

## Focus Group Discussion Guide (Households)

Identifiers (Basic information)			
Parish:		Informal settlement:	
Name & Tel. contact of Moderator:		Name & Tel. contact of Note taker:	
		Date of FGD:	Start Time: End Time:
No.	Question		
A	<b>General icebreakers &amp; Rapport building questions</b> <i>[Greetings, welcome, CONSENT, short stories, etc. What do you know about faecal sludge emptying? What type of containment facilities do people in this area have? What is the average size of the containment facilities?]</i>		
1.	What different services for faecal sludge emptying and transport exist in this area? <i>(Explore and Probe for: what emptying technologies are available, who provides these services, how reliable are the services, what emptying technologies they prefer and why?)</i>		
2.	What do you consider as 'appropriate' emptying and transport services? <i>(Explore and Probe for: Do they introduce any risks, if so, what are these risks and where do they occur? Which is the most appropriate?)</i>		
3.	How do households access appropriate latrine emptying and transport services in this area? <i>(Explore and Probe for: different means they use to access these services e.g. direct contact of service provider, call center services, referral by neighbours etc)</i>		
4.	What motivates households to demand and use appropriate emptying services in this area? <i>(Explore and Probe for: public health and environmental protection, regulations etc)</i>		
5.	On average, what is the latrine emptying frequency in this area <i>(Explore and Probe for: Number of times they empty in a year, number of trips made to empty each facility, any factors contributing to emptying frequency)</i>		
6.	How much do households <u>pay</u> for latrine emptying services? <i>(Explore and Probe for: Whether the prices are fixed or negotiated, whether they consider the prices affordable, what payment methods/ options they would prefer i.e. cash, mobile money)</i>		
7.	How much would you be willing to pay for emptying services? <i>(Explore and Probe for: Reasons for the suggested price(s), how the prices may vary depending on type of technology)</i>		
8.	Do households in this area get support (subsidies) to empty latrines? <i>(Explore and Probe for: If yes, how is the support provided, by who and to whom? what are the benefits or disadvantages, if any, of this support? If no, how have you been managing emptying of your pit without any external support?)</i>		
9.	What challenges do households in this area face in regard to emptying of their full sanitation facilities?		

10.	Are you aware of any recent improvements made to emptying services in this area of the city? <i>(Explore and Probe for: If so, what has been done? what difference has it made to the services you see provided? If not, are any improvements planned?)</i>
11.	What actions to improve faecal sludge emptying and transport have worked/ not worked well in this area? <i>(Explore and Probe for: Who was responsible for these actions? How were the local residents involved?)</i>
12.	Are there any community rules or regulations that affect how you manage waste from your latrine? <i>(Explore and Probe for: Details of the regulations and their implications, what about any government regulations?)</i>
13.	What do you think households could do to improve emptying and transport services in this area? <i>(Explore and Probe for: Possibility of pooling resources so that more than one facility is emptied at a go, mass emptying services etc)</i>
14.	What do you think the city authorities could do to improve emptying and transport services in this area?

**Thank you for your time and responses.**

**Focus Group Discussion Guide**  
**(Target group: Cesspool and Gulper Association)**

Identifiers (Basic information)		
Parish:		
Name & Telephone contact of Interviewer:		Date of In- depth Interview: Start Time: End Time:
		Type of emptying business entity:
No.	Question	
A	<b>General icebreakers &amp; Rapport building questions</b> <i>[Greetings, welcome, CONSENT. Normally, how is your day's schedule like?</i>	
1.	How many trucks or Gulpers are there in operation? <i>(Explore and Probe for: Capacity of the trucks and gulpers, do they all go out daily?)</i>	
2.	How were the trucks or Gulpers acquired? <i>(Explore and Probe for: whether they took out a loan to buy it or they are renting and from whom?)</i>	
3.	On average, how many hours do the trucks or gulpers operate in a day?	
4.	On average, how many days in a week do they operate?	
5.	Which sanitation facilities do you normally empty? <i>(Explore and Probe for: Type of facility and reason for emptying the facility)</i>	
6.	What is the market size for the cesspool/ Gulper emptying business? - <b>Customer segments</b> <i>(Explore and Probe for: Number of households, institutions and businesses in their service areas that could theoretically use their emptying services)</i>	
7.	On average, how many customers are served daily? – <b>Market Penetration</b> <i>(Explore and Probe for: How many sanitation facilities are emptied in a day? How much time taken is taken to empty each facility on average? How many trips is made for each facility?)</i>	
8.	On average, what volume of sludge/ waste is collected per facility?	
9.	How much is charged for emptying each sanitation facility? (cost/m <sup>3</sup> ) <i>(Explore and Probe for: Whether prices are fixed or negotiated, what payment methods they use, whether they deem their services affordable to customers and why? What factors determine the cost/ price?)</i>	
10.	What value propositions do your businesses offer? <i>(Explore and Probe for: Whether they offer timely services, any added value the deliver i.e. clean/ disinfect work areas after emptying, whether their workers have the business identity (uniforms) wear protective gear etc.)</i>	

