported information. o There are many remaining uncertainties after reading. o Although not used for this SFD, facts are reported in the report that are not correct. o Data collection or measurements are inadequate to support the stated conclusions. 	1
Documentation	high	<ul style="list-style-type: none"> o Methodology clearly reported in a fashion that study would be easily replicable. 	3
	medium	<ul style="list-style-type: none"> o Methodology understandable, but not reported in full. 	2
	low	<ul style="list-style-type: none"> o Methodology is not clear. 	1

The total score for this type of source is calculated as the sum of scores of representativeness + confidence + documentation. Once this total is calculated, the credibility corresponds to values 1 (Poor), 2 (Medium) or 3 (High) according to Table 4.

Table 4. Documented studies ranking

Total Score	Credibility
total ≤ 4	Poor
4 < total ≤ 7	Medium
total > 7	High

3.2.3 Interviews and FGDs

Interviews with city authorities, local government departments, NGOs, experts, community representatives, service providers. The classification of these data is shown in Table 5.

Table 5. Interviews and FGDs

			Score
Representativeness	high	<ul style="list-style-type: none"> ○ Interviews and FGDs were open and free-flowing, were conducted with diverse group of stakeholders' representatives of stakeholder mapping, and participants were actively involved and engaged in open debate. 	3
	medium	<ul style="list-style-type: none"> ○ Interviews and FGDs were open and free-flowing, but only possible with a limited number of stakeholders that was not fully representative. 	2
	low	<ul style="list-style-type: none"> ○ In FGDs a participant was controlling or dominating conversation, there was no free-flowing conversation. ○ Interviews were only conducted with one person, or representing only one viewpoint/sector. 	1
Depth of data	high	<ul style="list-style-type: none"> ○ Discussions and interviews were conducted until saturation, where no new information was revealed. 	3
	medium	<ul style="list-style-type: none"> ○ Discussions and interview results were not in agreement, but a reasonable interpretation of results could be made. 	2
	low	<ul style="list-style-type: none"> ○ Discussions and interviews did not result in convergence of data; answers were not in agreement among participants. 	1
Confidence	high	<ul style="list-style-type: none"> ○ Participants were selected based on their expertise, length of experience, and direct responsibility and active involvement with topic. ○ More than one interviewer working together and agreed and were confident in the reported data. ○ Participants reported consistent data/information throughout. ○ Participants appeared well-informed, willing to express opinions against their own interest, and clearly stated when they did not want to answer or that they did not know the answer. ○ Data sources were provided that validated answers. 	3
	medium	<ul style="list-style-type: none"> ○ Participants had a reasonable knowledge of topic. ○ Participants were not sure of answers, but seemed reasonably accurate. ○ Participants could not have been questioned in their mother tongue – inaccuracies may have occurred due to translations. 	2
	low	<ul style="list-style-type: none"> ○ Participants were preselected by another party. ○ Data collectors were not in agreement on data interpretation. ○ Interviewees and/or participants contradicted themselves with inconsistent answers throughout the session. ○ Participants provided some answers that appeared to the author to be clearly wrong. 	1

Documentation	high	<ul style="list-style-type: none"> ○ Sessions were well documented and written up within 24 hours. ○ Accurate records of methods were kept, including length, number of interviews/participants and recording method. 	3
	medium	<ul style="list-style-type: none"> ○ Notes were taken during interviews and FGDs. 	2
	low	<ul style="list-style-type: none"> ○ Notes or records were not kept during interviews or discussions. 	1

The total score for this type of source is calculated as the sum of scores of representativeness + scale + confidence + documentation. Once this total is calculated, the credibility corresponds to values 1 (Poor), 2 (Medium) or 3 (High) according to Table 6.

Table 6. Interviews and FGDs ranking

Total Score	Credibility
Total ≤ 6	Poor
6 < Total ≤ 10	Medium
Total > 10	High

3.2.4 Observation (incl. potential related interviews)

Observation only applies for comprehensive studies. The classification of these data is shown in Table 7.

