



पेयजल और स्वच्छता मंत्रालय
MINISTRY OF
DRINKING WATER AND SANITATION



Survey Protocol

National Annual Rural Sanitation Survey

(Sampling Design, Survey Questionnaire, Quality Assurance, Data Collection, analysis, reporting, Roles of Stakeholders)

Ministry of Drinking Water and Sanitation

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Survey Protocol

National Annual Rural Sanitation Survey (NARSS)

1- Introduction

The Government of India launched Swachh Bharat Mission (SBM) (Clean India Mission) on October 2, 2014 to accelerate efforts to achieve universal sanitation coverage, improve cleanliness and eliminate open defecation in India by 2019.

The program is considered India's biggest drive to improve sanitation, hygiene and cleanliness. The effectiveness of the program is predicated upon generating demand for toilets leading to their construction, and sustained use by all the household members. It also aims to promote better hygiene behaviour amongst the population and improve cleanliness by initiating Solid and Liquid Waste Management (SLWM) projects in the villages, towns and cities of the country. There is a strong emphasis on behaviour change, including a focus on interpersonal communication; strengthening implementation and delivery mechanisms down to the GP level; and giving States flexibility to design delivery mechanisms that take into account local cultures, practices, sensibilities and demands. In addition, the program focuses on capacity building at state, district and GP level.

The vision for SBM-G is to accelerate rural sanitation coverage to achieve Swachh Bharat by 2019. The estimated budget for SBM-G is US\$22 billion over five years. The objectives of SBM-G are to:

- bring about an improvement in the general quality of life in the rural areas, by promoting cleanliness, hygiene and eliminating open defecation;
- accelerate sanitation coverage in rural areas to achieve the vision of Swachh Bharat by October 2, 2019;
- motivate communities and Panchayati Raj Institutions (PRIs – local governments)
- to adopt sustainable sanitation practices and facilities through awareness creation and health education;
- encourage cost-effective and appropriate technologies for ecologically safe and sustainable sanitation; and
- Develop, wherever required, community-managed sanitation systems focusing on scientific solid and liquid waste management systems for overall cleanliness in the rural areas.

2. The Bank's Program (PforR)

The Bank Program (PforR component of the Operation) supports the entire national SBM-G program by channelling US\$1.475 billion through the incentive grant window of SBM-G in support of the national program's objective of recognizing and rewarding the performance of states on achieving key sanitation outcomes -that is reducing open defecation, sustaining ODF and rural population with Solid and Liquid Waste Management (SLWM). Program funds will be disbursed to MDWS on achievement of Disbursement Linked Indicators (DLIs) and MDWS will release grant funds to states, based on their performance.

The World Bank through the 'Swachh Bharat Mission Support Operation' supports following two categories of activities:

- (a) Performance incentives for sanitation improvement in rural areas;
- (b) Technical Assistance for strengthening institutional capacities on program management, advocacy, and communications, and implementing a credible and robust monitoring & evaluation system to measure results of SBM-G.

According to the World Bank support project design, SBM-G performance of the states against the disbursement linked indicators (DLI) is to be measured through conducting national annual rural sanitation survey (NARSS). Distribution of financial incentives to states would be proportional to the actual performance of the states. The four DLIs identified for this purpose are:

- DLI #1: Reduction in the prevalence of Open Defecation
- DLI #2: Sustaining ODF Status in villages
- DLI #3: Increase in population with Solid Liquid Waste Management practices
- DLI #4: Operationalization of Performance Incentive Grant Scheme by MDWS

MDWS had already issued guidelines in October 2016 to states on the performance linked incentive grant scheme initiative of performance linked incentive scheme based on NARSS results. A copy of guidelines is annexed for reference (Annexure 1).

3. Constitution of 'Expert Working Group'

To oversee and support the entire NARSS process, an Expert Working Group has been constituted under the Chairmanship of Prof. Amitabh Kundu with members from MDWS, World Bank, UNICEF, BGMF, Water Aid India, RICE, Ministry of Statistics and programme Implementation (MOSPI). So far, the group met five times. While the fourth meeting was conducted under the chairmanship of Prof. Kundu in October 2016, the fifth meeting occurred on 06 June 2017, under the chairmanship of Sh. N.C. Saxena, Ex-Secretary, Ministry of Rural Development, who was inducted as Co-Chair of the EWG, as Prof. Kundu was out of country for few months. Minutes of the Meeting (MoM) of last two meetings are annexed for reference (Annexures 2 & 3).

Disbursements of DLI Incentive Grant to States

The first round of NARSS data collection during 2017 is considered as baseline to set benchmarks against the three DLIs related to the sanitation outcomes. DLI#4 would be effective in 2017-18 after the NARSS is complete and results are published and shared with the states.

Second round in next year would assess the state and national level progress in terms of:

- a) Reduction in ODF Incidence,
- b) Sustainability of ODF status, and
- c) Increase in proportion of rural population with safe SLWM management practices, against the baseline benchmarks.

Funds to states would be released based on the actual performance as established by NARSS results generated year on year, which will form the basis for release of performance incentives to the states. A prototype would be developed and put in place to effectively and efficiently manage the NARSS results generation as well as DLI based incentive release to states. Ministry plans to develop a DLI module in its IMIS to gather data from the Survey.

Calculation of achievements against DLIs and Disbursement Calculations

The achievements against the DLIs at the state level needs to be calculated in two steps. First, in each survey round, the percent of population that practices OD will be estimated from the household survey, using appropriate sample weights that reflect the sampling design of the survey. This will be multiplied by the estimated rural population in the state during the survey year to calculate the absolute number of people who practice OD in the state. The population estimate for each state will be based on population projections by the Registrar General of India and rural-urban break-up estimated by the Ministry of Statistics and Programme Implementation. The detailed formulae have been worked out together with World Bank. A matrix of questions responding to respective DLIs from each of the questionnaire is annexed (Annexure 7)

Sampling Weightage

Besides, based on the actual sample covered sampling weights would be applied in each round to compute the DLIs. The basic objective of weighting sample data is to try and maximize the representativeness of the sample in terms of the size, distribution, and characteristics of the study population. When sample units have been selected with differing probabilities, it is common to weight the results inversely proportional to the unit selection probabilities, i.e., the design weight, so as to reflect the actual situation in the population.

