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SOLID WASTE CAPACITY INDEX FOR LOCAL GOVERNMENTS (SCIL)

Assessment Implementation Guide

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Acronyms and Abbreviations

3Rs	Reuse, Reduce, and Recycle
3R/SWM	Solid Waste Management including 3Rs
3R/SWMP	10-Year Solid Waste Management Plan
CCBO	[USAID] Clean Cities, Blue Ocean
LMIC	Low- to Middle-Income Countries
MRF	Material Recovery Facility
NGO	Non-governmental organization
PPP	Public-Private Partnership
SBC	Social and Behavioral Change
SCIL	Solid Waste Capacity Index for Local Governments
SIG	SCIL Implementation Group
USAID	United States Agency for International Development

Introduction

Clean Cities, Blue Ocean (CCBO) is the U.S. Agency for International Development’s flagship program to respond to the global crisis of ocean plastic pollution, designed to target land-based leakage directly at its source in ten countries and over 25 cities in rapidly urbanizing areas across Asia, the Pacific Islands, Latin America, and the Caribbean.

The program’s work supports USAID’s Five Building Blocks for Reduced Ocean Plastic Pollution:



1. Policies to enable a circular economy



2. Improved solid waste services and infrastructure



3. Locally-viable innovations and technologies



4. Sustained behavior change



5. An inclusive and equitable system

CCBO is implemented with support from the International City/County Management Association (ICMA), a non-governmental organization dedicated to creating and supporting communities throughout the world to thrive by providing professional development programs, research, publications, data and information, technical assistance, and training. ICMA brings its expertise in working with local governments to CCBO, with a focus on supporting local governments’ capacity development.

Local governments commonly have the important role of creating and implementing solid waste management (SWM) programs as critical services for its citizens, however, many do not have the institutional capacity (skills, resources, infrastructure, knowledge and ability) to successfully plan, build and operate these systems. Furthermore, many local governments do not know what capacity is needed to undertake and sustain SWM systems—and those that include the 3Rs (reduce, reuse, recycle).

What is the Solid waste Capacity Index for Local governments—or SCIL?

CCBO developed the **Solid waste Capacity Index for Local governments** (SCIL – pronounced like “skill”) to provide a methodical and distilled, yet comprehensive approach for local governments to assess their capacity to create and sustain an economically and environmentally sound 3R/SWM system. The SCIL provides an assessment tool that is focused on the key elements required to establish and maintain a sustainable, efficient, effective, and equitable system. The tool was developed based on CCBO’s observations, experience, and research of best 3R/SWM practices amongst low- and middle-income country local governments around the world.

The SCIL is intended to be a practical self-assessment tool for local governments to improve their 3R/SWM systems by first determining the areas where gaps may exist in their capacity that are limiting their ability to expand, create and/or sustain these systems. Once an assessment is conducted, the SCIL provides a numerical score from which a local government can evaluate and transparently report its status with respect to its capacity to implement and sustain a robust 3R/SWM system. The tool seeks to balance the complexities of the requirements for implementing 3R/SWM systems with the need for local governments to conduct the assessment in a reasonable timeframe with existing resources, leading to an accurate and meaningful rating.

The SCIL Toolkit

This **SCIL Implementation Guide** provides additional context on the SCIL Assessment Tool and guidance on how to conduct the assessment. The SCIL is designed to be user-friendly and intuitive, but this Implementation Guide provides important information for users covering the SCIL's purpose, structure, application, and adaptations. It is recommended that this Implementation Guide be read in its entirety before commencing with the SCIL Assessment.

This guide is part of a [SCIL Toolkit](#), which also includes the:

- **SCIL Assessment Tool** – a Microsoft® Excel-based assessment tool that local governments complete to measure their 3R/SWM capacity across six components: Planning, Policy and Legal Framework, Financial Management, Service Delivery, Human Resources and Community Engagement.
- **SCIL Survey Preparation Documents** – individual PDFs that contain all the questions (by component) that need to be answered in the Assessment Tool. These should be reviewed in advance by those conducting and participating in the SCIL.
- **Sample SCIL Orientation presentation** – a PowerPoint presentation that can be used to introduce the SCIL to local government staff.
- **SCIL Primer curriculum** – a series of virtual trainings designed to build the understanding of those considering or about to be part of the SCIL process on each of the tool's six focus areas.



The SCIL Toolkit can be accessed and downloaded at urban-links.org/ccbo or by scanning the QR code, above.

I. Purpose and Value of the SCIL

The SCIL is a structured tool for assessing a local government's capacity to implement an integrated 3R/SWM system. When using the SCIL framework, local governments will take stock of their current capacity, establish a common set of facts, and lay the foundation for future action planning. As a result, a local government can rely on the SCIL findings to invest its resources strategically and chart a path towards improving its 3R/SWM system.

I.1 Intended Uses and Limitations of the SCIL

The SCIL is a practical assessment tool to measure the capacity of LMIC local governments for 3R/SWM against established “good” or “best” practices. Its primary purpose is to provide a methodical approach to examining all six components of a solid waste system—with a resulting score that provides a snapshot of current 3R/SWM practices to identify gaps and provides a framework and foundation for learning and adapting, identifying challenges and opportunities, and prioritizing interventions. The process also stimulates dialogue and critical thinking among government employees about current 3R/SWM practices and opportunities for improvement within their jurisdiction.

Local governments are encouraged to use the SCIL Assessment as a precursor to, or in conjunction with, action planning, which may include the development or revision of local 3R/SWM plans. The SCIL process can be used as a one-time, stand-alone assessment, but has greater utility and potential impact when it is used as a continuous improvement, internal management, and learning tool. The SCIL score can provide a succinct way to communicate a local government's 3R/SWM capacity at a particular point in time—and serves as a reference point that local officials and staff may use on a regular basis to take stock of their progress over time (as a monitoring and evaluation tool).

Since the tool is designed around generalizable 3R/SWM good practices in LMICs, comparisons with other communities should be undertaken with caution. Certain elements may have more or less relevance given the local context. Although the composite scores produced from the SCIL Assessment can point to relative strengths and weaknesses at a high level, they are abstract constructions that can hide important nuances and complexity. Composite scores should be interpreted with care, serving as an entry point for further discussion, analysis, and action. Similarly, local governments should avoid using SCIL scores as a singular reporting and accountability tool, to prevent scores from stifling honest and introspective conversations, undermining the tool's primary purpose as an internal management tool.

I.2 When to Use the SCIL

There is never an inappropriate time for local governments to critically review and discuss their 3R/SWM practices and capacity. Accordingly, a SCIL Assessment may be conducted at any time. It is most beneficial, however, when followed by an opportunity to develop, update, or revise local 3R/SWM plans or strategies. The SCIL score (or individual component scores) may also be used effectively as a diagnostic methodology for donor organizations seeking to systematically identify opportunities that they may wish to support.

As discussed above, a local government may use their SCIL score to periodically evaluate progress over time, or even continuously if local 3R/SWM staff want to update their score in real time as they achieve milestones. The SCIL score is not intended to be used as a summative or a final evaluation; it should be used as forward-looking with the understanding that there is always room for improvement.

1.3 Intended Users and Audiences of the SCIL

The SCIL is designed as a self-assessment tool for local governments, however it may be helpful to have external support from universities, non-governmental organizations (NGOs), or international donors to facilitate the assessment process in a neutral way; helping the participants understand the criteria and sub-criteria so they can assess their own strengths and weaknesses. The process can promote information sharing, a healthy internal dialogue, and consensus building (by including representatives from various departments/offices and levels of the organization).

Once completed, local governments may choose to keep the SCIL Assessment and score only for internal reference. It is recommended, however, that the results be shared with key stakeholders to increase transparency and accountability. If the SCIL Assessment itself is not shared with stakeholders and the public, any subsequent 3R/SWM plans, including capacity-building plans, or strategies that are developed based on the SCIL findings certainly should be. *Guidance is provided in Section Four on how local governments can conduct the SCIL Assessment and share results, but ultimately this should be decided by municipal leaders and staff.*

2. Organization and Approach of the SCIL Assessment

The SCIL is organized into components, sub-components, criteria, and questions. To obtain a SCIL score, local governments must complete an assessment using the SCIL Assessment Tool. The tool enables local governments to score themselves for each component using the following the definitions, points system, and evidence/justification requirements.

2.1 SCIL Components, Sub-Components, Criteria, and Questions

The SCIL is organized in a cascading manner with each level becoming more specific. Each of the six components are broken down into sub-components, which clarify what part of each component is being measured by the SCIL. Criteria for each sub-component are then identified and each criterion have one or more specific questions that are designed to capture information about a local government's capacity for that criterion within the sub-component.

Components

The SCIL addresses six components of local capacity that are critical to 3R/SWM. Together they represent the multi-faceted abilities that a local government needs to deliver efficient, sustainable, and equitable 3R/SWM services.

THE SIX SCIL COMPONENTS:

- | | |
|-------------------------------|-------------------------|
| 1. Planning | 4. Service Delivery |
| 2. Policy and Legal Framework | 5. Human Resources |
| 3. Financial Management | 6. Community Engagement |

Sub-Components

For each of these components there are sub-components that recognize different areas of focus within.

Table 1. SCIL components and sub-components

Component and Description		Sub-Components
1. Planning	Measures whether there is a well-developed and comprehensive plan for the SWM system that meets the needs of its citizens.	<ul style="list-style-type: none"> • Has a transparent and strategic planning process • Has a comprehensive and approved long-term 3R/SWM Plan
2. Policy and Legal Framework	Measures whether the local laws and policies fulfill a local government's responsibilities in accordance with national legal requirements, strategy, and policy.	<ul style="list-style-type: none"> • Legal and policy framework enables and supports 3R/SWM practices • Local 3R/SWM Laws and Policies are Monitored and Enforced • Local 3R/SWM practices and Responsibilities are Institutionalized
3. Financial Management	Measures the extent to which systems are in place to administer, budget, and track all 3R/SWM system expenses and revenues.	<ul style="list-style-type: none"> • Identification and Analysis of 3R/SWM Financing and Funding Options • Establishment of Comprehensive 3R/SWM Budgets • The 3R/SWM Budget is Executed Faithfully and Efficiently
4. Service Delivery	Measures the extent to which a local government has the infrastructure and protocols in place to deliver reliable, equitable, and environmentally sound 3R/SWM services to all its citizens for all waste types, including recyclable/reusable waste.	<ul style="list-style-type: none"> • Waste Collection Services • Collected Material Processing and Marketing • Non-segregated Waste Treatment and Disposal • Performance and Evaluation
5. Human Resources	Measures the extent to which a local government has established effective and equitable human resources, structures, and processes that are required to competently and safely deliver 3R/SWM services.	<ul style="list-style-type: none"> • 3R/SWM Staffing and Organization • 3R/SWM Human Resource Administration • 3R/SWM Training • 3R/SWM Worker Safety
6. Community Engagement	Measures the extent to which a local government has engaged citizens and civil society groups in the 3R/SWM planning and implementation process and incorporated	<ul style="list-style-type: none"> • Citizen participation in 3R/SWM Decision-making, Oversight, and Outreach • Implementation of Effective Strategies

	their input into the design and monitoring of the system.	for Changing 3R/SWM Behaviors
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Criteria

For each sub-component there are criteria which further breakdown and clarify the complexity of the sub-component. The criteria for each component range from as few as seven to as many as twelve and the number of questions for a criterion range from one to nine.

Table 2. SCIL criterion and questions

Component	Number of Sub-Components	Number of Criterion	Number of Questions
1. Planning	2	9	36
2. Policy and Legal Framework	3	12	30
3. Financial Management	3	7	24
4. Service Delivery	4	7	36
5. Human Resources	4	8	23
6. Community Engagement	2	11	28
Total	18	54	177

Questions

The SCIL questions are at the heart of the SCIL process—they guide the discussion and process. It is by answering a question in the affirmative that points are acquired and added to a SCIL score.

- The questions can only be answered by a “Yes” or “No” to make scoring easier and more transparent.
- Questions vary in complexity but should always be answered either with a confirming “Yes” or an acknowledgement of “No.”
- Some questions have two parts. Both parts need to be a “Yes” for the final answer to be a “Yes.” No points are given if the answer is only partial.
- While the aim of the assessment is to move towards being able to show as many “Yes” answers as possible, exploring and discussing why an answer is “No” and how it can be changed to a “Yes” when the SCIL is conducted again, can be incredibly valuable.

Waste management is a very complex system that requires a balance of resources, protocols, planning and logistics. To truly characterize a local government’s capacity to implement a sustainable 3R/SWM system, therefore, would require great specificity. It was determined that to capture that level of specificity would likely require more questions than the average local government would have the time and resources to

complete. Therefore, the SCIL aims to strike a balance by asking as few questions for each criterion as possible while not losing the nuances of a local government’s capacity. The previous table shows the number of questions in each sub-component.

Table 3. Examples of SCIL questions

Criterion	Questions	Answer Options
All Households and Non-households have access to collection of Non-segregated/Residual Waste	Do all the households within the local government's jurisdiction have collection services for non-segregated/residual waste (at the curb or by convenient drop-off) - either as a government service or through a contract with a licensed waste collection company/organization?	Yes/No
	Do all non-households within the local government's jurisdiction (including government facilities and public areas) have collection services for non-segregated/residual waste - either as a government service or through a contract with a licensed waste collection company/organization?	Yes/No
	Are collection services for non-segregated/residual waste provided to those individuals living in informal settlements within the jurisdiction (either as a government service or through a contract with a licensed waste collection company/organization)?	Yes/No

The answers to each question will need to be entered into the Microsoft® Excel based SCIL Tool that is described in Section 2.3. Documentation for each “Yes” answer must be obtained, as described in Section 2.2. Local governments can answer the questions and collect documentation in a variety of ways. The approach used by Clean Cities, Blue Ocean in its SCIL pilots is described in Section 3.1.

