WASHCost

INDIA

TRAINING MODULE ON

FIELD WORK METHODS

for

ASSESSING UNIT COSTS OF WASH SERVICE DELIVERY IN RURAL AND PERI URBAN AREAS

WASHCost India: Andhra Pradesh

October 2010

"Draft" Training Module on Field Work Methods for Assessing Unit Costs of WASH Service Delivery in Rural and Peri-Urban Areas

1.1 Background

The WASHCost Project aims at improving sustainability, cost efficiency and equity of WASH service delivery in rural and peri-urban areas by identifying the factors influencing costs at each stage of WASH service delivery life cycle. In order to achieve the overall aim of WASHCost project, the methodologies designed for tracking inputs on WASH service delivery system are largely tested in test bed sites. Hence, the WASHCost project is planning to take up second phase investigations in ten villages through investigators (hired for a short period). This training module is prepared for training those investigators with the following objective(s)

1.2 Objective(s)

To explain the objective(s) of WASHCost project;

To enlighten participants on existing WASH service delivery system in rural and peri – urban locations (including pros and cons in the system);

To develop better understanding among participants on importance of research in WASH Governance and role of WASHCost Project;

To impart the necessary skills in participatory research techniques and data collection

To gain firsthand experience on tracking inputs on WASH Services at Gram Panchayat / household / water point / community level.

1.3 Target Group

10 Investigators

1.4 Duration

Five Days

1.5 Venue

Seminar Hall; CESS – Hyderabad

1.6 Sessions/Topics

Session 1: Participants self introduction

Session 2: Assessing participant's awareness levels on WASH service delivery

Session 3: About WASHCost Project

Session 4: Understanding ground situation of WASH service delivery system (including condition of infrastructure, supply of services, accessibility of services by community; investments etc)

Session 5: Institutional arrangements for WASH service delivery in rural (including different government schemes, institutional arrangements of RWSS; its functioning style; fund flow etc)

Session 6: Institutional arrangements for WASH service delivery in peri-urban (including different government schemes, institutional arrangements of RWSS; its functioning style; fund flow etc)

Session 7: CIF/RIDA Framework

Session 8: Orientation on rapport building and methodologies

Session 9: Secondary information from Gram Panchayat

Session 10: Primary information from rapid households and sample households

Session 11: Village Base Maps – Interpretation of data using Maps.

Session 12: Assessing the Performance of Water Point(s) through QIS

Session 13: Assessing Transparency and Accountability in WASH services

Session 14: Field visit

Session 15: Reflections on field visit

Session 16: Closing session

1.7 Expected Output/Out Come

The participants at the end of the training programme would develop better understanding on WASHCost Project; existing problems and concerns in WASH service delivery system in rural and peri-urban locations; importance of undertaking research in WASH sector etc and at the same time they would also gain the hands on experience in conducting household level surveys; tracking the inputs on WASH services particularly at household/water point/community level using the participatory research techniques.

General Tips for Using the Module:

- Arrange all logistics such as food, accommodation, travel etc.
- Keep the training hall clean and neat.
- Keep the required stationary in the training hall
- Inform the session timings to the facilitators in advance.
- Facilitator needs to introduce about himself to the participants.
- The PowerPoint presentation should not be in the form of running text
- The facilitator(s) may use appropriate photographs/ pictures/ flow diagrams etc in order to make the presentation more interesting.
- Each slide of PPT might not exceed more than 10 lines.
- The facilitator(s) has to check the working condition of the laptop and LCD projector and make it ready for the session.
- Display the IEC materials such as posters, wall posters, calendars, and magazines etc on water, sanitation and hygiene themes.
- Arrange logistic for field demonstrations on methodologies either in NGO facilitated habitation and/ or department facilitated habitation.
- Use the participatory training methods throughout the training.
- If the facilitator(s) is coming from other institutions /organizations need to be introduced to the participants by the training coordinator.
- The training coordinator need to introduce the facilitator to the participants if the facilitator is coming from other institutions/ organizations etc.
- Case studies suggested in the training module are given as annexure.

Session 1: PARTICIPANTS SELF INTRODUCTION

Time required: Thirty Minutes

Objective(s) Participants get familiar with each other.

Facilitator(s) would understand the research background of participants.

Session content(s) Participant(s) educational background;

Involvement in research studies; and

Core capacities / skills

Methodology Self introduction of participant(s) in large group

Description/Process

- Facilitator(s) announces that each participant has to introduce themselves to the larger group.
- While introducing, apart from general information, he/ she has to talk about his/ her educational background and extent of involvement in research studies.

Tips for Facilitators

- If required, the facilitator(s) may help the participant(s) in articulating about themselves.
- The facilitator(s) has to develop some understanding on each of the participant in-terms of their communication style and experience in research studies.
- Based on the above, the facilitator(s) can nurture them in the forth-coming sessions.

Session 2: ASSESSING PARTICIPANT(S) AWARENESS LEVELS ON WASH SERVICE DELIVERY

Time Required Sixty Minutes

Objective(s) Participants exchange their knowledge and ideas on WASH service delivery system
Facilitator would know the thematic gaps on which he/she has to enrich the knowledge levels of participants in the fourth coming sessions.

Session content(s) Different government schemes for providing WASH services

Institutional arrangements for providing WASH services

Existing problems and causes in WASH service delivery system at various levels

Methodology Small Group Discussions

Description/Process

- The facilitator divides the participants into two small groups, and each small group would discuss on the points mentioned in the session content(s) and make a presentation in the large group.
- One participant, from each group, has to facilitate the group discussions and another participant has to note the proceedings of the discussions.
- Groups may be formed by any method familiar to the facilitator. Charts and pens need to be supplied to these small groups for preparing presentations.
- The facilitator(s) may have to give inputs to each group in their discussions and preparing presentations.
- Each small group has to make their presentations in the large group. At the end of each group presentation, there should be time for question and answers, if possible.
- At the end of the exercise, the facilitator(s) need to share the points which are presented and/ or not presented by small groups and which would learn in the forth-coming sessions.

Tips for Facilitators

- ***F***acilitator(s) has to make a clean observation on the level of participation of the participants in the small group discussions.
- Facilitator(s) need to create a learning environment.
- Facilitator(s) has to note the points which are not presented by the groups.

Material required: Charts and Pens

Session 3: ABOUT WASHCost PROJECT

Time Required Thirty Minutes

Objective(s) Participants would be articulating the purpose of WASHCost Project.

Session content(s) Objective(s) and Purpose of WASHCost Project;

Various institutions/ partners involved in WASHCost Project;

Expected outputs/ results/ benefits out of the project; and

Progress achieved so far (including challenges faced).

Methodology PowerPoint Presentation

Description/Process

- The facilitator(s) has to explain each slide of the PowerPoint presentation in simple language. Emphasis should be given on the gaps between policy guidelines and ground reality; and how the WASHCost project plans to bridge the gap (purpose of the project in detail).
- The facilitator(s) at the end of the presentation may ask the questions to the participants and/ or clarify their doubts.

Tips for Facilitators

- The facilitator(s) should prepare PowerPoint presentation covering the points mentioned in session content(s). They should also provide information on global prospective of WASHCost project; how it is beneficial to the poor communities in rural and peri – urban areas. At the end of the session give *handout – 1* to the participants.

Reading materials WASHCost brochure; End of Inception Phase Report of WASHCost Project

Equipments required Laptop; LCD Projector and Screen

Handout 01

Brief about WASHCost Project

WASHCost in as action research project being implemented in India, Ghana, Mozambique and Burkino Faso with the support of International Research (water and sanitation) Centre (IRC). The five years WASHCost project aims at improving sustainability, cost efficiency and equity of WASH service delivery in rural and peri-urban areas by identifying the factors influencing costs at each stage of WASH service delivery life cycle.

The WASHCost project proposes to play a lead role in bringing about the transformation, working with Local and National Governments, resource centers, academic institutions, NGOs and international organizations in rural and peri-urban areas. ***The focus areas of the WASHCost project include:***

- ***Environmental, institutional, social, financial sustainability of WASH service delivery***
- ***Equitable access to poor, marginalized and unreached***
- ***Cost efficiency and / or value for money at each stage of life cycle (Includes Capital, Operation and Maintenance, Capital maintenance costs etc)***

In addition to sustainable, equitable and cost efficient WASH service delivery, the WASHCost project will collect and collate information relating to the real disaggregated costs in the life-cycle of water and sanitation service delivery to poor people in rural and peri-urban areas involving decision makers and stakeholders at every level. It is planned that the data and expertise obtained will be used to develop an internet-based decision-making tool, which can be accessed by all the stakeholders for effective planning and implementation of WASH service delivery using the validated benchmarks and cost data that take account of worldwide experiences.

WASHCost has an inclusive approach to learning and changing practice by undertaking action research related to community participation in decision making, planning, implementation as well as operation and maintenance for developing efficient WASH service delivery services keeping equity and sustainability central to the project. The project would proceed in a lesson-learning mode. The learning's will be shared with the concerned stakeholders with the overall aim of correcting, improving and building improved WASH policies and initiatives.

The WASHCost project aims to improve the sustainability, cost efficiency and equity of WASH service delivery in rural and peri-urban areas. ***The broad objectives of the project include:***

- ***Specifically support the implementing departments, private sector, NGOs, etc. for effective and efficient WASH service delivery by:***

Session 4: UNDERSTANDING GROUND SITUATION OF WASH SERVICE DELIVERY SYSTEM

Time Required Ninety Minutes

Objective(s) Participants would get familiar with various types of infrastructure and investments related to WASH service delivery at the ground level.

Session content(s) System of service delivery; Infrastructures; Investment details; accessing services

Methodology Analyzing Photographs (on WASH service delivery system)

Description/Process

- From the participants into two small groups.
- Each group would do photo analysis for developing better understanding on ground situation of WASH service delivery system.
- The small groups after analyzing photos have to make presentation on the system of service delivery; infrastructures; investments; accessibility of services etc.
- One participant from each group will play the role of facilitator and another would record the proceedings of the discussions.
- Provide photographs (captured on different infrastructures of WASH service delivery system) to the groups.
- Ask the groups to analyze photographs.
- The groups have to prepare presentations on chart papers.
- The groups have to make presentations in the larger group.
- Allot time for clarification of doubts after each presentation.
- While summing up the presentations, facilitator should brief about the topics in the forth-coming sessions.
- Even, the facilitator may throw some input on importance of understanding the accountability and transparency in WASH services.
- At the end of the session give handout 2 to the participants.

Materials required Charts and Pens, photographs.

Handout 02

Issues in WASH Service Delivery

- Failure of sources due to erratic rains, drought, depleted ground water level etc.,
- Inequity in WASH service delivery due to socio-economic and political situations.
- Improper planning leading to distribution problems (i.e., not maintaining equal pressure at all water points in the village etc)
- Lack of funds and manpower at Gram Panchayati level for maintenance of water, sanitation and hygiene related infrastructure.
- Poor quality construction of infrastructure leads to frequent break downs (i.e., leakage of pipes, broken platforms (at water points), frequent repairs of hand pumps, motors, pump houses etc).
- Lack of community ownership in WASH service delivery system
- Lack of accountability and transparency.
- Lack of capacities and knowledge in operation and maintenance of WASH service delivery system.
- Stagnation of drainage water in front of households (on roads) due to non-cleaning of drains.
- Spreading of communicable diseases due to un-safe disposal of (household) solid wastes.

Session 5: INSTITUTIONAL ARRANGEMENTS FOR WASH SERVICE DELIVERY IN RURAL

Time Required Ninety Minutes

Objective(s) Participants would know the system of WASH service delivery in rural areas.

Session content(s) Government Policy; Different Schemes; Institutional arrangements; Fund flow; people's participation, operation and maintenance of infrastructure etc

Methodology PowerPoint Presentation

Description/Process

- Facilitator(s) should explain (in detail) about the government policy, different schemes, institutional arrangements, fund flow, people's participation, operation and maintenance of infrastructure etc of WASH service delivery in rural areas.
- Facilitator(s) should share about accountability and transparency aspects related to WASH services delivery system in rural areas.
- Facilitator(s) may share the expectations of the departments from wASHCost Project in providing sustainable WASH service in rural areas.
- At the end of the session give Handout – 3 to the participants:

Tips for Facilitators

- Facilitator(s) has to prepare PowerPoint presentation on the system of rural water supply and sanitation including government policy, different schemes, institutional arrangements, fund flow system, people's participation in decision making etc.

Reading materials Brochure on RWSS (if available)

Equipments required Laptop, LCD Projector, and Screen,

Handout 03

The responsibility of planning, execution and maintenance of various drinking water supply schemes was largely with ***Rural Water Supply and Sanitation (RWSS) Department of GoAP. The Objectives of RWSS department is;***

- Delivery of safe potable water to all rural people (ensuring access to a reliable (defined as 40 lpcd), financially and environmentally sustainable and affordable RWSS service to the entire rural population.
- Safe water supply to fluoride, brackish and other polluted habitations.
- Up gradation of standards of all "partially covered" habitations to "fully covered" status.
- Ultimate Goals:-
  - All houses with piped water supply connections with assured supply of water.
  - All habitations with solid and liquid waste disposal facilities.
- Key Elements of GoAP's "Vision" Are
  - Devolution of funds, functions and functionaries to PRIs;
  - Enforcement of full recovery of O and M costs and sharing of capital costs from user charges (taking into consideration affordability, particularly by disadvantaged groups); and
  - Improvement of the accountability framework by clarifying the roles and responsibilities of the various actors of the RWSS sector at the state, district and village level, including responsibilities for policy formulation, financing, regulation, construction, operations and maintenance.

Institutional Arrangements:

Sl. No	Institution	Role and Responsibilities
1	State Water and Sanitation Mission	Policy Formulation; Approval of Schemes; Periodic Review of implementation; coordination with other departments; monitoring and evaluation of physical and financial progress; integration and operation of capacity development programs; resource mobilization and management.
2	District Water Supply Mission and District Water Supply Committee	Planning, Implementation and Review of schemes at district level; Receiving and managing funds; IEC related activities, Coordination with other departments.
3	Mandal Water Supply and Sanitation Committee	Planning and Coordination of schemes at mandal level; maintenance of scheme funds; maintenance of supply of spares for various schemes/ programs.
4	Village Water Supply and Sanitation Committees Headed by Sarpanch, Grama Panchayat	Review of progress of schemes at village level; recommendation of schemes to DWSC; IEC campaign for local support for schemes.

The WASH services provided by Rural Water Supply and Sanitation Departments, GoAP could be broadly categorized into the following.

Drinking Water:

- Single Village Schemes (SVS)
  - Source is largely groundwater or surface water bodies in the village;
  - Hand pumps;
  - Bore wells; bore well with over head/ ground level storage reservoirs with distribution network and tap (public stand posts and/ or individual connections)
  - Pump house; filtration units, over head/ ground level tanks with distribution network and taps (public stand posts and/ or individual connections)
- Multi Village Schemes (MVS)
  - Source is largely surface water bodies/ reservoirs/ canals of medium and large irrigation projects

Session 6: INSTITUTIONAL ARRANGEMENTS FOR WASH SERVICE DELIVERY IN PERI-URBAN

Time Required Seventy Five Minutes

Objective(s) Participants would know the system of WASH service delivery in peri-urban.

Session content(s) Government Policy; Different Schemes; Institutional arrangements; people participation; fund flow; operation and maintenance of infrastructure etc.

Methodology PowerPoint Presentation

Description/Process

- Facilitator(s) should create learning environment for the participants on WASH service delivery system in peri-urban location by asking questions etc.
- Facilitator(s) has to explain WASH service delivery system in peri-urban location through PowerPoint Presentation in simple language (preferably in local language).
- Facilitator(s) should explain (in detail) about the government policy, different schemes, institutional arrangements, fund flow, people's participation, operation and maintenance of infrastructure etc of WASH service delivery in peri – urban areas.
- Facilitator(s) share about accountability and transparency aspects related to WASH services delivery system in peri-urban areas.
- Facilitator(s) may share the expectations of the departments from WASHCost project in providing sustainable WASH service in peri-urban areas.

Tips for Facilitators

- Facilitator(s) has to prepare PowerPoint presentation on the system of urban water supply and sanitation including government policy, different schemes, institutional arrangement, fund flow system, people's participation in decision making etc.

Reading materials Brochure on PHED (if available)

Equipments required Laptop, LCD Projector, and Screen.

Session 7: CIF / RIDA FRAMEWORK

Time Required Sixty Minutes

Objective(s) Participants would know the real life-cycle costs of equitable and sustainable WASH service delivery (i.e., capital costs, recurrent operational costs, capital maintenance costs and direct and indirect support costs.

Session content(s) Explain key terms such as sustainability, equity, cost efficiency, life cycle etc.

Explain cost components of CIF/RIDA framework – disaggregated costs

Explain the importance of collecting the life-cycle costs (disaggregated costs) of WASH service delivery.

Methodology Case study Analysis

Description/Process

- In order to make participants familiar with cost components, the facilitator has to introduce the subject taking motor cycle as an example. The following is the process
- What are the various costs and/ or expenditure we incur for owning and maintaining the motorcycle.
- Record all the costs and/ or expenditures listed by the participants
- Categorize the listed costs and/ or expenditure under different heads such as capital investment, operation and maintenance, training costs
- Keeping the above as a base, explain the different costs and/ or expenditures we may incur in establishing and maintenance of WASH service delivery system in rural and peri-urban locations.
- Form two small groups for case study analysis for understanding the various cost components involved in establishment and maintenance of WASH service delivery system".
- The small groups after analyzing case study have to make presentation on the various expenses under different cost components.
- One participant among each group would play the role of facilitator and another record the proceedings of the discussions.
- Provide case studies i.e., "Cheruvu cheppina katha' to one group and 'Chikakulapalli' to another group.
- Ask the groups to analyze case studies basically on the lines of capital costs recurrent operational costs, capital maintenance costs and direct and indirect support costs.
- Ask participants to prepare presentations and assemble in the training hall.

- Now, ask the groups to make presentations (including the problems faced by the groups in preparing presentations such as lack of data, misappropriation of funds etc).
- Let the participants reflect on the presentations.
- During the presentations, support the groups in getting clarity on classification of expenditures under different heads.
- A sample filling of CIF analysis data based on case study 'Cheruvu Cheppina Katha' is given in Handout 5.
- Explain the purpose of analyzing the life cycle costs of WASH service delivery and also the disaggregated costs and/ or cost components of CIF/ RIDA.
- At the end of the session give Handout – 4 to the participants.

Tips for Facilitators

- Facilitator need to explain the ground scenario that might likely occur while collecting the data on CIF\RIDA framework.