The theoretical procedure to be adopted for the proposed weighing is as under: During the sampling process, a multi staged sampling methodology has been utilized as shown below:

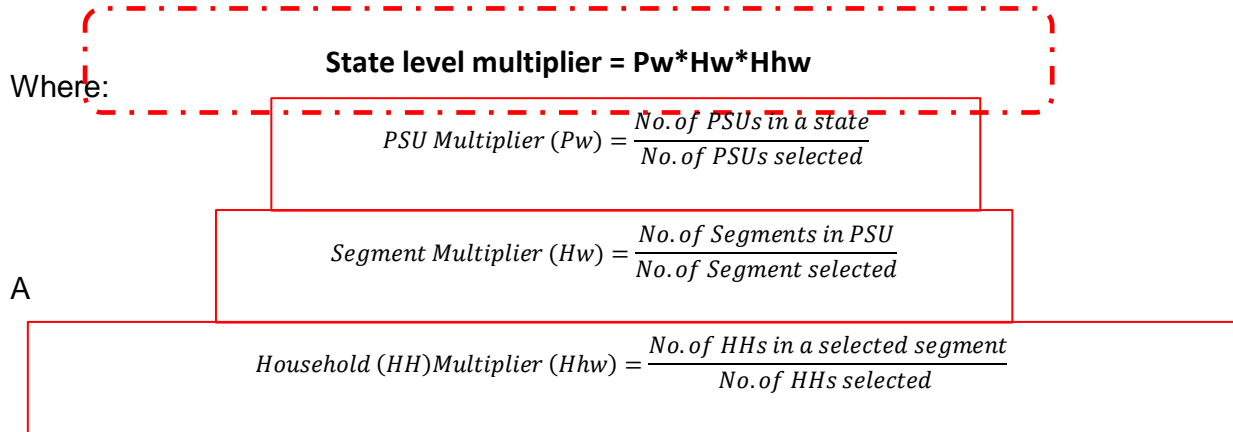
ODF villages (In case of Non-ODF, region level multiplier will also be added)

Stage 1: Selection of PSUs

Stage 2: Selection of segments within each PSU

Stage 3: Selection of household from each of the selected segments

Thus, the estimation process would follow a method in which the sample is projected to the universe in each stage of sampling. The following figure depicts the weighing process



sample calculation has been provided in the table below. However, detail calculation would be worked out.

Selection probabilities and sampling weights: The ODF and non-ODF portions of India's 32 states are the NARSS sampling strata. Since villages are selected with PPS within each stratum, the probability p_{hi} of selecting village hi in stratum h ($1 \leq h \leq 64$) is given by

$$p_{hi} = \frac{k_h n_{hi}}{N_h} \quad [1]$$

where

k_h is the number of villages chosen in stratum h ,
 n_{hi} is the size of village hi , and
 N_h is the size of stratum h

(with both n_{hi} and N_h expressed in the measure of size chosen for the PPS selection – either the population or the number of households).

The probability p_{hij} of selecting household hij in village hi of stratum h , if the village is listed without segmentation, is given by

$$p_{hij} = p_{hi} \frac{m_{hi}}{M_{hi}} \quad [2.1]$$

where

p_{hi} is the probability of selected in the village (given by Formula [1] above),
 m_{hi} is the number of households selected in the village (normatively always 15), and
 M_{hi} is the total number of households listed in the village.

If the village requires segmentation and two segments are selected and listed – one purposely and another randomly from among the remaining segments, p_{hij} is given by

$$p_{hij} = \begin{cases} p_{hi} \frac{m'_{hi}}{M'_{hi}} & \text{for households in the purposely selected segment} \\ p_{hi} \frac{1}{(s_{hi}-1)} \frac{m''_{hi}}{M''_{hi}} & \text{for households in the randomly selected segment} \end{cases} \quad [2.2]$$

6.6. Roles and Responsibilities:

Following are the roles and responsibilities of IVA, EWG and MDWS:

Roles and Responsibilities			
Areas	IVA	EWG	MDWS
NAARS Protocol	Conduct a baseline rural sanitation survey to provide statistically rural representative estimates for all States/UT for key rural sanitation performance indicators under SBM-G	Approve the protocol for NARSS to ensure uniform and consistent approach to survey	Provide comments and support finalization of uniform and systematic approach for NARSS
Inception Report & Work Plan	NARSS Inception Stage Work-Plan and Sampling Plan		Review and approve Inception Report and Work Plan Inception
	Responsible for measurement of selected rural sanitation performance indicators under SBM-G achieved by States and UTs	Provide guidance and approval on measurement protocol, survey methodology, structure of reports and operational protocol	Provide support and guidance to IVA for a uniform and consistent approach to NARSS

Monitoring and review	Operational implementation of the survey protocol as approved by MDWS ensuring consistent approach	Periodic review of progress and provide advice and suggestions as needed	Monitor implementation of the survey protocol as approved
	Day to day monitoring , supervision and management of NARSS		Provide advice and guidance as needed on effective conduct and management of NARSS
Data collection, analysis & quality control	Hiring, Deployment and Training of Survey Team		Approve the Staffing and staffing plan as proposed by IVA
	Finalize Data Collection Instruments	Approve the data collection instruments	Review the use and efficacy of data collection instruments
	Development of Manuals and training on it		Review and approve the manuals developed for NARSS
	Data Processing and Analysis systems	Review periodic reports submitted by MDWS to EWG	Review and approve the data processing and analysis protocol
	Quality Control and quality assurance and undertake sample checks	Participate in quality control and quality assurance through field visits, spot checks	Ensure quality control and quality assurance and undertake sample checks
	Independent Verification Reports to MDWS as per agreed protocol	Approve the report structure	Review, comment and approve the reports submitted by IVA
DLIs Disbursement	Linking NARSS outcomes to DLIs	Review of the model proposed for linking NARSS outcomes to DLIs	Approval of model to link NARSS outcomes to DLIs
	Any other action needed for proper conduct of NARSS		Provide timely notice on any additional actions needed

Annexure 5: NARSS Questionnaire

NATIONAL ANNUAL RURAL SANITATION SURVEY (NARSS) – ROUND 1

QUESTIONNAIRE - HOUSEHOLD

Conventions used in this document:

Interviewer instructions are in red, bold, font.