Table 7. Observation

			Score
Representativeness	high	<ul style="list-style-type: none"> ○ Observation was open, non-intrusive, and occurred with minimum or no prior arrangement. ○ Additional expert interviews were conducted during observation to determine effectiveness and understand process. 	3
	medium	<ul style="list-style-type: none"> ○ Examples of technology were observed, but expert interviews to determine effectiveness were not possible. 	2
	low	<ul style="list-style-type: none"> ○ Limited observations, arranged by people who had an incentive to influence findings. ○ Examples of technology were observed, but not during usage. 	1
Scale	high	<ul style="list-style-type: none"> ○ A significant number of examples were observed to confirm distribution and usage. ○ Observations have been made in representative areas of the city. 	3
	medium	<ul style="list-style-type: none"> ○ Multiple types of technologies were observed, but not in replication. 	2
	low	<ul style="list-style-type: none"> ○ It was not possible to make observations in representative areas of the city. 	1
Confidence	high	<ul style="list-style-type: none"> ○ In-field measurements or proofs/checks have taken place during observation. 	3
	medium	<ul style="list-style-type: none"> ○ In-field measurements were not possible, but visual observation of performance was possible. 	2
	low	<ul style="list-style-type: none"> ○ Observations were conducted by only one person with no verification by local experts or without reasonable expertise. 	1
Documentation	high	<ul style="list-style-type: none"> ○ Notes were taken and/or photographs and/or videos were made during observation. 	3
	medium	<ul style="list-style-type: none"> ○ Some notes were taken, but no visual evidence documented. 	2
	low	<ul style="list-style-type: none"> ○ No notes were taken. 	1

**Note: observations can include interviews that take place during the observation.*

The total score for this type of source is calculated as the sum of scores of representativeness + scale + confidence + documentation. Once this total is calculated, the quality and credibility corresponds to values 1 (Poor), 2 (Medium) or 3 (High) according to Table 8.

Table 8. Observation ranking

Total Score	Credibility
total ≤ 6	1 (Poor)
6 < total ≤ 10	2 (Medium)
total > 10	3 (High)

4. Review process

4.1. Overview

This process has been created to evaluate, assess and improve the quality of reporting, by providing comments for authors and giving constructive criticism. To provide a common basis for assisting the review process, reviewers can use the checklist below and, on this basis, make a recommendation to upload or modify the SFD.

4.2. Reviewer's Checklist

The SuSanA team will answer the following questions to check the items submitted by the author/s. They will communicate the author/s the first decision on whether to continue with the process or not.

General Questions	Answer	Comments
Are all 4 parts of the SFD (SFD Report, json file, SFD Source Evaluation Tool, User's Checklist) provided?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Is the SFD the first produced for the city? a) <i>If yes, is it reasonable, credible and adequately explained?</i> b) <i>If not, are there significant changes since the preceding SFD and have these been adequately explained?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
Is the executive summary informative and does it follow the template provided (5 pages maximum)?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Style	Answer	Comments
Is the use of units of measurement consistent throughout the report?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the report follow the template provided?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are all chapters provided?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Is the report well-written and understandable?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Is there a list of acronyms (if needed) included?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Is the table of contents included?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Are table headers short, concise and informative and referenced?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are figure legends short, concise and informative and referenced?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the report contain the main and necessary facts included (25 pages maximum, excluding annexes)?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are all data sources used to produce the SFD graphic and report referenced according to the template given?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Content	Answer	Comments
Was the SFD methodology used? <i>If not: Are the reasons for the change explained?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
Is the terminology used as defined in the glossary consistently throughout the report? <i>If not: Are reasons given to do it differently?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
In case of using local terminology to describe sanitation systems, are they clearly defined and explained in the report?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the SFD Report include explanations of the SFD Graphic and of all assumptions made?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the report provide information on all stakeholders?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Are all assumptions explained, justified and referenced?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Were surveys carried out for data collection? <i>If yes: Are they included (with a summary of the methodology) in the corresponding annex?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the report include an overview of stakeholders engaged in the process? <i>If not: Is this fact explained?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the overall user assessment of the quality of the references and data sources seem appropriate?	<input type="checkbox"/> Yes <input type="checkbox"/> No	

4.3. Scoring rubric of the SFD report

As part of the review procedure, the SFD Promotion Initiative (SFD PI) has produced a scoring rubric to evaluate the SFD report and the suitability for publication in the Web portal. This rubric will be completed by an external and anonymous reviewer.

The rubric for the external reviewer is presented as follows. Scores go from 1 to 3. All sections are equally weighted. The external reviewer will assign a score value (either 1, 2 or 3) to all the sections. The final score will be calculated as the sum of all scores.