2.2 Documentation Required for the SCIL

Local governments’ successful use of the SCIL will depend on a willingness to honestly assess its capacity and to be transparent in the process. Organizations are encouraged to conduct a trial run through the questions to identify potential “Yes” answers that can be tracked in Column K of the SCIL Tool (Preliminary Response – Mark if you think the answer to this question is “Yes”); *but* the SCIL score will not increase until documentation or evidence is provided that can support the “Yes” answer in Column M (Have Evidence – Mark if you have the evidence to show that the answer is “Yes”).

Documentation will take many forms because the 3R/SWM system is supported by governance activities in so many ways. Generally, the documentation should be official information generated by or under the oversight of the local government. This documentation may be found in the form of:

- **Government approved, endorsed or accepted documents** - such as plans, policies, budgets, laws, protocols, official reports (including to or from higher levels of government), etc.;
- **Internal documents** - such as database reports, meeting minutes, sign-in sheets, advertised items, the local government’s social media postings, etc.; or
- **Administrative documents** - financial statements, invoices, contracts, etc.

One document may be used to provide evidence for more than one question. For example, the solid waste

management plan document is likely to provide the evidence needed for almost all the questions in the Planning Component. Therefore, it will be important to include in the notes (Column S in the SCIL Tool) the document page(s) wherein the evidence for that specific question can be found. This will help those that wish to reference this information in the future.

2.3 The SCIL Tool

The SCIL Tool is a Microsoft® Excel-based spreadsheet that displays and tallies all of the information gathered during the SCIL Assessment. The SCIL Tool is designed to be user-friendly and intuitive. This section describes the layout and content of the tool, and the data that can be entered for each tab. CCBO recommends that SCIL users read through Section Two in its entirety to ensure understanding of the tool’s organization and how data can be entered to create the SCIL score.

The tool has two main parts:

- 1. A **dashboard** that summarizes the high-level analysis of all the SCIL components into a single tab of the spreadsheet. The dashboard presents the overall SCIL score and individual SCIL scores for each SCIL component.
- 2. **Component tabs** within the spreadsheet for each of the six components where the findings of the SCIL Assessment are entered. The way these tabs appear in the SCIL Tool is shown in Figure I.

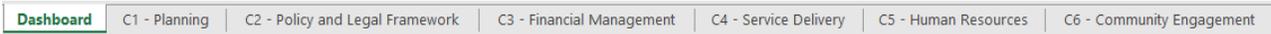


Figure I. SCIL Tool spreadsheet tabs

The SCIL Score Dashboard

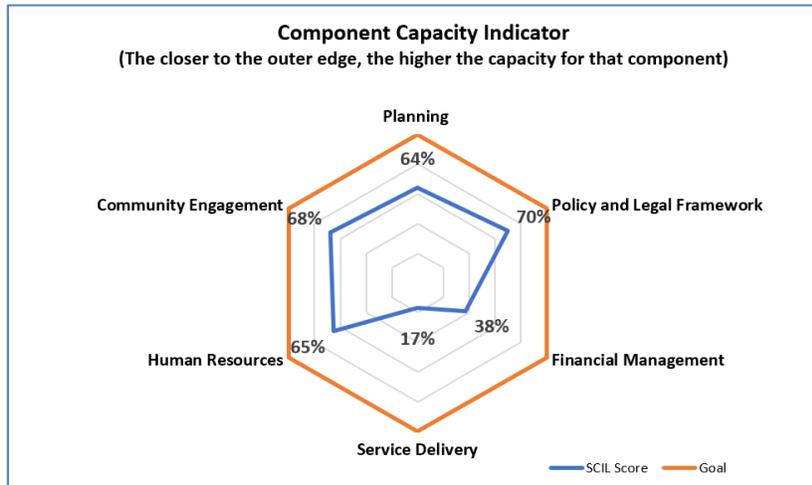
The SCIL Tool will automatically calculate scores in the dashboard tab once the answers to the criteria questions are entered into each of the SCIL Tool’s component tabs and the appropriate documentation gathered (to be discussed in the second half of this section).

As shown below, the dashboard contains a table displaying how many questions there are in each component; the capacity points from each of the component tabs (in the column labeled “Number of Questions Answered as “Yes” Where Documentation Was Found);” and overall and individual component SCIL scores, which are assessed as a percentage of the points received divided by the points possible. Component scores serve as a high-level indicator of a local government’s solid waste capacity in each component. The overall SCIL score is the percentage of the total number of “Yes” answers divided by the total number of questions (177).

SCIL scores are presented on the dashboard as both a table and a radar graph to provide a visualization of a local government’s relative strengths and weaknesses by component. Both the table and graph present the same information, but in different ways.

Component	Total Number of Criteria Questions	Number of Questions Answered as "Yes" Where Documentation Was Found	SCIL Score	Goal
Planning	36	23	64%	100%
Policy and Legal Framework	30	21	70%	100%
Financial Management	24	9	38%	100%
Service Delivery	36	6	17%	100%
Human Resources	23	15	65%	100%
Community Engagement	28	19	68%	100%
Overall	177	93	53%	100%

Figure 2. SCIL dashboard views



It is important to be aware of the risk of over-simplifying the results of the SCIL overall score. Since points are summed from the criteria questions and then to the sub-component and component levels, the final SCIL score becomes more abstract. For example, overperformance in one component can hide underperformance in another. Accordingly, an average SCIL score can mask significant problems in one or more of the components or sub-components if users rely too heavily on interpreting the composite scores. While the composite score can be useful as a general gauge of progress vis-à-vis each component and over time, there is greater value in analyzing the results of the assessment in each individual sub-component and criteria.

Resulting SCIL scores also have less meaning on their own than if assessed within the local government’s specific context. For example, without context, it would be difficult to understand what a SCIL score of 50 means. For one local government conducting this assessment for the first time, this score could be an indication of a community that has started to build its 3R/SWM capacity. For a local government that had a SCIL score of 10 for its first SCIL Assessment and achieved a SCIL score of 50 on its second—this score would indicate a huge achievement and a major investment toward building a sustainable 3R/SWM system. As informative as the SCIL score (and its component scores) can be to a local government, it is important to remember that in addition to receiving a score, going through the SCIL process itself is beneficial and will stimulate dialogue and critical thinking about current 3R/SWM practices and opportunities for improvement. To that end, a more appropriate interpretation of composite scores involves comparing between component scores over time to help a local government identify its relative strengths and weaknesses and help it to prioritize efforts and resources for improvements.

The following rubric can be used to help interpret the meaning of SCIL scores.

Figure 3. SCIL score rubric

SCIL Score	Indication
0% – 30%	Insufficient capacity has been established
31% – 50%	Basic capacity has been established, but a considerable amount is still needed
51% – 70%	More than the Basic Capacity has been established, but additional capacity is needed to ensure a sound and efficient SWM system
71% – 90%	Secured capacity to operate a sound system, but could use additional targeted capacity building
91% - 100%	Best practices being implemented, and only minimal capacity building is needed

In addition to the analysis results provided in the dashboard, a detailed breakdown is provided on each of the component tabs (in Columns S – V), following the last question of the component, to provide users with a better understanding of which capacities within any component are specifically low. *This is discussed further on page 14.*

The SCIL Component Tabs

The SCIL components tabs all follow a similar structure. Figure 4 shows a screenshot of the top few rows of one of the component tabs. The header in row two is the same across all component tabs.

Component 5 - Human Resources: This component measures the extent to which a local government has established effective and equitable human resources, structures and processes that are required to competently and safely										Component Score:		0 out of 23 points	
Sub-Component	Sub-Component Description	Criterion #	Criteria	Question #	CCBO SCIL Assessment Criteria Questions	Response – Mark if you think the answer to this question is “Yes”	Have Evidence – Mark if you have the evidence to show that the answer is “Yes”	Name of the documents provided as evidence for criteria questions that were answered as “Yes”	URL link to the evidence document(s)	Summary Score for each Criteria (# Yes Answers)	Notes (Issues, Comments, Clarifications, where within the documents evidence can be found, etc.)		
3R/SWM Staffing & Organization	This sub-component measures the extent to which the human resources and organizational structure allows the local government to effectively deliver 3R/SWM services and undertake 3R/SWM activities.	1	Adequate support and staffing levels are known and described	1	Has the local government conducted an analysis to determine the human resources required to deliver 3R/SWM services effectively?					0			
				2	Do local government departments/units involved in (or that support the 3R/SWM) have clear understanding of their contribution to the 3R/SWM system, to other departments/units								
		3	Staff have been assigned to execute key 3R/SWM functions	Is the 3R/SWM organizational chart up-to-date, accurate, and reflects staffing needs	3	Does the local government gather gender-segregated data on its 3R/SWM employees?						0	
					4	Do the local government’s 3R/SWM positions have clearly described roles & responsibilities, with required qualifications, experience levels, and skills?							
					5	Is there a local government unit/individual assigned that is responsible for local 3R/SWM enforcement?							
					6	Is there a local government unit/individual assigned that is responsible for local 3R/SWM planning?							
					7	Is there a local government unit/individual assigned that is responsible for providing (or overseeing) local 3R/SWM services delivery (e.g., waste collection, transportation, processing/marketing of recyclables and disposal)?							
					8	Is there a local government unit/individual assigned that is responsible for local 3R/SWM operation & maintenance of equipment, and vehicles?							
					9	Is there a local government unit/individual assigned that is responsible for local 3R/SWM billing?							
					10	Are all the local government’s budgeted 3R/SWM positions filled, or actively under recruitment?							

Figure 4. Sample of the SCIL Tool’s component tabs

Table 4 lists all the fields that can be found in each component, describes what each row contains, and the column where it can be found.

Table 4. Fields contained in each component tab

Component Description – Brief description of the component objective [Row I, Columns C – K]
Component Score – This will automatically change as more “Yes” answers are entered into the “Have Evidence” column [Row I, Columns O – S]
Sub-Component – Name of the sub-objective of the component [Column C]
Sub-Component Description – Brief description of the sub-objective [Column D]
Criterion # – Assigns a number to each criterion listed in Column F [Column E]
Criteria – The capacity being sought under the component [Column F]
Question # – Assigns a number to each question listed in Column H [Column G]
CCBO SCIL Assessment Criteria Questions [Column H]
Preliminary Response – Use this to document initial answers to the questions prior to obtaining the documentation that verifies that the answer is a “Yes” [Column K]
Have Evidence – Mark if you have the evidence to show that the answer is “Yes” - Placing a “Yes” in this column will increase the component SCIL score by one [Column M]
Name of the documents provided as evidence for criteria questions that were answered as “Yes” – Enter the document name [Column O]
URL link to the evidence document(s) – Enter the weblink or file location where the document can be found [Column P]
Summary Score for each Criteria (# Yes Answers) – This is automatically calculated and entered for you [Column Q]
Notes (Issues, Comments, Clarifications, where within the documents evidence can be found, etc.) [Column R]

The SCIL Tool contains a column which allows for a preliminary “Yes” or “No” response to be entered (Column K) to allow those participating in the SCIL Assessment to quickly go through the SCIL questions and indicate a preliminary response; marking those questions for which evidence will need to be found. A “Yes” in this column will have no impact on the SCIL Score.

Increasing the SCIL score requires that the **“Have Evidence – Mark if you have the evidence to show that the answer is “Yes”**” field to be entered as “Yes.” When this is done, an additional point will be generated and automatically added to the SCIL score. If the answer is “Yes,” additional information must be added to the **“URL link to the evidence document(s)”** and the **“Name of the documents provided as evidence for criteria questions that were answered as “Yes”** fields.

The **“Notes (Issues, Comments, Clarifications, where within the documents evidence can be found, etc.)”** field should be used to note any information that would reveal if the local government can answer “Yes” to any part of the question. This information may be particularly helpful if the *Preliminary Response* in the SCIL Survey Preparation Document is “Yes” but the *“Have Evidence”* is “No” to explain the initial response and why documentation was not provided. If documentation is available, this field can be used to identify where within the document the specific reference can be found.

The SCIL Tool automatically tallies the SCIL points as questions are completed. As the **“Have Evidence – Mark if you have the evidence to show that the answer is “Yes”**” field is completed in the SCIL Tool, the score for that component will tally in the upper right-hand corner of each component tab of the SCIL Tool, as shown below.

Component Score: 10 out of 30 points				
Have Evidence – Mark if you have the evidence to show that the answer is “Yes”	Name of the documents provided as evidence for criteria questions that were answered as “Yes”	URL link to the evidence document(s)	Summary Score for each Criteria (# Yes Answers)	Notes (Issues, Comments, Clarifications, where within the documents evidence can be found, etc.)
YES			1	

Figure 5. Component tally found in each component tab

Additional Analysis

Within each of the component tabs, additional information is automatically generated as information is entered into the tool (see example in Table 5). For each component, a table tracks how many questions within each of the criterion were answered “Yes” and provides a SCIL score for the criterion. This information helps to pinpoint those specific areas where capacity is high—but, more importantly, provides those participating in the SCIL Assessment with a more specific idea as to which criterion are lacking capacity and for which to direct resources as part of the recommendations for action in the final SCIL report.

The following table provides an example of additional analysis from a local government’s Financial Management tab. The analysis tells us is that the Financial Component SCIL score is 67%. This indicates that more than the basic capacity has been established in the area of financial management, but additional capacity is needed to ensure a sound and efficient SWM system. The additional analysis also clearly indicated that capacity building is needed in this area to ensure that budgets are faithfully and efficiently executed because this sub-component only achieved 53%, while the other two scored 100%. More specifically, this analysis shows that only two of the five criteria need attention (marked in red below): 1) Financials are accurate, timely and used to manage the 3R/SWM System, and 2) financial policies and standard operating procedures are well documented. With this specific information in hand, focus can be brought to these two financial management areas and improvements made.

