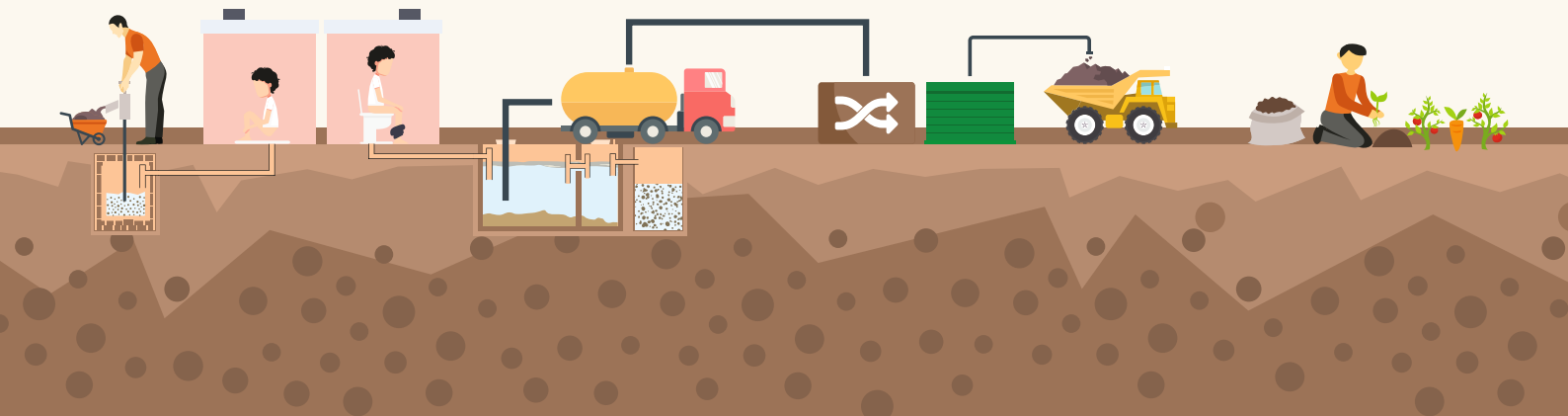


Rapid Assessment **QUESTIONNAIRE**



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Module Description

The rapid assessment tool assists users undertake an evaluation of the FSM ecosystem in the city.

The assessment includes:

1. Assessment of the ecosystem in which FSM investments are conceived and implemented. This module is built on the City Service Delivery Assessment (CDSA) framework developed by the World Bank and offers a summary on the quality of the ecosystem and generates a scorecard for the city.
2. Assessment of the adequacy of infrastructure for safe management of faecal sludge (from containment to treatment).

The output of the two modules is summarized in the form of an FSM index score for the city, along with a detailed report.

Questionnaire for Enabler Ecosystem Assessment

Sub-question	Category	Question	Containment	Emptying	Conveyance	Treatment	End-use/ disposal	Evidence/ scoring
Enabling: What are current policies, planning issues and budgetary arrangements?	Policy	Policy: Is provision of FSM services enabled by an appropriate, acknowledged and available policy document (national/local or both)?	EI	EI	EI	EI	EI	1: policy is appropriate, approved (or in draft form), acknowledged and available
								0.5: policy is appropriate, approved (or in draft form), but not clearly acknowledged/a available
								0: policy is not available, or inappropriate to the context