11.	What type of relationships exist between you and each of your customer segments? <i>(Explore and Probe for: whether they offer one-on-one services, contract from municipality etc)</i>
12.	How do you reach out to your customers (channels of service delivery)? <i>(Explore and Probe for: Direct, municipality (call center services), do you advertise your services?)</i>
13.	Where is the daily collected sludge discharged? <i>(Explore and Probe for: Do they take it a treatment plant or transfer station? On average, what is the distance in km from the emptying points to discharge sites?)</i>
14.	Do you pay disposal charges at the treatment plant? <i>(Explore and Probe for: If Yes, how much is paid? Are the charges fixed or negotiated? Are the charges per volume or capacity of truck/ gulper?)</i>
15.	Generally, what do businesses spend on monthly to keep them operational? <i>(Explore and Probe for: Operational expenses like personnel costs (salary), fuel, maintenance/ repairs, licensing fees, communication, advertising, rent etc)</i>
16.	Generally, what factors affect business operations? <i>(Explore and Probe for: Whether there are challenges like access to sanitation facilities, distance to treatment plants, lack of capacity of customers to pay for services (whether they have to always negotiate with customers), discharge prices, few truck trucks that limit business growth, access to business financing, staff attrition, preferred desludging times Vs Operating hours at treatment plant, high taxes, fuel prices/ shortage etc)</i>
17.	What are the challenges (if any) in providing services in Lutunda and Kasule zones or other informal settlements in the city?
18.	How do you overcome the above challenges?
19.	What do you think service providers can do to improve service delivery in these areas?
20.	What do you think the city authority can do to improve services delivery in these areas?

**Thank you for your time and responses.**

**In- depth Interview Guide**  
**(Target group: Cesspool and Gulper operators/business owners)**

Identifiers (Basic information)		
Name & Telephone contact of Interviewer:		Date of In- depth Interview: Start Time: End Time:
Name of emptying business entity:		Type of emptying business entity:
No.	Question	
A	<b>General icebreakers &amp; Rapport building questions</b> <i>[Greetings, welcome, CONSENT. Normally, how is your day's schedule like?</i>	
1.	What is your role in this business entity?	
2.	How many employees does the business employ? <i>(Explore and Probe for: Roles of different employees)</i>	
3.	How many trucks or Gulpers do you have in operation? <i>(Explore and Probe for: Capacity of the trucks and gulpers, do they all go out daily?)</i>	
4.	How did you acquire the trucks or Gulpers? <i>(Explore and Probe for: whether they took out a loan to buy it or they are renting and from whom? If they took out a loan, how much and when was it? Whether they have repaid it or not and why? If they do not own the trucks or equipment, do they have plans to buy one?)</i>	
5.	How many hours does your business operate in a day?	
6.	How many days in a week do you operate?	
7.	Which sanitation facilities do you normally empty? <i>(Explore and Probe for: Type of facility and reason for emptying the facility)</i>	
8.	What is the market size for your business? - <b>Customer segments</b> <i>(Explore and Probe for: Total number of households, institutions and businesses in their service areas that could theoretically use their emptying services)</i>	
9.	On average, how many customers do you serve in a day? – <b>Market Penetration</b> <i>(Explore and Probe for: How many sanitation facilities do you empty in a day? How much time taken do you take to empty each facility on average? How many trips do you make for each facility?)</i>	
10.	On average, what volume of sludge/ waste do you collect per facility?	
11.	How much do you charge for emptying each sanitation facility? <i>(Explore and Probe for: Whether prices are fixed or negotiated, what payment methods they use, whether they deem their services affordable to customers and why?)</i>	