Table 5. Financial Management additional analysis example automatically generated by the SCIL Tool

Sub-Component Score	Sub-Component	Criterion	Question Numbers	# of "Yes"	# of "No"	Score by Criterion
100%	Identification and Analysis of 3R/SWM Financing and Funding Options	Sufficient 3R/SM financing and funding sources have been identified	1-3	3	0	100%
100%	Establishment of Comprehensive 3R/SWM Budgets	The 3R/SWM annual budget reflects 3R/SWM plan and investment plan priorities	4-7	4	0	100%

53%	The 3R/SWM budget is executed faithfully and efficiently	Financials are accurate, timely and used to manage the 3R/SWM System	8-10	0	3	0%
		Financial policies and standard operating procedures are well documented	11-15	0	5	0%
		Financial protocols mitigate ethical risks	16-19	4	0	100%
		Systems are in place to appropriately charge and collect 3R/SWM revenues	20-23	4	0	100%
		3R/SWM revenues are not diverted to non-3R/SWM activities	24	1	0	100%
67%	Total		16	8		

3. Instructions for Conducting the SCIL Assessment

Up until this point, this guide has just discussed the SCIL tool and the benefits to local governments in obtaining a SCIL score to identify areas where improvements should be made to the 3R/SWM system. Just as important as the tool itself, however, are the additional benefits realized by government staff simply by going through the SCIL process. The SCIL is intended to be an interactive process that brings together staff responsible for all aspects of the 3R/SWM system and facilitates communication and cross-exchanges of information. This collaboration fosters the development of creative ideas for solving problems and removing obstacles that prevent the system from providing quality service. This section provides guidance on how to approach conducting a SCIL Assessment.

3.1 Proposed Steps to the Process

There are eight steps in the SCIL Assessment process:

1. **Gain local government support** - Obtain approval for conducting the SCIL
2. **Appoint a local SCIL leader** - identify a local government employee to see the process through
3. **Designate a SCIL coordinator** - identify an objective individual or designated third-party to be the facilitator, compiler, and tracker for the project
4. **Designate a SCIL Implementation Group (SIG)** - identify the people to answer the component questions and participate in make recommendations
5. **Answer the survey questions** - have each member of the SIG see that the questions for their component are answered
6. **Gather documentation** - SIG members identify the government documents that verify the answers to the survey questions
7. **Compile and analyze findings** - Input the answers to the survey questions into the SCIL Tool and analyze the results
8. **Report findings and recommendations** - Prepare a document that reports the SCIL score and the SIG's recommendations for approval and acceptance by the governing authority

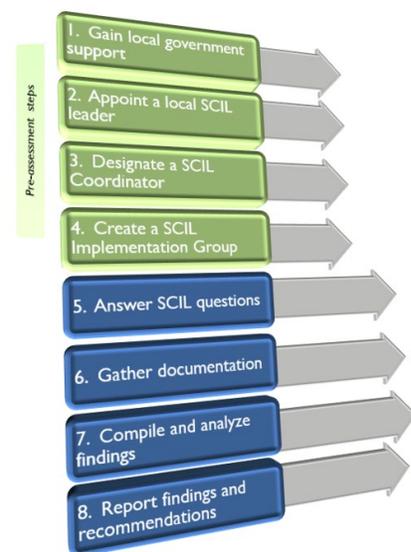


Figure 6. Proposed SCIL Assessment Steps

3.2 Preparing for the Assessment

Steps 1-4 should be completed before the assessment is conducted. The following sections describe each of these pre-assessment steps.

Gain Local Government Support

Before starting the SCIL assessment process, it is critical that briefings be conducted with local

government elected officials and leaders to ensure they understand the benefits and purpose of the SCIL Assessment. At the completion of these briefings, officials should commit to their staff participating in the process and allocate time for them to complete the SCIL Assessment steps. Officials should also understand that the result will be a report with recommendations that should lead to post-assessment initiatives (action planning) and that they will be asked to accept this report and commit resources toward implementation of the recommendations.

The assessment will require the time of at least six local government staff. The local government should make it clear to participating staff that this is a priority so that time can be allotted for staff to gather data and participate in the assessment. Consider having the Mayor or Administrative Director send a written letter to those selected for the SCIL Implementation Group (SIG) to ask for their attention to the project.

Appoint a Local SCIL Leader

In addition to political support, it is critical that the local authority appoint a local government representative as the SCIL leader. The SCIL leader is responsible for spearheading the assessment exercise and will work closely with the SCIL coordinator to assess the Assessment’s progress and mitigate any challenges that arise. The leader may be any employee that carries enough authority within the local government to engage department heads and present the findings to the government committee or council that will have final approval of the results. This may be a commissioner, deputy, head of the environmental office, mayoral assistant, etc.

ROLE OF THE SCIL LEADER:

- Serve a main representative of the local government for the SCIL Assessment
- Work with department heads to select the key individuals that will take part in the SCIL Assessment
- Lead the SIG and facilitate SIG meetings
- With support of the SCIL Coordinator, develop a timeline and schedule for implementing the SCIL Assessment
- Foster cooperation for the SCIL Assessment
- Rally support for the SCIL Report recommendations
- Present the SCIL Report findings to the appropriate oversight committee on solid waste management
- Lead the development and execution of the Action Plan resulting from the SCIL Assessment

Designate a SCIL Coordinator

While the SCIL leader will be the internal staff person overseeing and orchestrating the SCIL process, a SCIL coordinator must be appointed to support the administration of the SCIL Assessment. It is recommended that this be an objective individual or designated third-party who may have little or no stake

in the outcome of the SCIL Assessment and can impartially determine whether the answers to the SCIL questions have been substantiated with appropriate documentation.

ROLE OF THE SCIL LEADER:

- Liaise with the SCIL leader
- Coordinate the SCIL meetings (initial orientation, analysis validation/recommendations, report validation/approval)
- In collaboration with the SCIL leader, develop a timeline and schedule for implementing the SCIL Assessment
- Distribute the SCIL survey preparation documents to the SIG members
- Receive the answers and documentation for SCIL questions
- Establish an electronic file for documentation
- Review the documentation with SIG members, one-on-one by component
- Ensure that the data is entered into the SCIL Tool to obtain SCIL scores
- Prepare draft analyses of the SCIL data for discussion with the SIG
- Facilitate a discussion with SIG members to develop recommendations and identify the top priorities
- Draft and finalize the SCIL Report

The SCIL coordinator, in particular, must be very familiar with the SCIL Tool and be able to conduct the assessment in a professional manner, without inserting any bias. If necessary, they will need to provide guiding questions to the SIG and tactfully challenge evidence that may not support different elements of the criteria. If possible, it is recommended that two SCIL coordinators be appointed so that two people can take and compare notes (in the provided space in the tool). Local government staff members or even university or NGO representatives may be considered for this role.

Designate a SCIL Implementation Group (SIG)

It is critical that a cross-section of individuals that are involved in all six components of the SCIL be selected to participate in the SCIL Assessment. This committee is the SCIL Implementation Group, or SIG. Its make-up should include representatives for each of the components, along with the SCIL leader.

ROLE OF SIG MEMBERS:

- Represent their department for the component of the SCIL Assessment that most closely aligns with their expertise
- Participate in consultation meetings
- Answer survey questions for the appropriate component surveys
- Gather or facilitate the gathering of documentation for “Yes” answers
- Meet with SCIL coordinator to clarify answers
- Provide information and feedback to other members of the SIG, the SCIL leader, and the SCIL coordinator
- Gather and submit the evidence documents required (into a designated electronic file or to the SCIL coordinator)
- Review and provide recommendations for preparation of the SCIL Report
- Support the approval of the SCIL Report

3.3 Proposed Implementation Schedule

The approach outlined in this guide is designed to minimize the time it takes to complete the SCIL process and that any staff member must set aside to participate. This has been accomplished by limiting the time that the SIG meets as a group, limiting the number of questions for each component to no more than 36 questions, assigning components to different departments, and having the SCIL coordinator meet with each department—individually—to clarify questions and obtain appropriate documentation.

It is anticipated that the SIG would have at least six to twelve members for small communities—with an expanded group for larger municipalities. In some of the Clean Cities, Blue Ocean engagement site cities where the SCIL was piloted, the SCIL leader invited provincial level or national level representatives with responsibilities for solid waste management to participate in the assessment so that they could witness the process and facilitate other local governments to conduct a SCIL Assessment. In very large communities, the SIG was expanded to include representatives from sub-districts that operate under the directive of the local government to implement certain service delivery tasks as part of the 3R/SWM system for their input into the process.

It can be expected that the SIG will spend approximately 36-hours over a one-to-two-month period to conduct the SCIL Assessment. A limited schedule is best achieved if it is set up in advance so that all SIG members can clear time on their schedules to participate.

A proposed schedule can be developed by the SCIL leader and coordinator to be distributed and finalized at an initial orientation meeting. Table 6 provides a suggested time frame that can be used to develop a proposed schedule.

Table 6. Recommended SCIL implementation schedule

	Action	Participant (s)	Timeframe	Notes
A	<ul style="list-style-type: none"> • Obtain local government support • Appoint a SCIL leader • Designate a SCIL coordinator • Designate a SIG 	Local government SCIL leader SCIL coordinator SIG	Prior to initiating the SCIL Assessment	
B	<ul style="list-style-type: none"> • Send notification to SIG asking their cooperation and inviting them to orientation meeting 	Highest government official	A week or more prior to the Orientation Meeting	
C	<ul style="list-style-type: none"> • Hold orientation meeting 	SCIL leader SCIL coordinator SIG	Day 1 Meeting Duration: 1.5 hours	See sample presentation in Appendix I.
D	<ul style="list-style-type: none"> • Hand out Survey Preparation Documents or copies of the SCIL Tool 	SCIL coordinator SIG	Day 1	Appropriate Survey Preparation Document should be given to the member responsible for their component.
E	<ul style="list-style-type: none"> • Give instructions for documentation 	SCIL coordinator SIG	Day 1	SCIL coordinator will receive the documentation. SIG member identifies where within the document each answer verification can be found. Electronic versions preferred.
F	<ul style="list-style-type: none"> • Complete Survey Preparation Documents 	SIG	Start: Day 2 Duration: 5 business days	Each SIG member should go through all preliminary Yes/No questions on day 1 and spend remaining days locating verification documentation for “Yes” answers.
G	<ul style="list-style-type: none"> • Hold individual validation 	SCIL coordinator	Start: Day 8 Schedule 1.5 hour	SCIL coordinator meets individually with each

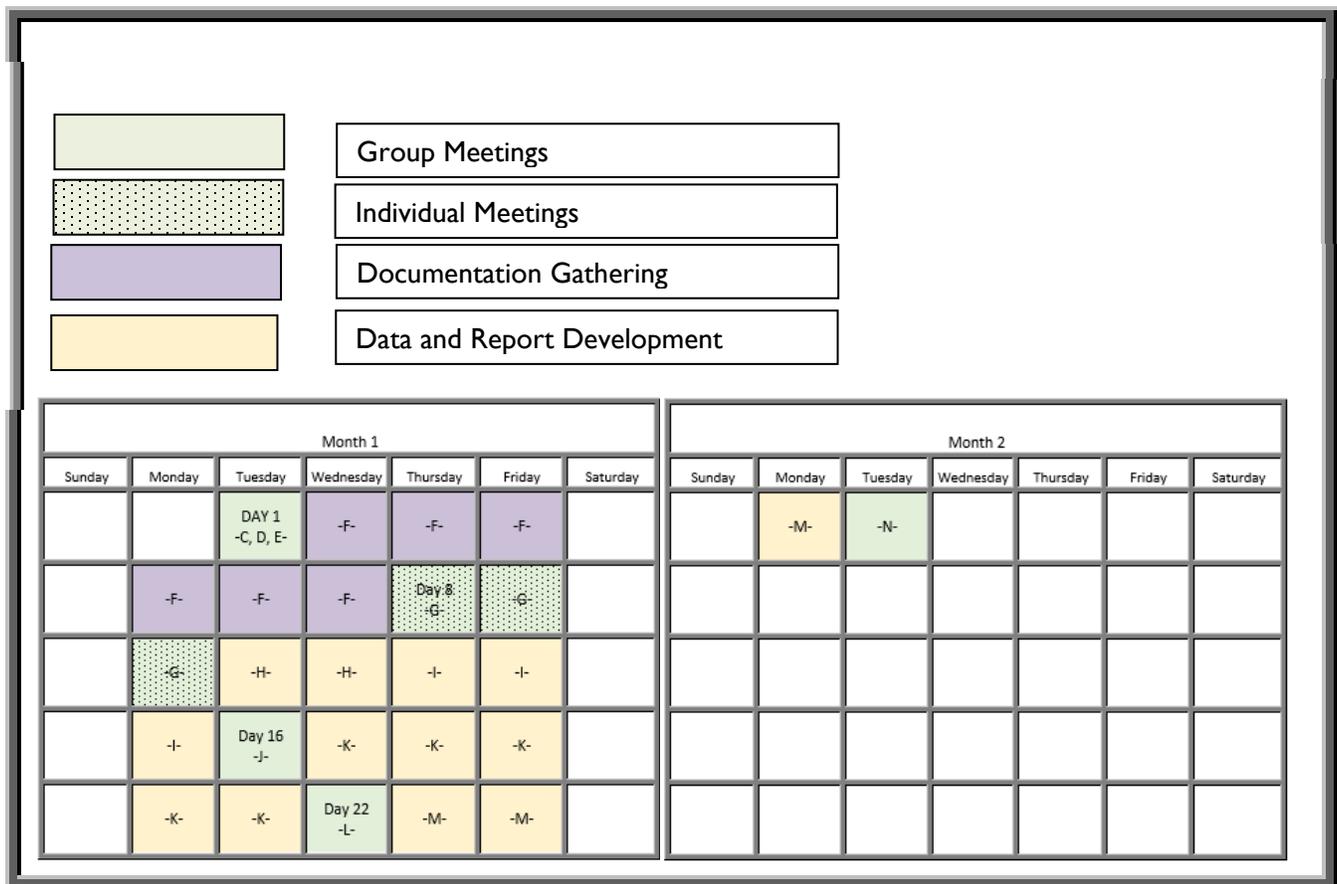
	meetings	SIG members	meetings for each component Duration: 3 business days	<i>member(s) that is responsible for a component. "Yes" answers are discussed, and verification documentation is obtained.</i>
H	• Enter answers into the SCIL Tool	SCIL coordinator or SIG members	Duration: 2 business days	<i>This generates the SCIL score.</i>
I	• Analyze results	SCIL coordinator	Duration: 2 business days	<i>Results should be sent by the SCIL coordinator to the SCIL leader.</i>
J	• Present results to the SIG and discuss recommendations	SCIL leader SCIL coordinator SIG	Day 16 Meeting duration: 1.5 hours	<i>Recommend that the results be documented in writing as they will be in the report and sent to the members prior to the meeting. During the meeting, present recommendations through a PowerPoint, discuss recommendations, and determine top five priorities.</i>
K	• Prepare draft report	SCIL coordinator	Duration: 5 business days	<i>Reports should be sent by the SCIL coordinator to the SCIL leader and SIG.</i>
L	• Hold meeting to develop primary action items and comment on draft report by SIG	SCIL leader SCIL coordinator SIG	Meeting duration: 1.5 hours	<i>During the meeting, present as a PowerPoint version of the report (can also be used to present to other authorizing bodies). Discuss how to make recommendations "actionable."</i>
M	• Final report developed and submitted to SIG	SCIL coordinator	Duration: 3 business days	<i>Recommended that the changes be made on the first day to give SIG two days to review and send written comments.</i>
N	• Hold meetings for review and approval of final report by SIG	SCIL leader SCIL coordinator SIG	Duration: 1 hour	<i>Group should agree on the recommendations, action items, and discuss how to gain local government approval.</i>
O	• Obtain governing body's approval of	SCIL leader	To be determined	<i>The objective is to have the actionable items accepted and</i>

	final report		<i>a commitment made by the local government to move forward with these. The number of steps and time required will depend on local protocols.</i>
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The above meetings should be scheduled and confirmed at the orientation meeting on Day One to secure the time on everyone’s schedules and increase the likelihood that all members will be able to attend the meetings. The proposed schedule may need to be adjusted to accommodate existing commitments by the SIG members. The calendars below can be used as a guide for the implementation schedule.