Programmed items are in green font. Additionally all skip would be automated

Observation related questions are in bold Blue font

IDENTIFICATION		
I.1	Please select the name and code of the State/Union Territory (UT) Dropdown menu containing the names and codes of the sampled states/UTs	<input type="text"/> <input type="text"/>
I.2	Please select the name and code of the district Dropdown menu containing the names and codes of the sampled district within the selected state/UT	<input type="text"/> <input type="text"/>
I.2A	Please select the name and code of the Block Dropdown menu containing the names and codes of the sampled sub district within the selected district	<input type="text"/> <input type="text"/>
I.3	Please select the name and code of the village Dropdown menu containing the names and codes of the sampled villages within the selected district suffix with code & original/additional	<input type="text"/> <input type="text"/>
I.4	Type of Village – (Auto code)	ODF 1 Non ODF 2
I.5	Structure Number (alpha numeric)	<input type="text"/> <input type="text"/> <input type="text"/>
I.6	HH Number (numeric)	<input type="text"/> <input type="text"/>
I.7	Please write the interviewer name and code	<input type="text"/> <input type="text"/> <input type="text"/>
I.8	Please write the supervisor name and code	<input type="text"/> <input type="text"/>
I.9	Please write the name of Head of Household	
I.10	Please write the name of the respondent	
I.11	Please write the mobile number of the respondent	

	Write '999999999' if respondent doesn't provides the phone number	
I.12	Date of the interview To be auto computed (not to be displayed)	
I.13	Interview start time To be auto computed (not to be displayed)	

Consent

Introduction:

Greetings!

My name is _____, and I am working as an interviewer with Kantar Public, a leading research organization. At present, we are conducting a survey under Swachh Bharat Mission (SBM) for MoDWS (Ministry of Drinking Water and Sanitation), Government of India to assess the sanitation behaviour of the population. We wish to know about you, your family, and your village, and would like to spend about 15 minutes with you. We are talking to several people in this and other villages. Talking to us or not is your decision.

Confidentiality:

The information that is collected during the interview will be kept private. If you talk to us, then you will help us complete our study

Contact Information:

The project team is willing to answer any questions you may have concerning the procedures described or the research. If you need more information on the survey, please contact the following person:

1. Dr Anoop Tripathi, PMC, Ministry of Drinking Water and Sanitation , Contact Number- 9934302546
2. Pushpendra Mishra/Saptarshi Guha , KANTAR PUBLIC , Contact Number-011- 42697800

Respondent has given consent for both interview and clicking the picture of toilet - Yes- 1 No- 2

SECTION A : ACCESSIBILITY & FUNCTIONAL STATUS OF TOILET

Q No.	Question	Response Options	Codes	Skip
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Q1	Whether you and your family members have access to a toilet, if yes what kind of Toilet facility? SINGLE CODING	Yes- We have access to toilet Exclusively used by our family	1	
		Yes- We have access to toilet used by multiple families (Shared toilet facility)	2	
		Yes- We have access to a Public toilet facility (toilet is open to the general public)	3	Go to Q 6
		No- Our family doesn't have access to any toilet (family members usually defecates in the bush, fields, or other locations)	4	Go to Q 6
<i>If coded 4 in Q 1 then interviewer should reconfirm once more before moving to next question & check that HH do not have any toilet facility & skip to Q7</i>				
If coded 1 & 2 in Q 1, then Application should open camera for clicking the picture of toilet, please take 3 photo of toilet from different direction, front side with structure , inside & back side of the toilet				

Q 2	Observe the functionality of toilet		Yes	No		
		Pan is completely broken	1	2		
		Pan is choked	1	2		
		Pits/tanks are completely covered	1	2		
		Pipes are broken or open	1	2		
Q 3	Do you have/bring water for Toilet usage from outside OR you have water source inside your house/premises? SINGLE CODING <i>(Observe evidence of water availability in the household – piped water supply in the toilet, or small water turf/tank next to the toilet, or bucket of water kept next to the toilet, or well in the house premises or hand-pump, or any other water source.</i>	Yes –within the house/ premises	1			
		Yes – from outside premises	2			
		No- Water is not available for toilet usage	3			
Q 4	Can you please tell me where the human waste/excreta get drained from the toilet? SINGLE CODING	Toilet drains waste directly into				
		Open Drain/Nallah			1	
		Open pit			2	
		Pond or river or stream or any water body etc.			3	
		Septic tank without soak pit			4	
		Septic tank with a soak Pit			5	
		Single leach pit toilet			6	
		double leach pit toilet			7	
		A closed drain with Sewer system			8	
		Don't Know			9	
Application should open camera for clicking the discharge area of toilet, take one photograph						

Q5	<p><i>In this question, various aspects are being checked to access the hygienic situation of the toilet. Read each of the option one by one and select 'Yes' or 'No' as applicable. Please note that this is an 'observation only' question and it should not be asked to the respondent.</i></p> <p>OBSERVATION ONLY: Observe the hygienic situation in the toilet.</p>		Yes	No	
		A	Toilet is connected to a tank/pit or to a sewer system	1	2
		B	Fly proof seal available (Water trap/lid/other)	1	2
		C	Whether human excreta visible in the squatting area	1	2

SECTION B : USAGE OF TOILET

Q. No.	Question	Response Options		Codes	Skip					
Q6	Can you please tell me total members of your household aged 3 years or more living for last 6 months in this household, also tell me the name, age/gender and defecation practice of all your household members									
	Name (Prepare complete Family Roaster for members aged 3 years or more and ask about their Defecation practice) Start with elder member	A. Sex of the (name)		B. Age of the (name) in completed years	C. Does (name) use latrine always?		D. If coded as 0 in Q.no. C Did (name) use latrine often, rarely and never in last 15 days?			
		M	F		Yes	No	Often	Rarely	Never	
1		1	2	----- years	1	0	1	2	0	
2		1	2	----- years	1	0	1	2	0	
3		1	2	----- years	1	0	1	2	0	
4		1	2	----- years	1	0	1	2	0	
5		1	2	----- years	1	0	1	2	0	

Q 7	Are there any children aged less than 3 years in your family?	Total children <input type="text"/>		If coded '0' go to Q 9
		Male <input type="text"/>		
		Female <input type="text"/>		
Q 8	How is child faeces disposed mostly? (SINGLE CODING) This question would be asked for less than 3 years of child has reported in Q 7	Put into Toilet	1	
		Buried in the ground	2	
		Thrown in open area	3	
		Thrown into garbage	4	
		Don't Know/Can't Say	9	