Presentation, Structure and Style	1	2	3	Score
<i>Overall presentation</i>	Report poorly presented, not well organized, messy and untidy.	Well-written report, adequate presentation, easy to read and follow.	Excellent report, presented in a professional way.	
<i>Use of English</i>	Poor unclear writing, serious errors of language.	Competent writing with minimal grammatical or spelling errors.	Excellent, fluent and sophisticated. Minimal or no errors.	
<i>Structure of the report</i>	Report follows a messy or no structure at all. Sections do not follow a logic and are hard to read.	Report follows a good structure and it follows the template. It is well organized and has good readability.	Outstanding structure, following the template. All sections are presented in an excellent way and follow a perfect logic.	
<i>Tables and figures: quality and clarity</i>	Tables and figures are unclear and confusing, no legends or inadequate explanations.	Tables and figures are clear and adequate presented in the text.	Tables and figures presented in an excellent way. High quality layout of tables and professional pictures.	
Content	1	2	3	Score
<i>Background and city context</i>	City context and background not explained or poorly presented. Vital information on sanitation context is missing.	City put correctly into context and background situation adequately explained. Basic facts and information on sanitation are included.	Excellent city context and background explanation, supported with plenty of facts and information.	
<i>Methodology</i>	The report does not completely follow the methodology. Poor or no justifications of the arguments given.	The report follows the methodology as described in the manual. Any modification is referenced but might	The report follows the methodology as described in the manual. No incongruences are found. Any modification is	

		need more clarification and justification.	perfectly justified and referenced.	
<i>SFD Graphic</i>	SFD provided but not explained in detail. SFD hard to follow since no or very little accompanying text is provided.	SFD provided and adequately explained in the text. Any significant value is referenced and is easy to follow and to understand.	SFD provided and explained in every detail. All values and arrows are properly justified, referenced and perfectly explained in the text.	
<i>Assumptions</i>	Assumptions used are not (or very poorly) justified and referenced.	Most of the assumptions are reasonable, justified and referenced in the text.	All the assumptions are very well justified and referenced. Thorough explanations are also included.	
<i>Stakeholder information</i>	No (or very poor) stakeholder information is included. No (or insufficient) KIIs, FGDs are performed.	Adequate stakeholder engagement and information provided. Information gained through KIIs, FGDs is good and covers the main aspects in the sanitation chain.	Excellent stakeholder engagement. Information gained through KIIs, FGDs is of very high quality and covers all aspects in the sanitation chain.	
<i>References</i>	Very few references used. Most of them are of poor quality.	Reasonable amount of references used. Most of them are of medium/high quality.	Extensive references used. All of them are of medium/high quality.	
Sum of Scores				

Quality of the report based on the sum of scores of the scoring rubric:

Total Score	Quality
total ≤ 15	Poor
15 < total ≤ 24	Average
total > 24	High

In addition to this rubric, the external reviewer will also provide feedback on several aspects of the report, including:

- General comments on the report.
- Highlights (points of interest).
- Key weaknesses.
- Recommended changes.
- Recommended action (accept/review/reject).

The template for this feedback is presented as follows.

Review of the SFD for [City], [Country]

Produced by [Name of author/s]

Submitted to the Helpdesk by [Person who submitted the report]

Review by:

Date:

General comments on the report

Please write here.

Highlights (points of interest)

Please write here.

Key weaknesses

Please write here.

Recommended changes

Please write here.

Recommended action (accept/ review/ reject)

Please write here.

Finally, based on the final score of the rubric and the feedback received by the external reviewer, the SuSanA team will decide to publish, amend or reject the report. The SuSanA team will also communicate that decision to the author/s.

5. Practicing the Procedures - Examples

A comprehensive example of the procedures presented on the previous chapters is presented here to serve as a basis for the user (section 4.1).

5.1. User self-assessment of data sources used

In this example, five sources are used (A, B, C, D and E) for the city of Bishoftu (Ethiopia).

- A. BCP (2015). Socio Economic Profile of Bishoftu City Administration. A **documented study** from the municipality of Bishoftu. (Section 2.2.2)
- B. **Interview** with the process owner of beautification in the **municipality** of Bishoftu. (Section 2.2.3)
- C. **Interview** with an urban **health extension worker** of Bishoftu. (Section 2.2.3)
- D. **Interview** with the owner of a **private company** providing emptying services in Bishoftu. (Section 2.2.3)
- E. **Field visit** to the dumping site of Bishoftu. First-hand impressions on the final disposal of the faecal sludge were observed. This was cross-checked with previous data reported in literature, interviews and documented studies.

The credibility and quality for each source, according to its type, are put by the user based on the guidelines previously described:

Source A:

Source	Type				Score
A	2	Representativeness	medium	Cited reference is up to date	3
		Confidence	medium	Article from a reputable organization	3
		Documentation	low	Methodology is not clear.	1

The total score is $3+3+1=7$. According to Table 4, the quality and credibility of this source is **High**.

Source B:

Source	Type				Score
B	3	Representativeness	high	Interview was conducted with diverse group of stakeholders' representatives of stakeholder mapping.	3
		Depth of Data	medium	Discussions and interview results were not in agreement, but a reasonable interpretation of results could be made.	2
		Confidence	high	Data sources were provided that validated answers.	3
		Documentation	high	Sessions were well documented and written up within 24 hours.	3

The total score is $3+2+3+3=11$.