12.	What value propositions does your business offer? <i>(Explore and Probe for: Whether they offer timely services, any added value they deliver i.e. clean/ disinfect work areas after emptying, whether their workers have the business identity (uniforms) wear protective gear etc.)</i>
13.	What type of relationships exist between you and each of your customer segments? <i>(Explore and Probe for: whether they offer one-on-one services, contract from municipality etc)</i>
14.	How do you reach out to your customers (channels of service delivery)? <i>(Explore and Probe for: Direct, municipality (call center services), do you advertise your services?)</i>
15.	Where do you discharge the sludge that is collected daily? <i>(Explore and Probe for: Do they take it to a treatment plant? On average, what is the distance in km from the emptying points to discharge sites?)</i>
16.	Do you pay disposal charges at the treatment plant? <i>(Explore and Probe for: If Yes, how much is paid? Are the charges fixed or negotiated? Are the charges per volume or capacity of truck/ gulper?)</i>
17.	On average, how much revenue did your business generate last year 2019? <i>(Explore and Probe for: Get average revenue generation for all 12 months of the year. Let them fill in the template provided)</i>
18.	What does your business generally spend on monthly to keep it operational? <i>(Explore and Probe for: Operational expenses like personnel costs (salary), fuel, maintenance/ repairs, licensing fees, communication, advertising, rent etc)</i>
19.	On average, how much were your operational expenses for last year 2019? <i>(Explore and Probe for: Get average operational expenses for all 12 months of the year. Let them fill in the template provided)</i>
20.	Generally, what factors affect your business operations? <i>(Explore and Probe for: Whether there are challenges like access to sanitation facilities, distance to treatment plants, lack of capacity of customers to pay for services (whether they have to always negotiate with customers), discharge prices, few trucks that limit business growth, access to business financing, staff attrition, preferred desludging times vs Operating hours at treatment plant, high taxes, fuel prices/ shortage etc)</i>
21.	What service challenges (if any) are unique in providing services in Bwaise II and Kibuye informal settlements?
22.	How did/ do you overcome the above challenges?
23.	What do you think service providers can do to improve service delivery in these areas?
24.	What do you think the city authority can do to improve services delivery in these areas?

**Thank you for your time and responses.**

**Key Informant Interview Guide**

(Target group: KCCA, NEMA, NWSC, Private sector coordinator, GIZ, WFP, Research Institution, Cesspool and Gulper Association)

Identifiers (Basic information)			
Organization:		Title:	
Name & Telephone contact of Interviewer:		Date of KI Interview:	Start Time: End Time:
No.	Question		
1.	<p>Generally, how is FSM service delivery in the city?</p> <p><i>(Probe for: Containment facilities in use, common emptying and transport technologies, central or decentralized treatment plants, market size, market penetration, adequacy of existing regulations (pit standards, waste discharge standards, monitoring mechanisms, existing business model – (Call center (mode of operation, are all emptiers subscribed to the center, how much is required to keep it operational; licensing (no of operators registered), scheduled, transfer station), data management – quantity of FS emptied and discharged)</i></p>		
2.	<p>What are some of the (unique) factors hindering effective emptying and transport of faecal sludge in the informal settlements of the city?</p> <p><i>(Probe for: Challenges in enforcement of regulations, compliance, licensing of service providers)</i></p>		
3.	<p>What do you think can be done to address the above challenges and increase demand? – Potential solutions.</p>		
4.	<p>What actions to improve and accelerate service scale in informal settlements of the city have worked or not worked?</p> <p><i>(Explore and Probe for: Any interventions by community, service providers, government, NGOs? Lessons learnt)</i></p>		
5.	<p>How best do you think service delivery can be scaled to informal settlements of the city?</p> <p><i>(Probe for: Possibility of mass emptying services, use of transfer stations, incentivized emptying, subsidized emptying)</i></p>		