SECTION C : SOLID & LIQUID WASTE DISPOSAL PRACTICE

Q 9	<p>OBSERVATION ONLY:</p> <p>Is there any garbage or litter piled up or dumped within the premise of the house?</p> <p><i>(Please take GPS enabled photograph)</i></p> <p>SINGLE CODING</p> <p><i>(Litter would mean – solid waste (in rural areas, examples of solid waste include wastes from kitchens, gardens, cattle sheds, agriculture, and materials such as metal, paper, plastic, cloth, and so on. They are organic and inorganic materials with no remaining economic value to the owner produced by homes). It will not include properly stored garbage in covered bins for disposal, properly collected cattle dung within the premises of the house for agricultural and other uses.)</i></p>	Yes	1	
		No	2	
<p>If Yes coded in Q 9 then Application should open camera for clicking the dump area of dumped up area, take one photograph</p>				
Q 10	<p>How is the solid waste of HH disposed mostly?</p>	Indiscriminate (there is no formal arrangement)	1	
		Safely disposed within the household	2	
		disposed Outside to a common system	3	
Q 11	<p>OBSERVATION ONLY:</p> <p>Is there stagnant waste water within the premise of the house?</p> <p><i>(Please take GPS enabled photograph)</i></p> <p>SINGLE CODING</p>	Yes	1	
		No	2	

	<i>(Waste water means –grey water generated by households stagnant at the time of survey. It would not include accumulated rain water or permanent homestead ponds within the house premises.)</i>			
If Yes coded in Q 11 then Application should open camera for clicking the stagnant waste water, take one photograph				
Q 12	Where is the HH waste water disposed	Indiscriminate	1	
		Flows into a common system	2	
		Kitchen Garden	3	
		Soak Pit	4	
		Any others (specify)	9	

SECTION D : DEMOGRAPHY CHARACTERISTIC				
D.1	What is the religion of Head of the Household?	Hindu	1	
		Muslim	2	
		Christian	3	
		Sikh	4	
		Other (specify.....)	7	
D.2	Which economic category does the household belong to	APL	1	
		BPL	2	
		Don't Know	9	
D.3	Which caste category does the Head of household belong to? SINGLE RESPONSE ONLY (Interviewer may obtain a quick list of caste category for the hhs living in this village from the opinion leader if necessary)	Other Backward Caste	1	
		Scheduled Caste	2	
		Scheduled Tribe	3	
		General Caste	4	
		Don't Know/Can't Say	9	
D.4	Which category head of the Household belong to multiple answer possible If coded 2 in D.3, auto code option A in D.4. If coded 3 in D.3, auto code option B in D.4.	SC	A	
		ST	B	
		Landless (No homestead land or agriculture land) having less than or equal to 0.005 acres of land.	C	
		Small & Marginal Farmers (who owns more than 0.005 acre but less than or equal to 4 acre of land.	D	
		Labourers with only Homestead land (No agriculture land)	E	
		Physically handicapped	F	

		Women Headed HH	G	
		None of These/Don't Know	H	

Thank the respondent

NATIONAL ANNUAL RURAL SANITATION SURVEY (NARSS) – ROUND 1

DRAFT QUESTIONNAIRE - SCHOOL SCHEDULE

NATIONAL ANNUAL RURAL SANITATION SURVEY (NARSS) – ROUND 1

QUESTIONNAIRE - SCHOOL

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I.2	Please select the name and code of the district Dropdown menu containing the names and codes of the sampled district within the selected state/UT	<input type="text"/> <input type="text"/>
I.2A	Please select the name and code of the sub-district Dropdown menu containing the names and codes of the samples sub district within the selected district	<input type="text"/> <input type="text"/>
I.3	Please select the name and code of the village Dropdown menu containing the names and codes of the sampled villages within the selected district	<input type="text"/> <input type="text"/>
I.4	Type of Village – (Auto code)	ODF 1 Non ODF 2
I.5	Please write the School name	
I.6	Please write the Interviewer/supervisor name and code	<input type="text"/> <input type="text"/>
I.7	Please write the name of the respondent _____	Head Master/Mistress/Principal- 1 Teacher other than HM/Principal - 2

		Administrator/Non-Teaching Staff-3
I.8	Please write the mobile number of the respondent Write '999999999' if respondent doesn't provides the phone number	
I.9	Date of the interview To be auto computed (not to be displayed)	
I.10	Interview start time To be auto computed (not to be displayed)	

Consent

Introduction:

Greetings!

My name is _____, and I am working as an interviewer with Kantar Public, a leading research organization. At present, we are conducting a survey under Swachh Bharat Mission (SBM) for MoDWS (Ministry of Drinking Water and Sanitation), Government of India to assess the sanitation behaviour of the population. We wish to know about sanitation facility in your school, and would like to spend about 15 minutes with you. We are talking to several people in this and other villages. Talking to us or not is your decision.

Confidentiality:

The information that is collected during the interview will be kept private. If you talk to us, then you will help us complete our study

Contact Information:

The project team is willing to answer any questions you may have concerning the procedures described or the research. If you need more information on the survey, please contact the following person:

1. Dr Anoop Tripathi, PMC, Ministry of Drinking Water and Sanitation , Contact Number-9934302546
 2. Pushpendra Mishra/Saptarshi Guha , KANTAR PUBLIC , Contact Number-011- 42697800
-

Q. No.	Question	Response Options	Codes	Skip
Q1	Please select the type of the school	Boys school	1	
		Girls school	2	
		Co-educational school	3	
Q 2	Number of Students	Boys	<input type="text"/> <input type="text"/> <input type="text"/> NA-9	
		Girl	<input type="text"/> <input type="text"/> <input type="text"/> NA-9	
Q 3	Education level of School (Single Coding)(Record the highest level of education level in case of multiple)	Primary (Grade 1-5)	1	
		Lower Secondary/Elementary (Grades 6-8)	2	
		Secondary (Grades 9-10)	3	
		Higher Secondary (Grades 10-12)	4	
Q 4	Does the school have access to any toilet facility? SINGLE CODING	Yes, school has an access to a toilet facility	1	
		School do not have access to a toilet facility	2	END
Q 5	Are there separate toilets for boys and girls in the school? SINGLE CODING	Yes, there are separate toilets	1	
		No, there are no separate toilets	2	
		Not applicable	3	Auto coded in case ans is 1 or 2 in Q1
<i>Interviewer should request the respondent to show the toilet facility if option 1 is selected in Q4. If respondent has given consent for clicking the picture.</i>				