For smaller communities that are just beginning to develop their 3R/SWM systems, less time may be needed to accomplish some of these tasks. For example, in CCBO’s experience in Galle, Sri Lanka, the SCIL Leader had the staff answer the questions on the SCIL Preparation Documents during the Orientation Meeting and used the following days to collect the documentation.

Figure 7. Implementation Schedule Calendar Guide (letters correspond to those in Table 6)



3.4 Conducting the Assessment

Once the support of local government has been gained, a local SCIL leader appointed, a SCIL coordinator designated, and the members of the SIG designated, the SCIL Assessment can begin. The steps to conduct the assessment are covered in this section.

Holding an Orientation Meeting

Prior to distributing the SCIL Survey Preparation Documents to the SIG members, a SCIL orientation meeting should be held with all SIG members in attendance. The purpose of this meeting is to provide an overview of the SCIL process, convey how the questions lead to building capacity, and communicate the roles each person provides to the process. This meeting may be the first time that these staff leaders, from across departments, have been together to discuss solid waste management. So, simply holding the meeting is a capacity building event.

If possible, the invitation date and time for the meeting should be included in a letter from the local government's highest authority (such as the Mayor or Council) which appoints them to the SIG and asks for their cooperation in the SCIL Assessment.

During this orientation meeting, it is recommended that the following topics be covered:

- Part 1 – Basics of the Assessment
- Part 2 – Why Conduct the SCIL Assessment
- Part 3 – How We Will Conduct the SCIL Assessment
- Part 4 – Roles and Responsibilities
- Part 5 – Next Steps

A sample presentation that can be adapted for use in a SCIL Orientation Meeting can be found in Appendix I.

Answering the Survey Questions

Answering the SCIL survey questions should not be a complex task. Since the questions all can be answered by “Yes” or “No” it is usually simple for knowledgeable staff from the SIG to answer those questions from the component for which they are responsible.

The simplest way to go through the questions is to use the SCIL Survey Preparation Document for each component (see Appendix II). Using these documents, an estimate can be made of the answer and where to find the associated documentation to verify the answer. These sheets can then be assigned to staff to find the documents and the associated page numbers.

There may be some complexity, however, in understanding the breadth of a question or the terminology that is used. It may also be helpful to read the criterion being addressed to better understand why a question is being asked the way it is. CCBO has also developed a SCIL Primer Curriculum, available at www.bit.ly/ccbohub.

The SCIL coordinator's role is to clarify any questions the SIG members may have and advise as to how to answer the question. To prepare for the SCIL Assessment, it is recommended that the SCIL Coordinator

review these Sections and all the criteria questions prior to the distribution of the SCIL Survey Preparation Documents.

There are two schools of thought regarding when to distribute the SCIL Survey Preparation Documents. One approach is to hand them out during the initial discussion or even prior to the orientation meeting to allow participants to become familiar with all the questions and better understand how each of the components integrate and support the functions of each other. This can build capacity and understanding of the interdependency of the roles that each department has in creating a successful 3R/SWM system and build a relationship between the SIG members. Another thought is that if the questions are distributed too early, the focus and attention of the SIG members only will be on the questions and not listen to or gain an understanding of why the questions are being asked and the context and importance of the SCIL Assessment process. This school of thought also believes that individuals may become overwhelmed if given all the questions and so limiting their view to just their own component may be prudent.

Either approach may be used. It should be up to the SCIL leader and coordinator to choose which approach they believe might work best under their circumstances. It is believed that the first approach may be more appropriate for a more advanced team where all the SIG members have a strong understanding of the total 3R/SWM system and its integration. The second approach may work better for a community where the 3R/SWM is understaffed, and the SIG members have less time to absorb the whole 3R/SWM system and are better served by focusing on their component and role in the total system.

The SIG may use Column K (Preliminary Response) in the SCIL Tool to mark their initial responses for each question. “Yes” may be used to guess at answers prior to obtaining verifying documentation. Entering answers into this column will not, however, change the SCIL Score at all. Evidence is needed and then a “Yes” can be added to Column M to add a point to the SCIL Score.

Gathering the Documentation

Documentation gathering is the next step, and it is likely where the local government staff may need to put in the most effort. Once the SIG representative for each component has completed answering each question with a “Yes” or “No” and identified which documents can verify the “Yes” answers, then the documents must be identified and obtained that specifically confirm the answer as true. It is also helpful to make note of the page where the answer can be found. *Note: having more than one person per component searching for the documentation will increase the speed of finishing this task, if timing is important.*

Documentation may be deemed as appropriate verification if it can show the average stakeholder that the local government sanctioned a policy or action that verifies that the “Yes” answer to a question is true. Be careful to identify all the documentation needed. Some SCIL questions address more than one issue and verification of each item will be necessary for the final answer to be a “Yes.” If only a part of the answer can be confirmed to be a “Yes”, the final answer is then “No” and this should be noted in the comments of the SCIL Tool. The missing portion is a capacity that must be built and, if it is deemed a priority, may become a recommendation by the SIG in its SCIL Report.

It is recommended that all documentation be converted into an electronic format. This will allow all documentation to be filed in one location that can be readily accessible to all government employees and the public. This will not only bring transparency to the process, but it will also make it easier to conduct the SCIL Assessment again in the future with much less effort. If the local government does not have an internal computer network that all SIG members can access, a web-based document filing system may be

created using [Google Drive](#) or Microsoft’s [OneDrive](#). Both require sharing the link for the files with those that are participating in the SCIL Assessment. A file system may be established so that it is clear where copies of the documentation can be found. An example of this is in Figure 8. It is recommended that the name of the document be consistent when used repeatedly for documentation and that the file name include the document name and the page on which the evidence can be found. For example, “SWMP pages 23-24.doc” could be the answer for CI-Question 1 and “SWMP page 56.doc” could be the answer for CI-Question 2.

When the answers have been submitted along with the documentation, the SCIL coordinator should then conduct a review to see if the documentation submitted convincingly supports a “Yes” answer. The test for this is that they, themselves, would feel comfortable going before the government body, using the information provided to defend that the answer to the question is “Yes.” Some questions may arise during this review that require further clarification by a SIG member and they should be noted and clarified.

It is recommended that before moving to enter the information collected by the SIG into the SCIL Tool that the SCIL coordinator meet individually with each of the SCIL component representatives. These are the meetings that are listed on Table 6 as Step G. During these meetings, the SCIL coordinator should request any clarifications that came up during the review of information from the SIG.

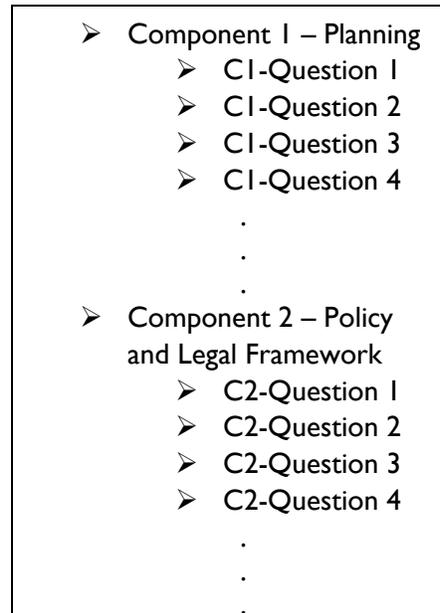


Figure 8. Electronic Folder System Example

Entering Data into the SCIL Tool

Once the SCIL coordinator has received the answers to the questions and the documentation needed to verify the “Yes” answers, this information now needs to be entered into the SCIL Tool. For each of the component tabs, there are only four (4) columns for each question that may need data to be entered. The data entry points are in column M, O, P and R as shown in Figure 9.

M	O	P	Q	R
Component Score:		0 out of 39 points		
Have Evidence – Mark if you have the evidence to show that the answer is “Yes”	Name of the documents provided as evidence for criteria questions that were answered as “Yes”	URL link to the evidence document(s)	Summary Score for each Criteria (# Yes Answers)	Notes (Issues, Comments, Clarifications, where within the documents evidence can be found, etc.)

Figure 9. Identification of data entry points in the SCIL Tool

- Column M - will only accept the word “Yes” or “No.”
- Column O - If Column M is “Yes,” enter the name of the document(s) that verifies the answer. If Column M is no, will remain blank.

- Column P – If Column M is “Yes,” enter the weblink to the URL where the documentation is located. If Column M is no, will remain blank.
- Column P may include any pertinent information. Examples include:
 - If Column M is “Yes:”
 - The page number(s) on which the documentation can be found;
 - If Column M is “No:”
 - Information on parts of the answer that may be a “Yes;”
 - Why the answer is “No;”
 - Action items that may be considered so that this will become a “Yes” in the future; and/or
 - Questions to ask SIG members for clarification.

3.5 The SCIL Analysis

The SCIL Analysis is one of the more important tasks of the SCIL Assessment. It is where the SIG addresses what the scoring may reveal and to what extent it is significant based on their current circumstances. To accomplish this requires that first an assessment be made of the score numbers and the underlining implications of those questions that were answered as “No.” Then, through discussion amongst SIG members, conclusions made about what this reveals about the local government’s capacities.

The analysis may begin once all available information has been entered into the SCIL Tool. The aim of this analysis is to understand the strengths and weakness of the local government’s 3R/SWM capacities and to identify the areas that might be given focus to improve the 3R/SWM system.

In-Depth Look at the Numbers

As mentioned previously, the composite scores produced from the SCIL Assessment are generalized with the intention of pointing out relative strengths and weaknesses at a high level. It is up to those participating in the SCIL Assessment to interpret the relative importance of the scoring as it pertains to their particular circumstances. This begins with a two-part analysis: 1) Analysis of the Dashboard information; and 2) Analysis of the individual components.

The SCIL automatically calculates and records the additional analysis in the rows following the SCIL questions (Columns S – Y). It is recommended that the SIG use this information to make preliminary recommendations for every criterion where “No” answers were identified and individuals representing each component present their finding in the next step described in the next section—Discussion Amongst SIG Members—and as the basis for the analysis portion of the SCIL Report.

Dashboard Analysis

The SCIL Tool Dashboard automatically summarizes the results from each of the component tabs and presents the overall SCIL Score. This SCIL analysis begins with a determination of what these numbers may indicate. To accomplish this, the analysis of the dashboard numbers should raise the following

questions:

- What does the overall SCIL Score indicate about the local government’s 3R/SWM capacity?
 - The rubric in Figure 3 provides a reasonable guide for this.
 - What conclusions might be drawn from this information?
- What do the scores for the individual components indicate about the local government’s 3R/SWM capacity?
 - Are there components that have higher capacity than others?
 - What components have the lowest capacities?
 - What conclusions might be drawn from this information?

This analysis should provide guidance, at a high-level, to orient the SIG’s thinking for their recommendations.

Individual Component Analysis

As mentioned previously, the SCIL’s Dashboard provides composite scores only. They need to be interpreted with care, serving as an entry point for discussion, further analysis, and future actions. One way to dig deeper is to conduct an analysis of the individual components. To accomplish this, start by identifying which of the questions in a component were answered “Yes” or “No” for each sub-component. Table 7 provides an example of what that could look like.

Table 7. Example of an initial breakdown of answers to a planning component

Sub-Component	Criterion	Question Numbers	# of “Yes”	# of “No”	Score
Has a transparent and inclusive planning process	Broad stakeholder input was sought, and included	1-4	2	2	55%
	Sound research information, data, and analysis was conducted	5-8	3	1	
	Performance monitoring, and evaluation requirements are established	9	0	1	
Has a comprehensive, and approved long-term 3R/SWM Plan	Priorities, objectives, and goals in the short and medium term (up to 10 years) are defined	10-13	4	0	77%
	A clear, and comprehensive understanding of the current 3R/SWM system are described	14-19	4	2	
	Future actions to create efficient, and effective collection and/or transfer for residual, and recyclable wastes are described	20-27	7	1	
	Future disposal and treatment facilities are described	28-31	2	2	
	Future plans to reduce, and reuse waste are established	32-33	0	2	
	A financial strategy is identified for the full planning period	34-36	0	3	

	A communication strategy for rolling out the plan has been described	37	1	0	
	Implementation schedule is described	38-39	1	1	
Total			24	15	62%

Once this exercise is completed, answers to the following questions may help to reveal significant information that will help guide the SIG’s recommendations. They include:

- What do the scores for the sub-components indicate about the local government’s 3R/SWM capacity?
 - Are there sub-components that have higher capacity than others?
 - What sub-components have the lowest capacities?
 - Under which criterion does there appear to be a higher-than-average number of “No’s?”
 - What conclusions might be drawn from this information?