Reading materials Note on CIF/RIDA framework, two case studies – Cheruvu Cheppina Katha (annexure 2) and Chikakulapalle (Annexure – 3)

Understanding CIF / RIDA Framework

WASHCost project deals with number of issues that need to be understood clearly. The aim of the project is to provide sustainable wash services equitably in a cost effective manner. In the context of WASHCost the concepts used are defined in the following manner;

Sustainability means environmental, institutional, social and financial sustainability. Environmental sustainability mainly deals with source protection and safety in the long run (10 – 15 years).

Equity means service delivery to poor men, women, and children, marginalized and unreached sections of the community. That is ensuring equity in access and delivery through appropriate system designing.

Cost efficiency means provision of WASH services in most cost effective manner. That is investments are optimum and ensure value for money.

Life – cycle means not only the cost of construction and provision of infrastructure but also ensures sustainability of the service in the long run and equitable service delivery. Real life-cycle costs of equitable and sustainable WASH service delivery can be disaggregated into a number of categories including the capital costs, recurrent operational costs, capital maintenance costs and direct and indirect support costs. Costs that may require increased attention include: pro-poor project design, institutional development and capacity, building hygiene awareness, source protection and / or water service delivery within locally – derived frameworks for integrated water resource management, designing delivery systems to mitigate risks of climate change and extreme events.

Peri-urban users are those not directly served by (conventional) urban utilities but located on the periphery or very close to the urban areas.

CIF – RIDA framework

Cost Component	Resources Costs involved sustainable provision of water resources of required quantity and quality	Infrastructure Cost involving in constructing operating and maintaining water supply infrastructure	Demand/Access Costs to ensure that access meets demand and is within government norms
CapEx Hardware Capital investment in fixed assets	• **Costs of WASH-related land treatment: source protection** - **Costs of WASH-related engineering structures:** - **Costs of unconventional water sources:**	- **Costs of constructing water storage infrastructure:** - **Costs of water supply infrastructure:** - **Costs of water treatment plants:** - **Costs of "overdesign"** - **Additional pro-poor costs** - **Costs of small-scale water supply infrastructure.**	- **Costs of installing water meters;** - **Costs of water quality monitoring;** - **Cost of billing system;**
CapEx Software One – off work with stakeholders prior to construction or implementation	- **Cost of resource assessments;** - **Design costs:** - **Regulation costs:** - **Costs of IEC, institutional development and capacity building**	- **Infrastructure assessment costs;** - **Engineering design costs** - **Costs of active stakeholder participation** - **Costs of using specialist knowledge** - **Costs of IEC, institutional development and capacity building.**	- **Demand assessments costs:** - **Costs of active stakeholder participation:** - **Costs of using specialist knowledge** - **Costs of IEC, institutional development and capacity building.**
Costs of capital	- **Cost of interest payments**	- **Cost of interest payments:**	
OpEx Operating and minor maintenance expenditure	- **Cost of maintaining structures listed above** - **Costs of enforcing regulations** - **Possible payments to land users**	- **Cost of operating and maintaining infrastructure listed above;** - **Costs of O & M;** - **Costs of emergency or back-up supplies;** - **Costs of monitoring UAW**	- **Costs of billing scheme;** - **Cost of complaints / breakdown system:** - **Costs of enforcing regulations:** - **Costs of leak detection.**
CapManEx Asset renewal and replacement cost	- **Cost of rehabilitating or repairing structures**	- **Costs of rehabilitating or repairing infrastructure**	
Direct support costs Post – construction support activities for local – level stakeholders, users or user groups	- **Costs of supporting community – based organizations;** - **Costs of supporting PRIs;** - **Costs of long-term resource related IEC and capacity building programmes.**	- **Costs of supporting community – based organizations;** - **Costs of supporting PRIs;** - **Costs of long-term infrastructure-related IEC and capacity building programmes.**	- **Costs of supporting community – based organizations;** - **Costs of supporting PRIs;** - **Costs of long-term demand / access IEC and capacity building programmes;**
Indirect support costs Macro-level support, planning and policy making.	- **IWRM costs** - **Monitoring (at source) costs;** - **IT systems and support costs**	- **IWRM costs;** - **Monitoring (at point of supply) costs;** - **IT systems and support costs;**	- **IWRM costs;** - **Monitoring (at point of use) costs;** - **IT systems and support costs;**

In order to arrive at the life cycle costs we have adopted the RIDA (Resources, Infrastructure and Demand / Access) framework along with the cost components developed by IRC, Various cost components are defined and grouped under different categories viz., CapEx (hardware), CapEx (software), Costs of Capital, OpEx (O&M), CapMnEx (renewal/replacement), direct support costs (post construction activities, household level costs, indirect support costs (Macro level planning and policy). These cost components are more detailed than the standard cost components used in calculating the unit costs at the department level. This framework is adopted for drinking water as well as sanitation.

Handout 05

Cost Components	Resource		Infrastructure		Demand and Access	
	Description	Amount (Rs.)	Description	Amount (Rs.)	Description	Amount (Rs.)
CapEx Hardware Capital investment in fixed assets.			In 1976 Construction of an open well	6000		
			In 1977 Construction of seven open wells	45500		
			In 1980 Installation of two Hand Pumps	10800		
			In 1985 Installation of three Hand Pumps	19500		
			In 1990 Construction of Community toilets and small drainage lines.	150000		
			In 1992 Single village scheme.	400000		
			In 1996 Construction of Individual Sanitary Latrines and drainage lines.	900000		
			In 1998 Single village scheme.	600000		
	Total		Total	2131800	Total	
CapEx Software one_off work with stakeholders prior to construction or implementation.			In 1990 Awareness programs conducted on the losses and dangers of open defecation.	30000		
	Total		Total	30000	Total	
Costs of Capital						
	Total		Total		Total	
OpEx Operating and minor maintenance expenditure.			De-silting in the year 1979	2000	In 1998 Quality monitoring meter.	30000
			Paid water man salary and cost of conducting water committee meetings from the year 1992 to In 1992 – 98	61000		
	Total		Total	63000	Total	30000
CapManEx Asset renewal and replacement cost.						
	Total		Total		Total	
Direct support costs Post - construction support activities for local - level stakeholders, users or user group.						
	Total		Total		Total	
Indirect support costs Macro - level support, planning and policy making.						

Session 8: ORIENTATION ON RAPPORT BUILDING & METHODS USED FOR DATA COLLECTION

Time Required Sixty Minutes

Objective(s) Participants would know the techniques of rapport building and;

Methodologies for collection of primary and secondary data on WASH services

Session content(s) Rapport Building Techniques

Research methodologies and/ or formats

Methodology Delphi

Description/Process

- Participants might be using their own methods and/ or techniques to build rapport with the community, hence, the Delphi exercise helps to crystallize their experiences and learn from it. The process of doing Delphi exercise is as follows.
- Distribute the flash cards and pens to the participants.
- They have to write how they would introduce themselves to the villagers during the field visit.
- Give ten minutes to the participants for writing their answers on flash cards.
- Ask each participant to explain the methods that they wrote on flash cards. The cards have to be kept on the floor.
- Group similar methods and/ or techniques written by the participants.
- Facilitator has to explain the importance of rapport building. Why to build rapport, with whom to build rapport etc.
- Facilitator has to explain how personal behavior (personal traits) plays major role in rapport building.
- If possible, the photos of different postures and gestures should be shown to develop better understanding.
- While summing up the session, the facilitator should clarify the doubts of the participants and/ or pose questions to test their understanding levels.
- Explain various research methodologies used for collection of primary and secondary data on WASH service from different stakeholders.

- Explain how the rapport building methods would help them in field.

Tips for Facilitators

- Facilitator should gather different photos of postures and gestures of persons to explain the right rapport building process.

Materials required Flash cards, Pens, cello tape

Reading materials Note on rapport building process and research methodologies (handout 6 and 7)

Equipments required Laptop, LCD projector, Screen

Handout 06

Rapport Building Process

Rapport building is the single most important aspect of our communication. In fact, all communication efforts can get futile if we do not have a rapport with our team members. Having rapport as the foundation for any relationship means that when there are tough issues to discuss, you can more easily find solutions and move on. Fortunately, you can learn how to build rapport. Rapport happens at many levels. You can build rapport all the time through (1) the places and people you spend time with; (2) the way you look, sound, and behave; (3) the skills you have learned; (4) the values that you live by; (5) your beliefs; (6) your purpose in life

Being yourself Seven quick ways to sharpen your rapport

- Take a genuine interest in getting to know what's important to the other person. Start to understand them rather than expecting them to understand you first.
- Pick up on the key words, favorite phrases and ways of speaking that someone uses and build these subtly into your own conversation.
- Notice how someone likes to handle information. Do they like lots of details or just the big picture? As you speak feedback information in this same portion size.
- Breathe in unison with them.
- Look out for the other person's intention — their underlying aim — rather than what they do or say. They may not always get it right, but expect their heart to lie in the right place.
- Adopt a similar stance to them in terms of your body language, gestures, voice tone and speed.
- Respect the other person's time, energy, favorite people and money. They will be important resources for them. The communication wheel and rapport building

Classic research looked at how live communication was received and responded to. His figures suggested that your impact depends on three factors — how you look, how you sound, and what you say. His research broke it down as illustrated in the communication wheel here: 55 per cent body language, 38 per cent quality of the voice and 7 per cent actual words spoken.

Clearly, first impressions count. Do you arrive for meetings and appointments hot and harassed or cool and collected? When you begin to talk, do you mumble your words in a low whisper to the floor or gaze directly and confidently at your audience before speaking out loud and clear?

In terms of building rapport — you are the message. And you need all parts of you working in harmony: words, pictures, and sounds. If you don't look confident — as if you believe in your message — people will not listen to what you are saying.

Rapport involves being able to see eye-to-eye with other people, connecting on their wavelength. So much (93 per cent) of the perception of your sincerity comes not from what you say but how you say it and how you show an appreciation for the other person's thoughts and feelings.

When you are in rapport with someone, you can disagree with what they say and still relate respectfully with him or her. The important point to remember is to acknowledge other people for the unique individuals that they are. For example, you may well have different political or religious views to your colleagues or clients, but there's no need to fall out about it. It's also likely that there are several choices about what's favourite to eat for supper and you can agree to differ with your family on that one, too.

Hold on to the fact that you simply wish to differ with their opinion and this is no reflection on the person. A person is more than what they say, do, or believe.

Handout 07

Note on Methodologies

⇒ ***Secondary Data collection*****:** Format 1 and 2 mainly focus on collecting information from the Departments and Panchayat. This information should be the basis for input tracking in the villages for cross verification and triangulation. But due to various reasons (non availability of records, change in the staff and people representatives, data difficult to track in old schemes, etc.) delayed the process *(Lessons learnt during test bed phase include sequencing of this activity well in advance, engaging experienced resource persons who have easy access to data and records, good liaison with the concerned officials, etc.) .*

⇒ ***Listing of Households:*** Format 3 (questionnaire) was developed to assess the total families living in study area in terms of caste, religion, population, educational status, availability of WASH facilities (including infrastructure, condition, utilization, etc.). While collecting the information from each household the base maps were also validated with the ground situation and the missing houses and functional/ dysfunctional wells, hand pumps, public taps, etc. were corrected on the map to maintain the accuracy. The investigators visited house to house spending about 15 minute on each format. The analysis of the information indicates the quantity of water available for each family and the time taken, etc. which helps to cross verify the Government norms*. (Lessons learnt during test bed phase include the importance of accurate preparation of base map with clear marking of all the internal roads, providing unique identification number for households apart from house numbers given by panchayat for easy verification and linking of data in GIS, training of investigators in basic map reading skills).*

⇒ ***Water Point Survey:*** Format 4 was developed using Quantified Information Systems (QIS) to assess the performance of water points (public) in terms of accessibility, quality, quantity, reliability/ predictability, drainage, status of O and M, stagnation of water, social issues, etc. The methodology focuses on converting people responses into numbers for easy interpretation and analysis. A team gathers maximum possible number of respondents who collects from the source and asks them to score giving the different options designed for the parameter. The consensus among the respondents was achieved to score with a clear reason for the same. (Lessons learnt during test bed are: need for intensive training to the investigators, expert guidance in designing the options keeping the Government norms in view for PSPs and Hand Pumps, careful assessment of scores.).

⇒ **Transparency and Accountability**: Format 5, consisting the checklist of issues for general discussions on WASH services with members of local bodies, members of women groups, members of youth groups, and members of SC/ST communities was designed to assess the WASH functioning system on 19 parameters such as technical surveys, peoples participation, decision making process, pro-active disclosure of information, situation of solid waste and/ or waste water management, hygiene practices, effectiveness of trainings, water quality testing systems etc. This discussion helped in understanding the role of communities, and local bodies in WASH service delivery system.

⇒ **Sample Household Survey** : Format 6 was designed to undertake a detailed household analysis for a sample of fifty households in each test bed village, which were selected randomly based on income, caste, religion, land holding, location of HH (problem and non-problematic), etc. Analysis of information helps to assess the trends and pattern of WASH service delivery, relationship with income and better WASH facilities, household expenditure pattern on WASH, hygiene behavior and status and use of sanitation facilities, etc. (Lessons learnt test bed phase include careful selection of sample, accuracy of the information elicited, triangulation and cross verification).

Session 9: SECONDRY INFORMATION FROM GRAM PANCHAYATI

Time Required Ninety Minutes

Objective(s)

Participants would understand the questionnaire

Participants would know the techniques for collection of data

Participants would fill the prescribed format with quantitative and qualitative information.

Session content(s)

Importance of collecting secondary information from gram panchayat.

Explain the prescribed format

Explain the techniques required for collecting secondary information from Gram Panchayat using the prescribed format.

Mock exercise on collection of secondary information from gram panchayat;

Methodology Mock Exercise

Description/Process

- Briefly explain the purpose of collecting secondary information from GP including probable sources of information (books, records and members of gram panchayat) and type of data available at each source etc.
- Conduct the mock exercise (on the process of collecting the secondary information from gram panchayati) as stated below;
- Divide the entire participants into two small groups
- Assign the roles of facilitator; recorder and members of GP. The facilitator has to facilitate discussions using the prescribed format; the recorder has to record the proceedings of discussions and the members of GP have to respond to the questions.
- Provide the prescribed format and the case study (covering all investments and process on water, sanitation and hygiene aspects) for filling the prescribed format.
- Give some time for understanding questionnaire and case studies;
- The groups need to fill the prescribed format through focused discussions by playing their roles.

- The filled formats need to be exchanged between groups. Ask each group to identify the mistakes (wrong entries) made by the other group.
- At the end of the exercise, review the process and identify the gaps; problems etc in the large group;
- The facilitator should sum up the whole session and if required he/she may have to explain the different steps involved in collecting secondary information in prescribed format through people's involvement from GP; such as
- Interpretation of GIS map
- Developing better understanding on WASH service delivery in study area
- Tracking changes in situation of drinking water, sanitation and hygiene
- Culminating quantitative data from books and records of GP
- Give handout – 8 at the end of the session.

Reading materials Case Studies (Cheruvu Chepina Katha); Format – 2 (enclosed as annexure)

Materials required Charts and Pens, copies of case studies and photographs

Handout 08

Process of collection of secondary information from Gram Panchayat

Apart from operation and maintenance of WASH related infrastructure, the local self governance institutions (LSGIs) might also promote WASH related infrastructures with their surplus funds based on need. Therefore, it is very important to track this information from LSGIs on the investments made, time scale with respect to creation of water source, pump houses, pumps, storage reservoirs, transmission and distribution etc including systems and procedures established for WASH service delivery system. The collection of secondary information from members of Gram Panchayat and/ or Municipality requires a systematic approach because the required information might not be available at one point/place due to various reasons such as (1) poor/non maintenance of records, (2) lack of capacities, (3) lack of man-power, (4) lack of transparency etc. Hence it requires deep understanding on existing re-sources, infrastructure including availability of books/ records etc. Developing deep understanding on WASH service delivery system requires the following **systematic approach.**

- ➔ Inform the community (Or grama Panchayati members) in advance about your purpose of visit.
- ➔ Explain to the members of GP/Municipality and key informants about purpose of study including WASHCost project.
- ➔ Conduct transact walk in the study area using the GIS Map for understanding the situation of WASH service delivery system but ensure the participation of members of members of LSGIs and community.
- ➔ Conduct focused group discussions with members of GP/municipality and key informants for capturing secondary information in the prescribed format
- ➔ Suggested to record the proceedings of focused group discussions in note book rather than in prescribed format in order to minimize the loss of useful information.

- ➔ The quantitative information that needs to be collected by culminating books and/ or records that might likely available in Gram Panchayat/Municipality.
- ➔ At the end of the exercise, express the vote of thanks to the participants for giving their valuable time and suggestions.

In order to complete the task of collecting the secondary information from Gram Panchayat/ Municipality requires a team with more than two members. The members in the team should be familiar with the use of GIS Map, government schemes related to WASH services, timeline exercise etc. This type of specializations in the team would definitely help in quick completion of task through community participation by delegation of clear cut roles and responsibilities among themselves. However, the following are **the dos' and don'ts** that need to be followed while collecting the secondary information from Gram Panchayaties/ Municipalities.

- ➔ Members have to play their role effectively at the same time they need to support others if required.
- ➔ Give equal importance if generated more than one opinion in focused group discussions.
- ➔ Create non-threatening and non-blaming atmosphere in the focused group discussions.
- ➔ The team has to have lots of patience and they should listen to the participants at large.
- ➔ The team deputed for collection of secondary information should be familiar with local language.
- ➔ The information which is reluctant to provide by GP needs to be collected tactfully.
- ➔ Depute experience persons for collection of secondary information from GP/ municipality.
- ➔ While eliciting information through FGD, it is essential to make sure that the group discuss on only with respect to WASH service delivery system but not blaming others.

Session 10: PRIMARY INFORMATION from RAPID HOUSEHOLD and SAMPLE HOUSEHOLD SURVEYS

Time Required One Hundred and Thirty Minutes

Objective(s)

Participants would understand the questionnaire

Participants would know the techniques for collection of data

Participants would fill prescribed format with quantitative and qualitative data.

Session content(s)

Importance of collecting primary information from households on WASH

Explain prescribed format thoroughly

Explain techniques required for collection of primary information from households using prescribed format.

