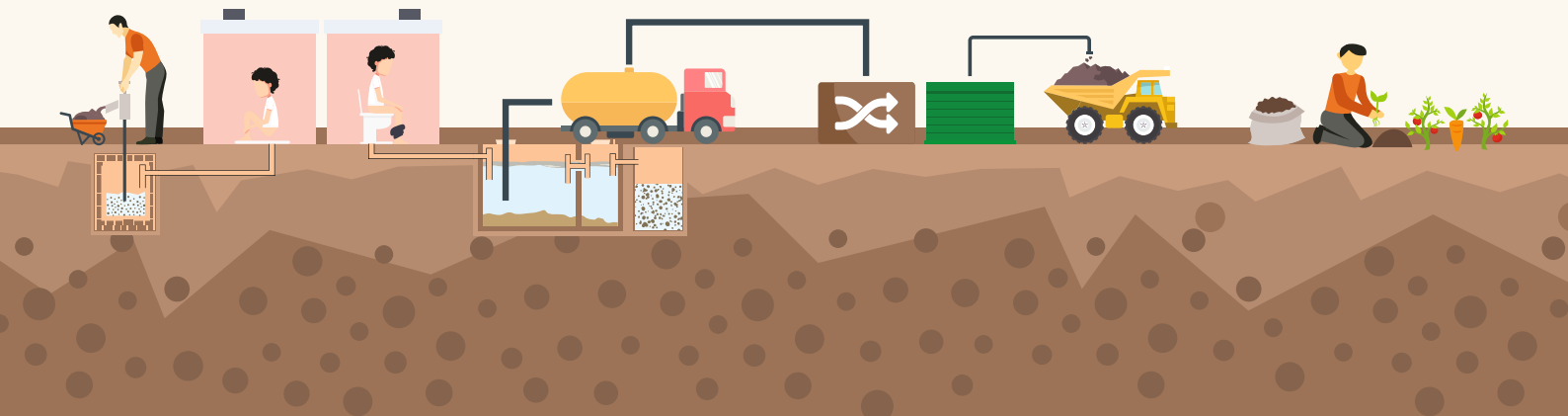


Rapid Assessment **QUESTIONNAIRE**



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Module description

The Rapid assessment tool enables a quick evaluation of the FSM system in the city. The assessment includes:

1. The infrastructure assessment module analyses the adequacy of the existing FSM infrastructure and the flow movement.
2. The Enabler Ecosystem Assessment Module, built on the City Service Delivery Assessment (CDSA) framework developed by the World Bank, offers a 360 degree summary on the quality of the ecosystem and generates an SDA scorecard of the city

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

Questionnaire for Infrastructure Assessment

Sl.No	Questions	Hints	Data Collection Protocol
City Information (CBI)			
1	Name of the person entering the data		
2	Name of the organisation		
3	Name of the urban area		
4	Province or State		
5	Country		
6	Population		<p>1. Kindly refer to the city specific census (population and housing) document.</p> <p>2. You can also find this data on the city City website.</p>
7	Ratio of Women to Men		1. Kindly refer to the city specific demographic census document.
8	Total number of households		<p>1. Kindly refer to the city census document to identify the average household size in the city.</p> <p>2. Divide the total population by the average household size to identify the total number of households</p>

Sl.No	Questions	Hints	Data Collection Protocol
9	Total number of community toilet seats	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/ slums, where space and/or land is a constraints in providing a household toilet. These are for a fixed user group.	1. Kindly refer to the city 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 Instruction : <i>Commercial - office, shopping complex, theatres, hotels, restaurants, marriage halls etc.</i>	Commercial buildings refers to offices, shopping complexes, theatres, hotels, restaurants, convention centres etc.	1. Kindly refer to the City website or documents (For ex: tax/trade license documents) to obtain the number of total commercial holdings
11	Number of institutional buildings Instruction : <i>Institutional - schools, universities, prisons, government buildings, religious buildings such as temples/mosques/ churches/ etc.</i>	Institutional buildings refers to schools, universities, prisons, government buildings, religious buildings such as temples/mosques/ churches/etc.	1. Kindly refer to the City or city development authority website or documents to obtain the number of total institutional buildings 2. 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 commercial buildings in the city.
12	Number of industrial buildings Instruction : <i>Industrial - manufacturing units, factories, etc.</i>	Industrial buildings refers to manufacturing units, factories, etc	1. Kindly refer to the City or city development authority website or documents to obtain the number of total industrial buildings in the city. 2. 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 commercial buildings in the city.