It may be helpful to look at the questions where there were “No” answers and propose conclusions that may be included in the report or incorporated in the recommendations. For example, Table 7 shows that two of the four questions pertaining to “Broad stakeholder input was sought and included” were answered “No.” The analysis might propose that the SIG consider that there is a need for increasing input from local 3R/SWM stakeholders into the planning process and addressing their issues in the local government’s 3R/SWM plans because it was Planning questions #3 & #4 that were answered as “No.” If SIG members agree on this, this could be included in the SCIL Report. Furthermore, depending on the significance of this to the local government’s overall progress, the SIG may also include a recommendation to improve this capacity.

SIG Review and Discussion of the Analysis

Once the SIG completes the initial findings, it is recommended that the lead for each component share this information with the other members of the SIG and a meeting established to present and discuss the information before incorporating it into the SCIL Report (Step J in Table 6). Certain trends may emerge. For example, it may come to light that the local government may be diligent about documenting policies and procedures, but less so when it comes to implementation. The opposite could be true: maybe the local government is following best practices but has not documented them. These types of overarching findings may reveal some root causes that were not apparent when individual components were being addressed.

During this meeting, the SIG should be shown the dashboard data and then talk through the analysis and proposed conclusions. It is likely that this will illicit conversations about whether the information accurately portrays what is currently occurring with the local government’s 3R/SWM system. This should be welcomed. The analysis can be changed if additional documentation is obtained to reflect a new “Yes” or “No” answer. The key objective is that by the end of the meeting, the group agrees with the conclusions drawn from the analysis. The next step is to discuss which of these conclusions should be addressed first as top priorities – either because they are most significant or could easily be addressed. Try to identify those which can be accomplished in a one-to-two-year time period but will have the greatest impact. It is recommended that they be limited to between five to ten priority recommendations. These will become the recommendations that are included in the Executive Summary of the SCIL Report and will be the focus of action items that come from the SCIL. It is hoped that with approval of the SCIL Report this will lend support for future budget approval for these recommendations.

It is recommended that this meeting be recorded (either in writing or electronically) by someone that is not facilitating the meeting. This will be important to capture the comments and changes that were discussed during the meeting as well as to capture any recommendations that may have begun to form. The SCIL coordinator will need this information in preparing the draft SCIL Report.

3.6 SCIL Assessment Report

The last task is to develop a SCIL Report, which should capture the approach and results of the SCIL Assessment process and culminate in capacity-building recommendations and actions that the SIG feels would create the best roadmap to progress for the local government’s 3R/SWM system. It is recommended that the SCIL Assessment Report be structured as follows.

SCIL ASSESSMENT REPORT OUTLINE:

1. Executive Summary
2. Description of Process and Participants
3. Summary and Analysis of Results
4. Recommendations for Priority Interventions
5. Lessons Learned and Recommendations for Future Assessments
6. Recommendations for Priority Interventions
7. Appendix
8. Draft and finalize the SCIL Report

Executive Summary - should provide a brief synopsis of the SCIL Assessment results. This section contain, at a minimum, the SCIL Tool Dashboard table and graphic and a list of the final priority recommendations.

Description of Participants and Process - This section is mainly here for posterity—to document the Assessment. It should acknowledge the individuals that participated in the SCIL Assessment and describe the process that was used to during the SCIL Assessment. When future SCIL Assessments are completed, this will help to guide that process and inform the participants on how to replicate it. For example, it is in this section that it is described where the electronic copies of the documentation can be found, along with the final SCIL Tool.

Summary and Analysis of Results - The contents of this section will essentially be the write up of the process described in Section 3.5. This will include the SCIL numbers from both the dashboard and the additional analysis from the individual component questions. From this information, conclusions will be drawn by the SIG for all the questions that were answered “No” to lead them in their determination of their priority recommendations.

Recommendations for Priority Interventions - This section should reflect the culmination of all the work done by the SIG for the SCIL Assessment. It will identify those high priority recommendations that the SIG wishes to move forward with and which, if embraced by the governing body, will receive funding

priority in future rounds of budgeting. Even if the analysis identified many areas where capacity building would be needed, this section should identify the priority projects – those that should be initiated in the next year or so. This will bring immediate focus to these projects and make the likelihood of their being implemented.

Lessons Learned and Recommendations for Future Assessments - The purpose of this section is to provide insights into the process and provide guidance to those that participate in SCIL Assessments in the future. This may include notable logistical approaches that made the process easier or it could describe process areas that didn't seem to run smoothly and the SIG's thoughts or suggestions on how it may be done differently in the future.

Appendix - This section is available to contain any data or information that supports the other sections of the report but may be too large or complex. At a minimum, it is recommended that copies of the completed SCIL Preparation Documents for each component be included here. Having a copy of the spreadsheet pages from the SCIL Tool may also be considered.

4. How to Use the SCIL Assessment Report and Score

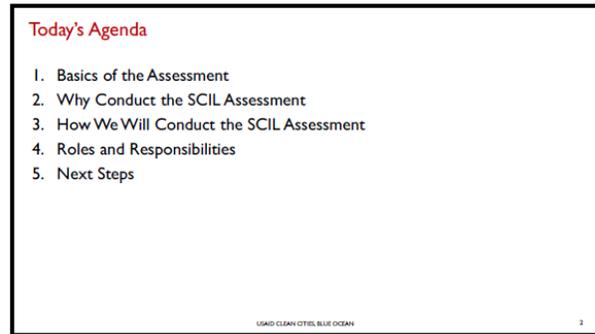
The action plan is most effectively embodied in a comprehensive 3R/SWM plan, which should be developed if currently non-existent, or updated/revised based on the findings of the SCIL. The plan should consider the gaps identified in the assessment tool and prioritize action steps to address the issues. A strong action plan elaborates the steps, timing and responsibility for each action item as well as the need for any external capacity development interventions, tools, or resources. The local government should take the lead in identifying the actions and have ownership of the planned changes to systems and processes.

Action planning should continue after the conclusion of the workshop, with key decision makers reviewing the recommendations, conducting further analysis on their feasibility, and ultimately by formally adopting the plan.

Appendix I. Sample Orientation PowerPoint Presentation



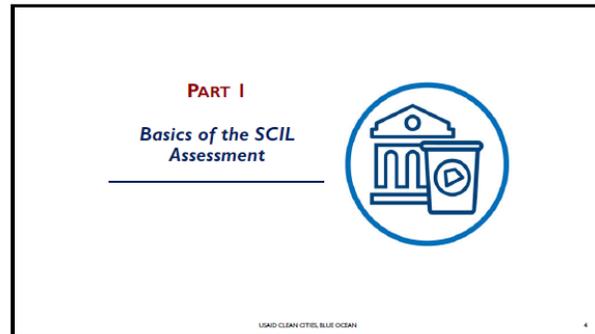
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2



3



4



5



6

The SCIL Tool

- Microsoft® Excel-based spreadsheet
- Uses a series of "Yes/No" questions (supported by documentation)
- Automatically generates SCIL Scores and analysis of each component

7

Sample of SCIL Dashboard

Score Table

Component	Total Number of Criteria Questions	Number of Questions Assessed as "Yes" Where Documentation Was Found	SCIL Score	Goal
Planning	30	15	50%	100%
Policy and Legal Framework	26	19	73%	100%
Financial Management	26	17	65%	100%
Service Delivery	23	19	83%	100%
Human Resources	25	20	80%	100%
Community Engagement	25	20	80%	100%
Overall	177	92	52%	100%

Score Radar Graphic

Shows:

- Overall Score
- Areas where capacity is high
- Areas that are not as strong and investment is needed to strengthen capacity

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SCIL Scoring

- 100% is the ideal
 - Highest possible SCIL Score
 - Every aspect "best practice" level
- No system is perfect
- Constant improvement toward the ideal

SCIL Score	Indication
0% – 30%	Insufficient capacity has been established
31% – 50%	Basic capacity has been established, but a considerable amount is still needed
51% – 70%	More than the Basic Capacity has been established, but additional capacity is needed to ensure a sound and efficient SWM system
71% – 90%	Secured capacity to operate a sound system, but could use additional targeted capacity building
91% – 100%	Best practices being implemented, and only minimal capacity building is needed

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SCIL Assessment Process

It begins with you ... The SCIL Implementation Group (SIG)

10

PART 2

Why Conduct the SCIL Assessment

11

What is "Capacity"?

- It's not just training!
- Capacity building (or capacity development) is the process by which individuals and organizations
 - obtain, improve, and retain
 - the skills, knowledge, tools, equipment and other resources needed to do their jobs competently or to a greater capacity (larger scale, larger audience, larger impact, etc.)

This includes:

- enhancement of management structures, processes and procedures ...
- within organizations and among different organizations and sectors to meet present and future needs

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Why did CCBO Develop the SCIL?

- Current Situation:
 - Waste management is a responsibility of local government
 - There are few tools to help local governments determine where they stand regarding 3R/SWM capacity for sustaining a sound solid waste management (SWM) system
 - Local governments have limited funds
- SCIL provides:
 - A measurement of capacity in the form of a SCIL Score
 - Pinpoint areas for improvement that are good investments in capacity development
 - Compare the SCIL Score each time the assessment is done to see improvements

Assessment Period	SCIL Score
Year 1	43%
Year 2	62%

CALL the Media! City increased its SCIL Score 44%

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The Benefits of a SCIL Assessment

- Tangible way of expressing 3R/SWM capacities (capabilities)
 - Shows progress over periods of time
- Helps prioritize to save money/resources
 - Enhances the solid waste management planning process
 - Guides the budgeting process
- Communication tool
 - Engages staff and makes them aware of their role in 3R/SWM
 - Creates transparency that builds trust in the local government

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PART 2

How We Will Conduct the SCIL Assessment



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Hold SIG Meeting and Complete the Survey

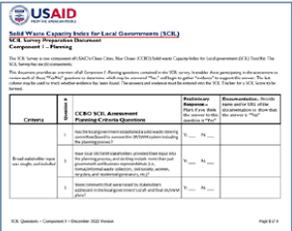
- Start understanding the questions
- Use SCIL Survey Preparation Document to make preliminary guesses and think about verifying documentation
- You will receive questions that only pertain to your responsibilities (by component)
- Each survey has only between 23-36 questions

Component	Number of Sub-Components	Total Number of Criterion	Number of Questions
Planning	2	9	36
Policy and Legal Framework	3	12	30
Financial Management	3	7	24
Service Delivery	4	7	36
Human Resources	4	6	23
Community Engagement	2	11	28
Total	18	54	177

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What is in the SCIL Survey?



- The survey is an organized way of collecting the desired information
- Each Criteria has questions that are to be answered as either "Yes" or "No"
- Each Component has Sub-Components and each Sub-Component has Criteria

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Gather Documentation

- In order to gain points towards a SCIL Score, documentation must confirm a "Yes" answer
- Evidence can be in the form of:
 - Government Approved or Accepted Documents
 - plans, policies, budgets, ordinances, resolutions, protocols, etc.
 - Public Documents
 - meeting minutes, sign-in sheets, advertised items, website postings, results of NGA assessment, etc.
 - Administrative Documents
 - Financial statements, invoices, contracts, etc.



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Maintaining Documentation

- Copies of evidence documents need to be maintained
- Preferably in electronic format
- Creates a reference in case a question is raised about the SCIL Score
- SIG members will deposit electronic files into a central folder
 - Group can determine location and SCIL Coordinator will set it up

Component 1 - Planning

CI-Question 1

CI-Question 2

CI-Question 3

CI-Question 4

...

Component 2 - Policy and Legal Framework

CI-Question 1

CI-Question 2

CI-Question 3

CI-Question 4

...

Etc.

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Validating Documentation

- SCIL Coordinator will
 - Review documentation; and
 - Individually meet with component groups to clarify or ask questions about documentation validity
- SCIL Leader will approve the final documentation for use



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Tabulate a SCIL Score

- The final answers (supported by documentation) then will be entered into the SCIL Tool
 - Column M of the SCIL component tabs "Have Evidence" - Mark if you have the evidence to show that the answer is "Yes"
- This will add points to the SCIL Component Score - shown at top of Component tab in the Tool

Have Evidence - Mark if you have the evidence to show that the answer is "Yes"	Name of the documents provided as evidence for criteria questions that were answered as "Yes"	URL link to the evidence document(s)	Summary Score for each Criteria (if Yes Answers)	Notes (Issues, Comments, Clarifications, where within the documents evidence can be found, etc.)
YES			1	

Component Score: 10 out of 30 points

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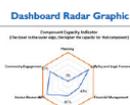
21

SCIL Automatic Updates

Dashboard Score Table

Component	Number of Questions	Number of "Yes" Answers	SCIL Score	Goal
Planning	36	24	67%	100%
Policy and Legal Framework	30	21	70%	100%
Financial Management	24	17	71%	100%
Service Delivery	36	26	72%	100%
Human Resources	23	16	70%	100%
Community Engagement	28	19	68%	100%
Total	177	123	69%	100%

Dashboard Radar Graphic



Additional Analysis Table

(Financial Management Example Shown Here)

Sub-Component	Criteria	# of Questions	# of "Yes" Answers	Score by Criterion
100%	Identification and sufficient 2018M Financing and Funding Sources have been identified	3	3	100%
	Analysis of Budget Financing and Funding Sources	3	3	100%
25%	The 2018M annual budget reflects 2018M plan and investment plan policies	4	1	25%
	Establishment of Comprehensive 2018M Budgets	4	1	25%
20%	Financials are accurate, timely and used to manage the 2018M system	4	0	0%
	Financial policies and transaction reporting procedures are well documented	4	0	0%
20%	Financial process mitigate ethical risks	4	1	25%
	Systems are in place to appropriately charge and offset 2018M revenues	4	1	25%
4%	2018M revenues are not diverted to non 2018M activities	4	0	0%
	Total	34	14	41%

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Analyze Data



- At this point the SCIL Assessment
 - Scrutinizes low capacity areas
 - Switches to looking at the “No” answers
- SIG component members will:
 - Discuss their “No” answers
 - Consider how the local government could turn these into “Yes’s”
 - Report back to the group
- The SIG will collectively determine priority recommendations

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Example of What Analysis Can Reveal

- This sample Financial Management additional analysis shows a basic capacity for the component with a need for additional capacity development
- But only 2 criteria need improvement

Sub-Component Score	Sub-Component	Criteria	Questions	# of "Yes"	# of "No"	Score by Criteria
100%	Management of SW-DMW Planning and Funding	Having and using income tax base	1,2	3	0	100%
100%	Establishment of Comprehensive SW-DMW Budget	Revenue tax	4,7	4	0	100%
50%	The SW-DMW budget is allocated fairly and equitably	Revenue tax and other sources, timely and used to finance the SW-DMW activities	3,10	0	2	50%
100%	Financial policies and procedures are well documented	Financial policies	1,15	0	0	100%
100%	Financial procedures	Financial procedures	16,19	4	0	100%
100%	System of controls in appropriate charge and collect	SW-DMW revenues are not channelled to non-SW-DMW activities	20,21	4	0	100%
100%	Total		26	14	0	100%

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Priority Recommendations



- SCIL analyses may reveal many areas for improvement
- SIG should identify 5-10 items and develop recommendations to focus on in the next 1-2 years
- These should:
 - Be reasonably achievable during the time period
 - Assume
 - Approval of the governing body
 - Budget allocations will be given

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Develop Report



- SCIL Coordinator will draft a report that incorporates the SIG's analysis and priority recommendations
- SIG will review and revise the report until they agree on its content
- SCIL Leader submits the report to the governing body and requests approval

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PART 3

Roles and Responsibilities



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What is the Role of the SCIL Local Leader?