Mock exercise on collection of primary information from households;

Methodology PowerPoint Presentation (Lecture) and Mock exercise

Description/Process

- Briefly explain the purpose of doing rapid household survey and sample household surveys.
- Distribute dummy (wrongly filled) formats of rapid household survey and sample household survey.
- Ask the participants to identify the mistakes (wrong data) in the format and give sufficient time.
- Ask all participants to share the mistakes that they have identified and why it is considered as a mistake.
- If possible, write the mistakes shared by each participant on the board.
- Explain the frequently made mistakes (taking from the test bed sites), why these re-occur (lack of understanding, lack of concentration, overlooking etc.) and also how to minimize these mistakes.
- If required explain the formats thoroughly using the LCD projector.
- At the end of the session clarify the doubts of the participants by posing questions give handout 9 and 10 to the participants.

Tips for Facilitators

- Facilitator should have adequate knowledge on process of conducting semi-structured interviews.
- Facilitator should prepare the list of commonly (frequently) made mistakes taking experiences from test sites
- If required, allot adequate time for explaining the process of conducting semi-structured interviews using the formats. Therefore participants get better understanding on the formats.

Reading materials Case Study; Photographs; Format 3 and 6 (enclosed as annexure)

Equipments required Laptop, LCD Projector and Screen

Materials Required Charts and Pens

Handout 09

Commonly (Frequently) Made Mistakes

- ➔ Recording landholding details like 2Y; 1.1Y, No. N. 2A, NM, 3K etc, in this case the unit i.e., acres; cents etc are missing and we can't interpret the aforementioned data.
- ➔ The quantity of water fetching by households has been recorded as 2p; 10p; 50l; 100l; 10b etc. The quantity of water has to be mentioned in liters but that has not happened. So conversion of pots has to happen at the ground level only, otherwise accuracy of data goes off.
- ➔ Data under time spent for fetching water has been recorded as HRS, HRSD, HR, MIN, NIM, N, etc. But the time needs to be mentioned in minutes, this has not happen. Hence it takes much time for converting into common unit and analyze the data.
- ➔ Data under water fetched column has been recorded as WOM, MEN, WOM &chid; WOM&CHILD; W/M/C; W; W/M; M/W. Looking at this we don't know how is actually involved in water fetching activity at the household level including drinking and domestic water.
- ➔ Data recorded under ISL column like OWN/CL; W; O; Y etc. Hence we don't know whether households the owning toilet and/ or using community toilets or defecating openly.

Handout 10

Process of collecting primary information from households through rapid household survey and sample household survey:

Perhaps, the households may be depended more than one source for water for drinking, cooking, bathing, livestock, kitchen garden, backyard dairy etc and they might also have opted different mechanisms for disposal of solid waste and waste water etc. These types of practice at household level might largely influence the WASH services in-terms of demand and accessibility. Hence, proposed to conducted **rapid household survey** for developing census of study area; and **sample household survey** for studying the behavior patterns of households on WASH services. The following steps requires for tracking information on WASH services from households.

- ✓ Each and every household of study area need to be studied under **rapid household survey** using prescribed format for developing census of study area on WASH services.
- ✓ Select the households for **sample household survey** based on the given criteria.
- ✓ Households are major source of information, hence, explain the purpose of rapid household survey and/ or sample household survey at every household if possible.
- ✓ Instead of providing information, the members of households might abuse for not providing services regularly, so, just bear them
- ✓ The household expecting benefits from government schemes might not provide accurate information on their annual income, land holding etc aspects but this need to capture tactfully.
- ✓ Communities living in study area might leave early morning and come late evening to eke out their livelihoods.
- ✓ Need to pose indirect questions for getting the requisite information from households.
- ✓ Maintain field note book for recording all the information that might not fit in the prescribed form.
- ✓ Capture information on investments made at household level for promoting infrastructure such as pit taps, electric motors, storage tanks, ISLs etc.

For rapid completion of household surveys (i.e., rapid household survey and sample household survey), need to engage the team of trained investigators. The members of team need to play the following roles and responsibilities during household survey.

- ✓ Each and every household of study area need to be studied under **rapid household survey,** hence, the households should be divided into different parts using roads, local institutions etc as bench marks. Each part of divided study area should be given to each investigator for listing of households in that particular location/ part.
- ✓ The capacities and strengths of investigator need to be considered while assigning the work.
- ✓ Hopefully, more than one investigator would be involving in rapid household survey as well as in sample household survey; hence, one should be made responsible for overall coordination at the study area.
- ✓ All required materials such as pen, questionnaire etc need to be provided to the investigators.
- ✓ The investigator given the responsibility of overall coordination at study area should have thorough knowledge on questionnaires as well as WASH service delivery system.
- ✓ At the end of every day, the coordinator has to review the progress of household survey; the discrepancies in data collection if found should be verified on the same day; the doubts of investigators need to be clarified for improving their work efficiency.
- ✓ The designated coordinator has to ensure that the quality of data collection remains throughout the survey by retaining team spirit.
- ✓ The completely filled questionnaires of the surveyed households should be collected and households not surveyed due to non – availability of members should be surveyed on the next day after ensuring their availability.

The below are **dos and don'ts** that need to be followed while conducting household surveys.

- ✓ The investigators should be familiar with local language.
- ✓ Maintain the code of conduct, while doing the household survey.
- ✓ Visit the household during their convenient time.
- ✓ Don't propagate/ miss-communicate that this study has been carried out for sanctioning of schemes.
- ✓ Don't get into local politics because that might adversely affect field work.

The **general guidelines** for successful completion of household surveys are (1) the questionnaires in local language might ease the investigators in surveying more number of households in a day under rapid household survey and/ or sample household survey. (2) The investigators need to be trained on conducting the semi-structure interviews for collecting qualitative and quantitative data. (3) Starting field investigations early in the morning and closing late in the evening might foster the field work in both the locations i.e., urban and rural.

Session 11: GIS MAP(s)

Time Required Forty Five Minutes

Objective(s) Participants would understand the importance and use of GIS map in tracking inputs on WASH service in rural and peri – urban locations.

Session content(s) Importance of GIS; process of preparation of GIS Map; data available on GIS map; application of GIS map in the field; etc

Methodology PowerPoint Presentation

Description/Process

- Explain briefly about social map; purpose of preparing social map; (alternative database); how it reflects the field situation etc through probing (participatory) method;
- Explain the difference between social map and GIS map and how it helps in field investigations etc;
- Explain the different steps involved in preparation of GIS/ Base Map preparation. (covering the points mentioned in over leaf);
- Explain the features of GIS map by projecting through LCD projector;
- Explain the degree of involvement of investigators in the process of preparation of GIS map and what they actually need to do;
- Provide GIS map of any test bed village and ask participants to interpret;
- Ensure that they have proper understanding on the process of preparation of GIS map; and using it in the field investigations etc. Give Handout – 11 to the participants.

Equipments required Laptop, LCD Projector and Screen

Materials required GIS map of test bed village

Handout 11

About GIS Map:

The GIS map(s) of the study area has been specially developed for study purpose. The GIS map(s) of study area shows the boundaries, contour levels, roads, houses, religious institutions, water points, storage structures, water supply and distribution lines, sites for waste disposal, sites for open defecation, drainage lines, areas where households are not getting adequate WASH services etc. This GIS map is much useful for easy understanding of WASH service delivery system in the study area; and, at the same time, the data provided in the map is much helpful for resolving the problems in WASH service delivery. Procedures for using the GIS map.

- ➔ Ground truthing of all the points marked on the GIS map is required; hence, the GIS map of the village/ ward to be surveyed will be divided into different parts using roads and local institutions as bench marks.
- ➔ Form the investigators into small teams. The formed small teams need to undertake a transact walk using GIS map for crosschecking all the marked points in the form of ground truthing.
- ➔ The differences if found in the GIS map and ground reality need to be mentioned in the GIS map it-self.
- ➔ The residential area of different caste community and the problematic locations would also be marked in the base map along with the possible solutions for maintaining equal pressure by installing gate/check valves etc.
- ➔ At the end of the day, the areas surveyed/ crosschecked with ground reality need to mark clearly.
- ➔ The GIS map modified as per ground reality would be given to the consultants for incorporation etc. However, this could also be used while listing of households for marking the households those are surveyed.

Session 12: ASSESSING THE PERFORMANCE OF WATER POINTS

Time Required Ninety Minutes

Objective(s) Participants would understand the questionnaire;

Participants would know the techniques for collection of data; and

Participants would fill the prescribed format with quantitative and qualitative

Session content(s) Importance of assessing water points; Techniques for assessing water point(s) through people involvement; prescribed format; Mock exercise on assessing water points

Methodology Role Plays

Description/Process

- Explain the definition of water point(s); purpose of assessing water point(s); how it is going to help in understanding WASH service delivery etc through probing (participatory) method.
- Explain the different steps involved in assessing water points through FGD by involving people (as mentioned in over leaf);
- Explain the prescribed format thoroughly using the LCD projector. While explaining, the focused should be on explaining new terminology, source(s) of information etc. (if possible circulate the formats (filled in form) for identifying the frequently made mistakes)
- Clarify the doubts of the participants (otherwise discuss on the frequently made mistake)
- conduct the role play as stated below;
- Divide the entire participants into two small groups;
- Provide case study and photographs;
- Tell them to assign the role of facilitator; recorder; members of household;
- Give some time for understanding questionnaire, case study and visualizing the situation of Water Point(s) in the village;
- The facilitator has to facilitate the ground discussions using prescribed format; the recorder has to record the proceedings of the discussions and the members of household has to respond as such they are dependents of water points;

- Continuing the role play they should fill the prescribed format;
- At the end of the exercise review the process and identify the gaps; problems etc for discussion in large group. Give handout 12 to the participants.

Tips for Facilitators

- If required, allot adequate time for explaining the process of conducting focused group discussions and also on community score card.

Equipments required Laptop, LCD Projector and Screen

Materials required Charts and Pens, copies of case study and photographs; format – 4 (enclosed as annexure)

Handout 12

Process of assessing water point(s):

Wells, hand pumps, bore wells, public stand posts etc from which the households access water for their household purpose is called the water points. But the performance of water points in terms of water delivery, quality of water etc gets vary from well to well or HP to HP or PSP to PSP. The fluctuating performance of water points either directly and/ or indirectly affect depended households. Hence the water points need to be assessed with dependent households for mapping out the causes that influence the accessibility of water from water points. The following ***steps need to be followed*** while assessing the water points in any location.

- ➔ The team involved in water point survey should list out the water points that exist in study area through transact walk.
- ➔ Inform the community about date, time and venue for conducting water point survey.
- ➔ Reach the venue 30 minutes early than planned time for mobilizing community.
- ➔ Generally men tend to participate in all meetings conducted at village level but ensure the equal participation of men and women in water point survey.
- ➔ Mobilize the community if require with the help of members of gram panchayat/ ward.
- ➔ Explain the purpose and process of assessing performance of water points.
- ➔ Pose key questions mentioned in prescribed format and list of all the answers (parameters).

- ➔ Facilitate the process of assessing water points through FGD for arriving tangible figure (score) on each parameters based on the factual ground situation.
- ➔ If possible retain participants participated in water point survey till completion of exercise.
- ➔ While eliciting information, the group should discuss only with respect to WASH services.
- ➔ Likewise, the performance of all water points should be assessed on different parameters indicated in the prescribed format.
- ➔ At the end of the exercise, express the vote of thanks to the participants for giving their valuable time and information.

Successful completion of water point survey requires a team. While assessing water points, the members in the team have to perform different roles such as facilitating the process of assessing water points; noting the proceedings of assessing water points etc. However, the team has to follow the following ***dos and don'ts*** while conducting water point survey.

- ➔ The team needs to maintain code of conduct.
- ➔ While discussions, give equal importance to all participants.
- ➔ Develop thorough knowledge on WASH service delivery system.
- ➔ Create scope for equal and active participation of men and women.
- ➔ Don't create scope for blaming/ bad-remarking any while eliciting information.
- ➔ Collect information on water born diseases and its frequency, if possible.
- ➔ At the end of the exercise, the team needs to review the process and progress of water point(s) assessment. The discrepancies in data collection if found should be verified there itself.

The teams involved in water point(s) survey ***generally commit the mistakes*** such as (1) awarding scores on different parameters based on ground situation but without community/ people concern; (2) awarding same scores to all the water points on different parameters such as quality, predictability etc (assuming that water is being supplied from OHSR, hence the quality, predictability is same in all water points); and (3) assessing water points with nominal/ notional participation of community.

General guidelines for successfully conducting the water point survey are (1) depute experienced persons for conducting water point survey; (2) conduct the water point survey either in the morning/evening hours, so that, women would participate in the process.

Session 13: ASSESSING TRANSPARENCY AND ACCOUNTABILITY IN WASH SERVICES

Time Required Seventy Five Minutes

Objective(s)

Participants would understand the questionnaire

Participants would know the techniques for collection of data

Participants would fill the prescribed format with quantitative and qualitative

Session content(s)

Purpose of conducting FGD with communities/ local bodies on WASH.

Techniques for required for conducting FGD with communities/ local bodies.

Mock exercise on assessing water points

Methodology Mock Exercise (role play)

Description/Process

- Explain the term of communities/ local bodies; list out the various communities/ local bodies that might exist in villages; explain the purpose of assessing water point(s); how it is going to help in understanding WASH service delivery etc through probing (participatory) method.
- Explain the different steps involved in assessing WASH service through communities/ local bodies (as mentioned in over leaf);
- Explain the prescribed format thoroughly;
- Clarify the doubts of the participants on format
- Conduct the mock exercise (role play) as stated below;
- divide the entire participants into two small groups;
- provide case study and photographs;
- tell them to assign the role of facilitator; recorder; members of household;
- give some time for understanding questionnaire, case study and visualizing the situation of WASH service in the village;
- the facilitator has to facilitate the ground discussions using prescribed format; the recorder has to record the proceedings of the discussions and the members of household has to respond as such they are dependents of water points;

- likewise they need to continue the exercise and fill the prescribed format;
- facilitator needs spend some time with each group for keeping them in right path/ direction;
- at the end of the exercise, review the process and identify the gaps; problems etc for discussing in large group. Give Handout 13 to the participants

Tips for Facilitators

- Allot adequate time for explaining the process of conducting focused group discussions and also on community score card.

Reading materials Case Study and Photographs; Format 5

Equipments required Laptop, LCD Projector and Screen

Materials required Charts and Pens. Copies of case study and photographs

Handout 13

Process of assessing Transparency and Accountability in WASH services

The Local Bodies, communities and community organizations such as self help groups, village organizations, farmer clubs, water and sanitation committee etc are playing major role in village development. Moreover, the capacities of these institutions have been developed in terms of knowledge, skills, finance etc. hence it is very important to assess the involvement of these institutions in WASH service delivery system in the study area. Assessing the involvement of institutions in WASH service delivery system ***requires a systematic approach*** *as stated below.*

- ➔ The members of institutions/ organizations might be scattered all over village, hence, inform them in advance about the purpose of your visit. If possible fix-up the time and venue for FGD
- ➔ Reach thirty minutes before than the planned time, so that; the team can make necessary arrangement for successfully conducting the FGD.
- ➔ Generally men tend to participate in all meetings conducted in the village, hence, need to ensure the equal participation of men and women in discussions.
- ➔ Explain the purpose of holding FGD particularly with them
- ➔ Initiate the discussions using the pre-designed questionnaire and/ or prescribed format.
- ➔ Pose key questions mentioned in prescribed format and list of all the answers (parameters).
- ➔ The discussions need to be facilitated for arriving common conclusion on each parameter based on the ground reality
- ➔ If possible retain participants participated in water point survey till completion of exercise.
- ➔ While eliciting information, the group should discuss only with respect to WASH services.
- ➔ At the end of the exercise, express the vote of thanks to the participants for giving their valuable time and suggestions.

Though team work is required for assessing the involvement of Institutions/Organizations in WASH service delivery system but the team members needs to play different roles such as facilitating the discussions; recording the proceedings of discussions etc. The team members have to play their role at the same time they need to support others if required. However, the following are ***the dos' and don'ts*** *that need to be followed while assessing the involvement of CBOs in WASH service delivery.*

- ➔ The team needs to maintain code of conduct.
- ➔ While discussions, give equal importance to all participants.
- ➔ Create scope for equal and active participation of men and women.
- ➔ Don't create scope for blaming/ bad-remarking any while eliciting information.
- ➔ Collect information on water born diseases and its frequency, if possible.
- ➔ At the end of the exercise, the team needs to review the process and progress of water point(s) assessment. The discrepancies in data collection if found should be verified there itself.

General guidelines for successfully organizing focused group discussions with Institutions/ Organizations are (1) need to pose the question in much focused manner; (2) should be conscious while questioning and also capturing the responses; (3) participants might blame others for not providing WASH service regularly, just listen to them only.

Session 14: FIELD VISIT(s)

Time Required Two days

Objective(s) Participants would get firsthand experience on tracking inputs from gram panchayat, households and communities on WASH using methodology.

Session content(s) Collecting data from gram panchayat

Collecting data from households (rapid household & sample household survey)

Conducting water point survey using QIS formats

Conducting focused group discussions (FGD) on WASH services

Methodology Field Demonstration(s)

Description/Process

- Facilitator(s) need to share the objective of the field visit, brief background of the village and procedures for application of methodologies
- Help the participants in forming small teams and assigning roles among themselves etc either at village and/ or before reaching village.
- Supply required materials such as prescribed formats, note books, pens….
- Let participants apply the methodologies by mobilizing people;
- Facilitator(s) and/ or subject matter specialists have to spend time with each group in order to support them during field visits.
- Facilitator(s) need to help the team while doing FGD particularly with gram panchayat
- Facilitator need to clarify the doubts of participants at the end of the day.

Tips for Facilitators

- Facilitator should make necessary arrangements for field visit
- Facilitator should circulate a note (guidelines) prepared for field visit (handout – 14)
- Facilitator should give morale support to participants during the visit.

Reading materials Note on process of collecting information in prescribed formats (if available)

Materials required Copies of prescribed format(s) and/ or questionnaires; copies of note on process of collecting information in prescribed formats.

