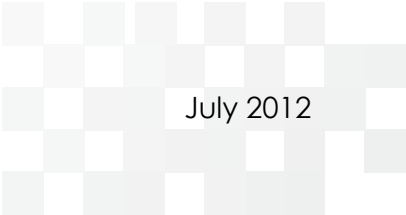


**MINISTRY OF WATER AND ENVIRONMENT  
DIRECTORATE OF WATER DEVELOPMENT**

# **Steps In Implimentation of Water and Sanitation Software Activities**

**A Guide to District Local Governments**



July 2012

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## Foreword

The Government of Uganda is committed towards sound management and sustainable utilization of water resources for the present and future generation. Achieving the above calls for adequate community participation, in the development and management of water facilities.

In Uganda today, the O&M of rural water facilities is largely based on the Community Based Maintenance System (CBMS), which emphasises community participation in the development, and management of water facilities. Within CBMS, the responsibility for maintenance and undertaking minor repairs of water facilities was handled over to the beneficiary communities. On the other hand District Local Governments undertake capacity building initiatives, carry out major repairs and continuously monitor and support communities for sustainable operation and maintenance of water facilities.

In a bid to streamline the above roles, **Steps in Implementation of Water and Sanitation Software Activities** were developed in 2007, to assist districts on the critical steps to be followed while planning and undertaking community mobilization activities.

During the process of utilizing the guide a number of issues emerged which have led to its revision in 2012. These include the high cost of software implementation; duplication of software activities and the failure of districts to implement a number of activities stipulated.

The revised software steps have taken stock of the aforementioned issues and this has resulted into the reduction of the critical software steps from 19 to 12. The revised steps are presented under four broad categories as follows:-

- General Planning and Advocacy (Step 1 to 3)
- Pre- Construction Phase (Step 4 – 7)
- Construction Phase (Step 8- 10)
- Post Construction Phase (Step 11- 12)

The software steps 2012 have been developed through a participatory process that involved a number of stakeholders including District Local Governments, Non Governmental Organizations, Ministry staff and Technical Support Unit Staff. Let me take this opportunity to thank all those who have contributed to the revision of this guideline.



**Hon. Maria Mutagamba**  
**MINISTER OF WATER AND ENVIRONMENT**

## List of Acronyms

<b>ADWO</b>	Assistant District Water Officer
<b>CBO</b>	Community Based Organization
<b>CWO</b>	County Water Officer
<b>DHI</b>	District Health Inspector
<b>DWD</b>	Directorate of Water Development
<b>DWO</b>	District Water Officer
<b>LC</b>	Local Council
<b>MoU</b>	Memorandum of Understanding
<b>NGO</b>	Non Governmental Organization
<b>O&amp;M</b>	Operation and Maintenance
<b>TSU</b>	Technical Support Unit
<b>WATSAN</b>	Water and Sanitation
<b>WSC</b>	Water and Sanitation Committee



# 1. Introduction

The review of Steps in Implementation of Water and Sanitation Software activities has been undertaken to address concerns regarding the efficiency and effectiveness of implementing software activities by District Local Governments. This document is intended to guide Districts on the critical software steps to be followed in the planning, provision and follow-up of water sector programs.

For purposes of clarity the steps are presented under the four broad **phases** as follows:-

- Planning and advocacy phase (steps 1 to 3);
- Pre-construction phase (steps 4 to 7);
- Construction phase (steps 8 to 10);
- Post construction phase (steps 11 to 12).

Each phase is divided into a series of steps, which are outlined below. **Indicative costs are given for each step. These costs are not prescriptive but are a guide to the district.**

**The district water and sanitation sector schedules,2010/11 specify that up to 8% of the total water sector conditional grant can be spent on software activities set out in this document.** The conditional grant comprises of two budget lines: (i) development and (ii) recurrent, and several other sub-budget lines. The software phases are to be budgeted and accounted for under the conditional grant as follows:

Software Phase (steps)	Conditional grant component	Conditional Grant budget line and sub-budget line
General planning and advocacy phase (Steps 1 to 3)	General planning and advocacy	Budget Line: Recurrent Sub-budget line: District water supply - Recurrent Non wage
Pre-Construction Mobilization and Training Phase (Steps 4 to 7)	Software activities for pre-construction and construction phases	Budget line: Development
Construction phase (Steps 8 to 10)		Sub-budget line: District Rural water supply.
Post Construction phase (steps 11 to 12)	Post construction support	Budget line: Recurrent Sub – budget line: District Water Supply – Recurrent Non wage.