Q. No.	Question	Response Options	Codes	Skip	
Q 6	Will you allow us to click the photographs of the toilet facility which is accessible to this school?	Yes	1		
		No	2		
If coded 1 in Q 6 application should open camera for clicking the picture of toilet, GPS enabled two photographs must be taken of the toilet					
Q 7	Please specify the total number of toilet seats available in the school If coded 2 in Q 5 application should not accept any response in Boys or in Girls only accept in common	Boys	<input type="text"/> <input type="text"/> <input type="text"/>		
		Girls	<input type="text"/> <input type="text"/> <input type="text"/>		
		Common	<input type="text"/> <input type="text"/> <input type="text"/>		
Q 8	Please specify the total number of toilet seats functional in the school If coded 2 in Q 5 application should not accept any response in Boys or in Girls only accept in common	Boys	<input type="text"/> <input type="text"/> <input type="text"/>		
		Girls	<input type="text"/> <input type="text"/> <input type="text"/>		
		Common	<input type="text"/> <input type="text"/> <input type="text"/>		
Q 9	Observe the functionality of toilet	Functionality	Yes	No	
		Pan is completely broken	1	2	
		Pan is choked	1	2	
		Pits/tanks are completely covered	1	2	
		Pipes are broken or open	1	2	
		Toilet is locked	1		Skip to Q12
Q 10	OBSERVATION ONLY: Observe the usage of the toilet.		Yes	No	
		A Toilet appears to be well kept, in regular	1	2	

Q. No.	Question	Response Options	Codes	Skip
	What is the usage status of the toilet?	use with water inside or nearby		
Q 11	<p><i>In this question, various aspects are being checked to access the hygienic situation of the toilet. Read each of the option one by one and select 'Yes' or 'No' as applicable. Please note that this is an 'observation only' question and it should not be asked to the respondent.</i></p> <p>OBSERVATION ONLY: Observe the hygienic situation in the toilet.</p>		Yes	No
		A Toilet is connected to a tank/pit or to a sewer system	1	2
		B Fly proof seal available (Water trap/lid/other)	1	2
		C Whether human excreta visible in the squatting area	1	2
Q 12	Observe evidence of handwashing practice after use of toilet	Only Water available near the toilet or water point	1	
		Soap available near the toilet or water point	2	
		Both water & soap available near the toilet or water point	3	
		Neither soap nor water available near the toilet	4	
Q 13	<p>Can you please tell me where the human waste/excreta get discharged from the toilet?</p> <p>SINGLE CODING</p>	Toilet discharges waste directly into		
		Open Drain/Nallah	1	
		Open pit	2	
		Pond or river or stream or any water body etc.	3	
		Septic tank without soak pit	4	
		Septic tank with a soak Pit	5	
		Single leach pit toilet	6	
		Double leach pit toilet	7	

Q. No.	Question	Response Options	Codes	Skip
		A closed drain with Sewer system	8	
		Don't Know	9	

NATIONAL ANNUAL RURAL SANITATION SURVEY (NARSS) – ROUND 1

QUESTIONNAIRE - ANGANWADI CENTRE

Conventions used in this document:

Interviewer instructions are in red, bold, font.

Programmed items are in green font. Additionally all skip would be automated

Observation related questions are in bold Blue font

IDENTIFICATION		
I.1	Please select the name and code of the state/Union Territory (UT) Dropdown menu containing the names and codes of the sampled states/UTs	<input type="text"/> <input type="text"/>
I.2	Please select the name and code of the district Dropdown menu containing the names and codes of the sampled district within the selected state/UT	<input type="text"/> <input type="text"/>
I.2A	Please select the name and code of the sub-district Dropdown menu containing the names and codes of the sampled sub district within the selected district	<input type="text"/> <input type="text"/>
I.3	Please select the name and code of the village Dropdown menu containing the names and codes of the sampled villages within the selected district suffix with code & original/additional	<input type="text"/> <input type="text"/>
I.4	Type of Village – (Auto code)	ODF 1 Non ODF 2
I.5	Please write the name of the Anganwadi Worker/Helper	
I.6	Please write the interviewer/Supervisor name and code	<input type="text"/> <input type="text"/>
I.7	Please write the mobile number of the respondent Write '999999999' if respondent doesn't provides the phone number	
I.8	Date of the interview To be auto computed (not to be displayed)	
I.9	Interview start time To be auto computed (not to be displayed)	

Consent

Introduction:

Greetings!

My name is _____, and I am working as an interviewer with Kantar Public, a leading research organization. At present, we are conducting a survey under Swachh Bharat Mission (SBM) for MoDWS (Ministry of Drinking Water and Sanitation), Government of India to assess the sanitation behaviour of the population. We wish to know about the sanitation facilities in your anganwadi centre and would like to spend about 15 minutes with you. We are talking to several people in this and other villages. Talking to us or not is your decision.

Confidentiality:

The information that is collected during the interview will be kept private. If you talk to us, then you will help us complete our study

Contact Information:

The project team is willing to answer any questions you may have concerning the procedures described or the research. If you need more information on the survey, please contact the following person:

1. Dr Anoop Tripathi, PMC, Ministry of Drinking Water and Sanitation , Contact Number-9934302546
 2. Pushpendra Mishra/Saptarshi Guha , KANTAR PUBLIC , Contact Number-011- 42697800
-

Q. No.	Question	Response Options	Codes	Skip	
Q 1	Does the AWC have its own building?	Yes, has its own building	1		
		No, running in Private building/house	2		
Q 2	Does the AWC have access to any toilet facility? SINGLE CODING	Yes, AWC has a toilet in own premises	1	Q 3	
		AWC uses the toilet of the Household in case of center happens in a private building	2	Q 3	
		AWC do not have access a toilet facility	3	Q 10	
<i>Interviewer should request the respondent to show the toilet facility if option 1 is selected in Q2. If respondent has given consent for clicking the picture.</i>					
Q 3	Will you allow us to click the photographs of the toilet facility which is accessible to this AWC?	Yes	1		
		No	2		
If coded 1 in Q 3 application should open camera for clicking the picture of toilet, <i>GPS enabled two photographs must be taken of the toilet in side & outside with structure</i>					
Q 4	Observe the functionality of toilet		Yes	No	
		Pan is completely broken	1	2	
		Pan is choked	1	2	
		Pits/Tanks are completely covered	1	2	
		Pipes are broken or open	1	2	
		Toilet is locked	1		Skip to Q 10
Q 5		Yes	1		

Q. No.	Question	Response Options	Codes	Skip
Q 1	<p>Does the AWC have its own building?</p> <p>OBSERVATION ONLY: Observe the presence of water near the toilet. Is there a provision of water for use of the toilet? SINGLE CODING</p> <p><i>(Observe evidence of water availability in the AWC – piped water supply in the toilet, or small water turf/tank next to the toilet, or bucket of water kept next to the toilet, or well in the house premises or hand-pump, or any other water source, plus cleanliness of the toilet.)</i></p>	Yes, has its own building	1	
		No, running in Private building/house	2	
		No	2	