Handout 14

Guidelines for Field Demonstrations

- ✓ Plan two days visit for getting proficiency in application of methodologies, hence, the participants have to carry required materials for night stay.
- ✓ Collect required materials such as prescribed questionnaires, note books, pens, charts, markers etc.
- ✓ Make travel arrangements for reaching the village on or before 8 am in the morning.
- ✓ Carry first – aid medicine.
- ✓ In the village, make necessary arrangements for food and accommodation.
- ✓
- ✓ Participants should ***follow these suggestions***

Day One:

- o Form two member teams for doing *rapid/sample household survey*;
  - Carry the prescribed formats for doing rapid/sample household survey.
  - Each team has to cover at least 8 households under rapid/sample household survey
  - At each household, members of team have to play the role of interviewer and observer.
  - This role keeps on changing at every household; so that, each member would learn the process of doing semi-structured interviews (by observing others mistakes).
  - Follow the process indicated in the session number 10 for collection of primary information from households.
- o Form three member teams for *assessing water points and/ or assessing WASH services through CBOs.*
  - Carry the prescribed formats;
  - Each team has to conduct at least 6 Focused Group Discussions (FGD) for assessing water points/ assessing WASH services through CBOs
  - At each FGD, members of team have to play the role of facilitator, observer and recorder (the facilitator has to facilitate the discussions; the recorder has to record the proceedings of discussions and the observer has to observe the process of discussions).
  - These roles keep on changing at every FGD; so that, each member would learn the process of assessing water points as well as assessing WASH service through CBOs.
  - Follow the process indicated in the session numbers 12 and 13.
- o Form five member teams for *collecting secondary information from gram panchayat.*
  - Carry the prescribed formats;
  - Each team has to conduct at least 2 Focused Group Discussions (FGD) for collecting secondary information from gram panchayat
  - At each FGD, members of team have to play the role of facilitator, observer and recorder (the facilitator has to facilitate the discussions; the recorder has to record the proceedings of discussions and the observer has to observe the process of discussions).
  - These roles keep on changing at every FGD; so that, each member would at least observe the process of collecting secondary information from gram panchayat.
  - Follow the process indicated in the session number 9 for collection of secondary information from gram panchayat.

Day Two:

- o Each participant (alone) has to cover at least 4 households under *rapid/sample household survey*.
- o Suggested to form two member teams; each team has to conduct at least 4 FGDs using the prescribed formats for *assessing water points/ assessing WASH services through CBOs* by following the procedure mentioned in the first day of visit.
- o The five member teams has to collect secondary information from gram panchayat by following the procedure mentioned in the first day of visit.

- ✓ At the end of each day, the participants have to record their observations particularly on methodologies; problems faced; progress achieved; etc

- ✓ The participants need to prepare presentations on field visit using their field notes basically on methodologies, problems faced, etc

Session 15: REFLECTIONS ON FIELD VISIT(s)

Time Required One hundred and twenty Minutes.

Objective(s) Participants would get more clarity on methodologies

Session content(s) Reflections on handling of methodologies for tracking inputs on WASH.

Methodology Individual Presentations

Description/Process

- Facilitator needs to recap field visit for bring participants back to training.
- Facilitator has to ask participant(s) to make his/ her presentations on field visit.
- Participants one after other has to make their individual presentations using already prepared brown charts.
- Facilitator need to give sufficient time to each participant for sharing his/her field experiences
- Subject matter specialists in the training should make their observations and give comments on problems shared by participants etc. They should also clarify the doubts of the participants.

Tips for Facilitators

- The subject matter specialists need to involve in the session.

Materials required Charts, Pens, Board, Tape, Clips, and Scissors'

Session 16: CLOSING SESSION

Time Required Sixty Minutes

Objective(s) At the end of the session the participants would

Prepare an action plan for data collection.

Give their views on various aspects of the training course.

Methodology Individual work

Description/Process

- Develop a plan for data collection in the selected villages.
- Distribute the evaluation sheet among the participants and ask them to write their views as per the instructions
- Conclude the training with closing speeches from the participants and the organizers.

Tips for Facilitators

- Facilitators should have the list of villages selected from data collection
- Facilitators should be familiar with the time required for filling the prescribed formats.

Equipments required Copies of evaluation sheets.

Annexure – 1

Training Schedule

TRAINING SCHEDULE ON METHODOLOGIES for
ASSESSING UNIT COSTS OF WASH SERVICE DELIVERY IN RURAL AND URBAN AREAS

5th - 10th October 2009 at Seminar Hall, CESS, Hyderabad

Date/Time	Theme / Topic / Session	Method	Materials Required	Facilitator(s)
5th Oct 2009				
10.00 to 10.30	Session 1: Participants self Introduction			Mr. Murali
10.30 to 11.45	Session 2: Assessing participants awareness levels on WASH service delivery	Group exercise	Charts and pens	Mr. Subramanyam
11.45 to 12.00	Tea Break (Ice Breaker/Game)			
12.00 to 13.00	Session 3: About WASHCost Project	PowerPoint Presentation	LCD Project	Dr. Reddy and Dr. Sneha
13.00 to 14.00	Lunch Break			
14.00 to 15.30	Session 4: Understanding ground situation of WASH service delivery system *(Explaining issues in WASH Sector)*	Group exercise using photos from test bed villages	Photos Charts and pens	Mr. Subrmanyam and Mr. Murali
15.30 to 16.00	Tea Beak (Ice Breaker/Game)			
16.00 to 17.30	Session 5: Institutional arrangements for WASH service delivery in rural	PowerPoint Presentation	LCD Projector	Dr. Swamy
6th Oct 2009				
10.00 to 10.30	Recap			
10.30 to 11.30	Session 6: Institutional arrangements for WASH service delivery in urban	PowerPoint Presentation	LCD Projector	Dr. Ananda Rao from PHED
11.30 to 11.45	Tea Break (Ice Breaker/Game)			
11.45 to 13.00	Session 7: CIF/ RIDA framework	PowerPoint Presentation; Analysis of Case Study and Group Exercise	LCD projector CASE Studies	Dr. Swamy
13.00 to 14.00	Lunch Break			
14.00 to 15.00	Session 8: Orientation on rapport building and methodologies	Brainstorming		Mr. Murali
15.00 to 15.30	Tea Beak (Ice Breaker/Game)			
15.30 to 17.00	Session 9: Secondary information from gram panchayat			
	Understanding the format number 2	Mock exercise	Case studies and formats	Dr. Swamy Mr. Subramanyam
17.00 to 17.30	Explain urban formats	PowerPoint Presentation	LCD Projector	Dr. C. Ramachandraiah

Date/Time	Theme / Topic / Session	Method	Materials Required	Facilitator(s)
7th Oct 2009				
10.00 to 10.30	Recap			
10.30 to 11.15	Session 10: Primary information from rapid households and sample households			
	Sharing the lessons learned from test bed sites	PowerPoint Presentation	LCD Projector	Mr. Murthy Dr. Jayakumar
11.15 to 11.30	Tea Beak (Ice Breaker/Game)			
11.30 to 12.15	Filling the format	Mock exercises with Dummy Formats	Dummy (wrongly filled) formats	WASSAN
12.15 to 13.15	Session 11: GIS Maps	PowerPoint Presentation	LCD Projector and GIS Map	CESS / Geosoft
13.15 to 14.00	Lunch Break			
14.00 to 15.30	Session 12: Assessing the performance of Water Point(s) through QIS			
	Filling the format	Role Plays	Case studies; photos and formats	Mr. Naramsimha Rao and Mr. Subramanyam
15.30 to 16.00	Tea Beak (Ice Breaker/Game)			
16.00 to 17.30	Session 13: Assessing Transparency and Accountability in WASH services			
	Filling the format	Mock exercise	Case studies; photos and formats	Mr.Murali and Mr. Narasimha Rao
8th and 9th Oct 2009	Session 14: Field visit	Demonstrations	Note books; prescribed formats; GIS Map(s)	Mr. Mural; Mr. Narasimha Rao; Mr. Murthy
10th Oct 2009 10.00 to 12.00	Session 15: Reflections on field visit	Individual presentations	Charts and pens	WASSAN
14.00 to 15.00	Session 16: Closing session			

Annexure – 2

"Cheruvu Cheppina Katha"[1]

I am a pond. My village is Sannai Gudem. The villagers call me as ***"Kalavari Kunta"***.

I am at the end of our village spread in 2 acres of land. Whenever it rains, the water flows into me through small and big streams. 300 households (HHs) live in our village. All households are Hindus but belong to different caste communities i.e., OC (20 HHs), BC (70 HHs), SC (70 HHs), and ST (100 HHs). All these households take water form me for their drinking, cooking and other household purposes during all the seasons. The water in me is very fresh in rainy and summer seasons. But in summer my water level goes down. In rainy season the water becomes muddy resulting in health related problems to households. I came to know this because some villagers come to me every evening for relaxing. During that time they discuss about the changes in the village. In the year 1976 Mallanna, a villager constructed a well at a cost of Rs.6000/- in his house. Water in that well is very sweet. So the neighbors also used to take water from this well. In the next year i.e., 1977 another seven villagers constructed wells with the inspiration of Mallanna costing Rs. 6500/- each. From then all the villagers stopped to come to me for drinking water and the water was used only for livestock. From, there were no sufficient rains, for three continuous years. So the villagers contributed Rs. 2000 for de-silting the wells. However, the water scarcity problem continued.

In the year 1980 the Rural Water Supply and Sanitation (RWSS) department came forward to solve the water scarcity problem by providing hand pumps (HPs). The department discussed it with the villagers and decided to install two HPs. Each HP costs Rs. 5400/-. From then the villages started depending on HPs in addition to wells. Gradually the population in the village also increased. The water level in the HPs decreased and the taste of water also turned salty. Villagers did not like drinking HP water. Again in the year 1985 the RWSS department installed three more HPs which cost Rs.6500/- each. By this the water scarcity problem in the village was reduced to certain extent. But the burden on women in the village increased because they had to get water from HPs for all purposes.

Sarpanch conducted a village level meeting to discuss the alternatives to solve the drinking water problem. In this meeting Yadagiri, a farmer stood up and explained about what he saw in the neighboring village. They constructed an Over Head Storage Reservoir (OHSR). A bore well is used to fill the tank. A pipeline with taps from the OHSR supplies water to the village. People in our village got inspired with the system explained by Yadagiri. They wanted to implement the same system. Sarpanch and some elders in the village submitted a memorandum to the concerned department. The RWSS officers verified the memorandum and they sent the water from the well and HP for testing. The result of the test showed that the ground water of our village was not fit for drinking. Then the RWSS department decided to construct an OHSR of 40,000 liters capacity in our village. The OHSR construction started in the year 1992. Shivaiah, an elderly person in the village donated his land to construct the OHSR. One bore was installed in me to fill the OHSR. The total cost to construct the

[1] These case studies were developed for use in multiple sessions: (a) CIF/RIDA framework; (b) secondary Information from Gram Panchayat; (c) assessing water points etc. The facilitator and/ or trainer have to frame the questions that are relevant to the particular session.

OHSR, bore, pipe line from source to OHSR, OHSR to stand post and private taps and for public stand posts(PSPs) was Rs.400000/- At the time of OHSR construction, sarpanch organized an exposure visit to our neighboring village to create awareness among the villagers about how to use and maintain the OHSR. The cost of this exposure visit, which was Rs. 1000/-, was contributed by the villagers. I felt very happy for the women that their burden was reduced.

After the completion of the OHSR, Sarpanch conducted a village level meeting to frame some rules and regulations on water issues. Decisions taken in the meeting are as follows:

- Water is supplied for one hour daily i.e., from 7.00 AM to 8.00 AM.
- The water supplied from the OHSR is used only for drinking and cooking. And for other purpose HP and well water can be used.
- For individual tap connections, one has to pay Rs. 500/- to GP as deposit.
- Private tap holders should pay Rs.15/- per month as user charges.
- One waterman is to be appointed with a monthly salary of Rs. 1000/-. His work includes maintenance of OHSR, supplying water at regular timings, collecting user charges and giving receipts, undertaking minor repairs.
- There should be one water committee with 7 members. They are Sarpanch, two ward members, two from Self Help Groups (SHGs), two elders in the village. The committee members should meet once in a month before the GP meetings. The members should discuss about the water related issues, works and should verify the water accounts.
- The collected user charges and deposits should be used for the maintenance of OHSR, waterman's salary, conducting water committee meetings, etc.,

In our village there are 15 PSPs, 40 individual taps. On July 1992 waterman was appointed and the water committee was also formed. In the two years the individual tap connections increased to 100 (pipe line extension of 200 mtrs costing Rs. 30,000). The pressure in the taps decreased because of the new tap connections. So the people started digging pits, some fitted motors to their taps and constructed sumps and some built over head tanks. In the year 1996, the first installed pipeline was repaired by Rs. 10,000/. After two years i.e., in the year 1998 one more OHSR was constructed to meet the demand of increasing population of the village costing Rs. 600000/-. One quality monitoring meter, costing Rs.30,000/- was also fitted.

I remember that in the year 1990 most of the children and elders faced many health problems. When they consulted a doctor, he said it was because of mosquitoes. After learning that the stagnated drain water and open defecation are the causes for mosquitoes, the GP conducted a meeting with the youngsters in the village and discussed about the problems, viral diseases etc. The GP members and the youngsters started awareness campaign among the villagers by conducting programs like *kalajatha*, rallies and pasting posters. To conduct all these programs GP spent Rs. 30,000/-. The villagers contributed Rs. 1,50,000/- and constructed community toilets separately for men and women. Small drainage lines from the houses were dug and connected to a pit at the end of the village. In the year 1996 GP came to know that the Government is giving subsidy for Individual Sanitary Latrines (ISLs). In the village meeting they discussed about this and submitted a memorandum to the concerned department. Within short span of time we got ISLs and drainage lines for our village. Its cost was Rs. 9,00,000. The sarpanch and villagers worked very hard to get safe drinking water, ISLs and drains to the village.

Annexure – 3

"Chikakulapalle"

I am Chikakulapalle. I am a small village with 250 households (HHs). Of these there are 10 OC HHs, 80 BC HHs, 90 SC HHs and 70 ST HHs. I am 25 kms from the revenue village. For drinking water all the villagers are dependent on *Bommanna Cheruvu*, which is 3 Kms from the centre of the village. Because it is very far, villagers contributed Rs.30000/- and constructed one open well in OC colony, two in BC colony and one in between SC and ST colonies. From then all shifted to open wells for drinking water. It continued for 15 years. In this period open wells desiltation was undertaken thrice. After some years, the water in all the wells turned salty, and people were facing some health problems. When they consulted a doctor, he doubted the quality of the drinking water and he suggested them to send the water for quality testing. Sarpanch sent the water for testing. In the test it was clear that the water contains fluoride. Sarpanch and some elders in the village gave a petition to the concerned department requesting for safe drinking water. The RWSS officers once again sent the sample water for quality testing. After deciding that the water contains high fluoride, the department installed a defluoridation unit. Besides this it also constructed a Ground Level Storage Reservoir (GLSR) to store the fluoride free water. The total cost of defluoridation unit and GLSR is Rs. 10,00,000/-. The RWSS transferred the responsibility of maintenance of the defluoridation unit and GLSR to Gram Panchayat (GP). There after the well water is purified and then supplied from the GLSR. When any repairs occur the GP used to meet the expenses. One day the motor in the defluoridation unit got burnt. Its repair would cost a gigantic amount. The GP also didn't have sufficient funds to repair it. GP requested the villagers to contribute some amount to meet the expenses. No one heeded, instead they started blaming the GP stating that it is the responsibility of the Government to supply the safe drinking water. Some people started getting water cans, some were fetching *Bommanna Cheruvu* water and some were drinking the fluoride contaminated well water. Now the defluoridation unit is so rusty that they could not hold water even if everything else was fixed.

In the year 2000 the government decided to supply water to me under Multi Village Scheme (MVS). For this the old GLSR was used and from the GLSR tap connections were given to all the households. In this scheme, I am in the middle. After me, there are villages that would get water from this scheme. Water problem of the villagers was solved by this scheme. They are using the same water for all the household purposes. Some started breaking up the on and off system at the houses to get more water than required. By this the villages after me are facing problems. The head villages also started breaking up the on and off system at the valves and at the households. By this I am also not getting sufficient water for drinking and the situation slipped back.

Annexure – 4

GLOSSARY

GIS MAP: *GIS Map not only shows the boundary of the study area i.e., village/peri-ubran but also contour levels, roads, buildings, religions institutions, wells, hand pumps, bore wells, storage structures, water supply and distribution lines, drainage lines, solid waste disposal sites, open defecation sites, problematic areas etc. This GIS Map not only indicates the status of WASH delivery system in the village but also shows the corrective measures for resolving the problems that exist in WASH delivery system. This could be very much useful for creating alternative database on WASH delivery system in the study area.*

TRANSECT WALK: *A transect is a systematic walk with villagers through the village, observing, listening to villager's descriptions, asking relevant questions, discussing ideas, identifying water (re)sources and infrastructure, drainage system, dumping sites of solid waste, sites for open defecation etc. Thus the transact walk helps to (1) building rapport with local people; (2) substantiate and support the diagrammed facts; and (3) identify locations of the problems and opportunities for development.*

FOCUSED GROUP DISCUSSION (FGD): *A focused group discussion is a short, structured session in which participants can exchange opinions about WASH service delivery system in the village and come to a common conclusion. Before initiating the discussions, the facilitator has to give brief background of WASHcost project to the group, then, the group would be asked to discuss on the WASH delivery system in the village/peri-urban. A discussion may result in a consensus or a clear comparison of different points of view. During a discussion the facilitator should play an impartial role, structure the discussion by summarizing, emphasizing important aspects of the discussion, and asking follow-up questions. The facilitator should also ensure that everyone participates in the discussion, use visualization to make sure that everyone can see the main points, and that the stage of discussion is recognizable all the time. The facilitator should also ensure that (s) he guides the group to make their own decisions and that (s) he does not dictate decision 'from above'.* ***Caution:*** *while eliciting information through focused group discussions, it is essential to make sure that the groups discuss only with respect to WASH service delivery system in-terms of promotion and maintenance of infrastructure; quantity and quality of the services provided and suggestions for improvement of present system.*

BRAINSTORMING: *Brainstorming involves giving everyone a chance to express their thoughts/feelings on WASH Service Delivery System including the formats used for field investigation etc. Facilitator and other participants should not edit, criticize or alter ideas, but just take them as they come. Farfetched ideas should also be encouraged as they may often trigger more practical ones. The ground rule during brainstorming is that the more ideas that are generated, the better. These ideas could be incorporated in the future course of actions i.e. designing formats etc.*

HISTORICAL SCAN/ TIME LINE: *It's much useful for investigators to review the WASH service delivery system, its achievements, and the events and issues that have influenced its efficiency (in-terms of quality and quantity) to date. This kind of historical profile is a good way to lead the conversation going, because people are expert on their own history. However, this gives the opportunity to develop a shared understanding of the past and present situation of WASH service delivery system.*

INTERVIEW(S): Interviewer poses open-ended questions according to fixed list/ interview guide (list of topics) for on-the-spot judgment. The advantage of interviews is that readily cover wide range of topics and features; can be modified to fit needs before or during interview; can convey empathy, build trust; rich data; provide understanding of respondent's own viewpoint and interpretations. And the disadvantages of interview(s) are expensive, require skilled interviewers; respondent and interviewer bias; non-comparability of responses in unstructured or semi-structured inter views; difficult to analyze and interpret results.