Sub-question	Category	Question	Containment	Emptying	Conveyance	Treatment	End-use/ disposal	Evidence/ scoring
		Institutional roles: Are the institutional roles and responsibilities for FSM service delivery clearly defined and operationalized?	E2	E2	E2	E2	E2	<p>1: roles defined and operationalized</p> <p>0.5: roles clearly defined but not operationalized, or not-defined by work in practice</p> <p>0: roles not defined/not operationalized</p>
		Legislation/ regulation: Are there national and/or local legal and regulatory mechanisms (i.e. bylaws and means of enforcement) for FSM?	E3	E3	E3	E3	E3	<p>1: legal and regulatory mechanisms for FSM exist and are operational</p> <p>0.5: legal and regulatory mechanisms for FSM exist but are not operational</p> <p>0: no legal and regulatory mechanisms for FSM exist</p>
	Planning	Targets: Are there service targets for (each part of) the FSM service chain in the city development plan, or a national development plan that is being adopted at the city level?	E4	E4	E4	E4	E4	<p>1: targets are clearly included</p> <p>0.5: service levels are included, but no targets stated</p> <p>0: no reference to service levels or targets</p>

Sub-question	Category	Question	Containment	Emptying	Conveyance	Treatment	End-use/ disposal	Evidence/ scoring
		Investment: Is FSM incorporated into an approved and used investment plan (as part of sanitation) - including ensuring adequate human resources and Technical Assistance? (Ideally a medium-term plan, but if not, at least an annual plan)	E5	E5	E5	E5	E5	<p>1: investment plan for FSM exists, based on identified needs and addressing human resource and technical assistance needs</p> <p>0.5: investment plan for FSM exists, but does not address human resource or technical assistance needs</p> <p>0: no investment plan for FSM</p>
	Budget	Fund flows: Does the government have a process for coordinating FSM investments (domestic or donor, e.g. national grants, state budgets, donor loans and grants etc.)?	E6	E6	E6	E6	E6	<p>1: coordination of investments is defined and operationalized</p> <p>0.5: coordination of investments is defined, but not operationalized</p> <p>0: no coordination of investments defined</p>
Developing: What is the level of expenditure, degree of equity and level of output?	Expenditure	Adequacy & structure: Are the annual public financial commitments for FSM sufficient to meet the service levels and needs	D1	D1	D1	D1	D1	1: annual public financial commitments are sufficient to meet >75% of requirements (estimated need if no targets set)

Sub-question	Category	Question	Containment	Emptying	Conveyance	Treatment	End-use/ disposal	Evidence/ scoring
		for capital and operational expenditure in the coming 5 years?						0.5: annual public financial commitments are sufficient to meet >50% of requirements (estimated need if no targets set) 0: annual public financial commitments insufficient to meet 50% of requirements (estimated need if no targets set)
	Equity	Choice: Is there a range of affordable, appropriate, safe and adaptable technologies for FSM services available to meet the needs of the urban poor?	D2	D2	D2	D2	D2	1: range of technical options exist (i.e. are “offered” formally) and are used by the urban poor 0.5: range of options exist, but are not accessed by the urban poor, or just not used 0: options are not present
		Reducing inequity: Are there specific and adequate funds, plans and measures to ensure FSM serves all users,	D3	D3	D3	D3	D3	1: funds, plans and measures are codified and in use 0.5: funds, plans and measures are codified but not in use

Sub-question	Category	Question	Containment	Emptying	Conveyance	Treatment	End-use/ disposal	Evidence/ scoring
		and specifically the urban poor?						0: no funds, plans and measures codified
	Outputs	Quantity/ capacity: Is the capacity of each part of the FSM value chain growing at the pace required to ensure access to FSM meets the needs/demands and targets that protects public and environmental health?	D4	D4	D4	D4	D4	1: capacity growing at a pace to meet >75% of the needs/demands and targets to protect health
0.5: capacity growing at a pace to achieve >50% of needs/demands and targets to protect health								
		Quality: Is the quality of FSM sufficient to ensure functioning facilities and services that protect against risk through the service chain?	D5	D5	D5	D5	D5	1: >75% of services are of an adequate public health standard, at the respective stage in the service chain
	0.5: >50% of services of an adequate public health standard, at the respective stage in the service chain							