- Main representative of the local government
- Lead SCIL SIG
- Facilitate SIG meetings
- Foster cooperation for the SCIL Assessment
- Rally support for the SCIL Report Recommendation
- Present the findings to the SWM Board
- Lead development of an Action Plan



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What is the Role of the SCIL Coordinator?

- Administrator of the SCIL
- Coordinate SIG meetings
- Send out surveys (modular approach – specific surveys for each component) to SIG members
- Review documentation
- Holds validation meetings with each SIG member
- Input Data into SCIL Tool to Develop SCIL Score
- Develop preliminary draft of analysis to present to the SIG
- Facilitate recommendation discussions
- Draft preliminary report for SIG review

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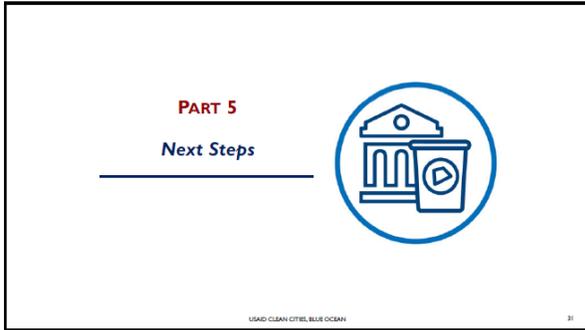
SCIL Implementation Group (SIG)

- Individual SIG Member's Role:
 - Department Liaison to the SCIL Coordinator
 - Participate in consultation meetings
 - Provide information and feedback to the SCIL Coordinator
 - Answer survey questions to appropriate component surveys
 - Gather or facilitate the gathering of documentation for “Yes” answers
 - Submit the documents to the SCIL Coordinator
 - Review and provide guidance on the SCIL Report

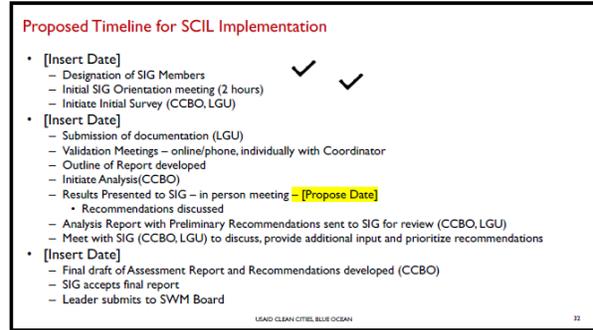
It is anticipated that the SIG would have 6-8 members and would require approximately 36-hours of their time over a 2-3 month period.

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Appendix II. SCIL Survey Preparation Documents by Component

This appendix presents copies of the SCIL Survey Preparation Documents for each of the SCIL components.

Solid Waste Capacity Index for Local Governments (SCIL)

SCIL Survey Preparation Document

Component I – Planning

The SCIL Survey is one component of USAID’s Clean Cities, Blue Ocean (CCBO) Solid waste Capacity Index for Local government (SCIL) Toolkit. The SCIL Survey has six components.

This document provides an overview of all *Component I: Planning* questions contained in the SCIL survey. It enables those participating in the assessment to review each of these “Yes/No” questions to determine which may be answered “Yes.” and begin to gather “evidence” to support this answer. The last column may be used to track whether evidence has been found. The answers and evidence must be entered into the SCIL Tracker for a SCIL Score to be formed.

Criteria	Question #	CCBO SCIL Assessment Planning Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
Broad stakeholder input was sought, and included	1	Has the local government established a solid waste steering committee/board to oversee the 3R/SWM system including the planning process?	Y: ___ N: ___	
	2	Have local 3R/SWM stakeholders provided their input into the planning process, and do they include more than just government and business representatives (i.e., formal/informal waste collectors, civil society, women, recyclers, and residential generators, etc.)?	Y: ___ N: ___	
	3	Were comments that were raised by stakeholders addressed in the local government's draft and final 3R/SWM plans?	Y: ___ N: ___	

Criteria	Question #	CCBO SCIL Assessment Planning Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
Sound research information, data, and analysis was conducted	4	Have the quantities of waste generated within the local jurisdiction each year been projected over the life of the 3R/SWM plan, taking population increases, and other factors into account?	Y: ___ N: ___	
	5	Has a waste projection of locally generated waste been made that describes the types (using waste characterization data), and quantities of waste that will need to be collected, processed, and disposed each year over the life of the plan?	Y: ___ N: ___	
	6	Has the local government analyzed options for where (or whether) to locate aggregation/transfer sites, to optimize efficient transport of wastes?	Y: ___ N: ___	
	7	Have 3R/SWM technologies been researched and compared so that feasible options can be considered in the local 3R/SWM plan?	Y: ___ N: ___	
Priorities, objectives, and goals in the medium- and long term (up to 10 years) are defined	8	Are local 3R/SWM plan priorities, objectives, and goals in line with those set at the national and regional levels?	Y: ___ N: ___	
	9	Has a goal been established in the local 3R/SWM plan for the number or percentage of waste generators that will be provided collection service for each type of waste mandated by law to be collected?	Y: ___ N: ___	
	10	Has a waste recovered/recycled goal been established in the local 3R/SWM plan?	Y: ___ N: ___	
	11	Has a sanitary disposal/treatment capacity goal been established in the local 3R/SWM plan?	Y: ___ N: ___	
A clear, and comprehensive understanding of the	12	Are current collection, and transportation systems of non-segregated/residual and segregated/recyclable wastes described in the 3R/SWM plan?	Y: ___ N: ___	

Criteria	Question #	CCBO SCIL Assessment Planning Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
current 3R/SWM system are described	13	Is the current waste disposal system described in the local 3R/SWM plan, including any illegal waste dumps?	Y: ___ N: ___	
	14	Are current initiatives to reuse & reduce materials (that could become waste) described in the local 3R/SWM plan?	Y: ___ N: ___	
	15	Is an inventory of existing 3R/SWM infrastructure, including markets for recyclable materials, described in the local 3R/SWM plan?	Y: ___ N: ___	
	16	Are the local government's current revenues, and costs for the 3R/SWM system described in the local 3R/SWM plan?	Y: ___ N: ___	
Future actions to create efficient, and effective collection and/or transfer for non-segregated/residual , and segregated/recyclable wastes are described	17	Are the quantities of non-segregated/residual waste (that will be collected annually during the planning period) described in the local 3R/SWM plan?	Y: ___ N: ___	
	18	Are the types of marketable recyclable materials to be segregated for collection during the planning period described in the local 3R/SWM plan?	Y: ___ N: ___	
	19	Does a description of how the local government will improve its collection of non-segregated/residual waste, and segregated/recyclable waste during the planning period exist in the 3R/SWM plan (i.e., expanded coverage, door-to-door collection, waste transport from transfer points or other means of collection)?	Y: ___ N: ___	
	20	Is the frequency of collection during the planning period described in the local 3R/SWM plan?	Y: ___ N: ___	
	21	Is a map of collection zones (areas that identify collection routes for each day during the planning period) included in the local 3R/SWM plan?	Y: ___ N: ___	

Criteria	Question #	CCBO SCIL Assessment Planning Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
Future actions to create efficient, and effective collection and/or transfer for non-segregated, and segregated/recyclable wastes are described (continued)	22	Are personnel for conducting the collection during the planning period in each collection zone (public employees, private haulers, informal collectors, or the generators) described in the local 3R/SWM plan?	Y: ____ N: ____	
	23	Does the local 3R/SWM plan determine whether existing processing facilities, and markets can handle the quantities of segregated/recyclable waste that is planned for collection?	Y: ____ N: ____	
	24	Are those who are displaced by the plan (i.e., informal waste collectors, pickers at the landfill, scavengers, etc.) taken into consideration in the local 3R/SWM plan?	Y: ____ N: ____	
Future disposal and treatment facilities are described	25	If there are any illegal dumps within the local jurisdiction does the 3R/SWM plan describe how they will be closed)? ϕ	Y: ____ N: ____	
	26	Is it known, and described in the local 3R/SWM plan for how much longer existing site(s) can continue to accept waste?	Y: ____ N: ____	
	27	Have future disposal capacity needs (infrastructure) been described in the local 3R/SWM plan?	Y: ____ N: ____	
	28	Are technologies for future environmentally sound disposal/treatment options identified in the local 3R/SWM plan (i.e., sanitary landfill, waste-to-energy plant; transformation options, etc.)?	Y: ____ N: ____	
Future plans to reduce, and reuse waste are established	29	Are actions for waste reduction analyzed, and described in the local 3R/SWM plan?	Y: ____ N: ____	
	30	Are actions for waste reuse analyzed, and described in the local 3R/SWM plan?	Y: ____ N: ____	

Criteria	Question #	CCBO SCIL Assessment Planning Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
A financial strategy is identified for the full planning period	31	Have operation, and infrastructure costs of the future local 3R/SWM systems been projected for the planning period?	Y: ____ N: ____	
	32	Have costs (beyond service delivery) for other 3R/SWM system costs such as education, communication, billing, complaint management, enforcement, staff training, information technology, and other 3R/SWM system support costs been identified in the local 3R/SWM plan?	Y: ____ N: ____	
	33	Has a method for funding the estimated net costs of the 3R/SWM system been identified for the entire planning period in the local 3R/SWM plan?	Y: ____ N: ____	
Administrative strategies for rolling out the 3R/SWM plan have been described	34	Does the local 3R/SWM plan describe the way in which the implementation of the approved plan will be communicated to stakeholders?	Y: ____ N: ____	
	35	Are sequencing, and approximate timing of activities and investments identified in the local 3R/SWM plan?	Y: ____ N: ____	
	36	Was a performance monitoring plan developed that describes regular data collection, analysis, and reporting for each indicator based on the local government's 3R/SWM plan?	Y: ____ N: ____	

φ This symbol indicates that an "if" statement has been used. Answer "yes" or "no" to the question when the question applies to the situation in the local jurisdiction. If it does not apply, answer "yes" anyway and use this symbol as the evidence for the "yes" answer.

Solid Waste Capacity Index for Local Governments (SCIL)

SCIL Survey Preparation Document

Component 2 – Policy and Legal Framework

The SCIL Survey is one component of USAID’s Clean Cities, Blue Ocean (CCBO) Solid waste Capacity Index for Local government (SCIL) Tool Kit. The SCIL Survey has six components.

This document provides an overview of all *Component 2: Policy and Legal Framework* questions contained in the SCIL survey. It enables those participating in the assessment to review each of these “Yes/No” questions to determine which may be answered “Yes.” and begin to gather “evidence” to support this answer. The last column may be used to track whether evidence has been found. The answers and evidence must be entered into the SCIL Tracker for a SCIL Score to be formed.