**Thank you for your time and responses**

## Observation checklist

Identifiers (Basic information)		
Name & Telephone contact of Interviewer:	Date:	Start Time: End Time:
Name of business entity:	Type of business entity:	
Stage of FSM service chain	Issues to observe	Observation notes
<b>Containment</b>	Type and capacity of containment facility being emptied	
<b>Emptying</b>	Equipment used for emptying	
	Access for emptying services to containment facilities requiring emptying	
	Use of documentation to record details of faecal sludge collected	
	Time taken to empty a single facility	
	Does the sludge contain significant quantities of solid wastes (plastics, menstrual hygiene management materials)?	
	Are prices fixed or negotiated?	
	Does the emptying procedure introduce any risks to public health or environment?	
	Safety practices by emptiers (use of PPE)	



<b>Transport</b>	Type and capacity of vehicle used to transport emptied faecal sludge	
	Destination of emptied faecal sludge	
	Number of trips made for each facility	
	Risks associated with transport practices	
<b>Treatment</b>	Location of treatment facilities/ plants (distance and time taken to transport faecal sludge to treatment site)	
	Quantity of faecal sludge received at the treatment facility	
	Use of documentation to record details of faecal sludge received for treatment (quantity, source etc)	
	Payment of discharge fee (Fixed or negotiated)	
<b>After discharge at treatment facility</b>	Do the emptiers engage in other activities apart from emptying?	

## **Informed Consent for FGD (Households)**

### **Introduction**

Good morning/afternoon participants. You are welcome for this discussion. We are from IHE Delft Institute for Water Education and KCCA. We are conducting a short study/ research to explore faecal sludge emptying and transport service delivery in Lutunda and Kasule informal settlements in Kawempe and Makindye divisions of Kampala city.

We would like to discuss and explore your views and perceptions regarding the emptying services provided in this area. The purpose of this discussion is to help us obtain information on the various factors that hinder effective emptying service delivery in this area so as to recommend an appropriate business model that can address the challenges and thus increase service delivery in this part of the city.

Your discussions and answers will enable us understand the situation and will be helpful in enabling us derive appropriate recommendations to accelerate service scale in all parts of Kampala city. Feel free to discuss and seek clarifications where you deem necessary. We would request that you be audible and speak one at a time so that all your important views are understood and written down. We also have a tape recorder that will help us to capture the discussion to ensure that we do not miss out on anything you mention. We expect our discussion will last about 1-1.5 hours.

### **Confidentiality**

The information you provide will be treated with highest possible degree of confidentiality and the results of this study will be kept strictly confidential and used only for research purposes. Your name will not appear anywhere in the report. Your responses cannot be traced back to you because they will be combined with the responses of others to establish common trends.

### **Rights to refusal or withdrawal**

Participation in this discussion is entirely voluntary and you can choose to take part or withdraw at any time. You may also choose to answer some or all questions posed.

### **Benefits**

There may be no direct benefit from the study however the results obtained about challenges in providing emptying services in this area will be used to improve service delivery that will be beneficial to households in this area and the entire capital city. No allowances will be paid for participation in the discussion.

### **Risks**

No risks are envisaged to any participant during this study.

### **Do you have any questions about the discussion?**

## **Informed Consent for FGD (Cesspool and Gulper Association)**

### **Introduction**

Good morning/afternoon participants. You are welcome for this discussion. We are from IHE Delft Institute for Water Education and KCCA. We are conducting a short study/ research to explore faecal sludge emptying and transport service delivery in Lutunda and Kasule informal settlements in Kawempe and Makindye divisions of Kampala city.

We would like to explore your views regarding providing emptying and transport services in Kampala city, particularly in the informal settlements. The purpose of this discussion is to help us obtain information on the various factors that hinder effective emptying service delivery in informal settlements. Your discussions and answers will enable us understand the situation and will be helpful in enabling us derive appropriate recommendations to accelerate service scale in all parts of Kampala city. Feel free to discuss and seek clarifications where you deem necessary. We would request that you be audible and speak one at a time so that all your important views are understood and written down. We also have a tape recorder that will help us to capture the discussion to ensure that we do not miss out on anything you mention. We expect our discussion will last about 1-1.5 hours.

### **Confidentiality**

The information you provide will be treated with highest possible degree of confidentiality and the results of this study will be kept strictly confidential and used only for research purposes. Your name will not appear anywhere in the report. Your responses cannot be traced back to you because they will be combined with the responses of others to establish common trends.