Sl.No	Questions	Hints	Data Collection Protocol
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.	<p>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 only be provided only if the Census classifies toilets under the category of individual and shared.</p> <p>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 organisations working in the sanitation space.</p>
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/slums, where space and/or land are constraints in providing a household toilet. These are for a fixed user group.	<p>1. Kindly refer to the city 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.</p> <p>2. If the data is not provided in the City documents, kindly refer to secondary documents of local and international agencies (public organisations, funding agencies and non-governmental organisations) who work towards providing community toilets in the city.</p>
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.

Sl.No	Questions	Hints	Data Collection Protocol
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 and for a group of residents or an entire settlement. Community toilet blocks are used primarily in low-income and/or informal settlements/slums, where space and/or land is a constraints in providing a household toilet. These are for a fixed user group.	Kindly refer to the conservancy and 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 and for a group of residents or an entire settlement. Community toilet blocks are used primarily in low-income and/or informal settlements/ slums, where space and/or land is a constraints in providing a household toilet. These are for a fixed user group.	Kindly refer to the conservancy and 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	Eg: including schools, universities, prisons, government buildings, religious buildings such as temples/mosques/churches/ etc., 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 within the premise in operational condition		<p>1. Kindly refer to the building plan documents with the City Development Authority to identify the number of buildings with a toilet facility.</p> <p>2. For educational institutional buildings having access to toilet</p>

Sl.No	Questions	Hints	Data Collection Protocol
			facilities, kindly refer to the school sanitation programme 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.	<p>1. 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.</p> <p>2. 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</p>
22	Average floating population	Kindly refer to the definition of floating population as per the census of the country.	<p>1. Kindly refer to the city specific floating population census document.</p> <p>2. You may also get this data from the city planner or the city engineer.</p>
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 places, near office complexes, or other public areas where there are considerable number of people passing by	1. Kindly refer to the City's conservancy and 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		2. If data not available in the City documents, kindly approach the city planner or engineer to obtain the information.
CONTAINMENT SYSTEM – SAFE SANITATION SYSTEMS			
25	Identify the total percentage of population dependent on each type of onsite sanitation systems		1. Kindly refer to the city Census document – household toilet characteristics section to

Sl.No	Questions	Hints	Data Collection Protocol
	in your city? (secondary information/KII)		<p>identify the typology of containment units connected 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.</p> <p>2. Kindly refer to the sanitation baseline study conducted by any local or international organisations (urban local body, educational institutes, non-governmental organisations) in the city.</p> <p>3. You may also refer to the Shit Flow Diagram for the city, if available in the Susana SFD website (https://sfd.susana.org/)</p>
	(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, damaged, collapsed or flooded		
	11. Open defecation		
	Identify all the type of technologies to which the OSS is connected in your city (secondary information/KII)		

Sl.No	Questions	Hints	Data Collection Protocol
	(Tech B)		
	1. To centralised combined sewer		
	2. To centralised foul/separate sewer		
	3. To decentralised combined sewer		
	4. To decentralised 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		
26	What is the average depth at which groundwater is available in the city? (Secondary information/KII)		1. Kindly refer to the documents of 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"> • <5m 		2. You can also get this information from the City documents or website or by talking to the city engineer.
	<ul style="list-style-type: none"> • 5-10m 		3. 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?"
	<ul style="list-style-type: none"> • >10m 		
27	What is the average desludging frequency of OSSs by typology in the city?		1. Kindly refer to the sanitation baseline study conducted by any local or international organisations (urban