Sub-question	Category	Question	Containment	Emptying	Conveyance	Treatment	End-use/ disposal	Evidence/ scoring	
								0: less than 50% of services are of an adequate PUBLIC health standard, at the respective stage in the service chain	
Sustaining: What is the status of operation and maintenance (O&M), what provisions are made for service expansion and what are current service outcomes?	O&M	Cost recovery: Are O&M costs known and fully met by either cost recovery through user fees and/or local revenue or transfers?	S1	S1	S1	S1	S1	1: O&M costs known and >75% met (through appropriate mechanisms)	
								0.5: O&M costs known and >50% met	
								0: O&M costs not known and/or <50% met	
	Expansion	Demand: Has government (national or city authority) developed any policies and	Standards: Are there norms and standards for each part of the FSM value chain that are systematically monitored under a regime of sanctions (penalties)?	S2	S2	S2	S2	S2	1: norms and standards exist, are monitored and sanctions applied
									0.5: norms and standards exist and are monitored, but no sanctions applied
									0: norms and standards (if they exist) are not monitored
			S3	S3	S3	S3	S3	1: demand generation policies, procedures or programs are being	

Sub-question	Category	Question	Containment	Emptying	Conveyance	Treatment	End-use/ disposal	Evidence/ scoring
		<p>procedures, or planned and undertaken programs, to stimulate demand of FSM services and behaviors by households and responses by service providers?</p>						<p>implemented, with resulting demand for services growing and being responded to</p> <hr/> <p>0.5: demand generation policies, procedures or programs are being implemented (or partially implemented), but resulting demand is not fully addressed</p> <hr/> <p>0: demand generation policies, procedures or programs are not being implemented</p>

Sub-question	Category	Question	Containment	Emptying	Conveyance	Treatment	End-use/ disposal	Evidence/ scoring
		<p>Sector development: Does the government have ongoing programs and measures to strengthen the role of service providers (private or public) in the provision of FSM services, in urban or peri-urban areas?</p>	S4	S4	S4	S4	S4	<p>1: programs and measures to strengthen service provision have been/are being implemented; service providers are organized; their actions are coordinated and the FSM services they provide are expanding.</p> <p>0.5: programs and measures to strengthen service providers have been implemented or partially implemented; the majority of service providers remain largely disorganized and the FSM services they provide are not expanding at an appropriate rate.</p>

Sub-question	Category	Question	Containment	Emptying	Conveyance	Treatment	End-use/ disposal	Evidence/ scoring
								0: programs and measures to strengthen the service providers do not exist (or exist on paper only and have not been implemented); the service providers remain disorganized and the FSM services they provide are not expanding.
	Service outcomes	Quantity: Percentage of total faecal sludge generated by the city that is managed effectively, within each part of the service chain.	S5	S5	S5	S5	S5	1: >75% of faecal sludge generated is managed effectively, at that stage of the service chain
0.5: >50% of faecal sludge generated is managed effectively, at that stage of the service chain								
0: <50% of faecal sludge generated is managed effectively, at that stage of the service chain								
		Equity: To what extent do the city's FSM systems ensure adequate services for low-	S6	S6	S6	S6	S6	1: Hygienic FSM systems and services are affordable and readily available in low-income communities

Sub-question	Category	Question	Containment	Emptying	Conveyance	Treatment	End-use/ disposal	Evidence/ scoring
		income communities?						0.5: Hygienic FSM systems and services are available on a partial/piecemeal basis in low-income communities (or in some)
								0: Hygienic FSM systems and services are not available to any significant extent in low-income communities
		Max scores*	Sum	Sum	Sum	Sum	Sum	
			1	2	3	4	5	

Questionnaire for Infrastructure Adequacy assessment

S#	Questions	Hints	Data Collection Protocol
City Information (CBI)			
1	Name of the person entering the data		
2	Name of the organization		
3	Name of the urban area		
4	Province or state		
5	Country		