### **Rights to refusal or withdrawal**

Participation in this discussion is entirely voluntary and you can choose to take part or withdraw at any time. You may also choose to answer some or all questions posed.

### **Benefits**

There may be no direct benefit from the study however the results obtained about challenges in providing emptying services in this area will be used to improve service delivery that will be beneficial to households in this area and the entire capital city. No allowances will be paid for participation in the discussion.

### **Risks**

No risks are envisaged to any participant during this study.

**Do you have any questions about the discussion?**

## **Informed Consent for In- Depth Interviews**

### **Introduction**

Greetings!! My name is Florence Laker. I am from IHE Delft Institute for Water Education. I am conducting a short study/ research to analyze the business arrangement for faecal sludge emptying and transport service delivery in Lutunda and Kasule informal settlements in Kawempe and Makindye divisions of Kampala city.

I would like to discuss and the business arrangement for providing emptying and transport services in these two informal settlements. The purpose of this interview is to help me obtain information on the various business components such as market size, market penetration, business viability and any factors that hinder effective emptying service delivery in these areas so as to recommend an appropriate business model that can address the challenges and thus increase service delivery in these parts of the city.

Your answers will enable us understand the situation and will be helpful in enabling us derive appropriate recommendations to accelerate service scale in all parts of Kampala city, particularly in informal settlements. Feel free to discuss and seek clarifications where you deem necessary. I also have a tape recorder that will help me to capture the discussion to ensure that I do not miss out on anything you mention. I expect this interview to last about 40-60 minutes.

### **Confidentiality**

The information you provide will be treated with highest possible degree of confidentiality and the results of this study will be kept strictly confidential and used only for research purposes. Your name will not appear anywhere in the report. Your responses cannot be traced back to you because they will be combined with the responses of others to establish common trends.

If you are willing to share your income statement and any other financial related information, it will be very helpful to us in further understanding business arrangement for faecal sludge emptying and transport and challenges in service provision.

### **Rights to refusal or withdrawal**

Participation in this interview is entirely voluntary and you can choose to take part or withdraw at any time. You may also choose to answer some or all questions posed.

### **Benefits**

There may be no direct benefit from the study however the results obtained about financial viability of your business and challenges in providing emptying services in this area will be used to address the gaps and increase service delivery in these areas and service scale to other informal settlements within the city. No allowances will be paid for participation in this interview.

### **Risks**

No risks to you are envisaged during this study.

### **Do you have any questions about the interview?**

## **Informed Consent for Key Informant Interviews (KII)**

### **Introduction**

Greetings!! My name is Florence Laker. You are welcome for this interview. I am conducting a short study/ research to analyze the business model for faecal sludge emptying and transport in Lutunda and Kasule informal settlements in Kawempe and Makindye divisions of Kampala city. You have been selected as a key informant to take part in this study because of your role, interest and influence in FSM service provision within the city.

I would like to explore your views regarding providing emptying and transport services in Kampalacity, particularly in the informal settlements. The purpose of this interview is to help me obtain information on the various factors that hinder effective emptying service delivery in informal settlements so as to recommend an appropriate business model that can address the challenges and thus increase service delivery in these parts of the city.

Your answers will enable me understand the situation and will be helpful in enabling us derive appropriate recommendations to accelerate service scale in all parts of Kampala city, particularly in informal settlements. I also have a tape recorder that will help me to capture the discussion to ensure that I do not miss out on anything you mention. I expect this interview to last about 25minutes.

### **Confidentiality**

The information you provide will be treated with highest possible degree of confidentiality and the results of this study will be kept strictly confidential and used only for research purposes. Your name will not appear anywhere in the report. Your responses cannot be traced back to you because they will be combined with the responses of others to establish common trends.

### **Rights to refusal or withdrawal**

Participation in this interview is entirely voluntary and you can choose to take part or withdraw at any time. You may also choose to answer some or all questions posed.

### **Benefits**

There may be no direct benefit from the study however the results obtained challenges in providing emptying services and potential solutions will be used to address the gaps and increase service delivery in these areas and scaling to other informal settlements within the city. No allowances will be paid for participation in this interview.

### **Risks**

No risks to you are envisaged during this study.

**Do you have any questions about the interview?**