Annexure – 5

WASH COST PROJECT (INDIA)
FORMAT 2
INFORMATION FROM GRAM PANCHAYAT

2.1 GENERAL

2.1.1 Habitation Details

	Name	Code
Habitation		
Village		
Gram Panchayat		
Mandal		
District		
Sub-division		
Division		
Circle		

2.1.2 Population and households

Year	
Current Population	
Current Number of Households	
Current BPL Households	

2.2 DRINKING WATER SUPPLY

2.2.1 Main sources of village water supply

	Present?	Number	Number being used? (Y/N)	Marked on map? (Y/N)
Hand pumps on bores	YES NO			
Open dug wells	YES NO			
Surface water ponds	YES NO			
Surface water tanks/reservoirs	YES NO			
Step wells	YES NO			
Piped water schemes	YES NO			
Comments and observations				

2.2.2 Details of piped village water supply *If present, give details*

	Scheme 1	Scheme 2	Scheme 3
Year of installation			
Year of transfer of scheme to GP			
Number of institutional connections			
Number of industrial connections			
Number of public stand posts planned			
Number of public stand posts executed			
Number of household connections planned			
Number of household connections executed			

Present status (F=functional/NF=non-functional)			
Number of households covered currently			
Are there households that want but don't get piped water?			
Are there households that don't get piped water in summer?			
Nature of source (GW = Groundwater; SW = surface water)			
Source status (A=Adequate; S=Seasonal; O = On & Off)			
Service level of scheme (G=Good; S=Satisfactory; P=Poor)			
Nature of service delivery at water points**			
If not continuous, hours of supply at water points			
Morning			
Afternoon			
Evening			

*1=Continuous (24/7); 2 = mornings; 3 = evenings; 4 = both mornings and evenings; 5 = three times per day; 6 = more than 3 times per day

2.2.3 Areas that are (1) not covered and (b) covered but not receiving water (Indicate in the village base map)

Describe areas not covered		Reason for no water	Marked on map? (Y/N)
1.			
2.			
3.			
Describe areas covered but not getting water		**Reason for no water**	**Marked on map? (Y/N)**
1			
2			
3			

2.2.4 Demand for new connections

Is there a demand for new …	Scheme 1	Scheme 2	Scheme 3
Industrial connections?	YES NO	YES NO	YES NO
Institutional connections?	YES NO	YES NO	YES NO
Household connections?	YES NO	YES NO	YES NO

2.3 WATER SUPPLY AND ITS MANAGEMENT

2.3.1 Nature and type of drinking water supply problems

Type of problem	Current status	Before piped water scheme
Too few sources	YES NO	YES NO
Seasonal scarcity	YES NO	YES NO
Poor water quality	YES NO	YES NO

2.3.2 Current status and functionality of water committees

Committee	Status	Nature of functioning*
Habitation water and Sanitation committee	YES NO	
Village water and sanitation committee	YES NO	

Mandal Water and Sanitation committee	YES NO	
Comments		

*1 = Non functional; 2 = very irregular; 3 = more or less regular; 4 = very regular

2.3.3 Water supply management

1	Did the Gram Panchayat play any role in organizing the village water supply?	YES NO
2	Does community take responsibility for repairs and maintenance of the system	YES NO
3	How frequently do sub-division mechanics & engineers visit the village?*	
4	Who normally maintains water installations?**	
5	Who maintains water installations in the absence of caretakers/pump operators?	

* 1 = Once a week; 2 = Once a month; 3 = Once in 6 months; 4 = Rarely; 5 As per demand

** 1 = Trained caretakers; 2 = untrained caretakers; 3 = Trained pump operators; 4 = untrained pump operators

2.3.4 Details of water discharge and pumping hours (from the record books)

		Unit	Scheme 1	Scheme 1	Scheme 1
1	Pumping hours	Number			
	October 2009				
	November 2009				
	December 2009				
2	Quantity pumped	Litres/hour			
	October 2009				
	November 2009				
	December 2009				
3	Supply hours	Number			
	October 2009				
	November 2009				
	December 2009				
4	Quantity supplied	Litres/hour			
	October 2009				
	November 2009				
	December 2009				
Remarks					

2.3.5 Distribution and Transmission

1	Are there any leakages in the transmission now?	YES NO
2	Were there any leakages in transmission in the period Oct – Dec 2009?	YES NO
3	What is the approximate percentage of water loss?	
4	Is there a map or plan showing the water distribution system?	YES NO
5	If available, is this up to date?	YES NO
6	Are washout/scour/non-return valves provided in the transmission system?	YES NO
7	Is there any leakage at the valves?	YES NO
8	Do all valves have manhole covers over chambers?	YES NO
9	Do the scour valves have out drains?	YES NO
10	Do transmission/distribution lines pass through drainage/stagnant water?	YES NO
11	Are all public taps are replaced regularly	YES NO
12	Water pressure at the tail end of the supply (G=good; M=med; L=low)	
13	Is the pressure uniform at all points?	YES NO
14	% of households affected due to pressure loss	YES NO

15	Are domestic and PSP lines are of the same size?	YES NO
16	If Yes, is it affecting the pressure in peripheral areas?	YES NO
17	Do tankers supply water to the village during summer?	YES NO
18	If Yes, how many tankers were used on average per year (in the last 5 years)?	
19	How many tankers were used last year?	
20	Are there any dhobi ghats being supplied with piped water?	YES NO
21	If NO, what water source do these dhobi ghats use?*	
Remarks		

*1=surface water bodies (streams, ponds, rivers, tanks); 2 = open wells

2.4 WATER QUALITY

2.4.1 Piped Water Quality

Is water quality acceptable in		Remarks
Taste	YES NO	
Colour	YES NO	
Smell	YES NO	
Remarks		

2.4.2 Water quality testing and results

Was water quality tested for …		The latest RWSS test was in …		Was the result within acceptable limits?
		Month	Year	
Fluoride concentration	YES NO			YES NO DON'T KNOW
Nitrate concentration	YES NO			YES NO DON'T KNOW
Salinity level	YES NO			YES NO DON'T KNOW
Bacteriological contamination	YES NO			YES NO DON'T KNOW
Residual chlorine	YES NO			YES NO DON'T KNOW
Remarks				

2.4.3 Nature of testing

1	Who does the testing?	RWS Villagers using kits NGOs
2	How frequently is water tested?	Monthly Quarterly Half-yearly Annually
3	If kits are used, who gave the kits?	RWS NGOs Others (Specify)
4	Are water quality records maintained?	YES NO
5	How much was spent last year on testing? (Rs.)	

2.4.4 Details of water treatment

Level of treatment	Is it done?	Any change in water quality after treatment?	Cost of treatment (Rs.)
At household level	YES NO	YES NO	
At source			
At distribution level			
At community level			
Remarks			

2.4.5 What precautions have been suggested?

	Precautions	Suggested?	By whom?	Is it being done?

1	Boiling water	YES NO	RWSS NGOs Other Dept	YES NO
2	Filtering water using a cloth	YES NO	RWSS NGOs Other Dept	YES NO
3	Sedimentation before use	YES NO	RWSS NGOs Other Dept	YES NO
4	Chlorination	YES NO	RWSS NGOs Other Dept	YES NO
5	Any other (specify)	YES NO	RWSS NGOs Other Dept	YES NO
Remarks				

2.5 CAPITAL EXPENDITURE (use additional sheets if necessary)

2.5.1 Cost of water sources created by the Gram Panchayat

		Cost per unit (Rs.)	Year of installation
Bore wells with power pumps	*Unit 1*		
	Unit 2		
	Unit 3		
	Unit 4		
	Unit 5		
Bore wells with hand pumps	*Unit 1*		
	Unit 2		
	Unit 3		
	Unit 4		
	Unit 5		
Open wells with extraction mechanism	*Unit 1*		
	Unit 2		
	Unit 3		
	Unit 4		
	Unit 5		

2.5.2 Rehabilitation and expansion of water supply infrastructure, if any

	Item	Unit	No: of units	Year	Cost (Rs.)
1	Replacement of Pump *Pump 1*				
	Pump 2				
	Pump 3				
2	Replacement of Starters *Starter 1*	Number			
	Starter 2				
	Starter 3				
3	Replacement of Pipes *Replacement 1*	Metres			
	Replacement 2				
	Replacement 3				
4	Extension of Pipelines *Extension 1*	Metres			
	Extension 2				
	Extension 3				
5	Additional storage capacity *Storage 1*	KL			
	Storage 2				
	Storage 3				
6	Valves			2009	
				2008	
				2007	
7	Taps			2009	
				2008	
				2007	
8	Hand Pumps *Hand pump 1*				
	Hand pump 2				
	Hand pump 3				

9	Any other (specify)				

2.6 OPERATIONAL REVENUES AND EXPENDITURES

2.6.1 Piped water tariffs and collections: Industrial and institutional connections

	Industrial connections	Institutional Connections
Initial payment (Rs.)		
Water rates (Rs. Per KL)		
Amount collected by the GP last year (Rs.)*		
Remarks		

* 1 April 2008 to 31 March 2009

2.6.2 Piped water tariffs and collections: Household connections

	Rate per household	GP Collection last year*
Initial Deposit (Rs.)		
Connection charges (Rs.)		
Monthly water charges		
Any other charges (specify)		
Details		

* 1 April 2008 to 31 March 2009

2.6.3 Monthly household tariff payment

	Oct 09	Nov 09	Dec 09
Number of households in the village			
Number of households with water connections in their houses			
Number of households given a bill			
Number of households that paid their bill in full			
Number of households that paid their bill partially			

2.6.4 Water supply operational expenses (during 1 April 2008 – 31 March 2009)

Expenses	Unit	Rate per unit (Rs.)	Number of units	Amount spent (Rs.)
Pump operators				
Chemicals				
Labour				
Electricity				
Tools				
Spares				
Bleaching powder				
Alum				
Chlorine				
Other chemicals (specify)				
Other expenses (specify)				

Expenses	Unit	Rate per unit (Rs.)	Number of units	Amount spent (Rs.)
Comments and observations				

2.6.5 Water supply budgets and accounts

1	Are annual & semi-annual statements of accounts prepared?	YES NO
2	Was a water budget plan prepared by the GP last year (2009-10)?	YES NO
3	Was a provision made for O&M in the GP budget last year (2009-10)?	YES NO
	If Yes, what was the amount budgeted (Rs.)	
	If Yes, what was the amount released (Rs.)	
4	Is the GP/VWSC paying water-related expenses from other revenue sources?	YES NO

2.6.6 Capacity building and its costs

Training for …	Number carried out in the last year (April 2008 – March 2009)	Cost incurred by the GP (Rs.)
Pump mechanics		
Water quality testing		
Water quality treatment		
Accounting		
Any other (specify)		

2.6.7 Complaint and redressal mechanism

Complaint	Procedure to be followed for lodging a complaint
Hand pumps	1.
	2.
	3.
Leakage at PSP	1.
	2.
	3.
Replacement of tap	1.
	2.
	3.
Water supply failure	1.
	2.
	3.

2.6.8 WASH-related health issues

1	Any serious outbreak of WASH-related diseases in the last year (Jan–Dec 09)?	YES NO
2	If YES, specify*	
3	Is there a Primary Health Centre (PHC) in the village?	YES NO
4	If NO, how far away is the PHC? (kilometres)	
5	Is there a Health Sub-Centre in the village?	YES NO
6	If NO, how far away is the Health Sub-Centre? (kilometres)	
7	Is there a qualified Private Medical Practitioner (QPMP) in the village?	YES NO
8	If NO, how far away is the nearest QPMP? (kilometres)	
9	Is there a traditional medicine doctor in the village?	YES NO

10	If NO, how far away is the nearest traditional medicine doctor? (kilometres)	

2.6.9 Suggestions for improving the water supply system

	Suggestion
1	
2	
3	
4	
5	

2.7 SANITATION

2.7.1 Household toilet facilities

	BPL	APL	Total
Number of households with own toilets			
Number of households sharing toilets			
Number that constructed with own funds			
Number that constructed using government funds			
Number that constructed using other funds (e.g., NGO)			
Number that constructed with bank loans			
Comments			

2.7.2 Household toilet construction costs (for toilets constructed most recently, i.e., 2009-10)

	Unit cost (Rs.)		Government Subsidy (Rs.)	Value of own contribution (Rs.)		
	Own	Scheme		Cash	Labour	Materials
Single pit without septic tank						
Single pit with septic tank						
Double pit without septic tank						
Double pit with septic tank						
Comments						

2.7.3 Institutional toilets

	Number of toilets	Number functional	Number of seats for				Has a water connection? (Y/N)
			Women	Men	Girls	Boys	
Government school toilets							
Private school toilets							
Anganwadi toilets							
Community centres							
Community toilets							

2.7.4 Institutional toilets construction cost

Toilets in …	Year of	Construction	Who	Being	Needs

	construction	cost (Rs.)	Paid?*	used? (Y/N)	repair? (Y/N)
Govt school 1 *Toilet 1*					
Toilet 2					
Toilet 3					
Private school 1 *Toilet 1*					
Toilet 2					
Toilet 3					
Anganwadi *Toilet 1*					
Toilet 2					
Toilet 3					
Community centre					
Toilet 1					
Toilet 2					
Toilet 3					
Community *Toilet 1*					
Toilet 2					
Toilet 3					

*1 = RWSS; 2 = Other Govt. Dept.; 3 = GP; 4 = NGO; 5 = private individual; 6 = Other (specify)

2.7.5 Institutional toilets annual maintenance costs

Toilets in …	Repairs	Replacements	Cleaning material	Cleaners	Attendant	Any other?
Govt school 1						
Toilet 1						
Toilet 2						
Toilet 3						
Private school 1						
Toilet 1						
Toilet 2						
Toilet 3						
Anganwadi						
Toilet 1						
Toilet 2						
Toilet 3						
Community centre						
Toilet 1						
Toilet 2						
Toilet 3						
Community						
Toilet 1						
Toilet 2						
Toilet 3						
Remarks						

2.7.6 Additional demand

Is there additional demand for toilets in the village?	YES NO
If YES, number of households that want toilets	

2.7.7 Role of SHGs and other local Institutions in Total Sanitation

Holding community meetings to raise awareness on sanitation issues	SHGs CBOs None

Mobilizing communities to stop open defecation	SHGs CBOs None
Giving loans to households to build toilets	SHGs CBOs None
Helping households get loans from banks and other financial institutions	SHGs CBOs None
Helping households with labour to build toilets	SHGs CBOs None
Helping households with materials to build toilets	SHGs CBOs None
Mobilizing bulk purchase of sanitary materials from markets	SHGs CBOs None
Cleaning septic tanks	SHGs CBOs None
Mobilizing communities to clean village drains	SHGs CBOs None
Mobilizing communities to dump garbage in village dump sites	SHGs CBOs None
Organizing house-to-house garbage collection	SHGs CBOs None
Organizing street cleaning in the village	SHGs CBOs None
Hiring garbage collectors and street cleaners	SHGs CBOs None
Lobbying GP to buy garbage carts and brooms for street cleaning	SHGs CBOs None
Collecting money from households for garbage collection	SHGs CBOs None
Lobbying the GP to allocate land for village garbage dump	SHGs CBOs None
Ensuring waste water does not flow through village streets	SHGs CBOs None
Any other (specify)	

2.7.8 IEC Activities

Have any IEC activities been done in the village to raise awareness on sanitation?	YES NO
If YES, how many were conducted in the last 1 year (Jan – Dec 2009)	
Who spent money for these activities?*	
How much money did the GP spend on IEC Activities in the last 1 year? (Rs.)	
How many participated on average in these activities?**	

*1 = GP; 2 = SHG; 3 = NGO; 4 = Government department; 5 = Other (Specify)

** 1 = Less than 10; 2 = 10 – 20; 3 = more than 20

2.7.9 School Sanitation

	School 1	School 2	School 3
Toilets: Who maintains school toilets*			
Monthly maintenance costs (January 2010)			
Salaries			
Repairs			
Cleaning materials (brooms, phenyl, etc.)			
Soap			
Condition of school toilets			
Not in use	YES NO	YES NO	YES NO
Locked (only for teachers)	YES NO	YES NO	YES NO
Dirty	YES NO	YES NO	YES NO
Broken fittings and doors	YES NO	YES NO	YES NO
No water	YES NO	YES NO	YES NO
No soap	YES NO	YES NO	YES NO
Surroundings dirty	YES NO	YES NO	YES NO
Has the septic tank been cleaned?	YES NO	YES NO	YES NO

If YES, where was the septage dumped?**			
Solid waste disposal: Who keeps school premises clean?*			
Monthly maintenance costs (January 2010)			
Salaries			
Cleaning materials (brooms, trolley, etc.)			
Garbage bins			
Condition of school premises			
Garbage in school premises	YES NO	YES NO	YES NO
Clean and swept	YES NO	YES NO	YES NO
Garbage bins provided	YES NO	YES NO	YES NO
Classrooms dirty with garbage	YES NO	YES NO	YES NO
Classrooms clean and swept	YES NO	YES NO	YES NO
Waste water disposal: Who cleans school drains?*			
Monthly maintenance costs (January 2010)			
Salaries			
Cleaning materials (brooms, buckets, etc.)			
Condition of school drains			
No drains, water running in school premises	YES NO	YES NO	YES NO
Drains clean and working	YES NO	YES NO	YES NO
Remarks			

*1 = students; 2 = hired cleaner; 3 = volunteer; 4 = No one; 5 = other (specify)
**1 = waste land outside village; 2 = in fields; 3 = any other (specify)

2.7.10 Community Toilets

	Community Toilet 1	Community Toilet 2	Community Toilet 3
Who maintains the toilets*			
Are there separate blocks for men and women?	YES NO	YES NO	YES NO
Monthly maintenance costs (January 2010)			
Salaries			
Repairs			
Cleaning materials (brooms, phenyl, etc.)			
Soap			
Condition of community toilets			
Not in use	YES NO	YES NO	YES NO
Locked (only for officials)	YES NO	YES NO	YES NO
Dirty	YES NO	YES NO	YES NO
Broken fittings and doors	YES NO	YES NO	YES NO
No water	YES NO	YES NO	YES NO
No soap	YES NO	YES NO	YES NO
Surroundings dirty	YES NO	YES NO	YES NO
Has the septic tank been cleaned?	YES NO	YES NO	YES NO
If YES, where was the septage dumped?**			