Criteria	Question #	CCBO SCIL Assessment Policy and Legal Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation– Provide name and/or URL of the documentation to show that the answer is “Yes”
Local legal framework reflects national and regional 3R/SWM laws and policies	1	Do local laws and policies support the 3R/SWM national and provincial laws, plans, and priorities?	Y: ____ N: ____	
Enabling statutes provide authorities to the local government to effectively implement an economically and environmentally sound 3R/SWM system	2	Are local laws or policies in place that allow for the local government to collect fees for 3R/SWM waste services?	Y: ____ N: ____	
	3	Are local laws or policies in place that allow for the local government to license companies/individuals to perform waste-related services (i.e., waste collection, operation of waste facilities, etc.)?	Y: ____ N: ____	

Criteria	Question #	CCBO SCIL Assessment Policy and Legal Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation– Provide name and/or URL of the documentation to show that the answer is “Yes”
	4	Are local laws or policies in place to give environmental officers or other positions within the local government (who are responsible for enforcing 3R/SWM laws) the authority to issue 3R/SWM tickets for penalties?	Y: ___ N: ___	
Basic operational specifications for handling different types of wastes are required by law	5	Do local laws or policies require households to appropriately handle the waste (i.e., residual, recyclable, bio-degradable, etc.) they generate?	Y: ___ N: ___	
	6	Do local laws or policies require non-households to appropriately handle the waste (i.e., residual, recyclable, bio-degradable, etc.) they generate?	Y: ___ N: ___	
	7	Do local laws or policies require segregation, and proper disposal of special wastes (specifically hazardous, infectious, and construction & demolition)?	Y: ___ N: ___	
The 3R/SWM Plan is approved by the local government	8	Does the local government have a policy that requires citizen/stakeholder feedback to be sought during the 3R/SWM planning process?	Y: ___ N: ___	
	9	Does the local government have a policy that requires that the 3R/SWM plan to be formally approved?	Y: ___ N: ___	
Legal Framework acknowledges that 3R/SWM should adhere to a "best practice" of an integrated materials management approach	10	Are local laws or policies in place that support, and incentivize prevention of waste generation (source reduction)?	Y: ___ N: ___	
	11	Are local laws or policies in place that incentivize, or require that waste materials be recovered for recycling (including bio-degradable materials)?	Y: ___ N: ___	
	12	Are local laws or policies in place that incentivize, or require alternative technologies for treating/processing waste that cannot be reduced, reused, or recycled?	Y: ___ N: ___	

Criteria	Question #	CCBO SCIL Assessment Policy and Legal Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation– Provide name and/or URL of the documentation to show that the answer is “Yes”
'Legal framework prohibits actions/activities that undermine the environmentally safe management of waste materials under the local government's jurisdiction	13	Are local laws or policies in place that prohibit littering of waste and establish penalties for littering?	Y: ___ N: ___	
	14	Are local laws or policies in place that prohibit open burning of waste on private or public property?	Y: ___ N: ___	
	15	Are local laws or policies in place that prohibit dumping of waste on land or into waterways without special authorization?	Y: ___ N: ___	
Local government has designated a lead government unit for 3R/SWM	16	Has the local government designated a unit with the responsibility and authority for implementation, oversight, compliance, and monitoring of the 3R/SWM system (e.g., environmental agency)?	Y: ___ N: ___	
3R/SWM data is collected, validated, and used to improve enforcement	17	The local government has obtained reported data on quantities of all non-segregated/residual waste collected from all generators?	Y: ___ N: ___	
	18	The local government has obtained reported data on quantities of all segregated/recyclable and biodegradable waste collected from all generators?	Y: ___ N: ___	
	19	Are reported waste quantities maintained digitally in a computerized database by the local government?	Y: ___ N: ___	
	20	Does the local government track 3R/SWM compliance violations in a structured database (this may include the offending party, geographic location, violation type, and enforcement action taken)?	Y: ___ N: ___	
There is transparency and accountability for 3R/SWM implementation and	21	Are there clear instructions on how a citizen can resolve or appeal the penalties for 3R/SWM offenses (i.e., for littering, dumping, etc.)?	Y: ___ N: ___	
	22	Are local violations of 3R/SWM licenses/permits communicated in writing with instructions for resolution or appeal?	Y: ___ N: ___	

Criteria	Question #	CCBO SCIL Assessment Policy and Legal Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation– Provide name and/or URL of the documentation to show that the answer is “Yes”
enforcement	23	Do local systems for 3R/SWM fees and fines have individuals/agencies (that issue sanctions or cite violations) that are different from those which accept payment or oversee judgements (which will mitigate the risk of bribery or extortion)?	Y: ___ N: ___	
	24	Is there a reporting mechanism in place for citizens to report suspected abuses of authority (corruption) by government officials that would apply to the 3R/SWM system?	Y: ___ N: ___	
	25	Have local procedures for obtaining 3R/SWM licensing/permitting (for hauling companies or waste facilities) been established, and made publicly available to ensure standards for sanitation, safe operations, and protection for the environment?	Y: ___ N: ___	
	26	Are local policies in place that clearly establish the penalties for violating 3R/SWM local laws or permit/license terms, (i.e., suspension or revocation, civil or criminal penalties, etc.)?	Y: ___ N: ___	
3R/SWM procurement practices, and procedures are transparent and fair	27	Are protocols in place that require all local government products and services for the 3R/SWM system to be competitively procured?	Y: ___ N: ___	
	28	Are local protocols in place that establish a standard approach that is aimed to reduce procurement biases (i.e., public tenders, objective bid evaluation procedures and committees, and contract templates) that would apply to the 3R/SWM system?	Y: ___ N: ___	
	29	Are 3R/SWM procurements publicly posted in order to increase transparency?	Y: ___ N: ___	
3R/SWM system is institutionalized	30	Have the components of the local 3R/SWM system been institutionalized with a written law, agreement, plan, contract, and/or memorandum of understanding (MOU) that carry these requirements beyond any elected official's time in office?	Y: ___ N: ___	

Solid Waste Capacity Index for Local Governments (SCIL)

SCIL Survey Preparation Document

Component 3 – Financial Management

The SCIL Survey is one component of USAID’s Clean Cities, Blue Ocean (CCBO) Solid waste Capacity Index for Local government (SCIL) Tool Kit. The SCIL Survey has six components.

This document provides an overview of all *Component 3: Financial Management* questions contained in the SCIL survey. It enables those participating in the assessment to review each of these “Yes/No” questions to determine which may be answered “Yes.” and begin to gather “evidence” to support this answer. The last column may be used to track whether evidence has been found. The answers and evidence must be entered into the SCIL Tracker for a SCIL Score to be formed.

Criteria	Question #	CCBO SCIL Assessment Financial Management Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
Sufficient 3R/SM financing and funding sources have been identified	1	Has the local government identified and compared various sources of financing for 3R/SWM capital investments (i.e., loans from financial institutions, municipal bonds, public-private partnerships, etc.) to implement its 3R/SWM plan?	Y: ___ N: ___	
	2	Has a full cost analysis been conducted of all the local government’s 3R/SWM services to understand the total costs of its current and future 3R/SWM system?	Y: ___ N: ___	
	3	Has the local government's various funding options been identified for the 3R/SWM planning period to cover 3R/SWM operating costs and debt (e.g., local taxes, intergovernmental transfers, user charges, and public-private partnerships)?	Y: ___ N: ___	

Criteria	Question #	CCBO SCIL Assessment Financial Management Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
The 3R/SWM annual budget reflects 3R/SWM plan and investment plan priorities	4	Have the local government's 3R/SWM capital/ infrastructure investments (identified in the 3R/SWM plan) been integrated into the local government’s overall investment planning process?	Y: ___ N: ___	
	5	Are the local government's current 3R/SWM budget revenues sufficient to cover estimated 3R/SWM expenses?	Y: ___ N: ___	
	6	Are the local government's current 3R/SWM budgeted expenditures sufficient to cover the resources needed to successfully implement all the activities in the 3R/SWM plan?	Y: ___ N: ___	
	7	Are the local government's 3R/SWM budget expenditures classified into capital expenditures (CAPEX) and operating expenditures (OPEX)?	Y: ___ N: ___	
Financials are accurate, timely and used to manage the 3R/SWM System	8	Are the local government's 3R/SWM financial records maintained in a computerized, double-entry accounting system (debit/credit)?	Y: ___ N: ___	
	9	Are the local government's 3R/SWM financial reports produced monthly?	Y: ___ N: ___	
	10	Are the local government's 3R/SWM budget projections updated on a routine basis, during the fiscal year?	Y: ___ N: ___	
Financial policies and standard operating procedures are well	11	Does the local government have clear documentation on financial standard operating procedures that is used for the 3R/SWM accounts?	Y: ___ N: ___	

Criteria	Question #	CCBO SCIL Assessment Financial Management Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
documented	12	Does the local government have clear documentation on audit policies that is used for the 3R/SWM accounts?	Y: ___ N: ___	
	13	Does the local government have clear documentation on budgeting that is used for the 3R/SWM accounts?	Y: ___ N: ___	
	14	Are 3R/SWM contractor/vendor payments withheld by the local government only if the contract terms are not satisfied?	Y: ___ N: ___	
	15	Has the local government had third-party audits of 3R/SWM accounts within the last five years?	Y: ___ N: ___	
Financial protocols mitigate ethical risks	16	Are the individuals responsible for enforcing 3R/SWM laws or assessing 3R/SWM fees separate from the local staff that handle the cash transactions?	Y: ___ N: ___	
	17	Are the local government's approved annual budgets that include 3R/SWM revenues and expenses made publicly available?	Y: ___ N: ___	
	18	Are 3R/SWM violation/citations issued by departments that are different than those departments where the violations are adjudicated/resolved?	Y: ___ N: ___	
	19	Are 3R/SWM expenditures requested, reviewed, and approved by local government staff in accordance with their financial delegation of authority?	Y: ___ N: ___	
Systems are in place to appropriately charge and	20	Has an objective and transparent methodology for determining 3R/SWM rates been established by the local government?	Y: ___ N: ___	

Criteria	Question #	CCBO SCIL Assessment Financial Management Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
collect 3R/SWM revenues	21	Has a mechanism for collecting 3R/SWM fees (separate billing, added to utilities, included with taxes, etc.) been established by the local government?	Y: ___ N: ___	
	22	Does the local government have a mechanism for tracking 3R/SWM fees owed?	Y: ___ N: ___	
	23	Has the local government minimized uncollected 3R/SWM fee payments to less than 10%?	Y: ___ N: ___	
3R/SWM revenues are not diverted to non-3R/SWM activities	24	When funds are collected specifically for 3R/SWM costs and investments, are they used to cover 3R/SWM expenses before other considerations?	Y: ___ N: ___	

Solid Waste Capacity Index for Local Governments (SCIL)

SCIL Survey Preparation Document

Component 4 – Service Delivery

The SCIL Survey is one component of USAID’s Clean Cities, Blue Ocean (CCBO) Solid waste Capacity Index for Local government (SCIL) Tool Kit. The SCIL Survey has six components.

This document provides an overview of all *Component 4: Service Delivery* questions contained in the SCIL survey. It enables those participating in the assessment to review each of these “Yes/No” questions to determine which may be answered “Yes.” and begin to gather “evidence” to support this answer. The last column may be used to track whether evidence has been found. The answers and evidence must be entered into the SCIL Tracker for a SCIL Score to be formed.

Criteria	Question #	CCBO SCIL Assessment Service Delivery Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
All Households and Non-households have access to collection of Non-segregated/ Residual Waste	1	Do all the households within the local government's jurisdiction have collection services for non-segregated/residual waste (at the curb or by convenient drop-off) - either as a government service or through a contract with a licensed waste collection company/organization?	Y: ____ N: ____	
	2	Do all non-households within the local government's jurisdiction (including government facilities and public areas) have collection services for non-segregated/residual waste - either as a government service or through a contract with a licensed waste collection company/organization?	Y: ____ N: ____	
	3	Are collection services for non-segregated/residual waste provided to those individuals living in informal settlements within the jurisdiction (either as a government service or through a contract with a licensed waste collection company/organization)?	Y: ____ N: ____	
	4	Are existing collection services for non-segregated/residual waste conducted according to a reliable, published schedule?	Y: ____ N: ____	

Criteria	Question #	CCBO SCIL Assessment Service Delivery Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
All Households and Non-households have access to collection of Non-segregated/ Residual Waste (continued)	5	Are private waste collection companies/individuals licensed by the local government for non-segregated/residual waste, according to sanitation, safety, and environmental standards?	Y: ___ N: ___	
	6	Have customers within the jurisdiction been provided a way to report waste collection service issues for non-segregated/residual waste (i.e., missed collections, overflowing bins, etc.)?	Y: ___ N: ___	
	7	Are waste collection service issues within the jurisdiction for non-segregated/residual waste (i.e., missed collections, overflowing bins, etc.) resolved according to written procedures?	Y: ___ N: ___	
	8	Are collection companies of non-segregated/residual waste required to report the quantities of wastes collected from within the jurisdiction to the local government?	Y: ___ N: ___	
Collection from Households and Non-households have Segregated/Recyclable Waste collected in an environmentally sound manner	9	Are the households that are required by law or policy to source segregate recyclable waste provided with collection service for these materials (both bio-degradable and non-biodegradable) - either as a government service or through a contract with a licensed recyclable waste collection company/organization?	Y: ___ N: ___	
	10	Are the non-households (including government facilities and public areas) required by law or policy to source segregate recyclable waste provided with collection service for these materials (both bio-degradable and non-biodegradable) - either as a government service or through a contract with a licensed recyclable waste collection company/organization?	Y: ___ N: ___	
	11	Are existing segregated/recyclable waste collection services within the jurisdiction conducted according to a reliable, published schedule (both bio-degradable and non-biodegradable)?	Y: ___ N: ___	
	12	Are private segregated/recyclable waste collection	Y: ___ N: ___	

Criteria	Question #	CCBO SCIL Assessment Service Delivery Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
Collection from Households and Non-households have Segregated/Recyclable Waste collected in an environmentally sound manner (continued)		companies/individuals licensed by the local government to establish sanitation, safety, and environmental standards (both bio-degradable and non-biodegradable)?		
	13	Have customers within the jurisdiction been provided a way to report segregated/recyclable waste collection service issues (i.e., missed collections, overflowing bins, etc.)?	Y: ___ N: ___	
	14	Are segregated/recyclable waste collection companies required to report the quantities of waste collected from within the jurisdiction to the local government?	Y: ___ N: ___	
Reused, construction and demolition, hazardous or medical wastes are collected	15	Does the local government support collection of reusable waste (i.e., clothing, household items, etc.)?	Y: ___ N: ___	
	16	Does the local government provide or contract for collection of construction & demolition waste (i.e., dry wall, boards, bricks, tiles, etc.)?	Y: ___ N: ___	
	17	Does the local government provide or contract for collection of household hazardous waste (i.e., batteries, solvents, etc.)?	Y: ___ N: ___	
Waste collection from Households and Non-households is done efficiently and in an economically sound manner	18	If the local government performs any of the waste collection within the jurisdiction, have collection routes been sized to minimize trips to tipping facilities (where materials will be off-loaded)? ϕ	Y: ___ N: ___	
	19	If the local government owns collection vehicles, are they maintained regularly, and mechanical problems resolved quickly? ϕ	Y: ___ N: ___	
	20	If disposal and treatment facilities are not within reasonable distance of waste origin, are transfer sites located to optimize use of collection vehicles on collection routes? ϕ	Y: ___ N: ___	
Waste processing is in place and preventing waste from being	21	Have the existing markets (accessible to those in the jurisdiction) for recyclable/reusable waste been documented and made public (both bio-degradable and non-biodegradable)?	Y: ___ N: ___	