S#	Questions	Hints	Data Collection Protocol
6	Population		<ol style="list-style-type: none"> 1. Kindly refer to the city specific Census (population and housing) document. 2. You can also find this data on the city website.
7	Ratio of women to men		Kindly refer to the city specific demographic Census document.
8	Total number of households		<ol style="list-style-type: none"> 1. Kindly refer to the city Census document to identify the average household size in the city. 2. Divide the total population by the average household size to identify the total number of households.
9	Total number of community toilet seats	<p>Community toilets here means a shared facility provided by and for a group of residents or an entire settlement.</p> <p>Community toilet blocks are used primarily in low-income and/or informal settlements and/or slums, where space and/or land is a constraint in providing a household toilet. These are for a fixed user group.</p>	Kindly refer to the city website or the city documents (particularly the conservancy and sanitation department documents) to identify the total number of community toilets.
10	Number of commercial buildings	Commercial buildings refers to offices, shopping complexes, theatres, hotels, restaurants, convention centers etc.	Kindly refer to the city website or documents (For e.g.: tax/trade license documents) to obtain the number of total commercial holdings
11	Number of institutional buildings	Institutional buildings refers to schools, universities, prisons, government buildings, religious buildings such as temples / mosques / churches / etc.	<ol style="list-style-type: none"> 1. Kindly refer to the urban local body or city development authority website or documents to obtain the total number of institutional buildings. 2. If data is not available on the city website or documents, kindly approach the city engineer or planner to obtain the total number of institutional buildings in the city.

S#	Questions	Hints	Data Collection Protocol
12	Number of industrial buildings	Industrial buildings refers to manufacturing units, factories, etc.	<ol style="list-style-type: none"> 1. Kindly refer to the urban local body or city development authority website or documents to obtain the total number of industrial buildings in the city. 2. If data is not available on the city website or documents, kindly approach the city engineer or planner to obtain the total number of industrial buildings in the city.
HOUSEHOLD			
13	Number of households with access to individual household toilets	Toilets which are used by only one household is referred to as an individual toilet.	<ol style="list-style-type: none"> 1. Kindly refer to the city Census document 'household toilet characteristics' section to identify the number of individual toilets in the city. Please note that this information may be provided only if the Census classifies toilets under the category of individual and shared. 2. If the data is not available from the Census, then kindly refer to any baseline done either by the urban local body or any local or international organizations working in the sanitation space.
14	Number of households with access to community toilets	Community toilets here means a shared facility provided by and for a group of residents or an entire settlement. Community toilet blocks are used primarily in low-income and/or informal settlements and/or slums, where space and/or land is a constraint in providing a household toilet. These are for a fixed user group.	<ol style="list-style-type: none"> 1. Kindly refer to the city website or the city documents (particularly the conservancy and sanitation department documents) to identify the total number of households having access to community toilets in the city. 2. If the data is not provided in the city documents, kindly refer to secondary documents of local and international agencies (public organizations, funding

S#	Questions	Hints	Data Collection Protocol
			agencies and non-governmental organizations) who work towards providing community toilets in the city.
15	Average size of the household	The average size of a household refers to the number of family members in a household.	Kindly refer to the city Census document to identify the average household size in the city.
16	Total number of community toilet seats available for men	Community toilets here means a shared facility provided by and for a group of residents or an entire settlement. Community toilet blocks are used primarily in low-income and/or informal settlements and/or slums, where space and/or land is a constraint in providing a household toilet. These are for a fixed user group.	Kindly refer to the conservancy or sanitation department of the city to identify the number of community toilet seats available for men.
17	Total number of community toilet seats available for women	Community toilets here means a shared facility provided by and for a group of residents or an entire settlement. Community toilet blocks are used primarily in low-income and/or informal settlements and/or slums, where space and/or land is a constraint in providing a household toilet. These are for a fixed user group.	Kindly refer to the conservancy or sanitation department of the city to identify the number of community toilet seats available for women.
COMMERCIAL, INSTITUTIONAL AND INDUSTRIAL BUILDINGS			
18	Total number of commercial, institutional and industrial buildings	E.g.: including schools, universities, prisons, government buildings, religious buildings such as temples/mosques/churches/et c., offices, shopping complex, theatres, hotels, restaurants, marriage halls, community halls, manufacturing units, factories, etc.	Kindly refer to the city website or documents (particularly tax/trade license documents) to obtain the number of total commercial holdings and institutional buildings in the city.
19	Number of commercial, institutional and industrial buildings with toilet facilities		1. Kindly refer to the building plan documents with the city development authority to identify the number of buildings with a toilet facility.

