

TOOL # 1A: PRELIMINARY ASSESSMENT TOOL

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Overview

The key objective of this tool is to help the ULB understand the specific challenges in providing sanitation services in their town/ city, and assess if it has the capacity to plan and implement the solutions for those challenges, and deliver IFSM solutions for the town /city

How to use this tool

- The tool is divide into 2 sections - a brief description of each section is provided below:

Section 1: Understanding current service levels

This section assesses the current service levels in the collection, transportation, treatment, and disposal of faecal waste in the town and city, and identify gaps vis-à-vis recommended service levels.

Section 2: Assessing ULB capacity

This section assesses the ULB's capacity in terms of having adequate institutional and financial capacity to address the challenges identified. **This section should be filled out considering the additional finance and manpower that the ULB will require to provide recommended service levels**

- In each of these sections, there are questions that the Project Officer should provide their inputs
- Based on the inputs provided, the tool will provide recommendation on whether the ULB should conduct the activities in-house or engage private contractors

Section 1. Understanding current service levels

1. How many septic tanks/ pits (residential) are there in the town/city? ____
2. How many septic tanks/ pits (commercial) are there in the town/city? ____
3. How many septic tanks/ pits (community toilets) are there in the town/city? ____
4. Residential units:
 - Approximately how many septic tanks/ pits (IHHLs) are needed to be emptied annually? ____
 - How many were emptied last year? ____
5. Commercial units
 - Approximately how many septic tanks/ pits (commercial toilets) are needed to be emptied annually? ____
 - How many were emptied last year? ____
6. Community toilets
 - Approximately how many septic tanks/ pits (community toilets) are needed to be emptied annually? ____
 - How many were emptied last year? ____
7. What is the current process for emptying septic tanks/ pits?
 - a. Covers need to be broken/ changed
 - b. Manhole covers removed temporarily for emptying
8. Is there any spillage while septage is transported from the septic tanks/ pits?
 - a. Yes
 - b. No
9. Where do you dump the collected septage?
 - a. Open fields within/ outside the city
 - b. Local water body
 - c. Treatment plant
 - d. Other
10. On average, how much time does it take for the septic tank/ pit to get filled?
 - Residential: ____ months
 - Community: ____ months
 - Commercial: ____ months

Section 2. Understanding ULB capacity

This section should be filled out considering the additional finance and manpower that the ULB will require to provide recommended service levels

Staff capacity

1. How many additional staff members will the ULB require for the following?

Activity	Full time staff	Contractual /part time employees
1. Full-time managerial staff for overseeing and conducting monitoring of all activities		
2. Emptying and refurbishment of septic tanks/ pits		
Skilled Staff (Engineers/ Supervisory Staff)		
Semi-skilled staff (Drivers, masons)		
Unskilled staff (Cleaning workers)		
3. Construction of Septage Treatment Plants (STPs)		
Skilled staff (engineers) for assessment of construction and manage the construction work		
Semi-skilled staff (masons or machinery operators)		
Unskilled staff (Labor for general construction activities)		
4. O&M of Treatment Plants		
Skilled staff (Engineers and supervisory staff to oversee maintenance)		
Semi-skilled (Operators)		
Unskilled staff (Cleaning workers)		

Availability of Equipment / Machinery

2. How many additional suction units will the ULB require to provide cleaning services as per recommended levels?

Number of suction units	Type of suction unit (truck mounted/ trailer mounted/ others (please specify)	Capacity of the suction unit (less than 1 kL, 1-3 kL, 3-5 kL, more than 5 kL)

3. How many additional sets of protective cleaning uniform (uniform, gloves and other protective gear) will the ULB require? _____

Financial Capacity

- 1) Which of the following are available to you for the project?
 - a. ULB budget
 - b. City sanitation budget

- 2) Do you have state level guidelines to create a “septage management” head in your annual budget?
 - a. Yes
 - b. No

- 3) Can your city do a pre-project feasibility study on its own?
 - a. Yes
 - b. No

- 4) What is the estimated cost of the following for the ULB? For which of these does the ULB have budget for:

Activity	Estimated unit cost, INR lakhs 2016-17	ULB budget, INR lakhs 2016-17	City sanitation budget, INR lakhs 2016-17	No budget available for this (please mark “x” if applicable)
I. Cleaning and refurbishment of septic tanks/ pits				
Purchase cost of suction units				
Purchase cost of safety gear for cleaners				
Purchase cost of manhole cover				
Labour cost (driver + cleaner)				
II. Construction of Septage Treatment Plant (STPs):				
Cost for Planning of construction work (such as making initial construction plans)				
Purchase of construction material				
Labour costs (engineers + semi-skilled construction workers + laborers)				
III. O&M of Treatment Plants:				
Purchase of material for refurbishment and cleaning of STPs				
Labour costs				
Total				

Decision making:

Status	Way forward for the ULB
Available funding (ULB budget + city sanitation budget) is more than 75% of the total budget requirement	Seek additional funds to cover the gap, and provide services on its own
Available funding (ULB budget + city sanitation budget) is less than 75% of the total budget requirement	Consider private contractor engagement for the proposed IFSM project

Final Recommendation: _____