Remarks

*1 = hired cleaner; 2 = volunteer; 3 = No one; 4 = other (specify)
**1 = waste land outside village; 2 = in fields; 3 = any other (specify)

2.7.11 Anganwadi and Community Centre Toilets

	Anganwadi	Community Centre
Toilets: Who maintains the toilets*		
Are there separate blocks for men and women	YES NO	YES NO
Monthly maintenance costs (January 2010)		
Salaries		
Repairs		
Cleaning materials (brooms, phenyl, etc.)		
Soap		
Condition of toilets		
Not in use	YES NO	YES NO
Locked (only for officials)	YES NO	YES NO
Dirty	YES NO	YES NO
Broken fittings and doors	YES NO	YES NO
No water	YES NO	YES NO
No soap	YES NO	YES NO
Surroundings dirty	YES NO	YES NO
Has the septic tank been cleaned?	YES NO	YES NO
If YES, where was the septage dumped?**		
Remarks		

*1 = hired cleaner; 2 = volunteer; 3 = No one; 4 = other (specify)
**1 = waste land outside village; 2 = in fields; 3 = any other (specify)

2.7.12 Drainage

1	Does the village have drains	YES NO
2	If YES, are these drains covered?*	
3	Are there any spatial maps or plans showing village drains (with dimension & type and levels)	YES NO
4	Does waste water contaminate piped drinking water sources?	YES NO
5	Does waste water contaminate piped drinking water hand pumps?	YES NO
6	Does waste water contaminate piped drinking water open wells?	YES NO
7	Are the drains constructed with proper slope (i.e., no stagnation)?	YES NO Partially
8	How often are the drains cleaned?**	
9	Are drains and water distribution lines next to each other?	YES NO
10	Is there risk of contamination of water supply by drainage?	YES NO
11	If YES, were any preventive measures taken?	YES NO
12	Are there stagnant pools of water in the village area?	YES NO
13	Are there stagnant pools at the end of the drains?	YES NO
14	Has any drainage planned at the PSPs?	YES NO
15	How many public stand posts have drains now?	All Most Some None

Remarks

* 1 = Fully covered; 2 = partially covered
** 1 = every week; 2 = once a month; 3 = occasionally; 4 = never

2.7.13 Village drainage details

	Unit	Number of units	Year of construction	Construction Cost (Rs.)
Open drains	Metres			
Closed drains	Metres			
Soak pits	Number			
Any other (specify)				

2.7.14 Village solid waste details

1	Where is household garbage thrown now?	Street Dump site Fields Backyard
2	Where is cattle dung thrown now?	Street Dump site Fields Backyard
3	Is there a community garbage dump?	YES NO
4	Is garbage dump polluting piped water sources?	YES NO
5	Is garbage dump polluting drinking hand pumps?	YES NO
6	Is garbage dump polluting drinking open wells?	YES NO
7	Is there a system of house-to-house collection?	YES NO
8	If YES, who is this done by?	Paid team Volunteers
9	How often is garbage collected?	Daily Weekly Bi-weekly Monthly
10	Do households pay per month for collection?	YES NO
11	If YES, how much do they pay per month?(Rs.)	
12	Who organizes collection?	GP SHG VWSC Households
13	Who pays the garbage team salaries?	GP SHG VWSC Households
14	Was any budget allocated by the GP last year (2009-10) for sanitation?	YES NO
15	If Yes, what was the amount budgeted (Rs.)	
16	If Yes, what was the amount released (Rs.)	
Remarks		

Name of Investigator			
Contact Number			
Address			
Date		Signature	

Annexure – 6

WASH COST PROJECT (INDIA)
FORMAT 3
RAPID HOUSEHOLD SURVEY

1.1 DENTIFICATION OF HABITATION **District:**

	Name	Code		Name	Code
Habitation			Gram Panchayat		
Revenue Village			Mandal		
Location of the House from OHSR/GLSR			Head	Middle	Tail

1.2 HOUSEHOLD PARTICULARS (Circle the right option)

House Number	GIS Map: Panchayat
Type of house	Pucca Semi-pucca Kuchcha
Religion	Hindu Muslim Christian Others
Caste	OC BC SC ST Others
Does he/she own land?	YES NO
If yes, how many acres	Wet: Dry: Others:
What crops are grown?	
Does he/she have a ration card?	YES NO If yes Pink White Others

1.3 FAMILY DETAILS

S.No	Name	Sex (M/F)	Age (Yrs)	Relationship (Head)	Education (Use Code)	Occupation (Use Code)		Annual Income	
						Main	Subsidiary	Main	Subsidiary

***Educational level**: Illiterate– 1; 1st to 5th class -2; 6th to 10th Class-3; intermediate – 4; Degree – 5; Post Graduate – 6 and professional degree– 7* ***Occupation**: Agriculture-1, Agricultural Wage Labour-2, Govt/Regular/Irregular non-farm employment-3, Self employment including business-4, Others-5*

2: WASH INFRASTRUCTURE (Please Indicate GIS map code). (Pl tick the option)

a: Do you own a tap? Yes/ No

b: b. If yes , type of connection : 1-Surface ; 2- Pit; 3-Connected to Motor

c: Source of water for various purposes

	HH Tap	HP	PSP	Open / bore well	Buying	Nearby house (Specify)	Others
Drinking/Cooking							
Domestic							
Livestock							

3: SANITATION

a.	Do you own a toilet	YES / NO
b.	If yes, type of latrine	1- Single pit; 2-Double pit 3-Septic Latrine 4- Others
c.	Did you receive Govt. subsidy for toilet construction	YES/NO If yes specify amount Rs.-----
d.	Does your family use the toilet?	YES / NO / NA
e.	If yes, who uses	Men YES/NO Women YES / NO Children YES/ NO
f.	Place of open defecation	1.Agril. field; 2- Road side; 3- Bushes/open place
g.	Disposal of infant faces	1-Toilet ; 2-Backyard/street; 3-Open drainage; 4-Left as it is
h.	House hold Waste Water Drainage	Good/ Average/Poor
i.	Environmental Sanitation around the House	Good/ Average/Poor

For h: Good *–Connected to drainage working in all seasons and no bad smell from the drain*
Average *– Connected to drain but functions only in summer and bad smell during winter and rainy season.*
Poor *- Connected to drain but does not function in all seasons and always bad smell from drain*

For i: Good: *Surroundings are clean and neat .*
Average: *Traces of solid and liquid waste around house*
Poor: *Stagnated water, heap of solid waste and mosquito breeding around house.*

4: Hygiene Practices of the family (Observe the Family)

Category	Bathing (use code)	Washing Hands with after defecation (Yes/No)	Washing Hands before & after having food (Yes/No)	Material used for Washing (use code)	Water Handling Practice (use code)	Coverage status – Yes/No	
						Drinking water	Food
Men							
Women							
Children							

Bathing: *Everyday: 1 Once in two days: 2 Once in a week:3*
Material used for Hand Washing*: Soap – 1, Ash/Dust - 2, Any other – 3.*
Water Handling practices:*,3: use filter tapped vessels 2-Use ladle to take water 1-Dip glass/ vessel with hand*

5. Information on Tariff & IEC for WASH service delivery

1] Did you or your family members attended any IEC on Hygiene & Sanitation?	Yes/No
2) Do you pay water user charges to the Gram Panchayat?	Yes/No / NA
If yes, how much do you pay per month	Rs.
3) Do you buy drinking water?	Yes/No
If yes how much do you pay per month?	Rs.
4)Are there regular timings for water supply?	Yes/No
If yes how many hours? Summer: Morning: Evening:	
Non Summer: Morning:	Evening:
If no, give reasons	

Date	***Signature of the Supervisor***	***Signature & Address of investigator***

Annexure – 7

FORMAT –4

WATERPOINT SURVEY

(User's perceptions on service delivery from water points - Hand Pump)

Purpose:

- To assess the reliability and accessibility to adequate water in summer and non-summer
- Users perception of water quantity and quality
- Observation of drainage around the water point and more generally around the village
- Social barriers to access the water from water points (public stand posts or hand pumps/open wells)
- To understand the Operation and Maintenance Systems existing in the village for WASH service delivery

Process:

- Arrive 1/2hour earlier than the planned time to gather participants
- Ensure equal representation of men and women in focus groups
- Explain the purpose of focus group discussion
- Ask focus persons and complete the scoring

(Ask users to identify the point on the village base map and indicate its code)

Identification of Habitation / Village

Habitation - Code - - - - - - - - -

Revenue Village - Code - - - - - - -

Gram Panchayat - Code - - - - - - - - -

Mandal - Code - - - - - - - - -

Source code as per village base map _____

Location of Source _____

Type of Source(HP/PSP/OW etc) _____

Year of establishment _____

Capital Expenditure Incurred _____

Number of Households dependent on source_____

Number Households participated in FGD _____

Particulars	Total Number	Men	Women
Number of participants			

1. SERVICE DELIVERY QUALITY: Hand Pumps

1.1 Adequacy of water available in the water point

Questions	Summer	Non-Summer
1. Is it easy to operate hand pump? (physical hardship)	Yes/No	Yes/No
2. Can the pot be filled in 3 minutes (12 liters pot)	Yes/No	Yes/No
Description of situation: Summer		
Description of situation: Non-summer		

Scoring Options	Scores	Summer	Non-summer
Worst case: In-spite of putting considerable hardship, Quantity is not sufficient for all uses and for all users	0		
Even if the quantity is sufficient, physical hardship is high (so it takes a long time to fill)	25		
Bench mark: physical hardship is moderate and quantity is sufficient for all basic uses (drinking, cooking, washing) for regular users BUT not for additional uses (livestock, kitchen gardens, livelihoods) and for other users	50		
Physical hardship is low, quantity is sufficient for all uses (including additional uses) for regular users BUT not for additional users	75		
Ideal: In addition, there is enough water in the **Hand Pump** for ALL uses of regular AND additional users	100		

1.2 Dependability of water supply from the Hand Pump

Questions	Summer	Non-Summer
Is the ground water available in adequate quantities?	Yes/No	Yes/No
Are there any breakdowns?	Yes/No	Yes/No
Does GP/MPDO repair the breakdowns?	Yes/No	Yes/No

Description of situation: Summer

Description of situation: Non-summer

Scoring Options	Scores	Summer	Non-summer
Worst case: Not dependable – ground water exhausted, it takes long time for recharge.	0		
Considerable hardship to collect water from hand pump as ground water recharge is low.	25		
Benchmark: Moderate efforts to collect water	50		
In addition, there is an agreed GP/MPDO policy for down time but breakdowns occur for longer periods than agreed for various reasons (e.g., spare parts not available, tools not available, mechanic not available, etc.)	75		
Ideal: Water is available at any point of time and breakdowns are repaired within the stipulated time	100		

1.3 Quality of water from the Hand Pump

Questions	Summer	Non-Summer
1. Is this water used for drinking?	Yes/No	Yes/No
2. Are you satisfied with the quality of water	Yes/No	Yes/No
3. Is there any system for monitoring the quality of water?	Yes/No	Yes/No
Description of situation: Summer		
Description of situation: Non-summer		

Scoring Options	Scores	Summer	Non-summer
Worst case: Water is unfit for drinking by humans OR animals	0		
Water is used for drinking by humans but complaints of bad smell, bad taste or colour or appearance (e.g., muddiness)	25		
Benchmark: No complaints by users (not even muddiness)	50		
In addition, users are aware that RWSS officials have certified that there are no quality problems at the water point	75		
Ideal: *In addition*, water quality has been tested independently using a water quality testing kit (e.g., by Village School Students or Panchayat Water Man) and no quality complaints found	100		

1.4 Water stagnation around the Hand Pump

Questions	Summer	Non-Summer
1. Is excess water flows freely in all seasons?	Yes/No	Yes/No
2. Are you happy with surroundings of **Hand Pump**?	Yes/No	Yes/No
3. Have you tried to improve the cleanliness around **Hand Pump**?	Yes/No	Yes/No
Description of situation: Summer		
Description of situation: Non-summer		

Scoring Options	Scores	Summer	Non-summer
Worst case: Large stagnant water pool and overflow, no platform	0		
Platform exists but broken or dirty and there is stagnant water and overflow	25		
Bench mark: Good finished water point, clean environment, no visible pollution around the water point BUT not drained to water trees or kitchen gardens and repairs not done promptly	50		
Water is properly drained into the main drain without any blockages or stagnation, but damage not repaired promptly	75		
Ideal: Water runs through a proper drain and is used to water trees or kitchen gardens AND repairs are done promptly in case of damage to drain or platform	100		

1.5 Social barriers to access the water from the Hand Pump

Questions	Summer	Non-Summer
1. Are the members of defined user group taking water?	Yes/No	Yes/No
2. Are outsiders of defined user group (caste / class) allowed to take water?	Yes/No	Yes/No
3. Is there any restriction for taking water?	Yes/No	Yes/No
Description of situation		

Scoring Options	Scores	Score
Worst case: Some beneficiaries not allowed to use the water point based on their caste or class specifications – at all times	0	
Some beneficiaries not allowed to use the water point based on their caste or class specifications – at some times	25	
Benchmark: No social barriers for beneficiary group, but some restriction on outsiders using the water point	50	
In addition, selected outside users are permitted to take water BUT only when excess capacity is available	75	
Ideal: No restriction on water use, even for outsiders from any class or caste categories	100	

Description of situation: Summer
Description of situation: Non-summer

1.6 Break down time for repairs to the Hand Pump

No	Month	Was the Public Stand Post (PSP) out of order?	Number of times the Public Stand Post (PSP) was under repair	Number of days of no supply as a result
1	Dec 2009	YES / NO		
2	Nov 2009	YES / NO		
3	Oct 2009	YES / NO		
4	Sep 2009	YES / NO		
5	Aug 2009	YES / NO		
6	Jul 2009	YES / NO		
7	Jun 2009	YES / NO		
8	May 2009	YES / NO		
9	April 2009	YES / NO		

Scoring Options	Scores	Summer	Non-summer
Worst case: In the last summer and non-summer period, the Public Stand Post (PSP) / Area Wise (AW) was out of order for more than 2 weeks at least once	0		
The Public Stand Post (PSP) / Area Wise (AW) was out of order for 1 – 2 weeks at least once	25		
Bench mark: The Public Stand Post (PSP) / Area Wise (AW) was out of order for only 4 – 6 days at a time	50		
Public Stand Post (PSP) / Area Wise (AW) was out of order for only 2 – 3 days at a time	75		
Ideal: Water point was out of order for less than 1 day at a time	100		

1.7 Panchayat response to problems with the Hand Pump

Questions	Summer	Non-Summer
1. Do you complain on non-functional/break down of hand pump?	Yes/No	Yes/No
2. Does GP/MPDO respond to your complaint?	Yes/No	Yes/No
3. Is there any policy and system for addressing complaint at GP/MPDO level?	Yes/No	Yes/No
4. Is the system functioning as per policy?	Yes/No	Yes/No
Description of situation		

Scoring Options	Scores	Score
Worst case: Panchayat takes no action on complaints	0	
Listens, takes decision to act but no follow up and hence no result	25	
Benchmark: Listens and acts and results come, but no Panchayat policy on agreed down time of water point	50	
There is a Panchayat policy on agreed down time of water point but actual down time is longer than agreed down time	75	
Ideal: Panchayat has a policy on agreed down time and it is followed	100	

Investigator Name and Address

Signature of Investigator

Phone number

Date:

Signature of the investigator

Annexure – 8

FORMAT –4

WATERPOINT SURVEY

(User's perceptions on service delivery from water points -Public Stand Post)

Purpose:

- To assess the reliability and accessibility to adequate water in summer and non-summer
- Users perception of water quantity and quality
- Observation of drainage around the water point and more generally around the village
- Social barriers to access the water from water points (public stand posts or hand pumps/open wells)
- To understand the Operation and Maintenance Systems existing in the village for WASH service delivery

Process:

- Arrive 1/2hour earlier than the planned time to gather participants
- Ensure equal representation of men and women in focus groups
- Explain the purpose of focus group discussion
- Ask focus persons and complete the scoring

(Ask users to identify the point on the village base map and indicate its code)

Identification of Habitation / Village

Habitation - Code - - - - - - - - -

Revenue Village - Code - - - - - - -

Gram Panchayat - Code - - - - - - - - -

Mandal - Code - - - - - - - - -

Source code as per village base map _____

Location of Source _____

Type of Source(HP/PSP/OW etc) _____

Year of establishment _____

Capital Expenditure Incurred _____

Number of Households dependent on source_____

Number Households participated in FGD _____

Particulars	Total Number	Men	Women
Number of participants			

1. SERVICE DELIVERY QUALITY: Public Stand Posts

1.1 Adequacy of water available in the water point

Is the pressure good? What is the time taken to fill one pot?

Is there enough water for all users of the water point?

Is the water adequate for basic uses only?

Is the water sufficient for other additional uses (e.g., livestock, kitchen gardens, livelihoods)?