Q 6	<p><i>In this question, various aspects are being checked to access the hygienic situation of the toilet. Read each of the option one by one and select 'Yes' or 'No' as applicable. Please note that this is an 'observation only' question and it should not be asked to the respondent.</i></p> <p>OBSERVATION ONLY: Observe the hygienic situation in the toilet.</p>		Yes	No	
		a	Toilet is connected to a tank/pit or to a sewer system	1	2
		b	Fly proof seal available (Water trap/lid/other)	1	2
		c	Whether human excreta visible in the squatting area	1	2
Q 7	<p>Can you please tell me where do excreta get discharge from the toilet?</p> <p>SINGLE CODING</p>	Toilet discharges waste directly into			
		Open Drain/Nallah		1	
		Open pit		2	
		Pond or river or stream or any water body etc.		3	
		Septic tank without soak pit		4	
		Septic tank with a soak Pit		5	
		Single leach pit toilet		6	
		Double leach pit toilet		7	
		A closed drain with Sewer system		8	
		Don't Know		9	
Q 8	<p>OBSERVATION ONLY: Observe usage of the toilet.</p> <p>What is the usage status of the toilet?</p>		Yes	No	
		A	Toilet appears to be well kept, in regular use with water inside or nearby	1	2
Q 9	<p>OBSERVATION ONLY</p> <p>Whether water is available for handwashing after the usage of toilet</p>	Only Water available near the toilet or water point		1	
		Soap available near the toilet or the water point		2	

		Both water & soap available near the toilet or water point	3	
		Neither soap nor water available near the toilet	4	
Q 10	If no toilet in Anganwadi Center then where do the children go to defecate?	Nearby Public Toilet	1	
		School Toilet	2	
		Own House	3	
		Open	4	

NATIONAL ANNUAL RURAL SANITATION SURVEY (NARSS) – ROUND 1

QUESTIONNAIRE – PUBLIC/COMMUNITY TOILET

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Interviewer instructions are in red, bold, font.

Programmed items are in green font. Additionally all skip would be automated

Observation related questions are in bold Blue font

IDENTIFICATION		
I.1	Please select the name and code of the state/Union Territory (UT) Dropdown menu containing the names and codes of the sampled states/UTs	<input type="text"/> <input type="text"/>
I.2	Please select the name and code of the district Dropdown menu containing the names and codes of the sampled district within the selected state/UT	<input type="text"/> <input type="text"/>
I.2A	Please select the name and code of the sub-district Dropdown menu containing the names and codes of the sampled sub district within the selected district	<input type="text"/> <input type="text"/>
I.3	Please select the name and code of the village Dropdown menu containing the names and codes of the sampled villages within the selected district	<input type="text"/> <input type="text"/>
I.4	Type of Village – (Auto code)	ODF 1 Non ODF 2
I.5	Mention the land mark of the Community Toilet	
I.6	Please write the interviewer/supervisor name and code	<input type="text"/> <input type="text"/>
I.7	Please write the name of the respondent	
I.8	Please write the mobile number of the respondent Write '999999999' if respondent doesn't provides the phone number	
I.9	Date of the interview To be auto computed (not to be displayed)	
I.10	Interview start time	

	To be auto computed (not to be displayed)	
--	---	--

Consent

Introduction:

Greetings!

My name is _____, and I am working as an interviewer with Kantar Public, a leading research organization. At present, we are conducting a survey under Swachh Bharat Mission (SBM) for MoDWS (Ministry of Drinking Water and Sanitation), Government of India to assess the sanitation behaviour of the population. We wish to know about the sanitation facility in this public toilet located in your village, and would like to spend about 15 minutes with you. We are talking to several people in this and other villages. Talking to us or not is your decision.

Confidentiality:

The information that is collected during the interview will be kept private. If you talk to us, then you will help us complete our study

Contact Information:

The project team is willing to answer any questions you may have concerning the procedures described or the research. If you need more information on the survey, please contact the following person:

1. Dr Anoop Tripathi, PMC, Ministry of Drinking Water and Sanitation , Contact Number-9934302546
 2. Pushpendra Mishra/Saptarshi Guha , KANTAR PUBLIC , Contact Number-011- 42697800
-

Q. No.	Question	Response Options	Codes	Skip
Q 1	Are there any public toilets located in the village? SINGLE CODING	Yes	1	
		No	2	END
Q 2	How many public toilet facilities are there in the village? SINGLE CODING	<input type="text"/> <input type="text"/>		
<i>Interviewer should request the respondent to show the toilet facility. If respondent has given consent for clicking the picture.</i>				
Q 3	Will you allow us to click the photographs of this public toilet facility?	Yes	1	
		No	2	
If coded 1 in Q 3 application should open camera for clicking the picture of toilet, GPS enabled two photographs must be taken of the toilet.				
Q 4	Are there separate sections for men and women in the toilet? SINGLE CODING	Yes, there are separate sections	1	
		No, there are no separate sections	2	
Q 5	Observe the functionality of toilet		Yes	No
		Pan is completely broken	1	2
		Pan is choked	1	2
		Pits/Tanks are completely covered	1	2
		Pipes are broken or open	1	2
		The toilet is locked/not in use	1	2
Q 6	Is water available for use in the toilets	Yes	1	
		No	2	
Q 7	Observe evidence of handwashing practice after use of toilet	Only Water available near the toilet or water point	1	

Q. No.	Question	Response Options	Codes	Skip
		Soap available near the toilet or water point	2	
		Both water & soap available near the toilet or water point	3	
		Neither soap nor water available near the toilet	4	
Q 8	OBSERVATION ONLY: Observe the usage of the toilet. What is the usage status of the toilet?		Yes	No
	A	Toilet appears to be well kept, in regular use with water inside or nearby	1	2
Q 9	Can you please tell me where the human waste/excreta get discharged from the toilet? SINGLE CODING	Toilet discharges waste directly into		
		Open Drain/Nallah	1	
		Open pit	2	
		Pond or river or stream or any water body etc.	3	
		Septic tank without soak pit	4	
		Septic tank with a soak Pit	5	
		Single leach pit toilet	6	
		Double leach pit toilet	7	
		A closed drain with Sewer system	8	
		Don't Know	9	
Q 10	Is there a user charge for use of the toilet	Yes	1	
		No	2	