Sl.No	Questions	Hints	Data Collection Protocol
			<p>local body, educational institutes, non-governmental organisations) 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>
28	<p>What is the predominant rock type in the unsaturated zone of your city? (secondary information/KII)</p>		Kindly refer to the documents of geological survey department
	<ul style="list-style-type: none"> • Fine sand, silt and clay 		
	<ul style="list-style-type: none"> • Weathered basement 		
	<ul style="list-style-type: none"> • Medium sand 		
	<ul style="list-style-type: none"> • Coarse sand and gravels 		
	<ul style="list-style-type: none"> • Sandstones/limestones fractured rock 		
29	<p>What is the percentage of sanitation facilities that are located at a distance of <10m from groundwater sources?</p>		1. Kindly refer to the documents of the water supply and sewerage department in the city or by talking to the chief engineer of the department.
30	<p>What is the percentage of sanitation facilities, that are located uphill of groundwater sources?</p>	<p>If absolute figure is unknown, kindly answer in terms of ranges (greater than 25%, between 1% and 25% and 0%)</p>	1. Kindly refer to the documents of the water supply and sewerage department in the city or by talking to the chief engineer of the department.
31	<p>What is the percentage of drinking water produced from groundwater sources?</p>		Kindly refer to the documents of the water supply and sewerage department in the city or by talking to the chief
	<ul style="list-style-type: none"> • Greater than 25% 		

Sl.No	Questions	Hints	Data Collection Protocol
	<ul style="list-style-type: none"> Between 1% and 25% 		engineer of the department.
	<ul style="list-style-type: none"> 0% 		
32	What is the water (groundwater) production technology used?		Kindly refer to the documents of 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. 		
CONTAINMENT SYSTEM – ACCESS BY ROAD			
33	What is the percentage of HHs (with OSSs) that is accessible by road of width greater than 3m?		1. Kindly refer to the sanitation baseline study conducted by any local or international organisations (urban local body, educational institutes, non-governmental organisations) 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 OSSs) that is accessible by road of width greater than 3m?		
35	What is the percentage of community toilets (with OSSs) that can be accessible by road of width greater than 3m?		
36	What is the percentage of public toilets (with OSSs) 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 Annexure 3)</i>		
37	Identify proportion of the contents of each type of		1. Kindly refer to the sanitation baseline study

SI.No	Questions	Hints	Data Collection Protocol
	onsite container which is faecal sludge		conducted by any local or international organisations (urban local body, educational institutes, non-governmental organisations) 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/).
	<ul style="list-style-type: none"> • Septic tanks 		
	<ul style="list-style-type: none"> • Fully lined tanks (sealed) 		
	<ul style="list-style-type: none"> • Lined tanks with impermeable walls and open bottom; and all types of pits 		
38	Identify the total percentage of OSS that is emptied by typology		
39	Identify the total percentage of fecal sludge reaching the treatment plant?		
40	Identify the total percentage of Waste Water (WW) 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 in the city to address all the needs of buildings with other kinds of OSSs?		
45	If Q44 is No, name the kinds of OSS		
46	Are there sufficient desludging vehicles in the city to address all the needs of buildings with poor road access?		

Sl.No	Questions	Hints	Data Collection Protocol
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 Waste Water (WW) 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 FS within 15KM radius from the centre of the city		
51	What is the name of the treatment plant? (Question to be 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 FSTP meets the effluent discharge standards of the country or region.	
53	What percentage of the treated WW is reused? (Question to be repeated X number of times to match Q.50 value)		
54	What percentage of the treated FS is reused? (Question to be repeated X number of times to match Q.50 value)		

Table 2.2

Instructions: Fill the following table by inserting percentages between 0-100% in each block. This percentage must quantify the proportion of toilets in the city with the characteristics mapped to the corresponding row category and corresponding column category.

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

	1. To centralised combined sewer.	2. To centralised foul/separate sewer.	3. To decentralised combined sewer.	4. To decentralised 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 adequately covered with soil										
9. Toilet failed, damaged, collapsed or flooded										

	1. To centralised combined sewer.	2. To centralised foul/ separate sewer.	3. To decentralised combined sewer.	4. To decentralised 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.
10. Containment (septic tank or tank or pit latrine) failed, damaged, collapsed or flooded										
11. Open defecation	NOT APPLICABLE									NOT APPLICABLE

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)?	E1	E1	E1	E1	E1	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/ available 0: policy is not available, or inappropriate to the context
		Institutional roles: Are the institutional roles and responsibilities for FSM service delivery clearly defined and operationalized?	E2	E2	E2	E2	E2	1: roles defined and operationalized 0.5: roles clearly defined but not operationalized, or not-defined by work in practice 0: roles not defined/not operationalized
		Legislation/Regulation: Are there national and/or local legal and	E3	E3	E3	E3	E3	1: legal and regulatory mechanisms for FSM exist and are operational