According to Table 6, the quality and credibility of this source is **High**.

Source C:

Source	Type				Score
C	3	Representativeness	medium	Interviews and FGDs were open and free-flowing, but only possible with a limited number of stakeholders that was not fully representative.	2
		Depth of Data	medium	Discussions and interview results were not in agreement, but a reasonable interpretation of results could be made.	2
		Confidence	medium	Participants who had a reasonable knowledge of topic were selected.	2
		Documentation	low	Notes or records were not kept during interviews or discussions.	1

The total score is 2+2+2+1=7. According to Table 6, the quality and credibility of this source is **Medium**.

Source D:

Source	Type				Score
D	3	Representativeness	medium	Interviews and FGDs were open and free-flowing, but only possible with a limited number of stakeholders that was not fully representative.	2
		Depth of Data	low	Discussions and interviews did not result in convergence of data; answers were not in agreement among participants.	1
		Confidence	low	Data collectors not in agreement on data interpretation.	1
		Documentation	low	Notes or records were not kept during interviews or discussions.	1

The total score is 2+1+1+1=5. According to Table 6, the Quality and Credibility of this source is **Poor**.

Source E:

Source	Type				Score
E	4	Representativeness	High	Only one dump site exists and was the focus of this observation	3
		Scale	High	Field observations were made in several locations but only one location was identified where dumping was taking place	3
		Confidence	Medium	In-field measurements were not possible, but visual observation of performance was possible.	2
		Documentation	Medium	Notes were taken, but no visual evidence documented.	2

The total score is 3+3+2+2=10. According to Table 8, the quality and credibility of this source is **High**.

Quality and credibility summary for all sources

Source	Type	Quality and Credibility
A	2	High
B	3	High
C	3	Medium
D	3	Poor
E	4	High

5.2. Review Process

User's checklist example:

General Questions	Answer	Comments
Are all 4 parts of the SFD (SFD Report, json file, SFD Source Evaluation Tool, User's Checklist) provided?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Is your SFD the first produced for the city? a) <i>If not:</i> Are there significant changes in facts and figures? b) <i>If not:</i> Does it progress the previous report, i.e. has additional primary and secondary data been collected?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
Is the executive summary informative and follows the template provided (5 pages maximum)? <i>If not:</i> Please provide a reasonable explanation why.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Style	Answer	Comments
Is the report written in English? <i>If not:</i> Please indicate the language used	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Are international units used as units of measurement? <i>If not:</i> Is this fact explained in the report? (Please indicate the system used)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the report follow the template provided?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Are all chapters provided?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

Does the report contain the main and necessary facts included (25 pages maximum of writing, excluding annexes)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Is the table of contents included?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Is there a list of acronyms (if needed) included?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Are table headers short, concise and informative and referenced?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Are figure legends short, concise and informative and referenced?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Are all data sources used to produce the SFD graphic and report referenced according to the template given?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Content	Answer	Comments
Was the SFD methodology used? <i>If not: Are the reasons for the change explained?</i>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	Methodology was followed. Some minor modifications are used. They are well explained and referenced.
Have you used the terminology as defined in the glossary consistently throughout the report?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
In case of using local terminology to describe sanitation systems, are they clearly defined and explained in the report?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Does the SFD report include explanations of the SFD Graphic and of all assumptions made?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Are all assumptions explained, justified and referenced?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Were surveys carried out for data collection? <i>If yes: Please, include all surveys (including a summary of the methodology) in the corresponding annex.</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Does the report provide information on all stakeholders?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Does the report include an overview of stakeholders engaged in the process? <i>If not: Please explain why no stakeholder engagement was possible.</i>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

Reviewer's checklist example:

General Questions	Answer	Comments
Are all 4 parts of the SFD (SFD Report, json file, SFD Source Evaluation Tool, User's Checklist) provided?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Is the SFD the first produced for the city? a) <i>If yes, is it reasonable, credible and adequately explained?</i> b) <i>If not, are there significant changes since the preceding SFD and have these been adequately explained?</i>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
Is the executive summary informative and follows the template provided (5 pages maximum)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Style	Answer	Comments
Is the use of units of measurement consistent throughout the report?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Does the report follow the template provided?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Are all chapters provided?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Is the report well-written and understandable?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Is there a list of acronyms (if needed) included?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Is the table of contents included?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Are table headers short, concise and informative and referenced?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Are figure legends short, concise and informative and referenced?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Does the report contain the main and necessary facts included (25 pages maximum, excluding annexes)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Are all data sources used to produce the SFD graphic and report referenced according to the template given?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Content	Answer	Comments
Was the SFD methodology used?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Methodology was used but some adaptations were made. All