S#	Questions	Hints	Data Collection Protocol
	within the premise in operational condition		<ol style="list-style-type: none"> For educational institutional buildings having access to toilet facilities, kindly refer to the school sanitation program documents in the city.
PUBLIC PLACES			
20	Total number of public toilets in the city	Public toilets here means those toilets that are provided for the floating population/general public in places such as markets, train stations, tourist places, near office complexes, or other public areas where there are considerable number of people passing by.	<ol style="list-style-type: none"> Kindly refer to the city website or documents (particularly conservancy and sanitation department documents) to obtain the total number of public toilets in the city. If the data is not available on the city website or documents, kindly approach the city engineer or planner to obtain the total number of public toilets.
22	Average floating population	Kindly refer to the definition of floating population as per the Census of the country.	<ol style="list-style-type: none"> Kindly refer to the city specific floating population Census document. You may also get this data from the city planner or the city engineer.
23	Number of public toilet seats available for men	Public toilets here means those toilets that are provided for the floating population/general public in places such as markets, train stations, tourist	<ol style="list-style-type: none"> Kindly refer to the city's conservancy or sanitation department documents to identify the number of public toilet seats for men in the city.
24	Number of public toilet seats available for women	places, near office complexes, or other public areas where there are considerable number of people passing by.	<ol style="list-style-type: none"> If this data is not available in the city documents, kindly approach the city planner or engineer to obtain it.
CONTAINMENT SYSTEM – SAFE SANITATION SYSTEMS			
25	Identify the total percentage of population dependent on each type of onsite		<ol style="list-style-type: none"> Kindly refer to the household toilet characteristics section of the city Census document to identify the typology of containment units connected

S#	Questions	Hints	Data Collection Protocol
	sanitation systems in your city (secondary information/key informant interviews)		
	(Tech A)		
	1. No onsite container, toilet discharges directly to destination given in Tech B		
	2. Septic tank		
	3. Fully lined tank (sealed)		
	4. Lined tank with impermeable walls and open bottom		
	5. Lined pit with semi-permeable walls and open bottom		
	6. Unlined pit		
	7. Pit (all types), never emptied but abandoned when full and covered with soil		
	8. Pit (all types), never emptied but abandoned when full and NOT adequately covered with soil		
	9. Toilet failed, damaged, collapsed or flooded		
	10. Containment (septic tank or tank or pit latrine) failed,		

to the toilets in the city. Please note that this information may only be provided in the Census, only if the Census classifies onsite sanitation systems as classified under this question.

2. Kindly refer to the sanitation baseline study conducted by any local or international organizations (urban local body, educational institutes, non-governmental organizations, etc.) in the city.

3. You may also refer to the Shit Flow Diagram for the city, if available in the Susana SFD website (<https://sfd.susana.org/>).

S#	Questions	Hints	Data Collection Protocol
	<p>damaged, collapsed or flooded</p> <p>11. Open defecation</p> <p>Identify all the type of technologies to which the on-site sanitation systems is connected in your city (secondary information/key informant interviews)</p> <p>(Tech B)</p> <p>1. To centralized combined sewer</p> <p>2. To centralized foul/separate sewer</p> <p>3. To decentralized combined sewer</p> <p>4. To decentralized foul/separate sewer</p> <p>5. To soak pit</p> <p>6. To open drain or storm sewer</p> <p>7. To water body</p> <p>8. To open ground</p> <p>9. To 'don't know where'</p> <p>10. No outlet or overflow</p>		
26	<p>What is the average depth at which groundwater is available in the city? (secondary information/key informant interviews)</p>		<p>1. Kindly refer to the documents published by the water supply and sewerage department in the city or by talking to the chief engineer of the department.</p>