Sub-question	Category	Question	Containment	Emptying	Conveyance	Treatment	End-use/disposal	Evidence /scoring
		regulatory mechanisms (i.e. bylaws and means of enforcement) for FSM?						0.5: legal and regulatory mechanisms for FSM exist but are not operational 0: no legal and regulatory mechanisms for FSM exist
	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	1: targets are clearly included 0.5: service levels are included, but no targets stated 0: no reference to service levels or targets
		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	1: investment plan for FSM exists, based on identified needs and addressing human resource and TA needs 0.5: investment plan for FSM exists, but does not address human resource or TA needs 0: no investment plan for FSM
	Budget	Fund flows: Does 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	1: coordination of investments is defined and operationalised 0.5: coordination of investments is defined, but not operationalised 0: no coordination of investments defined

Sub-question	Category	Question	Containment	Emptying	Conveyance	Treatment	End-use/disposal	Evidence /scoring	
<p>Developing: What is the level of expenditure, degree of equity and level of output?</p>	<p>Expenditure</p>	<p>Adequacy & structure: Are the annual PUBLIC financial commitments for FSM sufficient to meet the service levels and needs for Capex and Opex in the coming 5 years?</p>	<p>D1</p>	<p>D1</p>	<p>D1</p>	<p>D1</p>	<p>D1</p>	<p>1: annual PUBLIC financial commitments are sufficient to meet >75% of requirements (estimated need if no targets set)</p>	
								<p>0.5: annual PUBLIC financial commitments are sufficient to meet >50% of requirements (estimated need if no targets set)</p>	
								<p>0: annual PUBLIC financial commitments insufficient to meet 50% of requirements (estimated need if no targets set)</p>	
	<p>Equity</p>	<p>Choice: Is there a range of affordable, appropriate, safe and adaptable technologies for FSM services available to meet the needs of the urban poor?</p>	<p>D2</p>	<p>D2</p>	<p>D2</p>	<p>D2</p>	<p>D2</p>	<p>D2</p>	<p>1: range of technical options exist (i.e. are “offered” formally) and are used by the urban poor</p>
									<p>0.5: range of options exist, but are not accessed by the urban poor, or just not used</p>
									<p>0: options are not present</p>
		<p>Reducing inequity: Are there specific and adequate funds, plans and measures to ensure FSM serves all users, and specifically the urban poor?</p>	<p>D3</p>	<p>D3</p>	<p>D3</p>	<p>D3</p>	<p>D3</p>	<p>D3</p>	<p>1: funds, plans and measures are codified and in use</p>
									<p>0.5: funds, plans and measures are codified but not in use</p>
									<p>0: no funds, plans and measures codified</p>
	<p>Outputs</p>	<p>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</p>	<p>D4</p>	<p>D4</p>	<p>D4</p>	<p>D4</p>	<p>D4</p>	<p>D4</p>	<p>1: capacity growing at a pace to meet >75% of the needs/demands and targets to protect health</p>
<p>0.5: capacity growing at a pace to achieve >50% of needs/demands</p>									

Sub-question	Category	Question	Containment	Emptying	Conveyance	Treatment	End-use/disposal	Evidence /scoring
		needs/demands and targets that protects PUBLIC and environmental health?						and targets to protect health
								0: capacity insufficient to meet 50% of the 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
								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, 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
		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

Sub-question	Category	Question	Containment	Emptying	Conveyance	Treatment	End-use/disposal	Evidence /scoring
	Expansion	Demand: Has government (national or city authority) developed any policies and procedures, or planned and undertaken programs, to stimulate demand of FSM services and behaviours by households and responses by service providers?	S3	S3	S3	S3	S3	<p>1: demand generation policies, procedures or programs are being implemented, with resulting demand for services growing and being responded to</p> <p>0.5: demand generation policies, procedures or programs are being implemented (or partially implemented), but resulting demand is not fully addressed</p> <p>0: demand generation policies, procedures or programs are not being implemented</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?	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 FS generated by the city that is managed effectively, within each part of the service chain	S5	S5	S5	S5	S5	1: >75% of FS generated is managed effectively, at that stage of the service chain
0.5: >50% of FS generated is managed effectively, at that stage of the service chain								
0: <50% of FS 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-income communities?	S6	S6	S6	S6	S6	1: Hygienic FSM systems and services are affordable and readily available in low-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 1	Sum 2	Sum 3	Sum 4	Sum 5	