NATIONAL ANNUAL RURAL SANITATION SURVEY (NARSS) – ROUND 1

QUESTIONNAIRE–PUBLIC SPACES SANITATION SCHEDULE

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Programmed items are in green font. Additionally all skip would be automated

Observation related questions are in bold Blue font

IDENTIFICATION						
I.1	Please select the name and code of the state/Union Territory (UT) Dropdown menu containing the names and codes of the sampled states/UTs				□ □	
I.2	Please select the name and code of the district Dropdown menu containing the names and codes of the sampled district within the selected state/UT				□ □	
I.2A	Please select the name and code of the Block Dropdown menu containing the names and codes of the sampled sub district within the selected state/UT				□ □	
I.3	Please select the name and code of the village Dropdown menu containing the names and codes of the sampled villages within the selected district				□ □	
I.4	Type of Village – (Auto code)				ODF 1 Non ODF 2	
I.5	Please write the supervisor name and code				□ □	
I.6	Date of the interview To be auto computed (not to be displayed)					
I.7	Interview start time To be auto computed (not to be displayed)					
Q. No.	Question			Response Options	Codes	Skip
Q1	Area that are/were used for open defecation in the past			Visible faeces Found	1	
				faeces not found	2	
Q2	A. Places having instances for Open Defecation			B. Level of Instances		

	A. Important Public Places or locations	Available in The Village		Visible faeces Found	faeces not found	
		Yes	No			
&	Hospitals/Public Health Centre	1	2	1	2	
	Schools	1	2	1	2	
	B. Instances of people defecating in the open or visible faeces on ground					
	Panchayat Bhawan	1	2	1	2	
	Community Centres/Halls	1	2	1	2	
	Places of Worship- Temple/Gurdwara/Masjid/Church	1	2	1	2	
	Bus stand/Railway Station/Market Places	1	2	1	2	
	Public/Govt Offices	1	2	1	2	
	Public Drinking Water Sources(Well/Hand pump/Stand post/Fountains/Springs/Community Tanks	1	2	1	2	
	Others(Specify)	1	2	1	2	
For every places If coded 1 in Q 2B then application should camera for taking photograph						
Q3	Open ground/fields			Visible faeces Found	1	
				faeces not found	2	
If coded 1 in Q 3 then application should camera for taking photograph						
Q4	Roads alongside the village			Visible faeces Found	1	
				faeces not found	2	
If coded 1 in Q 4 then application should camera for taking photograph						

Q5	Any infamous places		Visible faeces Found	1	
			faeces not found	2	
If coded 1 in Q 5 then application should camera for taking photograph					
Q 6	Is the Village performing safe disposal of Solid waste		No treatment of solid waste	1	
			Open burning	2	
			Dumped in river/ water bodies	3	
			Community level composting arrangement(NADEP/Vermicompostetc)	4	
			Community level waste collection arrangements	5	
			Segregated waste collected, and safely managed	6	
Q 7	How is the waste water disposed of? (Multiple response possible)		No drainage system/ soak pit	1	
			Draining in open water body/river	2	
			Flows in a some kind of safe system	3	
			Some kind of treatment (into drain/ kitchen garden/soak pit)	4	
Q 8	Public places show minimal level of littering	Yes		1	
	OBSERVATION ONLY: Observe the whole village public places and record	No		2	
Q 9	Public places show minimal level of water logging	Yes		1	
	OBSERVATION ONLY: Observe the whole village public places and record	No		2	

Annexure 6: DASH Board Design & Layout

National Annual Rural Sanitation Survey (NARSS)

Login ID

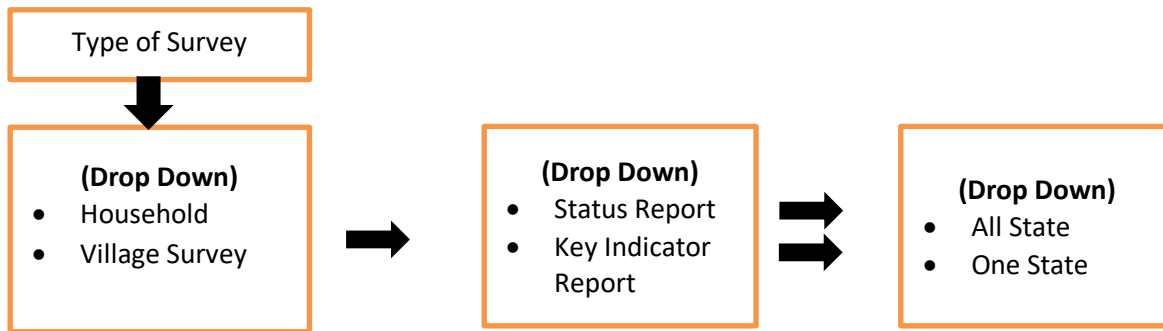
Password

NARSS –At a glance		
HH Surveyed		State wise Coverage Status- Bar Chart (HH)
Count	Coverage (in %)	
AWC Surveyed		State wise Coverage Status- Bar Chart (AWC)
Count	Coverage (in %)	
School Surveyed		State wise Coverage Status- Bar Chart (School)
Count	Coverage (in %)	
Public Toilet Surveyed		State wise Coverage Status- Bar Chart (Public Toilet)
Count	Coverage (in %)	

State Report
(Please click on State Name in the
below map)



National Annual Rural Sanitation Survey (NARSS)



HH-All State

State Name	ODF						Non ODF					
	PSUs			HHs			PSUs			HHs		
	Target	Completed	Coverage	Target	Completed	Coverage	Target	Completed	Coverage	Target	Completed	Coverage
A												
B												

HH-One State

District Name	ODF						Non ODF					
	PSUs			HHs			PSUs			HHs		
	Target	Completed	Coverage	Target	Completed	Coverage	Target	Completed	Coverage	Target	Completed	Coverage
A												
B												
C												

(Select the district for PSU wise Report)

HH-PSU

PSU Name	ODF			Non ODF		
	Target	Completed	Coverage	Target	Completed	Coverage
A						
B						
C						

National Annual Rural Sanitation Survey (NARSS)

Village Survey-All State

State Name	ODF									Non ODF						
	AWC			School			Public Toilet			AWC			School			Public Toilet
	Target	Completed	Coverage	Target	Completed	Coverage	Completed	Coverage	Target	Completed	Coverage	Target	Completed	Coverage	Completed	Coverage
A																
B																