Criteria	Question #	CCBO SCIL Assessment Service Delivery Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
disposed	22	Does the local government provide or contract for non-biodegradable segregated/recyclable waste to be processed and marketed?	Y: ___ N: ___	
	23	Does the local government provide or contract for processing of bio-degradable waste?	Y: ___ N: ___	
	24	If there are recyclables processing facilities in the local 3R/SWM system, do they all have scales, or another means of measuring the quantity of materials marketed or disposed as residual (both bio-degradable and non-biodegradable)? ϕ	Y: ___ N: ___	
	25	If there are recyclables processing facilities in the local 3R/SWM system, do they all report the quantity of materials marketed or disposed as waste (both bio-degradable and non-biodegradable) to the appropriate local government agency? ϕ	Y: ___ N: ___	
Non-segregated/residual wastes are managed in environmentally and economically sound facilities	26	If there are waste treatment facilities in the local 3R/SWM system, do they all have scales, or another means of measuring the quantity of materials treated? ϕ	Y: ___ N: ___	
	27	If there are waste treatment facilities in the local 3R/SWM system, do they all report the quantity of materials treated to the local government? ϕ	Y: ___ N: ___	
	28	Does the local government provide or contract for the treatment of non-segregated/residual waste to take advantage of its energy potential (i.e., engineered fuel, anaerobic digestion, etc.)?	Y: ___ N: ___	
	29	Allowing informal workers to pick through waste at an active landfill site is not considered a “best practice”. Does the landfill where the local jurisdiction’s waste is disposed prohibit individuals from picking through	Y: ___ N: ___	

Criteria	Question #	CCBO SCIL Assessment Service Delivery Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
<p style="text-align: center;">Non-segregated/residual wastes are managed in environmentally and economically sound facilities (continued)</p>		the waste at the site?		
	30	Does the local government provide or contract for the disposal of all the jurisdiction's non-segregated/residual waste that is collected?	Y: ___ N: ___	
	31	Do landfill disposal sites that accept non-segregated/residual waste generated from within the local government's jurisdiction meet or exceed national environmental standards for sanitary landfill operations?	Y: ___ N: ___	
	32	Do landfill disposal sites that accept non-segregated/residual waste generated from within the local government's jurisdiction have cover material applied over newly deposited waste, at least every other day?	Y: ___ N: ___	
	33	Do sites that accept non-segregated/residual waste generated from within the local government's jurisdiction have scales or another means of measuring the quantity of materials received?	Y: ___ N: ___	
<p>Monitoring of the 3R/SWM system is in place and shows it is operating as planned</p>	34	Do sites that accept non-segregated/residual waste generated from within the local government's jurisdiction report the quantity of materials received to the local government?	Y: ___ N: ___	
	35	Have performance criteria for service delivery been established?	Y: ___ N: ___	
	36	Has an annual report on service delivery for the 3R/SWM system been developed?	Y: ___ N: ___	

φ This symbol indicates that an "if" statement has been used. Answer "yes" or "no" to the question when the question applies to the situation in the local jurisdiction. If it does not apply, answer "yes" anyway and use this symbol as the evidence for the "yes" answer.

Solid Waste Capacity Index for Local Governments (SCIL)

SCIL Survey Preparation Document

Component 5 – Human Resources

The SCIL Survey is one component of USAID’s Clean Cities, Blue Ocean (CCBO) Solid waste Capacity Index for Local government (SCIL) Tool Kit. The SCIL Survey has six components.

This document provides an overview of all *Component 5: Human Resources* questions contained in the SCIL survey. It enables those participating in the assessment to review each of these “Yes/No” questions to determine which may be answered “Yes.” and begin to gather “evidence” to support this answer. The last column may be used to track whether evidence has been found. The answers and evidence must be entered into the SCIL Tracker for a SCIL Score to be formed.

Criteria	Question #	CCBO SCIL Assessment Human Resources Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
Adequate support and staffing levels are known and described	1	Has the local government conducted an analysis to determine the human resources required to deliver 3R/SWM services effectively?	Y: ___ N: ___	
	2	Do local government departments/units involved in (or that support the 3R/SWM) have clear understanding of their contribution to the 3R/SWM system, to other departments/units and to the fulfillment of long-term 3R/SWM planning?	Y: ___ N: ___	
Is the 3R/SWM organizational chart up-to-date, accurate, and reflects staffing needs	3	Does the local government gather gender-segregated data on its 3R/SWM employees?	Y: ___ N: ___	
	4	Do the local government's 3R/SWM positions have clearly described roles & responsibilities, with required qualifications, experience levels and skills?	Y: ___ N: ___	
Staff have been assigned to execute key 3R/SWM	5	Is there a local government unit/individual assigned that is responsible for local 3R/SWM enforcement?	Y: ___ N: ___	

Criteria	Question #	CCBO SCIL Assessment Human Resources Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
functions	6	Is there a local government unit/individual assigned that is responsible for local 3R/SWM planning?	Y: ___ N: ___	
	7	Is there a local government unit/individual assigned that is responsible for providing (or overseeing) local 3R/SWM services delivery (e.g., waste collection, transportation, processing/marketing of recyclables and disposal)?	Y: ___ N: ___	
	8	Is there a local government unit/individual assigned that is responsible for local 3R/SWM operation & maintenance of equipment, and vehicles?	Y: ___ N: ___	
	9	Is there a local government unit/individual assigned that is responsible for local 3R/SWM billing?	Y: ___ N: ___	
	10	Are all the local government's budgeted 3R/SWM positions filled, or actively under recruitment?	Y: ___ N: ___	
Compensation and benefits for 3R/SWM employees are fair	11	Are 3R/SWM salary ranges/bands based on responsibilities and qualifications required in the position description to ensure equitable pay for all regardless of biases like gender, race, religion, etc.?	Y: ___ N: ___	
	12	Does the local government ensure proper health, and safety including provision for gender inclusive facilities in the local government's 3R/SWM facilities?	Y: ___ N: ___	
	13	Are 3R/SWM local government employees who work overtime extra work they have done?	Y: ___ N: ___	
Recruitment and promotion policies/ procedures for 3R/SWM employees are documented and followed	14	Are the local government's 3R/SWM recruitment and promotion policies and procedures in written form?	Y: ___ N: ___	
	15	Does the human resource department of the local government have protocols in place to proactively recruit women to apply for 3R/SWM positions?	Y: ___ N: ___	
	16	Are the local government's eligibility requirements for	Y: ___ N: ___	

Criteria	Question #	CCBO SCIL Assessment Human Resources Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
		promotions or salary increases for existing 3R/SWM staff equitable, and merit-based?		
	17	Do the local government's 3R/SWM supervisors provide employees with performance feedback on a regularly scheduled basis?	Y: ___ N: ___	
3R/SWM training requirements are established based on job description	18	Are all local government 3R/SWM employees provided training to perform their job [e.g., operation and maintenance, waste types and sorting, hazardous materials recognition, and heavy equipment operations (including trucks)]?	Y: ___ N: ___	
	19	Does the local government track the required training or testing for job competencies of its 3R/SWM employees?	Y: ___ N: ___	
Worker protections for 3R/SWM occupational hazards/accidents are in place	20	Does the local government provide 3R/SWM employees with at least basic protective equipment when they are handling any kind of waste (i.e., uniforms, protective shoes, and appropriate gloves)?	Y: ___ N: ___	
	21	Does the local government have policies and procedures in place to address, and mitigate 3R/SWM working conditions that are unhealthy (extremely hot weather, rainy season, etc.)?	Y: ___ N: ___	
	22	Does local government cover medical costs and paid leave resulting from on-the-job injuries for its 3R/SWM employees?	Y: ___ N: ___	
3R/SWM employee grievances/complaints are documented and resolved	23	Is there a system for the local government's 3R/SWM employees to anonymously submit grievances/complaints about unsafe working conditions that management is required to investigate and resolve?	Y: ___ N: ___	

Solid Waste Capacity Index for Local Governments (SCIL)

SCIL Survey Preparation Document

Component 6 – Community Engagement

The SCIL Survey is one component of USAID’s Clean Cities, Blue Ocean (CCBO) Solid waste Capacity Index for Local government (SCIL) Tool Kit. The SCIL Survey has six components.

This document provides an overview of all *Component 6: Community Engagement* questions contained in the SCIL survey. It enables those participating in the assessment to review each of these “Yes/No” questions to determine which may be answered “Yes.” and begin to gather “evidence” to support this answer. The last column may be used to track whether evidence has been found. The answers and evidence must be entered into the SCIL Tracker for a SCIL Score to be formed.

Criteria	Question #	CCBO SCIL Assessment Community Engagement Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
Outreach and engagement with members of the community regarding the 3R/SWM system is inclusive, and conducted regularly	1	Has the local government engaged a wide variety of community stakeholders to improve the implementation of the non-segregated/residual system (i.e., environmental advocacy, youth, women’s, business organizations, recyclers, and religious groups, etc.)?	Y: ___ N: ___	
	2	Has the local government engaged a wide variety of community stakeholders to improve the implementation of 3R programs (i.e., environmental advocacy, youth, women’s, business organizations, recyclers, and religious groups, etc.)?	Y: ___ N: ___	
	3	Has the local government engaged a wide variety of community stakeholders to contribute to the 3R/SWM finance and budgeting process?	Y: ___ N: ___	
	4	Were the perspectives of local women sought and given substantial weight in 3R/SWM planning?	Y: ___ N: ___	
	5	Does the local government use social media (i.e., Facebook, Instagram, WhatsApp, Twitter, etc.) to reach stakeholders about 3R/SWM messages?	Y: ___ N: ___	
	6	Are public meetings related to 3R/SWM widely socialized by the local government and held at times/locations that attract higher attendance and diversity?	Y: ___ N: ___	

Criteria	Question #	CCBO SCIL Assessment Community Engagement Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
A local multi-stakeholder 3R/SWM committee is formed	7	Does the local government's 3R/SWM steering committee representation reflect the population demographics of the jurisdiction (economic, gender, race, cultural, etc.)?	Y: ___ N:___	
	8	Are the local government's 3R/SWM steering committee meetings public and regularly scheduled?	Y: ___ N:___	
3R/SWM performance and progress is reported to the public	9	Does the local government publicly distribute information on the 3R/SWM system performance, and progress, at least annually?	Y: ___ N:___	
Environmental and social impact assessments are conducted when considering new 3R/SWM facilities	10	Does the local government survey opinions of those in neighborhoods adjacent to proposed 3R/SWM facilities, and public meetings?	Y: ___ N:___	
	11	Does local stakeholder feedback inform the siting, and design of 3R/SWM facilities?	Y: ___ N:___	
Citizens/customers can submit 3R/SWM complaints through a reporting system	12	Does the local government receive 3R/SWM complaints through more than one means (e.g., a hotline, social media, in-person, or a physical complaint box)?	Y: ___ N:___	
	13	Does the local government have a system for recording the receipt, timing, and resolving of citizen complaints about 3R/SWM service quality?	Y: ___ N:___	
Citizen perceptions and satisfaction of 3R/SWM services are sought and measured	14	Does the local government conduct a periodic survey of a representative sample of residents on their perceptions and satisfaction with 3R/SWM services (whether online, paper, manually, etc.)?	Y: ___ N:___	
	15	Does the local government conduct a periodic survey of a representative sample of non-households (i.e., business owners, institutions, etc.) on their perceptions and satisfaction with 3R/SWM services (whether online, paper, manually, etc.)?	Y: ___ N:___	
	16	Are the majority of the local jurisdiction's population satisfied with their 3R/SWM services?	Y: ___ N:___	

Criteria	Question #	CCBO SCIL Assessment Community Engagement Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
	17	Has the local government made a special effort to solicit the opinions of, and to provide information to, informal waste collectors?	Y: ___ N:___	
Collection schedules, locations of disposal/recycling points and waste segregation rules are published and widely disseminated	18	Does the local government publicly provide information about how to participate properly in 3R/SWM service (i.e., frequency of collection, schedule, drop-off locations, etc.)?	Y: ___ N:___	
	19	Has the local government based its communication programs (Social Behavior Change (SBC)/Information Education Communication) for 3R/SWM on SBC programmatic research with the people to be reached?	Y: ___ N:___	
	20	Does the local government have services in place to provide continual support for people to carry out desired behaviors pertaining to 3R/SWM (i.e., a hot line, text reminders, community leaders, etc.)?	Y: ___ N:___	
	21	Was a local 3R/SWM public information campaign launched to instruct citizens on how to properly segregate and prepare for collection of all types of wastes in the 3R/SWM collection program?	Y: ___ N:___	
Multiple outreach channels are used to reach a wide 3R/SWM audience	22	Do behavior change and environmental education efforts for 3R/SWM systems target high-impact populations (e.g., women and youth)?	Y: ___ N:___	
	23	Does the local government use multiple channels to disseminate 3R/SWM information to the public (i.e., social media, website, print media, billboards, radio and TV, public forums/events, community advocates/champions, and door-to-door canvassing, etc.)?	Y: ___ N:___	
New 3R/SWM laws are rolled out with a behavior change communication plan	24	Did the local government conduct public outreach and education programs after approval of new 3R/SWM plans/policies/laws to inform citizens of the upcoming changes prior to implementation?	Y: ___ N:___	
	25	Does each local 3R/SWM public information strategy identify key audiences, messages, and methods of reaching people (channels)?	Y: ___ N:___	

Criteria	Question #	CCBO SCIL Assessment Community Engagement Criteria Questions	Preliminary Response – Mark if you think the answer to this question is “Yes”	Documentation – Provide name and/or URL of the documentation to show that the answer is “Yes”
3R/SWM violators receive remedial education to correct behaviors	26	Does the local government pair enforcement of local 3R/SWM laws with positive messaging and education about following the 3R/SWM laws?	Y: ____ N: ____	
	27	Are the local government's 3R/SWM communication strategies supported by enforcement actions?	Y: ____ N: ____	
Monitoring and enforcement data is used to guide 3R/SWM communications	28	Has the local government's 3R/SWM monitoring, and enforcement data been used to inform planning, and future improvements to communications strategies?	Y: ____ N: ____	