Description of situation: Summer
Description of situation: Non-summer

Scoring Options	Scores	Summer	Non-summer
Worst case: Quantity is not sufficient for all uses and for all users	0		
Even if the quantity is sufficient, pressure is low (so it takes a long time to fill)	25		
Bench mark: Pressure is adequate and quantity is sufficient for all basic uses (drinking, cooking, washing) for regular users BUT not for additional uses (livestock, kitchen gardens, livelihoods) and for other users	50		
In addition, quantity is sufficient for all uses (including additional uses) for regular users BUT not for additional users	75		
Ideal: In addition, there is enough water in the public stand post for ALL uses of regular AND additional users	100		

1.2 Predictability of water supply from the water point

Questions	Summer	Non-Summer
Is water supplied every day in a fixed times?	Yes/No	Yes/No
How long water is supplied every day?	Yes/No	Yes/No
Are there any breakdowns in water supply?	Yes/No	Yes/No
Does GP repair the breakdowns?	Yes/No	Yes/No

Description of situation: Summer

Description of situation: Non-summer

Scoring Options	Scores	Summer	Non-summer
Worst case: No scheduled times and duration of water supply; water comes at different times and for different durations	0		
Supply has scheduled times and duration, but water comes at different times and for different duration than scheduled	25		
Benchmark: Supply at scheduled times and comes during those times and duration but supply is unpredictable in case of breakdowns (there is no agreed Panchayat policy for down time)	50		
In addition, there is an agreed Panchayat policy for down time but breakdowns occur for longer periods than agreed for various reasons (e.g., spare parts not available, tools not available, mechanic not available, etc.)	75		
Ideal: Water is supplied at scheduled times and for scheduled duration and breakdowns are repaired within the stipulated time	100		

1.3 Quality of water from the water point

Questions	Summer	Non-Summer
1. Is this water used for drinking?	Yes/No	Yes/No
2. Are you satisfied with the quality of water	Yes/No	Yes/No
3. Is there any system for monitoring the quality of water?	Yes/No	Yes/No
Description of situation: Summer		
Description of situation: Non-summer		

Scoring Options	Scores	Summer	Non-summer
Worst case: Water is unfit for drinking by humans OR animals	0		
Water is used for drinking by humans but complaints of bad smell, bad taste or colour or appearance (e.g., muddiness)	25		
Benchmark: No complaints by users (not even muddiness)	50		
In addition, users are aware that RWSS officials have certified that there are no quality problems at the water point	75		
Ideal: *In addition*, water quality has been tested independently using a water quality testing kit (e.g., by Village School Students or Panchayat Water Man) and no quality complaints found	100		

1.4 Water stagnation around the water point

Questions	Summer	Non-Summer
1. Does excess water flows freely in rainy season?	Yes/No	Yes/No
2. Does excess water flows freely in summer season also?	Yes/No	Yes/No
3. Are you happy with surroundings of water point?	Yes/No	Yes/No
4. Have you tried to improve the cleanliness around water point?	Yes/No	Yes/No

Description of situation: Summer

Description of situation: Non-summer

Scoring Options	Scores	Summer	Non-summer
Worst case: Large stagnant water pool and overflow, no platform	0		
Platform exists but broken or dirty and there is stagnant water and overflow	25		
Bench mark: Good finished water point, clean environment, no visible pollution around the water point BUT not drained to water trees or kitchen gardens and repairs not done promptly	50		
Water is properly drained into the main drain without any blockages or stagnation, but damage not repaired promptly	75		
Ideal: Water runs through a proper drain and is used to water trees or kitchen gardens AND repairs are done promptly in case of damage to drain or platform	100		

1.5 Social barriers to access the water from the water point

Questions	Summer	Non-Summer
1. Are the members of defined user group taking water?	Yes/No	Yes/No
2. Are outsiders of defined user group (caste / class) allowed to take water?	Yes/No	Yes/No
3. Is there any restriction for taking water?	Yes/No	Yes/No
Description of situation		

Scoring Options	Scores	Score
Worst case: Some beneficiaries not allowed to use the water point based on their caste or class specifications – at all times	0	
Some beneficiaries not allowed to use the water point based on their caste or class specifications – at some times	25	
Benchmark: No social barriers for beneficiary group, but some restriction on outsiders using the water point	50	
In addition, selected outside users are permitted to take water BUT only when excess capacity is available	75	
Ideal: No restriction on water use, even for outsiders from any class or caste categories	100	

Description of situation: Summer
Description of situation: Non-summer

1.6 Break down time for repairs to the Public Stand Post (PSP) / Area Wise (AW)

No	Month	Was the Public Stand Post (PSP) out of order?	Number of times the Public Stand Post (PSP) was under repair	Number of days of no supply as a result
1	Dec 2009	YES / NO		
2	Nov 2009	YES / NO		
3	Oct 2009	YES / NO		
4	Sep 2009	YES / NO		
5	Aug 2009	YES / NO		
6	Jul 2009	YES / NO		
7	Jun 2009	YES / NO		
8	May 2009	YES / NO		
9	April 2009	YES / NO		

Scoring Options	Scores	Summer	Non-summer
Worst case: In the last summer and non-summer period, the Public Stand Post (PSP) / Area Wise (AW) was out of order for more than 2 weeks at least once	0		
The Public Stand Post (PSP) / Area Wise (AW) was out of order for 1 – 2 weeks at least once	25		
Bench mark: The Public Stand Post (PSP) / Area Wise (AW) was out of order for only 4 – 6 days at a time	50		
Public Stand Post (PSP) / Area Wise (AW) was out of order for only 2 – 3 days at a time	75		
Ideal: Water point was out of order for less than 1 day at a time	100		

1.7 Panchayat response to problems with the water point

Questions	Summer	Non-Summer
1. Do you complain on non-functional/break down of water point?	Yes/No	Yes/No
2. Does GP respond to your complaint?	Yes/No	Yes/No
3. Is there any policy and system for addressing complaint at GP level?	Yes/No	Yes/No
4. Is the system functioning as per policy?	Yes/No	Yes/No
Description of situation		

Scoring Options	Scores	Score
Worst case: Panchayat takes no action on complaints	0	
Listens, takes decision to act but no follow up and hence no result	25	
Benchmark: Listens and acts and results come, but no Panchayat policy on agreed down time of water point	50	
There is a Panchayat policy on agreed down time of water point but actual down time is longer than agreed down time	75	
Ideal: Panchayat has a policy on agreed down time and it is followed	100	

Investigator Name and Address Signature of Investigator

Phone number Date:

Signature of the investigator

Annexure – 9

FORMAT 5

FOCUS GROUP DISCUSSION FOR TRANSPARENCY AND ACCOUNTABILITY WITH GRAM PANCHAYAT MEMBERS, VWSC, SHG, SC/ST AND YOUTH GROUP

Circle the correct option, when given a choice

Habitation		Code	
Revenue Village		Code	
Gram Panchayat		Code	
Mandal		Code	

Details of the Water Supply System

Number of OHSRs in the village	
Number of public stand posts	
Number of household connections	
Number of water men (operators)	
Number of individual household toilets	
Number of community toilets	
Number of SHGs in the village (total)	
Number of SHGs in the village (functional)	
Number of primary schools in the village	
Number of secondary schools in the village	
Number of higher-secondary schools in the village	
Number of high schools in the village	
Is there a VWSC in the village?	YES / NO

If yes, current VWSC Membership

	Member Name	Female?	BPL?	SC/ST?
1		YES / NO	YES / NO	YES / NO
2		YES / NO	YES / NO	YES / NO
3		YES / NO	YES / NO	YES / NO
4		YES / NO	YES / NO	YES / NO
5		YES / NO	YES / NO	YES / NO
6		YES / NO	YES / NO	YES / NO
7		YES / NO	YES / NO	YES / NO
8		YES / NO	YES / NO	YES / NO
9		YES / NO	YES / NO	YES / NO
10		YES / NO	YES / NO	YES / NO

If no, is any GP member given responsibility for water supply & Sanitation? Yes /No

If yes, give name and details:

	Member Name	Female?	BPL?	SC/ST?
1		Yes / No	Yes / No	Yes / No
2				

1.1 Participation in the Feasibility Survey

Does any villager from the time of the original feasibility survey remember whether or not it was done?	YES / NO
Did any member of the VWSC or Panchayat participate in the original feasibility study?	YES / NO
Did any member of the VWSC or Panchayat participate in the design and planning work?	YES / NO
Is that member aware of the findings of the survey?	YES / NO
Are all members of the GP and VWSC aware of the findings of the survey?	YES / NO
Description of situation:	

Scoring Options	Scores	Score
Worst case: Villagers do not remember any feasibility study conducted	0	
Some villagers remember that a feasibility study was conducted but not sure who participated and other details	25	
Bench mark: At least one member of the VWSC or Panchayat or key villager participated in the feasibility study in the village, the findings were not shared in the Gram Sabha and no villager participated in the planning and design work subsequent to the survey.	50	
In addition, the findings from the feasibility study are shared in the Gram Sabha	75	
Ideal: Members of the VWSC or Panchayat or other key villagers participated in the feasibility study, the findings were shared in the Gram Sabha and subsequently villagers participated in the planning and design.	100	

1.2 Participation in the Technical Survey

Does any villager from the time of the original Technical Survey (to lay the pipelines) remember whether or not it was done?	YES / NO
Did any member of the VWSC or Panchayat participate in the original Technical Survey?	YES / NO
Did any member of the VWSC or Panchayat participate in the design and planning work?	YES / NO
Is that member aware of the findings of the survey?	YES / NO
Are all members of the GP and VWSC aware of the findings of the survey?	YES / NO
Was boring done at the points agreed in the Technical Survey?	YES / NO
If not, write why it was not done:	
Description of situation:	

Scoring Options	Scores	Score
Worst case: Villagers do not remember any technical study conducted	0	
Some villagers remember that a technical study was conducted but not sure who participated and other details	25	
Bench mark: At least one member of the VWSC or Panchayat or key villager participated in the technical study in the village to lay the pipeline, but not aware of the findings and findings not shared in the Gram Sabha.	50	
In addition, the findings from the Technical Study are shared in the Gram Sabha.	75	
Ideal: In addition, all members of the VWSC or Panchayat are aware of the findings of the Technical Study, it has been shared in the Gram Sabha and area-wise groups participated in planning and designing the pipelines and water points.	100	

1.3 Water System integration

Are there multiple piped water systems in the village?	YES / NO
If no, Go to the next question. If yes, has the GP discussed the issue with RWS officials?	YES / NO
Has the GP discussed this issue in the Gram Sabha?	YES / NO
Are the villagers aware that a plan for integration has been made by RWS officials?	YES / NO
Has the integration work started?	YES / NO
Has the integration work finished?	YES / NO
Is there a Panchayat Resolution that all future water points will be integrated into the existing system?	YES / NO
Description of situation:	

Scoring Options	Scores	Score
Worst case: There are multiple piped water systems but are not integrated, not even discussed by RWS or GP	0	
The RWS officials has discussed the issue with GP but nothing has happened or multiple sources have been integrated to supply a single OHSR	25	
Bench mark: All new sources have been integrated and piped water systems are also integrated, but service delivery varies across water points	50	
In addition, RWS has made interventions to improve service delivery to tail-end and elevated areas.	75	
Ideal: All piped water systems have been integrated, supply delivery quality is almost the same across water points and the GP has passed a resolution that all additional points will be integrated into the system in the future	100	

1.4 Water supply and sanitation records

	Measurement Book	Cash/Bill Book	Tap Connection register	(ISL) Toilet register
Does this exist?	YES / NO	YES / NO	YES / NO	YES / NO
After checking the register, answer the next questions: Is it updated regularly	YES / NO	YES / NO	YES / NO	YES / NO
Is it up-to-date?	YES / NO	YES / NO	YES / NO	YES / NO
Description of situation:				

Scoring Options	Scores	Measurement Book	Cash/Bill Book	Tap connection register	(ISL) Toilet register
Worst case: There is no register/book to in the village	0				
There is register/book, but it is not being regularly updated	25				
Bench mark: The register/book is being regularly maintained and up-to-date; but only a few members of the VWSC or Panchayat are aware of it	50				
In addition, all members of the Panchayat and VWSC are aware of the register/book and it is discussed at least once a year in the Gram Panchayat and VWSC meetings	75				
Ideal: In addition, the contents of the register/book is read out once a year in the Gram Sabha so that everyone is aware of the water supply system in the village	100				

1.5 Water supply system extensions

Has the water supply system been extended since it was built?	YES / NO
Is there any plan of extending the water supply system in future?	YES / NO
Was such a plan discussed by the VWSC?	YES / NO
Was such a plan discussed by the GP?	YES / NO
Was such a plan discussed in the Gram Sabha?	YES / NO
If Yes, are there panchayat resolutions to extend the system as per the plan?	YES / NO
Is the community willing to invest in rain water harvesting systems?	YES / NO
Description of situation:	

Scoring Options	Scores	Score
Worst case: There is excess demand but there has been no extension of water supply system since construction	0	
There have been extensions of the water supply system, but in an ad-hoc manner and there are still problems in water supply and there is no plan	25	
Bench mark: A water supply system extension plan drawn up with RWS officials, has been shared and approved in the Gram Sabha	50	
In addition, accordingly the water supply extension plan has been carried out, as necessary, with RWS	75	
Ideal: In addition, the Gram Sabha is fully aware of all extensions and there no problems of water supply service delivery within the entire village.	100	

1.6 Operation and Maintenance: Piped water system

Is there a water man in the village?	YES / NO
Has the water man received training in operation?	YES / NO
Has the water man received training in minor repairs?	YES / NO
Has the water man received training in preventive maintenance?	YES / NO
Does the water man carry out minor repairs?	YES / NO
Does the water man carry out preventive maintenance?	YES / NO
Does the water man have adequate tools to carry out repairs and maintenance?	YES / NO
Does the water man have adequate spare parts to carry out repairs and maintenance?	YES / NO
Description of situation	

Scoring Options	Scores	Score
Worst case: There is no trained person to operate the water supply system and to carry out repairs and preventive maintenance; someone from outside has to come to repair the system	0	
No trained person, but someone local attends to minor repairs; for major repairs someone has to come from GP or Mandal level; no preventive maintenance	25	
Benchmark: There is a trained person to operate the piped water supply system and with tools and spares for minor repairs; preventive maintenance done but no training received for this; no leak detection system	50	
In addition, there is a leak detection system and there is a person trained to carry out preventive maintenance	75	
Ideal: There is a trained person to operate, repair and maintain the water supply system, with all necessary tools and spares. Preventive maintenance is being done according to a maintenance schedule	100	

1.7 Operation and Maintenance: Hand pumps

Has the water man received training to carry out minor repairs for hand pumps?	YES / NO
Does the water man carry out minor repairs to hand pumps?	YES / NO
Has the water man received training in preventive maintenance of hand pumps?	YES / NO
Does the water man carry out preventive maintenance of hand pumps?	YES / NO
Does the water man have adequate tools to carry out repairs and maintenance	YES / NO
Does the water man have adequate spare parts to carry out repairs and maintenance?	YES / NO
Description of situation	

Scoring Options	Scores	Score
Worst case: No one in the village carries out repairs and preventive maintenance for hand pumps; someone from outside has to come to repair hand pumps when they go out of order	0	
Some local person attends to minor repairs, but without any trainings; for major repairs someone has to come from GP or Mandal level; no preventive maintenance	25	
Benchmark: There is a trained person to repair the village hand pumps with adequate tools and spares for minor repairs; preventive maintenance is done but without no training received for this	50	
In addition, the person carrying out preventive maintenance has been trained	75	
Ideal: There is a trained person to repair and maintain all the pumps in the village, with all necessary tools and spares. Preventive maintenance is being done according to a maintenance schedule	100	

1.8 Water Quality at Community Water Points (Public Stand Posts and Hand Pumps)

Have samples from any water point been taken for testing in the last 12 months?	YES / NO
Have samples from all water points been taken for testing in the last 12 months?	YES / NO
Has the RWS informed the VWSC or Panchayat about the testing results?	YES / NO
If Yes, has the Panchayat or VWSC presented the findings in the Gram Sabha?	YES / NO
Description of situation	

Scoring Options	Scores	Score
Worst case: There has been no testing of the quality of water at the public stand posts or hand pumps	0	
Samples have been collected for water testing, but no one in the village is aware of the results	25	
Benchmark: Water samples have been collected for testing from all water points at least once in the last 12 months, and the Panchayat members are aware of the results	50	
In addition, water quality testing results have been presented and discussed in the Gram Sabha	75	
Ideal: Water samples are taken for testing at regular intervals (e.g., pre and post monsoon every year) by RWS and the results are presented and discussed at Gram Sabhas.	100	

1.9 Tariffs and collection (Ask for data; check records)

Are there water user charges for household tap connections?	YES / NO
Were water user charge payments by households for household tap connections on time last year (2008-09)	YES / NO
How much was the water charge collection from all households last year (2008-09)?	YES / NO
What are the total O&M costs (without repairs) last year (2208-09)	YES / NO
How much did system repairs cost last year (2008-09)	YES / NO
Description of situation:	

Scoring Options	Scores	Score
Worst case: No water tariff has been agreed in the GP	0	
Tariff has been agreed for household connections but collections are not regular.	25	
Benchmark: Water user charges have been set for household connections and collections are 100%, though they may not be on time	50	
In addition, collections from households are on time and cover 100% of O&M costs of the system	75	
Ideal: Water user charge collections are 100% and on time, and cover regular O&M costs of the system and provide for a surplus towards repairs and extensions	100	

1.10 Participation by women in community-level decision-making on water supply

Are women informed well in advance about each village-level meeting?	YES / NO
Do women go for Gram Sabha meetings?	YES / NO
Do women speak up at these Gram Sabha meetings?	YES / NO
Have women spoken up and changed one decision at the Gram Sabha?	YES / NO
Was this issue concerning women only?	YES / NO
Was this issue concerning the community in general?	YES / NO
Description of situation:	

Scoring Options	Scores	Score
Worst case: Women do not attend community meetings whether they are informed.	0	
Women attend community meetings, but do not speak	25	
Benchmark: Women members attend meetings, speak up and have influenced one decision concerning women's access and use of water supply services (e.g., individual household connections and problems)	50	
In addition, they have influenced one decision concerning community-level issues in water supply services (e.g., tariffs, sanitation around water points, poor drainage, sitting of new water points)	75	
Women members speak up on all issues and influence decisions just as men	100	

1.11 Participation by SC/ST in community-level decision-making on water supply

Are SC/ST informed well in advance about each village-level meeting?	YES / NO
Does SC/ST go for Gram Sabha meetings?	YES / NO
Does SC/ST speak up at these Gram Sabha meetings?	YES / NO
Have SC/ST spoken up and changed one decision at the Gram Sabha?	YES / NO
Was this issue concerning SC/STs only?	YES / NO
Was this issue concerning the community in general?	YES / NO
Description of situation:	

Scoring Options	Scores	Score
Worst case: SC and ST members do not attend community meetings	0	
SC and ST members attend community meetings, but do not speak	25	
Benchmark: SC and ST members attend meetings, speak up and have influenced one decision concerning their access and use of water supply services	50	
In addition, they have influenced one decision concerning community-level issues in water supply services	75	
Ideal: SC and ST members speak up on all issues and influence decisions just as the other castes.	100	

1.12 Functioning of VWSC in the village

Has even one meeting been held after the VWSC was formed?	YES / NO
If yes, are meetings held regularly?	YES / NO
Do all members take keen interest and attend and participate in these meetings?	YES / NO
Is a VWSC influence the decision making on WASH services?	YES / NO
Are decisions taken at these meetings implemented?	YES / NO
Is VWSC functioning as expected?	YES / NO
Description of situation:	

Scoring Options	Scores	Score
Worst case: No meetings held after formation	0	
Meetings held only once at the beginning – subsequently only token meetings (e.g., register sent around for signatures), not effective decision – making.	25	
Benchmark: Meetings held regularly; decision-making is effective but only few key members take keen interest and attend and participate	50	
Meetings held regularly and as frequently as necessary; decision-making is effective but all members do not attend and participate	75	
Ideal: Meetings held regularly as frequently as necessary; effective decision-making and all members attend and participate	100	