Village Survey -One State

District Name	ODF									Non ODF						
	AWC			School			Public Toilet			AWC			School			Public Toilet
	Target	Completed	Coverage	Target	Completed	Coverage	Completed	Coverage	Target	Completed	Coverage	Target	Completed	Coverage	Completed	Coverage
A																
B																

Village Survey -PSU

PS UName	ODF									Non ODF						
	AWC			School			Public Toilet			AWC			School			Public Toilet
	Target	Completed	Coverage	Target	Completed	Coverage	Completed	Coverage	Target	Completed	Coverage	Target	Completed	Coverage	Completed	Coverage
A																
B																

KEY INDICATOR REPORT

HH-All State

	ODF	Non-ODF
--	-----	---------

State	Number of HH who do not have access toilet (If coded 4 in Q No -1)	Number of HH defecate in open place in last one month (if coded any number in Q No. 8 B)	Number of HH who do not have access toilet (If coded 4 in Q No -1)	Number of HH defecate in open place in last one month (if coded any number in Q No. 8 B)
A				
B				
C				

HH-One State

Districts	ODF		Non-ODF	
	Number of HH who do not have access toilet (If coded 4 in Q No -1)	Number of HH defecate in open place in last one month (if coded any number in Q No. 8 B)	Number of HH who do not have access toilet (If coded 4 in Q No -1)	Number of HH defecate in open place in last one month (if coded any number in Q No. 8 B)
A				
B				
C				

HH-Village

Village Name	ODF		Non-ODF	
	Number of HH who do not have access toilet (If coded 4 in Q No -1)	Number of HH defecate in open place in last one month (if coded any number in Q No. 8 B)	Number of HH who do not have access toilet (If coded 4 in Q No -1)	Number of HH defecate in open place in last one month (if coded any number in Q No. 8 B)
A				
B				
C				

Annexure 7: Question and DLIs Matrix

For DLI 1

SNO	Type of Schedule	Question No	Question	Option indicating No OD incidence	Criteria (clearly spelled out as Positive statements)
1	HH Schedule	1	Toilet facility is accessible to you and your family members?	1, 2, or 3	Accessibility to toilet

2		2	Observe for functionality - Pan is completely broken -Pan is choked - Pits/tanks are completely covered - Pipes are broken or open	2 2 1 2	functional Toilets
3		4	where the human waste/excreta get disposed from the toilet?	5,6,7,8	Safe discharge of Human excreta from toilet
4		5	Hygiene situation of toilet	A - 1 B-1 C- 2	hygienic toilet (Oro-fecal route broken)
5		6	complete Family Roaster and ask about their Defecation practice	Number of C – 1 responses	% of Member Using toilet always
6		8	Dispose the child faeces (only if Q 7 is Yes)	1,2	Safe disposal of child faeces

For DLI 2:

SN O	Type of Schedule	Question No	Question	Option indicating ODF	Criteria (clearly spelled out as Positive statements)
1	HH Schedule	1	toilet facility is accessible to you and your family members?	1, 2, or 3	Accessibility to toilet
2		2	Observe for functionality - Pan is completely broken -Pan is choked - Pits/tanks are completely covered - Pipes are broken or open	2 2 1 2	functional Toilets
3		4	where the human waste/excreta get disposed from the toilet?	5,6,7,8	Safe discharge of Human excreta from toilet
4		5	Hygiene situation of toilet	A - 1 B-1 C- 2	hygienic toilet (Oro-fecal route broken)
5		6	complete Family Roaster and ask about their Defecation practice	C – 1 responses	% of Member

			for all members	Using toilet always
6		8	Dispose the child faeces (only if Q 7 is Yes)	1,2 Safe disposal of child faeces
8	School Schedule	4	Does the school have access to any toilet facility	1 School having access to toilet
9		9	Observe for functionality - Pan is completely broken -Pan is choked - Pits/tanks are completely covered - Pipes are broken or open	2 2 1 2 Functional Toilets
10		10	What is usage status of toilet	1 Toilet used
11		11	hygiene status of toilet	A - 1 B-1 C- 2 hygienic toilet (Oro-fecal route broken)
12		13	where the human waste/excreta get disposed from the toilet?	5,6,7,8 Safe discharge of Human excreta from toilet
13		2	Does the AWC have access to any toilet facility	1 & 2 AWC having access to toilet
14		4	Observe for functionality - Pan is completely broken -Pan is choked - Pits/tanks are completely covered - Pipes are broken or open	2 2 1 2 functional Toilets
15	AWC schedule	6	hygiene status of toilet	A - 1 B-1 C- 2 hygienic toilet (Oro-fecal route broken)
16		7	where the human waste/excreta get disposed from the toilet?	5,6,7,8 Safe discharge of Human excreta from toilet
17		8	What is usage status of toilet	1 Toilet used
18		10	If no toilet in Anganwadi Center then where do the children go to defecate	1,2 or 3 Children using some

					facility for defecation
19	Public Toilet	5	Observe for functionality - Pan is completely broken - Pan is choked - Pits/tanks are completely covered - Pipes are broken or open	2 2 1 2	functional Toilets
20		6	Is water available for use in the toilets	1	Water available to ensure usage and cleanliness
21		8	What is usage status of toilet	1	Toilet used
22		9	where the human waste/excreta get disposed from the toilet?	5,6,7,8	Safe discharge of Human excreta from toilet
19	Public Spaces	1	Area that are/were used for open defecation in the past	2	Visible faeces not found
20		2	All Important public places (only if ans for A is 1)	2	Visible faeces not found
21		3	Open ground/fields	2	Visible faeces not found
22		4	Roads alongside the village	2	Visible faeces not found
23		5	Any infamous places	2	Visible faeces not found

For DLI 3:

SNO	Type of Schedule	Question No	Question	Option indicating some SLWM	Criteria (clearly spelled out as Positive statements)
1	HH Schedule	9	Is there any garbage or litter piled up or dumped within the premise of the house	2	No Garbage or Litter piled up in the premise of the house

2		10	how is the solid waste of HH disposed of?	2, 3	Some mechanism of safe disposal of solid waste
3		11	Is there stagnant waste water within the premise of the house	2	No Stagnant water in the premise of the house
4		12	Where is the HH waste water disposed	2,3,4	Some mechanism for safe disposal of waste water
5		6	Is the Village performing safe disposal of Solid waste	4,5 & 6	Community level arrangement for safe management of solid waste
6	Public space schedule	7	How is the waste water disposed of	3 & 4	Some safe system of Disposal/treatment
7		8	Public places show minimal level of littering	1	minimal littering
8		9	Public places show minimal level of water logging	1	minimal water logging