The software phases of general planning and advocacy and post construction support are **recurrent** budget items. The two software phases of preconstruction mobilization and training and construction have been grouped together as one component in the conditional grant and are **development** budget items.



## 2. Steps in community mobilization.

### 2.1 General Planning and Advocacy phase

#### Step 1: Advocacy/Planning Meeting for District Council.

- **Purpose** of the meeting is to review the water and sanitation situation in the district and agree on the priorities, and the way forward.
- **Content** of the meeting should include among other things the water supply/sanitation coverage, operation and maintenance, critical requirements, criteria for allocation of water facilities, sector policies and guidelines, gender, environment issues related to Water Supply and Water Sector grant (indicative allocation to sub-counties).
- **Participants** should include the Councilors, District executive, Head of line department, Members of Parliament and representatives of donors and NGOs operating in the districts. Facilitators should be the district staff with back up support from TSU/DWD representatives.
- **Duration** of the meeting should be one day (6 hrs).
- **Scheduling** of the meeting should be in the first and second quarter every year.
- **Output** O&M strategies agreed, and priorities harmonized
- **Cost** of the meeting should not exceed Ushs. **2,409,500/=** as per the breakdown below:

Break tea and lunch for 50 participants	50 persons X 20,000/=	1,000,000/=
Sitting allowance	50 Persons x 13,000/=	650,000/=
Stationary	lump sum	50,000/=
Transport refund for Councilors'	30 Councilors x 20,000/=	600,000/=
Fuel for coordinating the workshop	30 litres diesel x 3,650/=	109,500/=
<b>Total</b>		<b>2,409,500/=</b>

## Step 2: Advocacy /Planning Meeting for Sub County

- **Purpose** of the meeting is to discuss the water and sanitation situation in the sub-counties; communication of WATSAN facilities allocated to the Sub County; Solicit applications for water services from communities; Agree on priorities and the way forward.
- **Content** of the meeting should include among other things the water supply/coverage, how to apply for water sources to be developed, criteria for allocation of water sources, operation and maintenance strategies, functionality status, sanitation and hygiene status, critical requirements, gender, environmental issues related to water supply, water sector grant allocation (indicative). The DWO Should report on achievement of past financial year and share plans for subsequent financial year. Communication of the date of receipt of application which is March every year should be made.
- **Participants** should include LCIII executive, councilors, technical and administrative staff, NGO/CBO representatives and opinion leaders.
- **Output**; Agreed actions to improve on the water & Sanitation situation and prioritize areas of intervention.
- **Facilitators** should be district/county staff and /or NGO contracted/ operating in that area.
- **Duration** of the meeting is one day.
- **Scheduling** of the meeting should be in the first and second quarter every year.
- **Cost** of the meeting should not exceed **Ushs, 914,500/=** as per the breakdown below:



Lunch for 30 participants	30 Persons x 5,000/=	150,000/=
Safari Day allowance for district staff (DWO + 2 ADWOs + CWO)	4 persons x 12,000/=	48,000/=
Fuel of DWO+ADWOs	30 litres of diesel x 3,650/=	109,500/=
Transport allowance for CWO	1 CWO X 20,000/=	20,000/=
Transport allowance for councilors	15 councilors x 20,000/=	300,000/=
Safari Day Allowance for councilors	15 councilors x 11,000/=	165,000/=
Out of pocket for extension staff	6 ext. staff x 12,000/=	72,000/=
Stationary	Lump sum	50,000/=
		<b>914,500/=</b>

### Step 3: Meeting for the Sub County Sectoral Committee (responsible for water)

- **Purpose** of the meeting is to short list communities for provision of water and to forward list of shortlisted communities to the Sub County for approval.
- **Content** of the meeting should include screening of applications and agreeing on the communities to be served.
- **Participants** should be members of the sectoral committee and sub-county extension workers and/or contracted NGO/CBO and county water officer.
- **Duration** of the meeting should be at least one day (6hrs).
- **Scheduling** of the meeting is first and second quarter every year.
- **Cost** of the meeting should not exceed **Ushs 316,000/=** as per the break down below:-

Safari Day Allowance	10 persons x 11,000/=	110,000/=
Transport	10 Persons x 20,000/=	200,000/=
Stationary	Lump sum	6,000/=
<b>Total</b>		<b>316,000/=</b>