S#	Questions	Hints	Data Collection Protocol
	<ul style="list-style-type: none"> <5m 5-10m >10m 		<ol style="list-style-type: none"> You can also get this information from the city documents or website or by talking to the city engineer. You may also find this information while speaking to a few local residents in the city and by asking them "how deep do they have to drill to get water while installing a borehole?"
27	What is the average desludging frequency of on-site sanitation systems by typology in the city?		<ol style="list-style-type: none"> Kindly refer to the sanitation baseline study conducted by any local or international organizations (urban local body, educational institutes, non-governmental organizations) in the city. You may also refer to the Shit Flow Diagram for the city, if available in the Susana SFD website (https://sfd.susana.org/).
28	<p>What is the predominant rock type in the unsaturated zone of your city? (secondary information/key informant interviews)</p> <ul style="list-style-type: none"> Fine sand, silt and clay Weathered basement Medium sand Coarse sand and gravels Sandstones/limestones fractured rock 		Kindly refer to the documents of the geological survey department.

S#	Questions	Hints	Data Collection Protocol
29	What is the percentage of sanitation facilities that are located at a distance of <10 m from groundwater sources?		Kindly refer to the documents published by the water supply and sewerage department in the city or by talking to the chief engineer of the department.
30	What is the percentage of sanitation facilities that are located uphill of groundwater sources?	If absolute figure is unknown, kindly answer in terms of ranges (greater than 25%, between 1% and 25% and 0%)	Kindly refer to the documents published by the water supply and sewerage department in the city or by talking to the chief engineer of the department.
31	What is the percentage of drinking water produced from groundwater sources?		Kindly refer to the documents published by the water supply and sewerage department in the city or by talking to the chief engineer of the department.
	<ul style="list-style-type: none"> • Greater than 25% 		
	<ul style="list-style-type: none"> • Between 1% and 25% 		
	<ul style="list-style-type: none"> • 0% 		
32	What is the water (groundwater) production technology used?		Kindly refer to the documents published by the water supply and sewerage department in the city or by talking to the chief engineer of the department.
	<ul style="list-style-type: none"> • Protected boreholes, protected dug wells or protected spring where adequate sanitary measures are in place. 		
	<ul style="list-style-type: none"> • Unprotected boreholes, dug wells or springs. 		
	<ul style="list-style-type: none"> • No groundwater sources used. 		

S#	Questions	Hints	Data Collection Protocol
CONTAINMENT SYSTEM – ACCESS BY ROAD			
33	What is the percentage of households (with on-site sanitation systems) that is accessible by road of width greater than 3m?		<ol style="list-style-type: none"> 1. Kindly refer to the sanitation baseline study conducted by any local or international organizations (urban local body, educational institutes, non-governmental organizations) in the city. 2. You may also refer to the Shit Flow Diagram for the city, if available in the Susana SFD website (https://sfd.susana.org/).
34	What is the percentage of commercial, institutional and industrial buildings (with on-site sanitation systems) that is accessible by road of width greater than 3m?		
35	What is the percentage of community toilets (with on-site sanitation systems) that can be accessible by road of width greater than 3m?		
36	What is the percentage of public toilets (with on-site sanitation systems) that is accessible by road of width greater than 3m?		
EMPTYING & TRANSPORTATION			
	<i>(The following questions 38, 39, 40, 41 are applicable only to select respondents based on OSS technology combination – Refer to Annexure 3)</i>		
37	Identify proportion of each type of onsite		<ol style="list-style-type: none"> 1. Kindly refer to the sanitation baseline study conducted by