1.13 Functioning of the Gram Sabha on WASH issues

Has a Gram Sabhas conducted in the last 12 months?	YES / NO
If yes, have WASH issues been discussed in the Gram Sabha?	YES / NO
If yes, have decisions been taken on WASH issues by the Gram Sabha?	YES / NO
Are decisions only announced in the Gram Sabha?	YES / NO
Have these decisions been changed after discussions in the Gram Sabha?	YES / NO
Is any community groups appointed by the Gram Sabha, which report back to the Gram Sabha on performance on WASH issues?	YES / NO
Has there been a social audit on money spent and effective WASH service delivery?	YES / NO
Description of situation:	

Scoring Options	Scores	Score
Worst case: Gram Sabha not conducted in the last 12 months or WASH related issues not discussed in Gram Sabha or discussed without decisions in the last 12 months	0	
Decisions on WASH issues have been taken outsides the Gram Sabha (e.g., by the Gram Panchayat or VWSC) and only announced in the Gram Sabha; even if discussed, Gram Sabha could not change these decisions, in the last 12 months.	25	
Benchmark: WASH issues have been discussed in the Gram Sabha and decisions taken publicly.	50	
In addition, the effectiveness of these decisions are monitored by community groups appointed by the Gram Sabha, which report back to the Gram Sabha on performance, and additional measures are taken till the issue is resolved.	75	
Ideal: Decisions on WASH issues taken by the Gram Sabha after due discussion, implementation monitored by groups or individuals appointed by the Gram Sabha who report back on progress; and a social audit is conducted by villagers themselves once a year on whether money spent has resulted in effective WASH service delivery	100	

1.14 Transparency and accountability

Have WASH budgets been discussed in the Gram Sabha?	YES / NO
Have WASH finances been discussed in the Gram Sabha?	YES / NO
Are the past years WASH expenses presented and discussed in the Gram Sabha?	YES / NO
Are details of the water supply system displayed in the village?	YES / NO
Is there a complaints register for problems with water supply services?	YES / NO
If yes, are there any pending complaints?	YES / NO
Is there a regular financial audit of water supply infrastructure by the Gram Panchayat?	YES / NO
Is there a regular financial audit of community sanitation infrastructure by the Gram Sabha?	YES / NO
Is member of gram sabha can access records / book related to WASH?	YES / NO
Description of situation	

Scoring Options	Scores	Score
Worst case: There is no transparency and accountability; water supply and sanitation budgets are not prepared, discussed or shared with Gram Sabha	0	
Water supply budgets and finances are prepared by the VWSC or Panchayat but not discussed properly or regularly in the Gram Sabha	25	
Benchmark: The water supply and sanitation budget is presented, discussed and approved every year in the Gram Sabha, along with previous years expenses; past expenses and approved budgets and all details of the water supply system are displayed in the village	50	
In addition, there is a complaints register which is regularly examined and resolved amicably; there are no pending complaints	75	
Ideal: There is a regular financial and physical audit of water supply infrastructure by Panchayat and RWS officials	100	

1.15 Effectiveness of training

Fill out a separate Table for each training session conducted.

Name of training			
Duration			Days
Number of Men		Number of Women	
Was any training received?			YES / NO
Was the training conducted in the village?			YES / NO
Could all those who wanted to go for the training do so?			YES / NO
Did all those who attend the training seriously learn the skills?			YES / NO
Are these people able to use their new skills now?			YES / NO
Description of situation:			

Scoring Options	Scores	Score
Worst case: No training received	0	
Training was carried out but was badly designed and carried out so that even those who wanted to learn could not learn the skills being taught	25	
Benchmark: Training was designed and carried out well, everyone who wanted to learn the skills being taught did so	50	
In addition, these people are using their skills now	75	
Ideal: Good quality trainings are being carried out regularly, all those who wish to receive training are being sent for these trainings, and are able to use the skills taught	100	

1.16 Effectiveness of IEC

Fill out a separate Table for each issue targeted by the IEC programmes, e.g., hand washing, solid waster (garbage) management, waste water management and no open defecation

Name of IEC programme			
Duration			Days
Number of Men		Number of Women	
Were any IEC programmes conducted for community awareness on WASH issues?			YES / NO
Were there follow-up activities by different participants (e.g., SHG women, school children, youth clubs, etc.)?			YES / NO
Did these IEC activities result in even one person changing behavior?			YES / NO
Have a significant number of people changed their behavior?			YES / NO
Have all changed their behavior?			YES / NO
If yes, has this change been sustained till now?			YES / NO
Description of situation:			

Scoring Options	Scores	Score
Worst case: No IEC conducted for community awareness on WASH issues	0	
IEC was conducted but was ineffective: very few people participated and no behavior change resulted	25	
Benchmark: The IEC programme conducted was effective: the messages were discussed within various community groups and at least one person changed behavior as a result; but no follow up activities	50	
In addition, a significant number of people changed behavior	75	
Ideal: The IEC programmes were effective and the results have sustained: several follow up activities have been carried out in a sustained campaign that led to changed behavior among the entire community; and the changes have been sustained till now	100	

1.17 Solid waste situation in the village

Is solid waste (rubbish) lying about within the village?	YES / NO
Is there a dumping site for rubbish in the village?	YES / NO
Do some people put their rubbish in the dumping site?	YES / NO
Do all people put their rubbish in the dumping site?	YES / NO
Do some individuals or groups collect rubbish from households?	YES / NO
Do some households segregate their rubbish (e.g., organic, inorganic)?	YES / NO
Do all households segregate their rubbish (e.g., organic, inorganic)?	YES / NO
Is some organic rubbish composted in the village?	YES / NO
Is all organic rubbish composted in the village?	YES / NO
Is some inorganic (recyclable) rubbish buried in a landfill site?	YES / NO
Is ALL inorganic (recyclable) rubbish buried in a landfill site?	YES / NO
Description of situation:	

Scoring Options	Scores	Score
Worst case: No Solid waste (garbage) management in the village; rubbish thrown everywhere	0	
Garbage is thrown mostly in the common dumping area in the village; but some households do not bother taking their rubbish to the dump site	25	
Benchmark: All households take their rubbish into the common dump site OR some individuals or group in the village collects rubbish from all households and puts it in the common dump site	50	
In addition, the households segregate their wastes, give their organic waste for composting; all recyclable non-organic waste (e.g., glass, plastic, paper, metal) is sold or given to collectors – only the residue is dumped	75	
Ideal: All the rubbish in the village is either composted (organic waste) or sold (recyclable inorganic waste) or buried periodically in a landfill site outside the village	100	

1.18 Waste water situation in the village

Are there stagnant pools of water in the village?	YES / NO
Is there waste water running through the village streets?	YES / NO
Are there waste water drains in the village?	YES / NO
If yes, (1) Are these drains well-designed?	YES / NO
(2) Are these drains cleaned regularly?	YES / NO
(3) Are these drains working properly?	YES / NO
Is some waste water discharged into leach pits in the village?	YES / NO
Is some waste water re-used for vegetation?	YES / NO
Is some waste water filtered for re-use?	YES / NO
Is any waste water discharged directly into fresh water bodies (e.g., lakes, ponds, streams)?	YES / NO
Description of situation:	

Scoring Options	Scores	Score
Worst case: No waste water drains; stagnant pools of water or running water through streets	0	
Drains are there, but badly designed, broken or blocked, hence stagnant pools of water or running water through streets (with animals, flies, mosquitoes, etc.)	25	
Benchmark: Drains are there, well-designed, cleaned regularly and working properly; no stagnant water in the village; but not re-used for vegetation (e.g., kitchen gardens)	50	
In addition, all waste water discharged into leach pits or re-used for vegetation; But many be discharged to fresh water bodies (e.g., lakes, ponds, streams); not filtered for re-use	75	
Ideal: All waste water discharged into leach pits or vegetation with no stagnant waste water anywhere in the village; no waste water discharged directly into fresh water bodies (e.g., lakes, ponds, streams) and waste water is filtered for re-use	100	

1.19 Hygiene and Sanitation (only for SHG group)

Do the group members discuss about the personal hygiene (e.g., hand wash at critical times, dangers of open defecation, dispose of babies faeces safely, using ladles and covers for water containers in the kitchen)?	YES / NO
Do the group members practice them?	YES / NO
Do the group members influence the other members in their household (e.g., men and elderly parents or in-laws)?	YES / NO
Description of situation:	

Scoring Options	Scores	Score
Worst case: No one in the group knows about the four key hygiene and sanitation issues: (1) the need to wash hands at critical times (after defecation and before eating) (2) using ladles and covers for water containers in the kitchen; (3) the dangers of open defecation and (4) the need to dispose of babies faeces safely	0	
One member of the group is aware of ALL key hygiene and sanitation issues, but not all members in the group.	25	
Benchmark: All SHG members are aware about these four issues, but not all of them practice it themselves	50	
All SHG members are aware of and practice these themselves in their homes but cannot influence other members in their household (e.g., men and elderly parents or in-laws)	75	
Ideal: All SHG members AND all members in their household are aware of these practices and ALL of them practice them	100	

Investigator Name and Address Signature of Investigator

Phone number Date:

Signature of the Field Supervisor

Annexure – 10

WASH COST PROJECT (INDIA)

FORMAT 6

DETAILED HOUSEHOLD SURVEY

Add this sheet to the Format 3 Rapid Survey sheet of the households selected for the detailed household survey

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6.1 HOUSEHOLD INCOME, ASSETS AND EXPENDITURE DETAILS

6.1.1 General household details

	Name		Name
Habitation		Gram Panchayat	
Revenue Village		Mandal	
Total land: Acres	Location of HHs:		Code as per Format 3-
Name of the Head of the Household:	Caste:	Total family members:	Total income:

6.1.2 Household assets

Assets	Number	Value in Rupees
Production assets		
Milch Cattle		
Draught Animals		
Goats		
Sheep		
Chicken		
Consumer durables		
Cycle		
Motor Cycle		
Car / Tractor		
Refrigerator		
Television		
Mobile Telephone		
Others(specify) 1. 2. 3. 4		

6.1.3 Household expenditure

	Amount spent per month (Rs.)	Amount spent per year (Rs.)
a. Rice		
b. Wheat		
c. Jowar		
d. Milk		
e. Oils		
f. Vegetables		
g. Fruits		
h. Transport		
i. Clothes		
j. Education		
k. Health		
l. Drinking water		
m. Hand washing soap		
n. Toilet cleaning materials (brooms, brushes, phenyl, etc.)		
Others (specify) 1. 2. 3.		

6.2 WATER INFRASTRUCTURE

6.2.1 Does the household own the following sources? If Yes fill the details in relevant columns only

Particulars	Units	HH connection	Open well	Bore well	Hand pump	Remarks
Year of construction	Year					
Depth to water level	Metres					
Total construction cost	Rs.					
Material cost	Rs.					
Labour cost	Rs.					
Motor cost	Rs.					
Storage sump	Rs.					
overhead tank	Rs.					
Tub/Drum/ cement Tub/others	Rs.					
Storage tank capacity	Litres					
O &M Costs (Annual)	Rs					
Any other costs (Specify)	Rs					
	Rs					

Note: If the sample is rented household please ask details from house owner

6.3 HOUSEHOLD WATER COLLECTION AND USE

Purpose	Source(use code)	Trips per day (number)	Pots per trip (number)	Size of pot		Water fetcher(Use Code)	Distance in meters	Time per trip (min)	Quality	
				Pot 1 (litres)	Pot 2 (litres)				Taste	Colour
Summer										
Drinking										
Cooking										
Domestic(bathing, washing, cleaning vessels etc)										
Toilet Usage										
Livestock										
Non Summer										
Drinking										
Cooking										
Domestic(bathing, washing, cleaning vessels etc)										
Toilet Usage										
Livestock										

Water Fetcher: Man 1, Man 2, Women 1, Women 2, Girl 1, Girl 2, Boy 1, Boy 2
Source Code: 1:House connection, 2. Pit tap, 3. Public Stand Post, 4- Hand Pump, 5. Open well, 6. Community well, 7. Bore well, 8. Agricultural well, 9. Buying water, 10. Others
Taste : 1:Sweet 2: Salty 3:Taste less
Color: 1: Clear 2: Muddy 3:Red 4:Others specify

6.4 WATER SERVICE DELIVERY STATUS

6.4.1 Status of water service delivery *Circle the right answer*

Particulars	Summer	Non summer
Satisfaction with the water supply*	VS SWS NS	VS SWS NS
Not enough water	YES NO	YES NO
Not enough pressure	YES NO	YES NO
Frequent breakdowns	YES NO	YES NO
Over-crowding	YES NO	YES NO
Irregular supply	YES NO	YES NO
Other (specify)	YES NO	YES NO
Comments		

** VS – Very satisfied SWS – Somewhat Satisfied NS – Not Satisfied*

6.4.2 What alternative is used when the regular drinking water source is out of order?

	Alternative source	Summer	Non-summer
1	Neighbour's household tap connection	YES NO	YES NO
2	Another public stand post	YES NO	YES NO
3	Own hand pump	YES NO	YES NO

4	Other's hand pump	YES NO	YES NO
5	Own open well	YES NO	YES NO
6	Other's open well	YES NO	YES NO
7	Own agricultural bore well	YES NO	YES NO
8	Other's agricultural bore well	YES NO	YES NO
9	Tanker supply	YES NO	YES NO
10	Buying of water	YES NO	YES NO
Comments			

6.4.3 Details of breakdowns of the regular water supply (Please circle the correct option)

Number of times the regular water supply has broken down in the last 12 months	1. Never 2. Less than 5 times 3. From 6 – 10 times 4. More than 10 times
Usual time taken for repairs	1.24 hours 2. 1 – 2 days 3. 2 – 7 days 4. More than 7 days
Comments	

6.4.4 What improvements can be made to the present Water Supply System?

	Suggestions for improvement
1	
2	
3	

6.5 PAYMENTS FOR DRINKING WATER

6.5.1 Do you purchase water privately? YES / NO

6.5.2 What kind of water is purchased?

Bottled water: YES / NO

Water from tanker: YES / NO

Others Specify if any: _____

6.5.3 Details of purchased water (Calculate per month)

Particulars	Units	Bottled water units	Tanker units		Others
			Drinking	Domestic	
Quantity per unit	Litres				
How much is bought in summer?	Number				
How much is bought in non-summer?	Number				
Price paid per unit in summer	Rs.				
Price paid per unit in non-summer	Rs.				
Comments					

6.5.4 Does the household pay water Tariff? YES NO NA
6.5.5 If yes, how much per month Rs._____ / NA
6.5.6 If No, what are the reasons for non payment?

Not satisfied with water service	YES / NO
Forget to pay on time	YES / NO
No compulsion to pay (e.g., penalties)	YES / NO
Other (specify)	YES / NO
Comments	

6.6 SANITATION INFRASTRUCTURE
6.6.1 Does the house have its own toilet? YES / NO
6.6.2 If yes, Within the House/ within house premises/ far from house premises

6.6.3 If yes, what kind of toilet?

	In use? YES / NO	Year of installation	Total construction costs (Rs.)		Annual O&M Costs (Rs.)
			Labour	material	
Single Pit latrine					
Double pit toilet without septic tank					
Single pit toilet with septic tank					
Toilet connected to sewer					
Waste water drain(from Toilet)					
Waste water drain(from Kitchen/Bathroom)					
Emptying of Toilet					

6.6.4 Detailed cost of constructing the toilet

	Units	Amount contributed
Government subsidy	Rupees	
NGO or project subsidy	Rupees	
Labour contribution	Person days	
Own cash contribution	Rupees	
Own materials contribution		
Other contributions		
Comments		

6.6.5 If the toilet was constructed under a government (or NGO) subsidy programme, was the household given a choice to select the toilet design? YES / NO
6.6.6 Reasons for constructing the toilet:

1	
2	

3	

6.6.7 Toilet assessment (Ask the household member to come with you to the latrine and do observations together)

Observed conditions	Yes or No
Usage: Does the toilet appear to be clean?	YES / NO
Privacy: Does the structure provide privacy?	YES / NO
Space: Is there sufficient room to squat and stand?	YES / NO
Cleaning material: Is there a broom to clean the latrine?	YES / NO
Water: Is there water to flush the latrine?	YES / NO
Hand washing: Is there water and soap/ash to wash hands after latrine use?	YES / NO
Environmental protection: Is the septic tank away from drinking water sources? How often do you empty the Septic tank/change the pit	YES / NO
Comments	

6.7 HYGIENE INFRASTRUCTURE, AWARENESS AND PRACTICES

6.7.1 Is there a bathing facility within the house YES NO

6.7.2 Are all household members aware of water borne diseases? YES NO

6.7.3 Details of water hygiene (observe the house)

Do they cover drinking water pots with a lid?	YES NO
Do they use a ladle to take water from the water pot?	YES NO
Do they cover food with lids?	YES NO
Do they treat water at household level?	YES NO
If so, what is the method of treatment?	1. Boiling 2. Filtering with a cloth 3. Using a water filter
How much money did they invest to buy water treatment equipment?	
Roughly how much money does the household spend per month on water treatment?	

6.7.4 IEC activities on hygiene and sanitation

Are any village meetings held on WASH issues?	YES NO
Did any one in the family attend any IEC activities on hygiene and sanitation?	YES NO
Were there any awareness campaigns or trainings conducted?	YES NO
Did any one in the family attend any trainings on hygiene and sanitation?	YES NO

6.8 WASTE MANAGEMENT

6.8.1 Is the household connected to a drain? YES NO

6.8.2 If YES, Drainage details

What kind of drain is the house connected to?	Open Underground
What is the condition of the main drain outside the house?	Good Poor
What is the condition of the drain inside the house?	Clear Blocked Partially blocked
Is there stagnant water in front of the house?	YES NO
Is there a dirty smell from the drain?	Always Sometimes Never
Do the drains flood during rainy season?	YES NO
If Yes, how many days does it takes for water to be removed / dried	

6.8.3 If NO, details

Where is the household waste water discharged?	Soak pit Open ground Vegetation

6.8.4 How is solid waste disposed?

Put into a bag for house-to-house collection	YES NO
Thrown in a pit in the backyard	YES NO
Thrown into the street	YES NO
Thrown into the waste water drain	YES NO
Taken to the village rubbish dumping site	YES NO
Organic waste is composted	YES NO
Organic waste is taken to the agricultural fields	YES NO
Do you pay for collecting garbage:	YES NO

Investigator Name	
Signature of investigator	
Date	
Signature of Supervisor	
Date	

Village	**Mandal**	**District**