## 2.2 Pre- Construction Mobilization and Training Phase.

### Step 4: Sensitization Meeting for selected communities.

- **Purpose** of the meeting is to give feedback on the application and agree on actions to fulfill the critical requirements.
- **Content** of the meeting should include; Situational analysis of water and sanitation status, technology options, hygiene and sanitation, O&M promotion, land acquisition, community contribution to capital cost, hygiene promotion, signing the MOU, formation of a WSC, Preliminary Selection of sites and actions to fulfill the critical requirements.
- **Participants** in the meeting should include; LC1 committee, community, and NGO/CBO operating in that community.
- **Facilitators** of the meeting are extension staff and NGO/CBO.
- **Duration** of the meeting is half a day.
- **Scheduling** of the Meeting should be in the second quarter of every year
- **Output;** formed WUC and way forward for an action plan on critical requirements
- **Cost** of the meeting should not exceed Ushs 54,000/= per new water facility

Day out allowance for 2 ext staff	2 x 12,000/=	24,000/=
Transport allowance for ext .staff	2 x 10,000/=	20,000/=
Stationary	Lump sum/=	10,000/=
<b>Total</b>		<b>54,000/=</b>

### Step 5: Training of Water and Sanitation Committee (WSC) on their roles.

- **Purpose** is to train the WSC on their roles
- **Content** as detailed in the Water sector extension Workers 'Handbook (Vol.1)
- **Participants** in the training should be members of the WSC and LCI executive.
- **Facilitators** should be sub-county extension workers and/or NGO/CBO contracted.
- **Duration** of the training should be one day.
- **Scheduling** of the training should be in the second and third quarter
- **Output;** trained WSC
- **Cost** of the training should not exceed Ushs. **129,000/=** per Water source

Day out allowance for ext. staff	2 x 12,000/=	24,000/=
Transport for ext. staff	2 x 10,000/=	20,000/=
Lunch for participants	15 x 5,000/=	75,000/=
Stationary	Lump sum	10,000/=
<b>Total</b>		<b>129,000/=</b>

### Step 6: Conducting Sanitation Baseline and Follow up - Surveys

- **Purpose** is determining the actual sanitation and hygiene status of beneficiary households before and after community interventions
- **Content** of the surveys /exercise should include; physical existence of basic sanitation facilities like (Latrines, refuse disposal, drying racks) and evidence of good hygiene practices (Hand washing and safe water chain).
- **Survey** team will include sub-county extension staff and/or NGO/CBO contracted with the support of WSC and LC1 members.
- **Duration** of the baseline survey and follow up survey should not exceed 3 days.
- **Scheduling** of the baseline survey should be in the second quarter and while for the follow up survey should be in the third quarter.

- **Output:** Report on sanitation coverage quality.
- **Cost** of the survey should not exceed Ushs 304,000/= as per the breakdown below:-

Day out allowance for 2 ext. staff	2 x 6 days x 12,000/=	144,000/=
Transport for ext staff	2 x 6 days x 10,000/=	120,000/=
Stationary	Lump sum	40,000/=
<b>Total</b>		<b>304,000/=</b>

### Step 7: Assessing Community Response Towards Fulfilling Critical Requirements.

- **Purpose** of the field verification is to assess community trends in fulfilling the critical requirements and discussion of results. This provides an opportunity for continuous mobilization of communities to fulfill the critical requirements and agree on definite sites
- **Content** of verification should include all the critical requirements.
- **Verification** team should include; extension workers, WSC members, opinion leaders, LC1s and NGO/CBO operating in that place. This exercise should be wound up with a meeting to agree on a way forward
- **Duration** should not exceed 3 days.
- **Scheduling** of such a verification exercise should be in the second and third quarter
- **Cost** of the activity should not exceed 142,000/= as per the breakdown below

Day out allowance for ext. staff visiting	2 x 3 days x 12,000/=	72,000/=
Transport allowance to ext staff	2 x 3 days x 10,000/=	60,000/=
Stationary	Lumpsum	10,000/=
<b>Total</b>		<b>142,000/=</b>

## 2.3. Construction Phase

### Step 8: Planning and Mobilization of Communities to Participate in Construction Activities.

- **Purpose** is to involve communities in the construction activities.
- **Content** of this step will involve all parties understanding their roles and responsibilities during the construction phase and, agree on what to expect. Community to receive and interact with the contractor or consultant
- **Responsible team** should be ADWO –Mob/CDO/DHI together with the sub-county extension workers and/ or NGO/CBO contracted.
- **Duration** of the mobilization should be one month before construction commences
- **Scheduling;** Activity should be conducted in the third and fourth quarter
- **Date** for taking over site, start of construction, end of construction and hand over of site/facility will be as per the contract. Other specifics like dumping and site clearance will have to be made clear and agreed upon in the first meeting between the District, Sub County, community and contractor.
- **Cost** of mobilization depends on the technology option and the averages for one month is Ushs. 239,500/= as per the breakdown below:

Allowances to Extension workers	2 x 2 x 12,000/=	48,000/=
Transport/ Fuel	20,000/=	20,000/=
Allowances to sub county chief	1 x 12,000/=	12,000/=
Transport/Fuel	20,000/=	20,000/=
Allowances to District Officials (ADWO/CWO)	2 x 12,000/=	24,000/=
Driver	6,000/=	6,000/=
Fuel	30 ltrs x 3650/=	109,500/=
<b>Total</b>		<b>239,500/=</b>

## Step 9: Training of the WSC, and Caretakers in Preventive Maintenance.

- **Purpose** is to equip the water source caretakers with basic skills in preventive maintenance and record keeping.
- **Content** depends on technology:
  - Preventive maintenance e.g greasing, tightening bolts etc (hand pumps)
  - Clearing the drainage channel and protecting the catchment area (springs and gravity schemes)
  - Detecting leakages of pipes (gravity flow scheme)
- **Trainer** should be an extension worker, hand pump mechanic or contractors during construction/installation, extension workers and ADWOs
- **Scheduling:** Training should be conducted in the third and fourth quarter
- **Duration** depends on the technology option but should not exceed one day
- **Output:** Trained WSC and Care takers
- **Cost:** Should not exceed 88,000 per water source as indicated in the breakdown below

Day out allowance for ext. staff/Trainers	2 x 2 x 12,000/=	48,000/=
Transport Allowance for ext. staff	2 x 2 x 10,000/=	40,000/=
<b>Total</b>		<b>88,000/=</b>

## Step 10 Commissioning of Water Sources

- **Purpose** is handing over the water facility to the community to ensure ownership.
- **Content** should include emphasis of O&M/community management aspects and sanitation improvement.
- **Participants** will include; district and sub-county official,

community members, WSC and local politicians and opinion leaders.

- **Scheduling** : this activity be held in the fourth and first quarter
- **Output**: commissioned water facilities
- **Cost** of mobilization should not exceed Ushs 267,000/= as per the breakdown below:

Day out allowance for 2 sub-county staff	2 persons x 2 days x 12,000/=	48,000/=
Day allowance to sub county chief	1 x 1 x 12,000/=	12,000/=
Transport Allowance for sub-county staff	2 x 2 days x 10,000/=	40,000/=
Transport allowance to s/ chief	1 x 1 x 10,000 /=	10,000/=
Day out allowance for ADWO(mob)	2 persons x 2 x 12,000/=	48,000/=
Fuel for DWO and ADWO	30 litres of diesel x 3,650/=	109,500/=
<b>Total</b>		<b>267,500/=</b>



## 2.4 Post Construction Phase

### Step 11: Continuous Follow up/Mobilization for O&M, Behavior

#### Change and Environmental Issues.

- **Purpose;** is to maximize the benefits of the installed water and sanitation facilities.
- **Content;** should include operation and maintenance of installed facilities as well as the safe water chain, and environmental issues around the facilities.
- **Mobilizers;** should be sub-county extension workers and/or NGO/CBO contracted.
- **Scheduling;** Throughout the year.
- **Output:** Water and sanitation facilities followed up

Day out allowance to ext staff (Visiting a community once in a quarter)	2 x 4 x 12,000 /=	96,000/=
Transport Allowances	2 x 4 x 10,000 /=	80,000/=
<b>Total</b>		<b>176,000/=</b>

### Step 12: Continuous replacement and retraining of WSC that disintegrate.

- **Purpose** is to ensure that all water points have functional/active WSC at all times.
- **Content** should be as detailed in the Water Sector Extension Workers' handbook (Vol.1)
- **Target** atleast 10% of non functional WSC to be reactivated
- **Facilitators** of the training should be sub-county extension workers and/or NGO/CBO contracted.
- **Duration** should be one day.
- **Scheduling;** this activity should take place in the first and second quarter
- **Cost** for the training should not exceed Ushs.44,000/= as per the breakdown below:

Allowances to ext staff	2 x 1 x 12,000 /=	24,000/=
Transport allowances	2 x 1 x 10,000 /=	20,000/=
<b>Total</b>		<b>44,000/=</b>