S#	Questions	Hints	Data Collection Protocol
	<p>container which is faecal sludge</p> <ul style="list-style-type: none"> Septic tanks Fully lined tanks (sealed) Lined tanks with impermeable walls and open bottom; and all types of pits 		<p>any local or international organizations (urban local body, educational institutes, non-governmental organizations) in the city.</p> <p>2. You may also refer to the Shit Flow Diagram for the city, if available in the Susana SFD website (https://sfd.susana.org/).</p>
38	Identify the total percentage of on-site sanitation systems that is emptied by typology		
39	Identify the total percentage of faecal sludge reaching the treatment plant		
40	Identify the total percentage of wastewater reaching the treatment plant		
41	Identify the total percentage of open drain or storm sewer reaching the treatment plant		
42	Are there sufficient desludging vehicles in the city to address all the needs of buildings with pits?		Refer FSM planning tool for assistance. Check Link
43	Are there sufficient desludging vehicles in the city to address all the needs of buildings with septic tanks?		
44	Are there sufficient desludging vehicles		

S#	Questions	Hints	Data Collection Protocol
	in the city to address all the needs of buildings with other kinds of on-site sanitation systems?		
45	If Q44 is No, name the kinds of on-site sanitation systems		
46	Are there sufficient desludging vehicles in the city to address all the needs of buildings with poor road access?		
TREATMENT			
	<i>(The following questions 47, 48, 49 are applicable only to select respondents based on OSS technology combination – Refer Annexure 3)</i>		
47	Identify the total percentage of faecal sludge that is treated		Refer FSM Planning tool for assistance. Check Link
48	Identify the total percentage of wastewater that is treated		
49	Identify the total percentage of open drain or storm sewer that is treated		
50	Total number of treatment plants available for disposal of faecal sludge within 15KM radius from the center of the city		
51	What is the name of the treatment plant? (Question to be		

S#	Questions	Hints	Data Collection Protocol
	repeated X number of times to match Q.50 value)		
52	What is the treatment efficiency of the treatment plant? (Question to be repeated X number of times to match Q.50 value)	Treatment efficiency is measured by whether the treatment plant meets the effluent discharge standards of the country or region.	
53	What percentage of the treated wastewater is reused? (Question to be repeated X number of times to match Q.50 value)		
54	What percentage of the treated faecal sludge is reused? (Question to be repeated X number of times to match Q.50 value)		

Special Data Input format

Instructions: Fill the following table by inserting values in each block. This template is applicable for the following questions – Q.25, Q.38, Q.39, Q.40, Q.41.

For e.g., block 1 will contain the percentage of toilet systems in the city that are characterized by the absence of an onsite container and discharge directly to a centralized combined sewer. (26%)

	1. To centralized combined sewer.	2. To centralized foul / separate sewer.	3. To decentralized combined sewer.	4. To decentralized foul / separate sewer.	5. To soak pit.	6. To open drain or storm sewer	7. To water body.	8. To open ground.	9. To 'don't know where'.	10. No outlet or overflow.
1. No onsite container, toilet discharges directly										NOT APPLICABLE
2. Septic tank										
3. Fully lined tank (sealed)										
4. Lined tank with impermeable walls and open bottom										
5. Lined pit with semi-permeable walls and open bottom	NOT APPLICABLE									
6. Unlined pit										
7. Pit (all types), never emptied but abandoned when full and covered with soil										
8. Pit (all types), never emptied but abandoned when full and NOT										

	1. To centralized combined sewer.	2. To centralized foul / separate sewer.	3. To decentralized combined sewer.	4. To decentralized foul / separate sewer.	5. To soak pit.	6. To open drain or storm sewer	7. To water body.	8. To open ground.	9. To 'don't know where'.	10. No outlet or overflow.
adequately covered with soil										
9. Toilet failed, damaged, collapsed or flooded										
10. Containment (septic tank or tank or pit latrine) failed, damaged, collapsed or flooded										
11. Open defecation	NOT APPLICABLE									NOT APPLICABLE