<i>If not, are the reasons for the change explained?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	assumptions are justified and referenced.
Is the terminology used as defined in the glossary consistently throughout the report? <i>If not: Are reasons given to do it differently?</i>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
In case of using local terminology to describe sanitation systems, are they clearly defined and explained in the report?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Does the SFD Report include explanations of the SFD Graphic and of all assumptions made?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Does the report provide information on all stakeholders?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Are all assumptions explained, justified and referenced?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Were surveys carried out for data collection? <i>If yes: Are they included (with a summary of the methodology) in the corresponding annex?</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	
Does the report include an overview of stakeholders engaged in the process? <i>If not: Is this fact explained?</i>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Does the overall user assessment of the quality of the references and data sources seem appropriate?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

Scoring rubric example:

Presentation, Structure and Style	1	2	3	Score
<i>Overall presentation</i>	Report poorly presented, not well organized, messy and untidy.	Well-written report, adequate presentation, easy to read and follow.	Excellent report, presented in a professional way.	3
<i>Use of English</i>	Poor unclear writing, serious errors of language.	Competent writing with minimal grammatical or spelling errors.	Excellent, fluent and sophisticated. Minimal or no errors.	3
<i>Structure of the report</i>	Report follows a messy or no structure at all. Sections do not follow a logic and are hard to read.	Report follows a good structure and it follows the template. It is well organized and has good readability.	Outstanding structure, following the template. All sections are presented in an excellent way and follow a perfect logic.	3
<i>Tables and figures: quality and clarity</i>	Tables and figures are unclear and confusing, no legends or inadequate explanations.	Tables and figures are clear and adequate presented in the text.	Tables and figures presented in an excellent way. High quality layout of tables and professional pictures.	2
Content	1	2	3	Score
<i>Background and city context</i>	City context and background not explained or poorly presented. Vital information on sanitation context is missing.	City put correctly into context and background situation adequately explained. Basic facts and information on sanitation are included.	Excellent city context and background explanation, supported with plenty of facts and information.	2
<i>Methodology</i>	The report does not completely follow the methodology. Poor or no justifications of the arguments given.	The report follows the methodology as described in the manual. Any modification is referenced but might need more clarification and justification.	The report follows the methodology as described in the manual. No incongruences are found. Any modification is perfectly justified and referenced.	2
<i>SFD Graphic</i>	SFD provided but not explained in detailed. SFD hard to follow since no or very little accompanying text is provided.	SFD provided and adequately explained in the text. Any significant value is referenced and is easy to follow and to understand.	SFD provided and explained in every detail. All values and arrows are properly justified, referenced and perfectly explained in the text.	3

<i>Assumptions</i>	Assumptions used are not (or very poorly) justified and referenced.	Most of the assumptions are reasonable, justified and referenced in the text.	All the assumptions are very well justified and referenced. Thorough explanations are also included.	2
<i>Stakeholder information</i>	No (or very poor) stakeholder information is included. No (or insufficient) KIIs, FGDs are performed.	Adequate stakeholder engagement and information provided. Information gained through KIIs, FGDs is good and covers the main aspects in the sanitation chain.	Excellent stakeholder engagement. Information gained through KIIs, FGDs is of very high quality and covers all aspects in the sanitation chain.	3
<i>References</i>	Very few references used. Most of them are of poor quality.	Reasonable amount of references used. Most of them are of medium/high quality.	Extensive references used. All of them are of medium/high quality.	2
Sum of Scores				25

The quality of the report based on the sum of scores of the rubric is **HIGH**.

Example of the feedback on several aspects of the report, based on the template:

Review of the SFD for Bishoftu, Ethiopia

Produced by *Municipality of Bishoftu*

Submitted to the Helpdesk by *Independent consultant*

Review by: *Anonymous reviewer*

Date: 31/03/2017

General comments on the report

The report of Bishoftu (Ethiopia) follows the template provided and it is written in good English. Although the methodology used by the authors to produce the SFD is slightly different from the SFD methodology, the assumptions made are reasonable and all data are well referenced.

Highlights (points of interest)

This is the first SFD produced for the city. The diagram will be used to promote dialogue among stakeholders and to improve the sanitation situation in the city.

Key weaknesses

Due to lack of data, some assumptions were made. Nevertheless, they are well explained, well referenced and no incongruences were found.

Recommended changes

No recommended changes are needed.

Recommended action (accept/ review/ reject)

Accept the report with no further modifications.